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Teaching Sonata Expositions Through Their Order of Cadences

Mark Richards

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When it comes to the forms of tonal music, there is none more elaborate or varied than sonata form. It can therefore be difficult to introduce to undergraduate students, especially if one wishes to discuss it in some detail but has only a small number of classes in which to do so. And of the large sections of the form, the exposition is without doubt the most complex and hence requires us to devote the majority of our time toward it. Of course, the accepted approach to teaching sonata expositions is through their regular key scheme from the home key to the new key. But I have found that demonstrating this key scheme without a strong emphasis on cadences can lead to problems when students are asked to identify the sections of an exposition, since changes in key do not usually coincide with its main divisions.

When a transition, for example, opens with a counterstatement of the opening theme—what is referred to in most textbooks as a "dependent transition"—students often believe that the transition begins only at the moment that the harmony moves away from the tonic key. Although the problem is easily solved by pointing out the cadence at the end of the first theme group and reminding them that a new phrase generally begins after a cadence and not *in medias res*, it does underscore the importance of cadences in the analysis of expositions.

Furthermore, because of the general lack of correspondence between key changes and major divisions in the form, students can be too easily influenced by melody rather than harmony in locating those divisions—after all, for most students, melody is the most prominent feature of any piece of tonal music. Thus, a cadence in which the melody (and perhaps the entire texture) continues onward without missing a beat may fool students into thinking that there has been no division at all.[1]

[1] Michael Broyles, *Beethoven: The Emergence and Evolution of Beethoven's Heroic Style* (New York: Excelsior, 1987), chap. 1, discusses this when he distinguishes between "symphony style" and "sonata style"—what he calls "the two styles of classicism." Symphony style often has melodic overlaps at cadences to preserve a sense of momentum whereas sonata style is more frequently broken up by textural breaks after cadences. Thus

I therefore propose a system that may be added to the key scheme of sonata expositions to alleviate some of the problems in teaching expositions to undergraduates. The system adapts the work of William E. Caplin to focus not just on the key and type of the cadences, but more importantly *the order in which they may be deployed in an exposition*. From my experience, such an approach helps students to better understand the harmonic functions of the exposition's main sections.

I would emphasize that, while this system may be applied to the teaching of sonata form at any level, the core of this essay describes only an introduction to the topic that may be included in an undergraduate curriculum in a variety of ways. If sonata form is taught only as a unit in the tonal harmony sequence, then the classes I discuss below could well span that entire unit. If, on the other hand, sonata form is taught in a required upper-level course on form, then the discussed classes could be a prelude to longer and more complicated pieces. And if the form is taught in both types of courses in the same curriculum, the discussed classes could be incorporated into each, but again only as an introduction. This does not mean that the system is limited to simpler pieces. On the contrary, I believe that the cadential ordering that I advocate here is a fundamental part of all sonata expositions, and that complicated pieces that seem not to follow it can be viewed as altered versions of more typical procedures, something like the view of entire sonata forms adopted by James Hepokoski and Warren Darcy in their Sonata Theory.[2] In the final section of this essay, I provide examples of the system's application to several more advanced pieces.

The Order of Cadences in a Sonata Exposition

Caplin's body of work on form in the classical repertoire has profoundly affected my own thoughts on the topic and, in turn, the way I teach sonata expositions. In his book, *Classical Form*, Caplin discusses "cadential goals in the exposition" as they relate to the modulating key scheme:

> In a sonata exposition, the establishment of two primary keys is articulated by a succession of cadential goals. In its complete form, this series of cadences projects a tonal curve that (1) partially confirms the home key by means of a half cadence, (2) fully confirms that key by a perfect authentic cadence, (3) destabilizes the home key by a half cadence or **dominant arrival**,[3] (4) partially confirms the subordinate key by a half cadence or dominant arrival, and (5) fully confirms the new key by a perfect authentic cadence (boldface added).[4]

Remarkably, then, the order of cadential goals in an exposition remains consistent from piece to piece even if one or more of the goals are omitted. In fact, Caplin further states that "any one of the first four cadences can be omitted, . . . however, the perfect authentic cadence of the subordinate key must always appear."[5] But if we consider only the most common type of exposition, in which there is a separate first theme group, transition, and second theme group, (and not those that fuse any of these sections together), then the goals that are present in any exposition become (1) and/or (2), (3) and/or (4), and always (5).[6]

cadences may vary in their degree of connectedness with the following phrase.

[2] 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).

[3] Throughout this essay, terms in boldface are defined in the accompanying appendix according to either William E. Caplin's theory of formal functions or James Hepokoski and Warren Darcy's Sonata Theory.

[4] William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 196.

[5] Caplin, *Classical Form*, 196.

[6] In an attempt to remain consistent with a wide range of textbooks and analytical methods, I employ in this essay what are perhaps the most common terms found in discussions of sonata form: first theme group, transition, second theme group, and closing section. Only the last term derives from a single source (Caplin's *Classical Form*) because I prefer to label as such only the final codettas of the exposition rather than complete themes (as many do in identifying "closing themes"). But because this is only a personal preference, alternative conceptions of this "closing" aspect of expositions (suggested below) may be substituted. Some readers may prefer alternative labels for the other sections of the exposition as well, e.g., "primary" and "secondary key area" for "first" and "second theme group", respectively. While the "key area" terms express the fundamental tonal structure of sonata form, they do

In total, Caplin tabulates eight patterns for the ways these goals may play out in an exposition (seven excluding expositions with fused sections), and while it is not necessary to list them here, they are important because they reveal precisely how the cadences interact with the various sections of an exposition. Essentially, all of these patterns contain at least one cadence in each section and thus, for pieces in the major mode, expositions fall into the following cadential scheme:[7]

First Theme Group in I key	**Transition**	**Second Theme Group in V key**
I:HC and/or I:PAC	I:HC and/or V:HC	V:HC, always V:PAC

(HC = half cadence; PAC = perfect authentic cadence)

Notice that the cadences become stronger in the first theme, weaker in the transition (compared to the first theme group), and stronger again in the second theme. This particular order corresponds with the tonal function of each section; namely, that the first theme group establishes the tonic key, the transition weakens it, and the second theme group establishes the dominant key. (Minor-mode schemes are discussed below.)

We may, however, refine the scheme by recognizing that the HC in both the first and second theme groups may appear as an imperfect authentic cadence (IAC), and that many transitions end not with an HC but with a dominant arrival (in either the tonic or dominant key) due to an inversion of V, a form of V^7, or a prolonged

not describe the phrase structure of the music, which is all-important for determining the beginning and end of each key area. Thus, I prefer the "theme group" terms, which refer not to a theme in the melodic sense but in the form-functional sense of sentence, period, and the like. Nevertheless, all that is necessary for the methodology I present here to function properly is the identification of all the cadences within the exposition. Hence, terminology is a matter of preference.

[7] It will be noted that I omit from this scheme not only Caplin's pattern 8 (the fused transition and second theme, as discussed above), but also pattern 7, in which, in a first theme structured as a rounded binary, the return of A is diverted to become the transition. I do so because such a pattern is quite rare and to make an exception for it here would obscure the main thrust of the scheme I present for the sake of just a few pieces. After all, the pieces that are chosen as examples of sonata form in textbooks generally do not display this type of structure and hence are not central to an introduction to the form.

V that enters before the end of the phrase.[8] And if we add a closing section for any **codettas** after the second theme group, then for a major-mode sonata exposition, we obtain the structure seen in Figure 1a. This outline does not substitute for analysis directly on the score, but rather functions as a summary of one's analysis. In this way, students are able to see at a mere glance the structure of an exposition as determined by the order of its cadences. I find that this method not only helps to focus students' attention on the tonal structure rather than the melodic material, but also gives them a sense of what to expect at various points in an exposition. If, for instance, there has been a I:PAC near the start of the piece (which will be part of the first theme group), one is likely to find next a phrase ending on some sort of V, which will be part of the transition. For sonata forms in the minor mode, one can simply substitute the V key in the scheme with III (or, more rarely, v), as in Figure 1b.

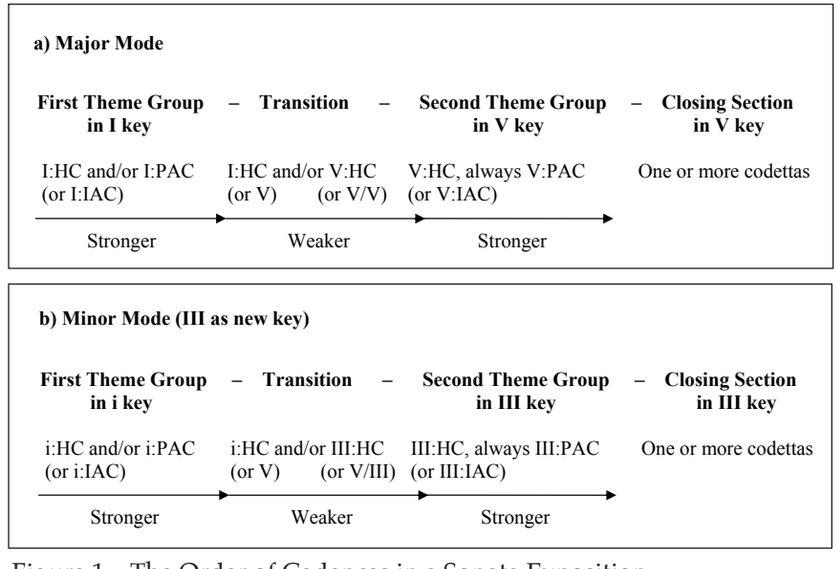


Figure 1 – The Order of Cadences in a Sonata Exposition

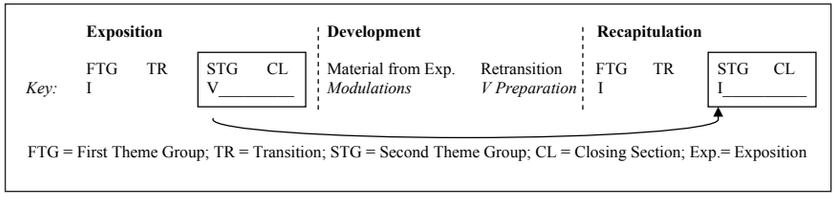
[8] Caplin clarifies that these situations do not constitute cadences in "The Classical Cadence: Conceptions and Misconceptions," *Journal of the American Musicological Society* 57 (2004): 70 and 88-89. Some readers may prefer a more inclusive concept of cadence in which, for instance, V6-I, V-I6, and $vii^{o}6$-I are IACs. In the classical repertoire, however, holding firm to the inclusion of a root-position V in all cadences allows the music to be divided into form-functional themes such as sentences and periods,

It should be noted that this scheme can be adapted to one's own preferences as to the closing section. Following Caplin, I consider the closing section to be only the group of codettas at the end of the exposition after all the larger themes have come to a close with a final V:PAC. Others, however, may wish to identify one or more full-fledged themes (i.e., eight measures or any larger length) as closing themes that occur after a second theme. In that case, one could add to the scheme a V:PAC in a "closing theme group", and either include the codettas to the same group (as in Hepokoski and Darcy's **closing zone**) or differentiate them as a separate section (simply naming them "codettas"). Whichever approach one prefers, the basic structure of the exposition via cadential goals remains the same.

The Teaching of Cadences and Sonata Expositions

Because of the complexity of sonata form, I build up to it over a number of classes that deal with definitions of phrase-ending cadences (the half and authentic), cadential avoidance (especially deceptive and **evaded cadences**), the standard theme types of the **sentence** and **period**, as well as binary and ternary forms. These initial classes are invaluable for getting students to closely examine analytical details before delving into sonata form and especially to identify cadences by their inclusion of a root-position V chord. Moreover, from the very first class, I emphasize that form in tonal music is dependent primarily on its cadences, *not* its melodic content, and that while melody is certainly not unimportant, it plays a far lesser role than the cadential structure.

Once we reach sonata form, I begin by describing it as an enlarged rounded binary form that usually repeats its first part (the exposition) and that may also include the optional sections of a slow introduction and coda. (I also tell them that some sonatas repeat the development + recapitulation as well.) Because the sonata form comprising an exposition, development, and recapitulation, or what Hepokoski and Darcy call the **Type 3 sonata**, is by far the most pervasive in the classical repertoire, I focus on this particular type. Like most textbooks, I then give an outline that identifies the layout of keys and demonstrates the central feature of recapitulating the second theme group and closing section in the tonic, as in the "balanced" type of binary form:



After this brief outline of the overall form, I prepare the students for the cadential scheme of expositions by first reviewing the cadential hierarchy of strongest to weakest as PAC-IAC-HC. Because of the simplicity of this concept, I find it a suitable introduction to the cadential scheme for expositions, to which I then turn, emphasizing that *it is the order of cadences that determines the function of each of the exposition's sections*. I also note that each section (except the codettas) must contain at least one cadence. Furthermore, I explain that, being generally one to four measures in length, codettas are not long enough to be full themes in the manner of sentences and periods and therefore do not contain cadences. (By this stage in the course, they are accustomed to the idea of most theme types having a normative length of eight measures.) Rather, the function of a codetta is to reaffirm the final tonic chord of a PAC by cadential chords, prolongational chords (commonly tonicizing IV), and/or by literally extending it with a tonic pedal. Most importantly, I mention that the second theme group *always* contains at least one PAC in the new key.

I then present a number of possible schemes for sonata expositions (as shown in Table 1), asking students to identify the sections based on the ordering of weaker/stronger cadences and, crucially, where the new key first begins a phrase, which generally signals the start of the second theme group (hence my inclusion of "in V" to these schemes). Answers are shown above the table. Scheme 1 is an ideal starting point as it gives the most common cadences in each section. Scheme 2 demonstrates that an additional V:PAC in the new key area does not affect the divisions of the section (unless one identifies a closing theme, as noted earlier), and it is good to point out here that many second theme groups have more than one V:PAC (or

which usually end with this stricter notion of cadence. As a result, first and second theme groups in sonata form may be understood as containing one or more complete themes, each ending with a strict cadence. From my own experience, this view enhances students' abilities to locate beginnings and ends of phrases and sections in sonata form, which is the very purpose of this essay.

that many expositions have a second theme and a closing theme, or multiple occurrences of either or both). Scheme 3 shows a setup that can result when the first theme group is structured as a period. In Scheme 4, there are two phrases ending with HCs in the new key, but the second is part of the second theme group as it is *completely in that key*. Finally, Scheme 5 demonstrates that a transition need not end with an HC in the new key, but may in fact close on an HC in the tonic.

Scheme 5, with its less common ending on a home-key HC, provides a good segue into a brief discussion of the three types of transitions that arise through the cadence or cadences they contain, as shown in Table 2.[9] This is an especially important issue to address since most current textbooks do not discuss the non-modulating transition in particular, and therefore can give the impression that the function of a transition is to modulate to the new key, which is not necessarily the case.[10] More broadly, transitions undermine the tonic key by ending with a cadence that is weaker than that of the first theme group, which is why the cadences of a two-part transition are always presented in the order I:HC, V:HC, and also why, when the first theme group ends with a I:HC, the transition will generally end with a V:HC.[11] Thus, the first phrase containing a weaker cadence, regardless of key (and melodic material, for that matter), is generally the first phrase of the transition. Even if it is

[9] These transition types are from Caplin, *Classical Form*, 125-38.

[10] For a historical account of the non-modulating transition in the classical period, see Robert S. Winter, "The Bifocal Close and the Evolution of the Viennese Classical Style," *Journal of the American Musicological Society* 42 (1989): 275-337, whose "bifocal close" is synonymous with the non-modulating transition. Others writers that discuss the non-modulating transition (though not necessarily by that name) include Douglass M. Green, *Form in Tonal Music: An Introduction to Analysis*, 2nd ed. (New York: Holt, Rinehart and Winston, 1979), 196 (but on p. 195, he identifies a number of non-modulating transitions as examples of "the partially modulating transition" because, he claims, they tonicize V, but not V of V, the final "phase" of transitions in his view); Wallace Berry, *Form in Music*, 2nd ed. (Englewood Cliffs, NJ: Prentice-Hall, 1986), 156; and Charles Rosen, *Sonata Forms*, rev. ed. (New York: W. W. Norton, 1988), 230.

[11] Cf. Caplin, *Classical Form*, 127, which states that "if the main theme closes with a half cadence, a nonmodulating transition is not normally used: a second ending on the dominant of the home key would not, in itself, represent a destabilization of that key."

true that most transitions modulate, there are more than enough instances of the non-modulating and two-part types to make the topic worth discussing with undergraduates.

Scheme #	(First Theme Group)	(Transition)	(Second Theme Group)	(Closing Section)
1	I:PAC	V:HC	in V: V:PAC	Codettas
2	I:PAC	V:HC	in V: V:PAC V:PAC	Codettas
3	I:HC I:PAC	V:HC	in V: V:PAC	Codettas
4	I:PAC	V:HC	in V: V:HC V:PAC	Codettas
5	I:PAC	I:HC	in V: V:PAC	Codettas

Table 1 - Schemes for Sonata Expositions Based on Cadential Ordering

Non-Modulating	I:HC
Modulating	V:HC
Two-Part	I:HC (Part 1) V:HC (Part 2)

Table 2 - Transition Types as Determined by Cadences

Once I have described the cadential scheme for expositions and answered any questions from the students, I like to move into the analysis of a piece, even before describing developments and recapitulations in detail. In this way, large amounts of information are broken up with musical interludes, and hence tend to keep students focused. The pieces that one selects for classes on sonata form, however, will depend on the particular parameters and needs of each course. In the remainder of this essay, I take the reader through three classes on sonata form, and demonstrate how I apply the cadential scheme I propose here.

Selecting a Piece for the First Class

Piece selection for a first class on sonata form can be difficult since there are essentially two opposing forces at work. On the one hand, it is reasonable to begin with a relatively short piece that demonstrates many principles in a straightforward manner. On the other hand, such pieces are generally not those that we most wish our students to understand, that is, those of the standard repertoire. I prefer to order the pieces by the complexity of their transition—that is, non-modulating, then modulating, then two-part—because the entire movement itself tends to become longer and more complex with each respective transition type.[12] (This ordering is not to imply that non-modulating transitions, presented to the students first, are the most common type, only the simplest.) With this setup, a three-class unit on sonata form results, but the same idea may easily be applied to more than three classes either by interspersing these classes into more extended discussions of the *entire* form of each movement, and/or by exploring more advanced treatments of sonata form thereafter as suggested in the final section of this essay. In the first class, I like to use a fairly short and simple piece. For this purpose, there may seem to be many possible choices in the piano repertoire (which is the most convenient for introductory classes), but while some pieces may be short and appear to be simply constructed, they can contain features that are not typical of

[12] In this connection, see Hepokoski and Darcy, *Elements of Sonata Theory*, 37, who recognize the non-modulating and modulating transition by the type of **medial caesura** ("I:HC MC" and "V:HC MC", respectively) and state that "the I:HC MC was appropriate for shorter works, and indeed for more modest works it may be a more commonly selected option than the V:HC MC."

most Type 3 sonatas and hence are not the most suitable choice. For example, many first movements (where most Type 3s are found) on a small scale fuse the first theme group and transition together into a single formal unit, as in most of Haydn's early sonatas before Hob. XVI: 19, Beethoven's Sonata in F Minor, WoO 47, No. 2, and the first three of Clementi's op. 36 sonatinas.[13] Even the fourth and fifth sonatinas of Clementi's op. 36 end the transition with a V:PAC that elides into the second theme group, a tactic that I do not account for in my cadential scheme since it is intended as a model of only the most common procedures in classical expositions.[14] Other pieces such as Beethoven's Sonata in E♭ Major, WoO 47, No. 1, and again many of Haydn's early sonatas, lack a proper recapitulation that begins with the first theme and thus constitute Hepokoski and Darcy's **Type 2 sonata**.

Pieces that are short, simple, and contain the typical features of a larger sonata form do exist but are relatively rare. Although readers may well have their own preference in this regard, some wonderful pieces for this purpose may be found in Mozart's Six Viennese Sonatinas, which are piano transcriptions of his Five Divertimenti (for basset horns), K. 439b.[15] The movements from these sonatinas

[13] Mozart's early symphonies and most first movements of early classical pieces in general strongly follow this trend as well.

[14] This is not to say that one should not use such pieces at all, for as long as one is willing to explain what happens in the music, then limitations are only a matter of personal preference. For example, Robert Gauldin, *Harmonic Practice in Tonal Music*, 2nd ed. (New York: W. W. Norton, 2004), 560-63, introduces sonata form with the first movement of Clementi's op. 36, no. 4, and supports the transition's closing V:PAC by stating that a transition "normally concludes with an emphatic half *or authentic cadence in the new key area*" (emphasis added). While I instead choose to emphasize the role of the half cadence at the end of a transition, there is certainly no harm in exposing students to the alternative of the V:PAC right from the start.

[15] Although the piano transcriptions are titled "sonatinas", the movements I recommend below are in *bona fide* sonata form. Cf. Green, *Form in Tonal Music*, 230: "The term 'sonatina' originally referred to sonatas which were shorter, lighter, and easier than usual and is still used in this sense today. The sonatina form, however, is not inevitably associated with the sonatina. Some sonatinas include movements in sonata form . . . and some sonata movements are in sonatina form. From the point of view of musical structure the sonatina form is a sonata form without a development section, its place being taken by a link or transition leading to the recapitulation."

that I recommend are the first movement and finale of No. 6, and the first movement of No. 1.[16] Besides the brevity and formal clarity of these three movements, I find them particularly well-suited to classroom use because they avoid the highly ornate style of many classical piano sonatas (especially in Haydn) and are instead closer to the simpler style of classical symphonies as none of them makes use of rhythms even as fast as continuous sixteenth notes.[17] It is not that I shy away from giving students challenging material, but only that, at least for this first class, I like to choose a piece with a minimum of features that could obscure students' understanding. In other words, the simplicity of structure, key, rhythm, and texture in these pieces makes it fairly easy for students to focus squarely on the details that contribute to the formal structure, which is after all the main point in these classes.

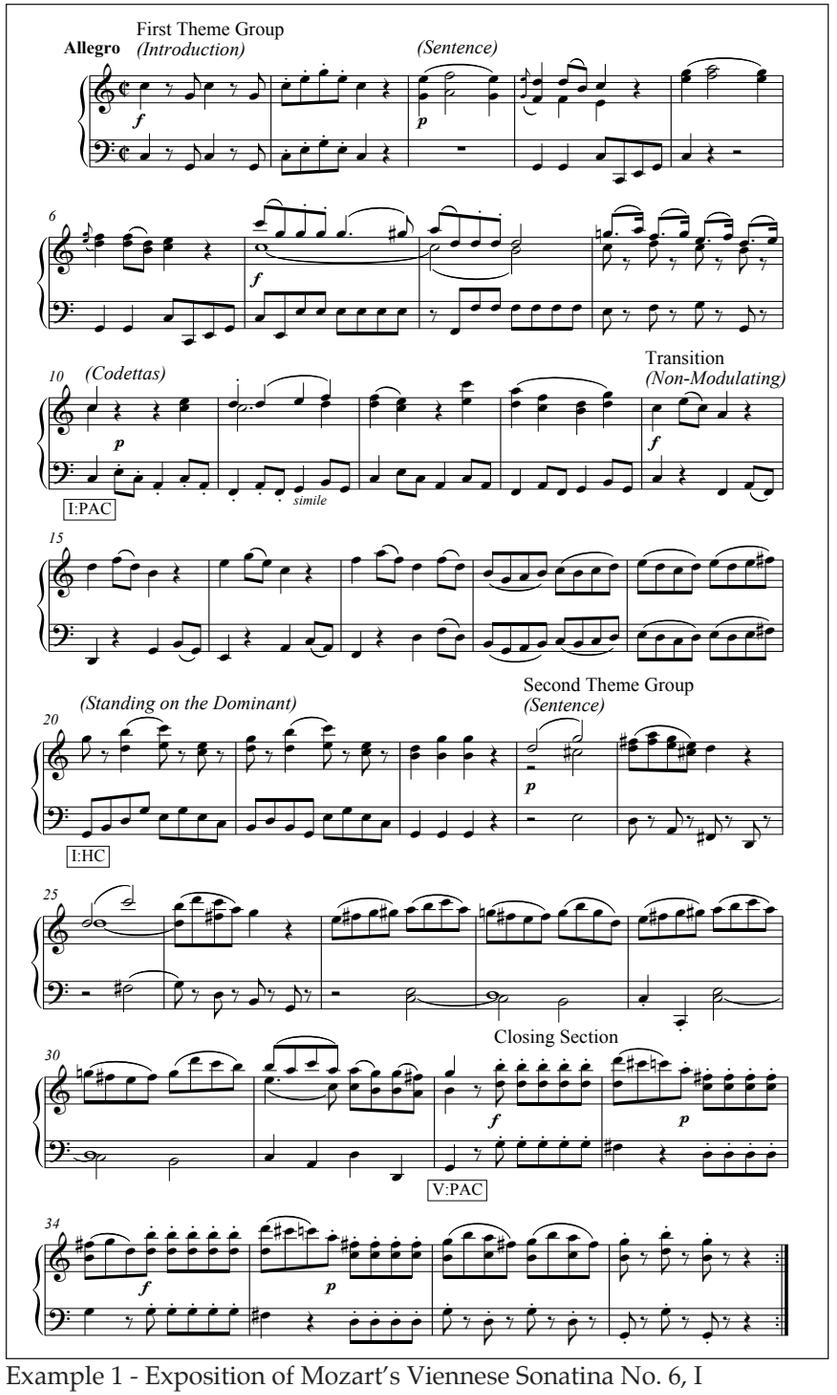
Class 1: A Short and Simple Piece

As mentioned earlier, for the first class on sonata form, I prefer to use a Type 3 sonata movement that has a non-modulating transition, and of the pieces I recommend from the Viennese Sonatinas, only the first movement of Nos. 1 and 6 have this feature. I will discuss here the first movement of No. 6 (see Example 1), since it has perhaps a few more interesting aspects than that of No. 1.[18] Moreover, because expositions are the focus of this essay, I will limit my comments to that portion of each piece.

[16] Good transcriptions of the sonatinas may be found in Wolfgang Amadeus Mozart, *Six Viennese Sonatinas*, edited and recorded by Christopher Harding (New York: G. Schirmer, 2010); and *Six 'Viennese Sonatinas'*, ed. Willard A. Palmer (Van Nuys, CA: Alfred, 1978).

[17] These are the sorts of distinctions made by Broyles between "sonata style" and "symphony style" in *Beethoven*, especially in chapter 1.

[18] I provide my own transcription of this exposition in Example 1, hence it differs slightly from other modern versions, especially in my clarification of the imitation in mm. 14-17 through the omission of an inner voice. The original divertimento may be easily located online at http://dme.mozarteum.at/ by selecting "NMA online" (*Neue-Mozart Ausgabe*) then entering "439b" in the "KV" search box.



Example 1 - Exposition of Mozart's Viennese Sonatina No. 6, I

In addition to a clean score, I give students a copy of the cadential scheme shown in Figure 1a, which demonstrates the principle of cadential ordering as we analyze the exposition. I then play the movement, but just before I do, I point out that the movement starts with two measures of **thematic introduction** and ask them to mark the music where they believe a cadence occurs (not necessarily its key and type), emphasizing that cadences will always include a root-position V chord (either as the ultimate chord of an HC or the penultimate chord of an IAC or PAC). This encourages them not only to try and see but, more importantly, hear the crucial points in the form. Afterwards, I ask them where the first cadence occurs. This can be a tricky question, since mm. 3-4 and 5-6 have V-I progressions that can sound like cadences (though the absence of a pre-dominant is telling here). But the phrase structure of mm. 3-10 as a perfect eight-measure sentence theme makes it clear that the first cadence can only be the I:PAC in m. 10, and that mm. 3-4 and 5-6 are **basic ideas**, the second an **exact repetition** of the first, both of which serve to initiate the theme rather than end it. At this point, I ask them to write "I:PAC" at m. 10 on their score and I indicate in the cadential scheme that the music has achieved a cadence that is part of the first theme group. Of course, because this is the beginning of the piece, we already knew that this PAC was part of the first theme group, but now there is an expectation of what will come next, likely a half cadence of some kind for the transition.

What actually occurs next are a couple short groups in mm. 10-14 that are elided on both sides (according to the harmony and accompaniment rather than the melody) and cycle through the cadential progression I-vi-ii6/5-V7-I. I explain that, although these groups may seem like cadences, because of their brevity, they do not function as cadences to a theme. Rather, they reaffirm the tonic chord ending the previous PAC, which is a function of codettas. Unexpectedly, then, this first theme group ends with a repeated codetta, which I have students mark on their scores.[19]

With m. 14, the harmony breaks the pattern of the codettas and begins to move in a rising sequence. Along with the changes in

[19] Codettas ending the first theme group are certainly not unique to this movement, even if they are relatively uncommon. See, for instance, Haydn, Piano Sonata in C Major, Hob. XVI: 35, mm. 16-20, and Beethoven, Piano Sonata in E♭ Major, op. 7, mm. 17-25. Interestingly, both of these cases elide the beginning and end of the codettas with the surrounding sections, as in the Mozart sonatina.

motive and texture, the onset of this sequence signals the start of a new phrase, one that ends with a V chord in m. 20 that is prolonged until m. 22. In unison textures like this, it can be difficult for students to tell whether a concluding V that is approached through its leading tone (here F#) is part of a I:HC or a V:PAC. But the fact that the harmonic rhythm has been changing every half measure since the start of the phrase implies that the last half of m. 19 is all one harmony. And since the tonic chord has been outlined from the middle of m. 18, the implied cadence is a I:HC rather than a V:PAC, creating a non-modulating transition.[20] I then show students that this concluding V chord is prolonged by being restated on the downbeats of mm. 21-22, and is therefore an example of a **standing on the dominant**, which, I clarify, is a very common feature at the end of transitions because it heightens our anticipation for the second theme group, even if it remains in the tonic key. Students then indicate the cadence on their scores and take note of it on their cadential schemes. Emphasizing this order of cadences especially helps students to understand why two passages with the same or similar melodic material—in this case, the codetta and transition—can be part of different formal sections.

At this point in the movement, I tell students that, because most transitions have only one phrase, what we expect to follow is the beginning of the second theme group. Depending on one's preferences, one may also want to mention Hepokoski and Darcy's medial caesura in m. 22, indicated most prominently by the rests, especially as it is a strong suggestion that a second theme will follow and a relatively easy feature for students to look for (in addition to the cadence, not of course substituting for it).[21] Most important, however, in identifying the second theme's beginning is a phrase

[20] Another plausible reading for the harmony in this half measure is a 5-6 progression that moves from vi to vii°6/V on the last eighth note, as is commonly found in the classical repertoire, but sharing this insight in class may complicate matters unnecessarily for the purposes at hand.

[21] Mentioning the medial caesura, or at least citing its literature, is a growing trend in recent theory textbooks. See Jane Piper Clendinning and Elizabeth West Marvin, *The Musician's Guide to Theory and Analysis*, 2nd ed. (New York: W. W. Norton, 2011), 667; Steven G. Laitz, *The Complete Musician: An Integrated Approach to Tonal Theory, Analysis, and Listening*, 3rd ed. (New York: Oxford University Press, 2011), 542; and Miguel A. Roig-Francoli, *Harmony in Context*, 2nd ed. (New York: McGraw-Hill, 2011), 652-53.

starting in the new key, and being a major-mode movement, we expect that key to be the dominant. This movement provides a particularly good example of a slightly difficult second theme—every good piece necessarily has such oddities—because the section appears to begin in the key of D major rather than the G major we are expecting. However, I point out that, when these two measures are answered in the next two measures by V-I harmony in G major, the whole four-measure unit in mm. 23-26 is heard in retrospect as a **statement-response repetition** in the key of G major, the C♯s in mm. 23-24 only being part of secondary dominants of V in that key. This idea is reinforced by the fact that these four measures constitute a sentence presentation, and that statement-response repetition is a normative setup for the basic ideas of a presentation (as discussed in an earlier class).[22]

After this presentation, the rest of the second theme proceeds quite regularly, so I ask students where the cadence to this theme occurs, reminding them to look especially for a root-position V chord (in G major) near the end of a phrase. Clearly, this occurs in m. 32, where I then ask them to identify the cadential 6/4-5/3 and I chords, the melodic resolution to the tonic note, and from there, the resulting V:PAC, which they mark on their scores. It is important to reiterate that this new-key PAC is found at the end of *every* second theme group (at least, those they will come across in the class), and that it is the ultimate goal of a sonata exposition since it is the one event that allows the new key to be fully established and therefore pitted against the tonic key. Students can also see this on their cadential scheme, where a V:PAC is a function of the second theme group.

After this PAC, I explain that the music in mm. 32-37 breaks down into short units of two measures then half measures (elided at m. 36), all of which sound only I and V chords that prolong the tonic harmony (of the new key, V). Both are typical signs of codettas and therefore of the closing section, which they now mark on their scores, completing the formal analysis of the exposition as in Example 1. I also show them how the exposition conforms to the cadential scheme as in Figure 2.

[22] Caplin, *Classical Form*, 39.

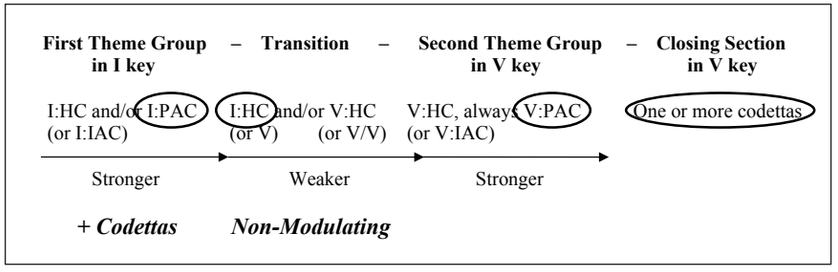
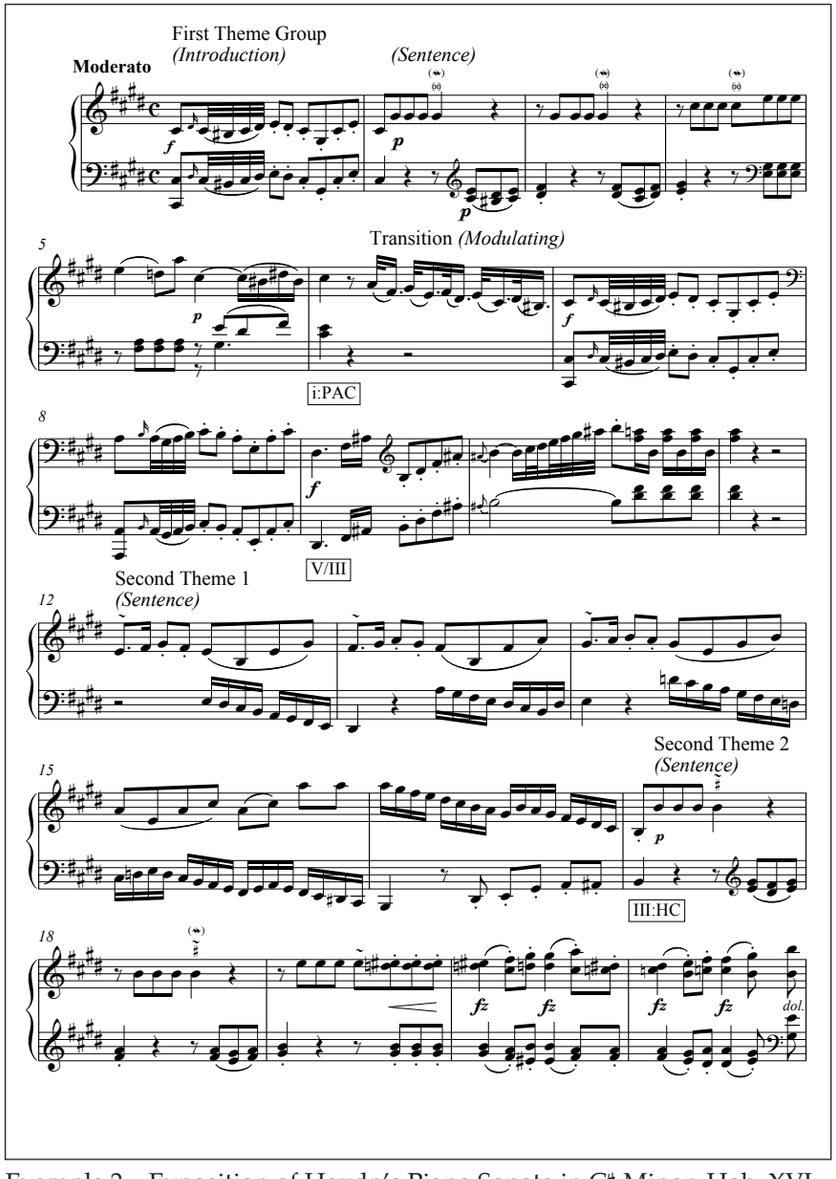


Figure 2 – Analysis of the Exposition of Mozart's Viennese Sonatina No. 6, I, by the Order of Cadences

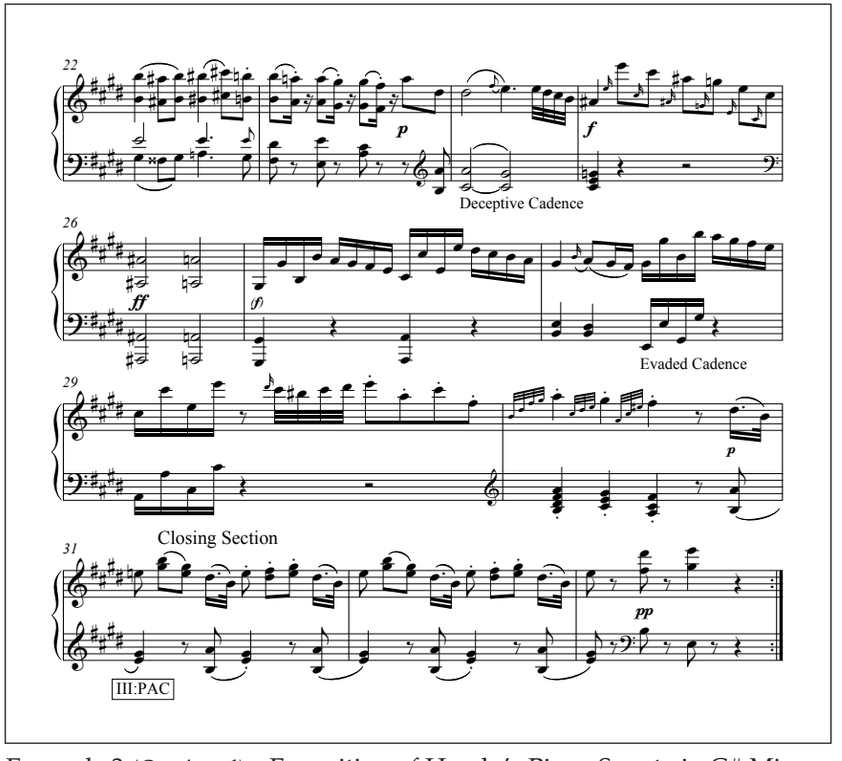
Class 2: A More Complex Piece from the Standard Repertoire

After demonstrating the typical features of the exposition on the small scale, I delve into a more complex piece from the standard repertoire, one that contains a modulating transition. There are a great many pieces that would be suitable for this purpose, too many to list here, and more importantly, everyone will have their own preferences with regard to the level of difficulty of the piece, its genre, composer, etc.[23] A favorite of mine to teach is the first movement of Haydn's Piano Sonata in C♯ Minor, Hob. XVI: 36 (see Example 2), for a number of reasons: while Haydn's sonata forms often contain too many quirks and are too highly ornamented to teach in an introductory unit on sonata form, this particular movement is simple enough to suffice. Moreover, because the movement is monothematic, it is an ideal way of emphasizing to students that the second theme group is *not* defined by the presence of a new melody but rather a stable new key—an essential point to drive home early on in classes on sonata form. It is also a good example of a minor-mode sonata form and is of a manageable length for a single class. Before analyzing the movement, I give each student a score and a cadential scheme for minor-mode movements as was shown in Figure 1b.

[23] In "Listen Up!: Thoughts on iPods, Sonata Form, and Analysis without Score," *Journal of Music Theory Pedagogy* 22 (2008): 174, Brian Alegant lists several appropriately "easy" pieces for analysis by Mozart and Beethoven, most of which are piano sonatas. Given the large amount of time Alegant allots to sonata form in his curriculum, he is able to progress from these easy pieces through "medium" ones that are "longer; [and feature] more mixture; [and] more formal ambiguity" to "hard" ones that tackle such romantic masterpieces as the first movements of Brahms's Cello Sonata in E Minor, op. 38, and Schubert's Ninth Symphony.



Example 2 – Exposition of Haydn's Piano Sonata in C♯ Minor, Hob. XVI: 36, I



Example 2 *(Continued)* – Exposition of Haydn's Piano Sonata in C♯ Minor, Hob. XVI: 36, I

As with the Mozart sonatina, I play the piece for the students, asking them to mark off possible locations of cadences by ear as the music progresses. I then ask them where each cadence in the exposition occurs, in order. The first cadence, the I:PAC in m. 6, is extremely clear because of the textural break that follows it, but I stress that cadences must be found on the basis of harmony, not melodic or textural breaks; hence, we still find the crucial factor in the latter half of m. 5—a root-position V chord. These opening six measures also provide a good opportunity to reinforce the concept of the sentence, since, after the thematic introduction of m. 1 (similar to the Mozart sonatina), mm. 2-6 are an excellent example, with a one-measure basic idea and statement-response repetition in mm. 2-3, followed by a continuation in mm. 4-6 by fragmentation then harmonic acceleration (m. 5).[24]

[24] If it has been discussed in a previous class, one may note that the basic ideas here are one measure instead of the normative two because,

Having marked "i:PAC" on their scores, according to their cadential schemes students are now on the lookout for an HC of some kind to define the transition. Instead of asking what cadence ends this next phrase, however, I only ask what *harmony* ends it, since the V chord that ends the phrase (m. 9) is not cadential for two reasons. First, and most obviously, being a V6/5 (in III, E major), the chord is inverted and contains a dissonant seventh. But just as important is the fact that the chord enters at m. 9, before the end of the phrase as a **premature dominant arrival**. Thus, I have students mark their scores not with "III:HC", but with "V/III", which in the scheme is the alternative shown underneath "III:HC" in parentheses. Because this phrase ending undermines the tonic key (it is weaker than the i:PAC), we can safely call mm. 7-11 part of the transition.[25] And because it moves away from the initial tonic, we can mark it as a modulating transition. As before, one may want to draw attention to the medial caesura here, especially as it is quite prominent in this slower tempo.

We now suspect a second theme group to emerge, and sure enough in m. 12, there is a new phrase beginning clearly in the key of E major with its outlining of I and V harmonies in the right hand—hence, this is definitely second-theme territory, and a fine instance of a monothematic exposition since m. 12 essentially restates m. 1 in the new key. (If students have trouble seeing this relationship on the page, they will certainly have no trouble hearing it if both measures are played for them in succession.) But where is this theme group's first cadence? Again, I stress that we are looking for a root-position V chord, now in E major. The downbeat of m. 16 may seem to be a candidate, but it is a V7 chord, which suggests that the phrase is as yet unfinished. Thus, m. 17 becomes the next possibility. Here, because both voices end on the dominant note, implying a root-position V chord, we have a true III:HC, which the students can then mark on their scores and notice on their cadential schemes.

in this slower Moderato tempo, one notated measure would be heard as two "real" measures, or to cite Caplin's formula, R = 1/2N. See *Classical Form*, 35.

[25] As I discuss elsewhere, a phrase may end not only with a cadence, but with weaker non-cadential forms of ending I call "closural functions." See my "Closure in Classical Themes: The Role of Melody and Texture in Cadences, Closural Function, and the Separated Cadence," *Intersections: Canadian Journal of Music* 31/1 (2010): 25-45.

Of course, at this point, the second theme group cannot be over, since we have not yet had its most important component, the new-key PAC. And since what follows in m. 17 differs melodically from m. 12 (although it does still pilfer from the first theme), I call the phrase starting at m. 12 "second theme 1", and that at m. 17 "second theme 2".[26] This latter phrase provides some marvelous instances of cadential avoidance, a topic covered in one of our earlier classes: a deceptive cadence (with suspensions) at m. 24, and an evaded cadence midway through m. 28, with the III:PAC finally being reached at m. 31, which they now mark on their scores and I indicate on the cadential scheme. I point out that this high degree of cadential avoidance is characteristic of many second theme groups and that it serves to heighten our anticipation of the new-key PAC, rendering it more satisfying when it finally arrives. In this way, students begin to understand not just the cadential structure of the form, but also one of the most common ways that its tonal drama plays out.

After the downbeat of m. 31, measure-long units appear that prolong the tonic chord of the preceding PAC through a series of V7-I progressions. Again, these are tell-tale signs of codettas and, in turn, of the closing section, which students mark on their scores, completing the analysis of this exposition as shown in Example 2 and creating a cadential scheme as in Figure 3.

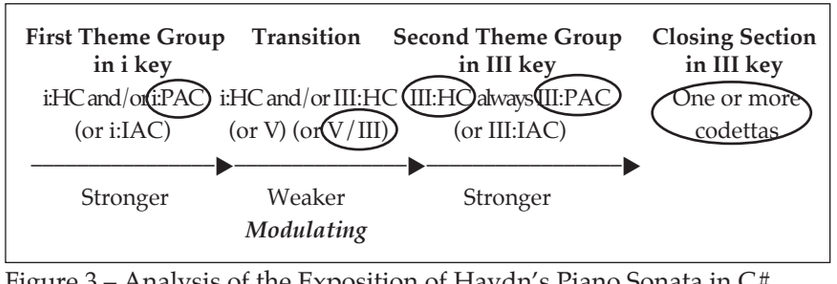


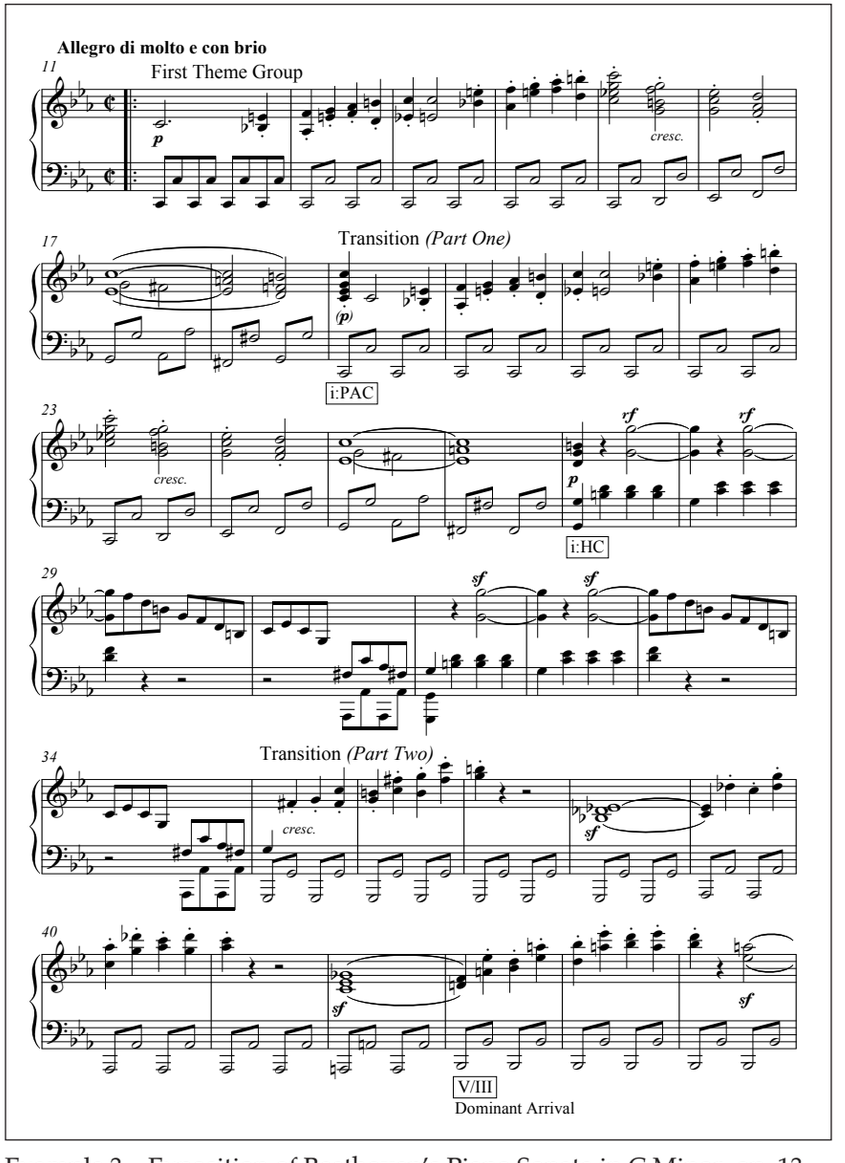
Figure 3 – Analysis of the Exposition of Haydn's Piano Sonata in C# Minor, Hob. XVI: 36, I, by the Order of Cadences

[26] Although Caplin, *Classical Form*, 117, would call these two phrases a **two-part subordinate theme**, I prefer the above labels because they do not imply that both phrases must occur together. Indeed, in the recapitulation of this movement, Haydn omits what I call second theme 1, likely because of its monothematic relationship to the movement's opening measure. Clearly, Haydn felt that this similarity to the very beginning of the exposition/recapitulation was more important to suppress than that of m. 2/m. 66 to second theme 2.

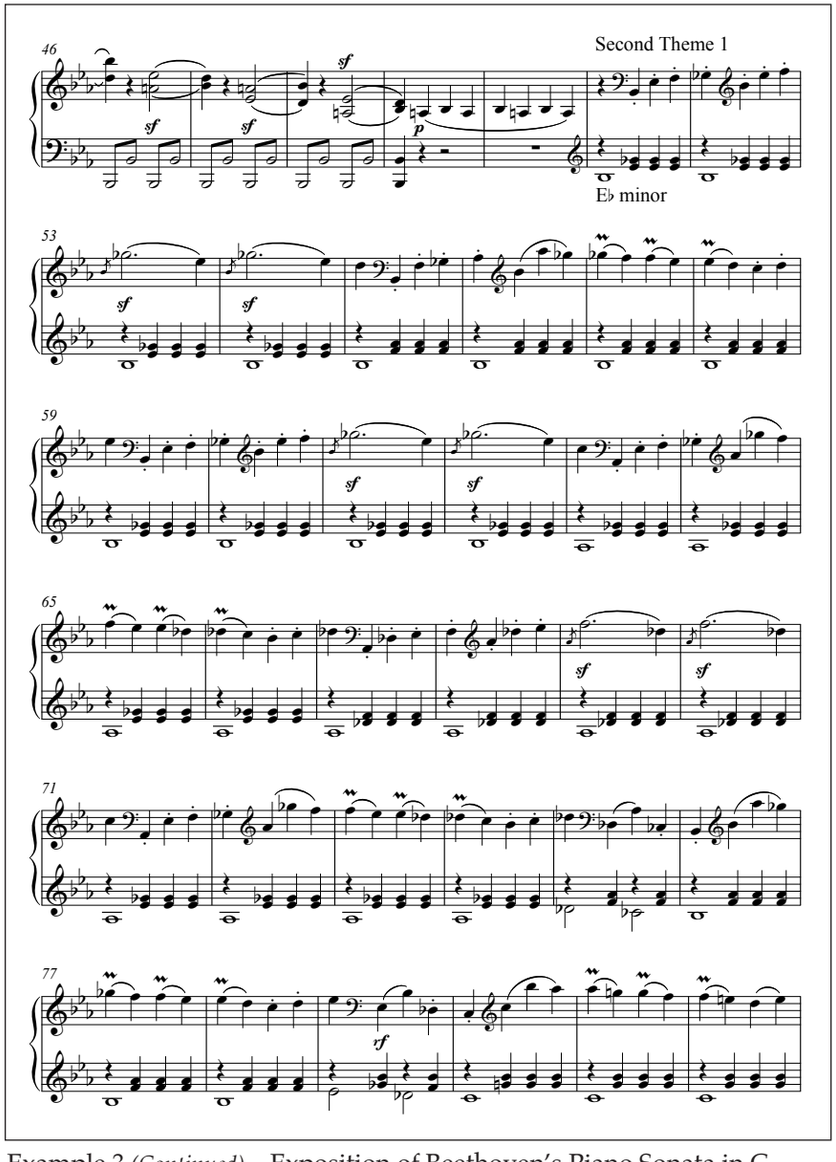
Class 3: A More Difficult Piece from the Standard Repertoire

In the third class of this introductory unit on sonata form, I like to select a larger piece that contains both a two-part transition and several unusual features in order to demonstrate some of the complexities that can pose analytical challenges. Because Beethoven often expanded sonata form and always seemed to be toying with its norms, his music is ideal for this objective. Moreover, I find the first movement of the "Pathétique" Sonata, op. 13, to be particularly suitable both because it is in keeping with my selections from the piano repertoire and because it is so widely known (see Example 3). To be sure, this is a difficult movement for any analysis class, but I would argue that its pedagogical benefits outweigh the potential difficulties that students may have.

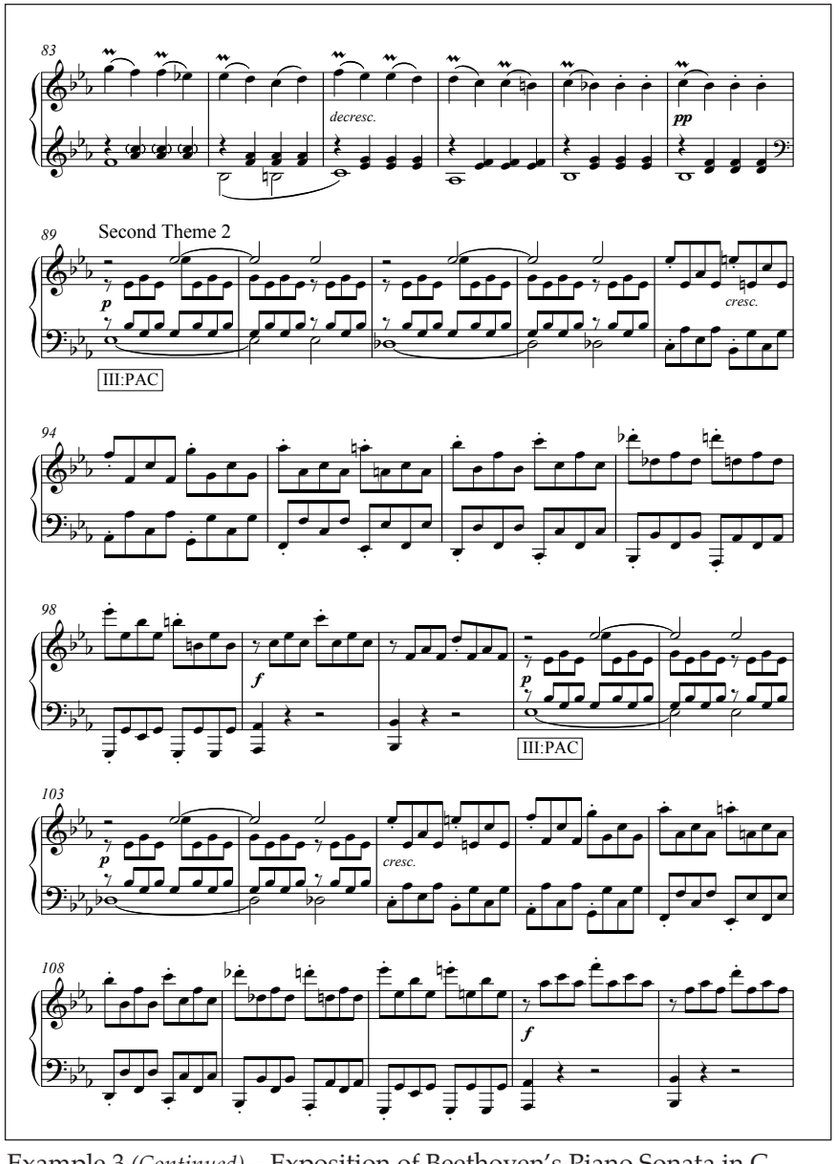
The great breadth of this sonata can make it difficult to cover in a single class. For that reason, I find it expedient to forgo an analysis of its slow introduction and only emphasize its opening four measures so that students may recognize it when it returns later in the movement. It is not difficult for students to find the general area of the first cadence, since the first phrase begins a repetition at m. 19; hence, they know the first cadence must be at or before this point. Some may believe that m. 18 contains a i:HC because the next measure ostensibly belongs to the following phrase. As with many places in this movement, this is a valuable opportunity to reinforce the concept of elision (or overlap) and to explain that the first cadence occurs at m. 19 and is a i:PAC for a couple of reasons. First, a V7 chord cannot produce an HC due to its dissonant seventh and therefore does not usually end a phrase in a theme group, where cadences are the general rule. And second, the melody's B4 of this V7 resolves to C5 in the same register before dropping down an octave for the start of the next phrase, suggesting that the higher C belongs to the first phrase and usurps the first note of the second. Once all this is clear, I have the students notate a i:PAC on their scores at m. 19 and I point it out on the cadential scheme.



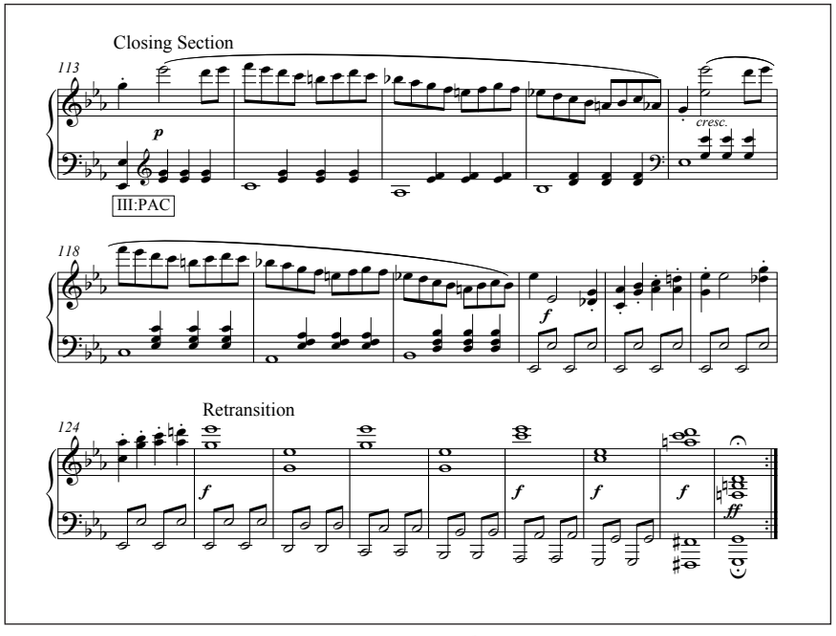
Example 3 – Exposition of Beethoven's Piano Sonata in C Minor, op. 13, "Pathétique", I



Example 3 *(Continued)* – Exposition of Beethoven's Piano Sonata in C Minor, op. 13, "Pathétique", I



Example 3 *(Continued)* – Exposition of Beethoven's Piano Sonata in C Minor, op. 13, "Pathétique", I

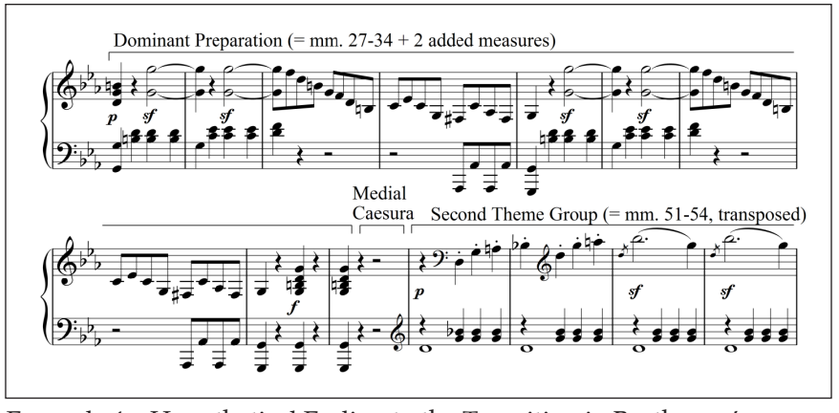


Example 3 *(Continued)* – Exposition of Beethoven's Piano Sonata in C Minor, op. 13, "Pathétique", I

The next cadence becomes quite easy to locate, as the following phrase beginning with m. 19 is almost an exact repetition of the first. It comes, however, with one important difference: at m. 27, the i:PAC has been replaced with a i:HC. Here the idea of cadential ordering becomes of paramount importance, for, given the extremely close correspondence of the second phrase to the first, most students intuitively believe this second phrase to be a part of the first theme group. The i:HC of the second phrase, however, is a weaker cadence than the i:PAC of the first, and hence the tonic key begins to be undermined, which is strictly a function of the transition. This second phrase therefore belongs not to the first theme group, but to the transition.[27] I also point out that this HC is

[27] Caplin views these phrases in the same way in "Beethoven's *Tempest* Exposition: A Springboard for Form-Functional Considerations," in *Beethoven's* Tempest *Sonata: Perspectives of Analysis and Performance*, ed. Pieter Bergé et al. (Walpole, MA: Peeters, 2009), 96. In *Elements of Sonata Theory*, 97, Hepokoski and Darcy also read a i:PAC at m. 19 and a i:HC at m. 27, but locate the start of the transition at m. 35 (as a type of "developmental" [i.e., dependent] transition), as have other past writers

followed by a standing on the dominant in mm. 27-35 (elided at both ends), which, as in the Mozart sonatina, enhances our anticipation for the second theme group. In order to drive this interpretation home with students, I demonstrate that this second phrase could very well have ended the entire transition had it provided a medial caesura at m. 35 and continued on to the second theme group (see Example 4)—I also point out that I had to transpose the start of the second theme into the alternative key for second themes in minor movements, minor v (G minor), instead of retaining its original, unusual key of E♭ minor, in order to make the harmonic connection more coherent. Nevertheless, the main idea is clear and demonstrates that the "Pathétique" contains a transition that begins with a highly "dependent" phrase.



Example 4 – Hypothetical Ending to the Transition in Beethoven's "Pathétique" Sonata, I

Instead of proceeding to a second theme at m. 35, however, the music takes up a new modulating phrase by the ascending-second sequence, G-A♭-B♭, and eventually lands on a B♭-major chord in m. 43 that, in the context of the previous vii°7 of B♭ in m. 42, sounds like V of E♭ major (III in relation to the tonic C minor). Though this chord is not at the end of the phrase, it ends up as the final chord by being

such as Ellis B. Kohs, *Musical Form: Studies in Analysis and Synthesis* (Boston: Houghton Mifflin, 1976), 274-75, and Donald Francis Tovey, *A Companion to Beethoven's Pianoforte Sonatas* (London: Associated Board of the Royal Schools of Music, 1931), 64. While such a view may agree with one's intuition about the form (especially given the extreme parallelism of the first two phrases), it is difficult to sustain because it contradicts the typical distribution of cadences in an exposition.

prolonged through a standing on the dominant. Thus, at m. 43 we have a dominant chord that enters before the end of the phrase, or in other words a premature dominant arrival. By emphasizing the ordering of the phrase endings encountered so far, it becomes easy for students to understand why this is an example of a two-part transition, especially in comparison with Table 2, which is slightly varied by substituting the V:HC (or what would be a III:HC) with the dominant arrival V/III.

At this point, we are very much expecting to reach the second theme group, since there are no other standard options for the transition. And indeed, we get a medial caesura in mm. 49-50, and the start of a new phrase thereafter in the unexpected key of E♭ minor. I then explain that this key is a minor-mode substitute for the more common relative major, III, that is found in second theme groups of minor-mode works. Thus, what was to be a major-mode reprieve from the tragedy of the minor mode in this movement has been replaced with a sudden turn to the tragic minor once more.

Concerning the cadences, while it is not difficult for students to specify their location, their type can be tricky, and is certainly worth some discussion. The first one at m. 89 is somewhat troublesome because the upper voices are not continuous into the downbeat of this measure, especially the melody, which takes a half-bar rest before entering. I had one clever student ask me whether this was therefore an example of an evaded cadence. I responded that I rather view it as a delayed PAC, one in which the expected scoring of the final chord is overwritten by the elision with the new material that enters. The same situation occurs with the end of the next phrase at m. 101. Even so, I admit that there is room for debate and encourage students to ask these sorts of thought-provoking questions. For the sake of the class analysis, however, I refer to m. 89 as a III:PAC that ends second theme 1, and m. 101 as a III:PAC that ends second theme 2.

When this second theme 2 is immediately repeated, its cadence at m. 113 poses a different problem. The cadence would appear to be a clear III:IAC, but considering that second theme groups generally end with PACs, we ought to reconsider such an analysis. While it is true that on the surface, the V7 chord of m. 112 resolves directly to a I chord with $\hat{3}$ in the melody, the actual melodic notes in the entire theme are always the highest ones, with the E♮6 of m. 110 continuing a line that moves into the F6 of m. 111, the D6 of m. 112, and finally the E♭6 of m. 113. Thus, the cadence at m.

113 is a III:PAC rather than a III:IAC.[28] And since what follows is, in mm. 114-121, a repeated four-measure unit based on cadential harmony and, in mm. 121-125, another four-measure unit based on a tonic pedal, these units all constitute codettas and are part of the closing section. Thus, after the transition, there are three PACs in the second theme group (mm. 89, 101, and 113) and a closing section (mm. 113-125). I find that emphasizing the length of these units helps students to understand why they are codettas instead of full-fledged themes. The final unit of this exposition, mm. 125-132, provides a good opportunity to introduce to students the idea of a **retransition** as a modulatory link to an expositional repeat. Hence, after all this analysis, their score appears as in Example 3 and the cadential scheme operates as in Figure 4.

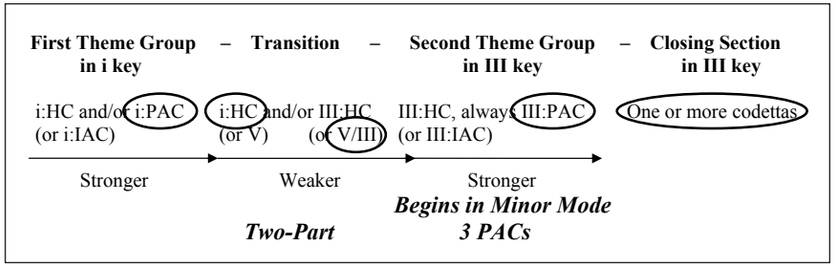


Figure 4 – Analysis of the Exposition of Beethoven's Piano Sonata in C Minor, op. 13, "Pathétique", I, by the Order of Cadences

Applying the Scheme to More Advanced Pieces

As I stated at the beginning of this essay, the three-class unit I discuss provides an introductory rather than a complete exploration of sonata expositions. If one's teaching of the form goes beyond this level, then one can apply the same methodology to pieces of greater length and complexity and from different genres and eras as well. (Those I will discuss here will all be first movements.) Second theme groups that are in a non-normative key, such as Beethoven's frequently-cited use of III for a major-mode movement in his "Waldstein" Sonata, directly affect only the key scheme rather than

[28] That the melodic note on the downbeat of m. 113 is of lesser importance is indicated by its lack of consistency in the recapitulation, where, in m. 277, Beethoven replaces the expected parallel note of E♭ ($\hat{3}$ in C minor) with the tonic C. Note, however, that the very next note remains unchanged as the tonic.

the cadential scheme. In larger movements, the increased size is often attained through the addition of more phrases and therefore more cadences from the available options, as in Beethoven's Cello Sonata in A major, op. 69, and "Eroica" Symphony, shown in the cadential schemes of Figures 5a and b.[29] In op. 69, additional cadences appear in the first and second theme groups as a result of repeated phrases (mm. 13-24 and 71-94, the latter even expanded) that allow both instruments to play melodic material, as so often occurs in chamber music. In the "Eroica", the expansive length is generated both by a two-part transition (mm. 15-45) and a second theme group (mm. 45-144) that contains no less than four distinct themes (one ending with a dominant arrival in m. 99).

Other expositions, such as Mozart's Violin Sonata in B♭ major, K. 454, are worth discussing since, after a complete phrase in the home key (mm. 14-21), there is a second modulating phrase (mm. 22-29) that ends with a PAC in the new key, then a period theme (mm. 30-50) that is completely in the new key. Is the second phrase a transition that ends, unusually, with a new-key PAC, or a "fusion" of the transition and a second theme 1?[30] Either interpretation could be viewed as an alteration of the cadential scheme. But while I favor the former interpretation, shown in Figure 5c, I would certainly expose students to both views and encourage them to decide for themselves whether one strikes them as more convincing, and most importantly, to state their reasons why.

Other difficult pieces fall into the category of the so-called three-key exposition. In Schumann's Second Symphony, after the initial I:PAC of the first theme group (m. 65), the next phrase leads to a PAC in E♭ major (m. 73) followed immediately by a new melody in that key. The same melodic material then reappears at the start of the next phrase (m. 85) in G major, the "correct" key for a C-major movement, thus suggesting that the E♭ material may have been a

[29] Measure numbers for the cadences and/or dominant arrivals are shown at the bottom of each figure. In the "Eroica", I interpret the second theme group as beginning at m. 45. For a convincing argument of this interpretation, see William Horne, "The Hidden Trellis: Where Does the Second Group Begin in the First Movement of Beethoven's *Eroica* Symphony?," *Beethoven Forum* 13 (2006): 95-147.

[30] In *Classical Form*, 203-5, Caplin advocates the latter view since he holds firm to the idea that a transition must always end with dominant harmony. The former view corresponds with Hepokoski and Darcy's "third-level default" (V:PAC) for a medial caesura. See *Elements of Sonata Theory*, 27.

false start to the second theme group. But how does one interpret this "false start" formally? Is it the start of the second theme group in an unusual key and after a modulating transition, or an unusually stable second part of a two-part transition? Figure 5d shows both interpretations.[31]

In the case of Brahms, the cadential scheme can demonstrate the composer's nostalgic bent, as pieces like the Fourth Symphony, given in Figure 5e, hardly require any alteration from the classical scheme of modulating from a minor tonic to minor v (apart from the change to the major mode in the second theme group and closing section).[32] In spite of this straightforward cadential structure, some of the cadences can be difficult for students to identify because of elisions with the following phrases (mm. 19 and 37) and because the phrases can appear to be "too long" with the relatively small number of cadences.

Throughout this essay, I have advocated the use of a cadential scheme in the teaching of sonata form in an undergraduate curriculum. By demonstrating that the order of cadences in an exposition remains

[31] The second interpretation here offers a different perspective from other writers, who seem to favor the first. See John Daverio, *Robert Schumann: Herald of a "New Poetic Age"* (New York: Oxford University Press, 1997), 319, whose placing of the closing group at m. 92 (which does not directly follow a cadence, hence its lack of agreement with my closing section) likely places the second theme group at m. 73 with the melody in E♭ major (otherwise, if begun with the G-major melody at m. 85, it would be uncomfortably short with only seven measures). This placement of the second theme group is likewise maintained by Anthony Newcomb, "Once More 'Between Absolute and Program Music': Schumann's Second Symphony, *19th-Century Music* 7 (1984): 241 (whose closing group also matches that of Daverio); and Brian Schlotel, "The Orchestral Music," in *Robert Schumann: The Man and His Music*, ed. Alan Walker (London: Barrie and Jenkins, 1972), 293.

[32] In this movement, the v:HC of the second theme group (m. 93) at first appears to be a PAC in V/V (F♯ major), but because it moves into B major immediately afterward, it is retrospectively reinterpreted as an HC in V. Caplin, *Classical Form*, 57, describes this phenomenon as a "reinterpreted half cadence". I would also point out that my analysis differs considerably from a recent reading by Walter Frisch, *Brahms: The Four Symphonies* (New Haven: Yale University Press, 2003), 117-18, who seems to be responding more to melodic and key-area changes than cadential ordering, as he maintains that "the exposition is articulated into a first group (mm. 1-53), a substantial transition (53-86), a second group (87-106), and a closing group (107-44)."

constant from piece to piece, students gain an understanding of how an exposition's global key scheme plays out on a more local level and obtain a sense of what to expect after each cadence. Moreover, because of its consistency, the scheme may be applied at any level in the teaching of the form, from the very beginning stages to the most in-depth discussions. Thus, overall I hope to have demonstrated some of the benefits of adding such a cadential scheme to the traditional layout of keys for expositions in sonata form.

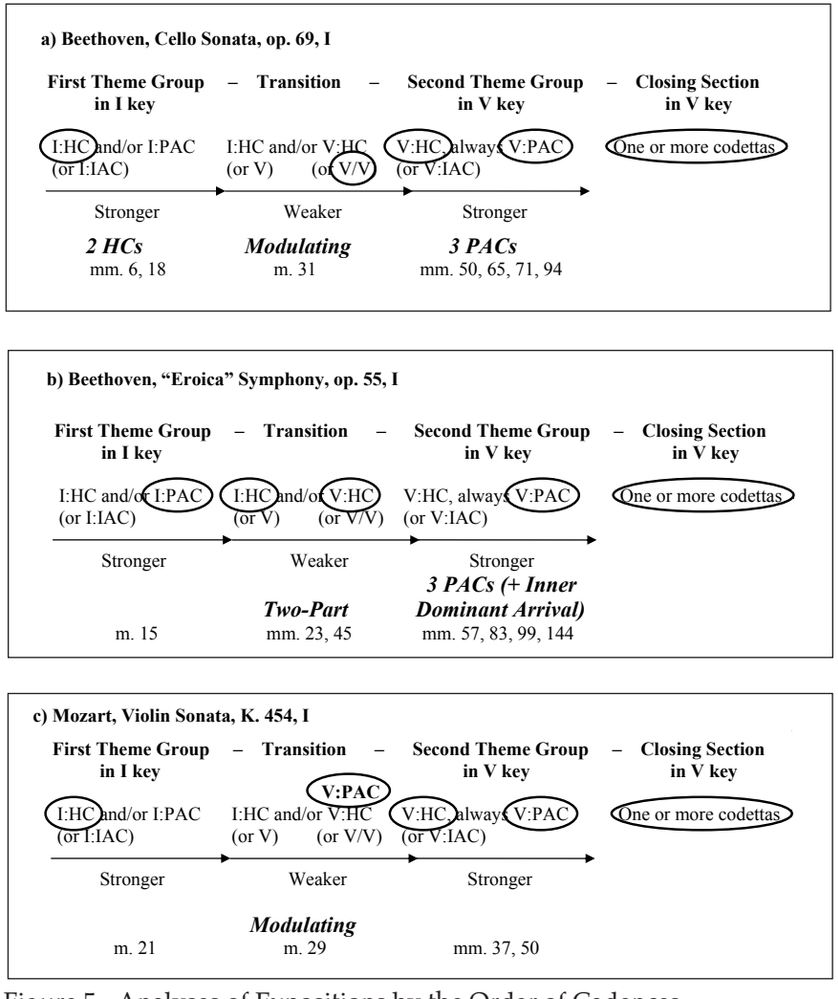


Figure 5 - Analyses of Expositions by the Order of Cadences

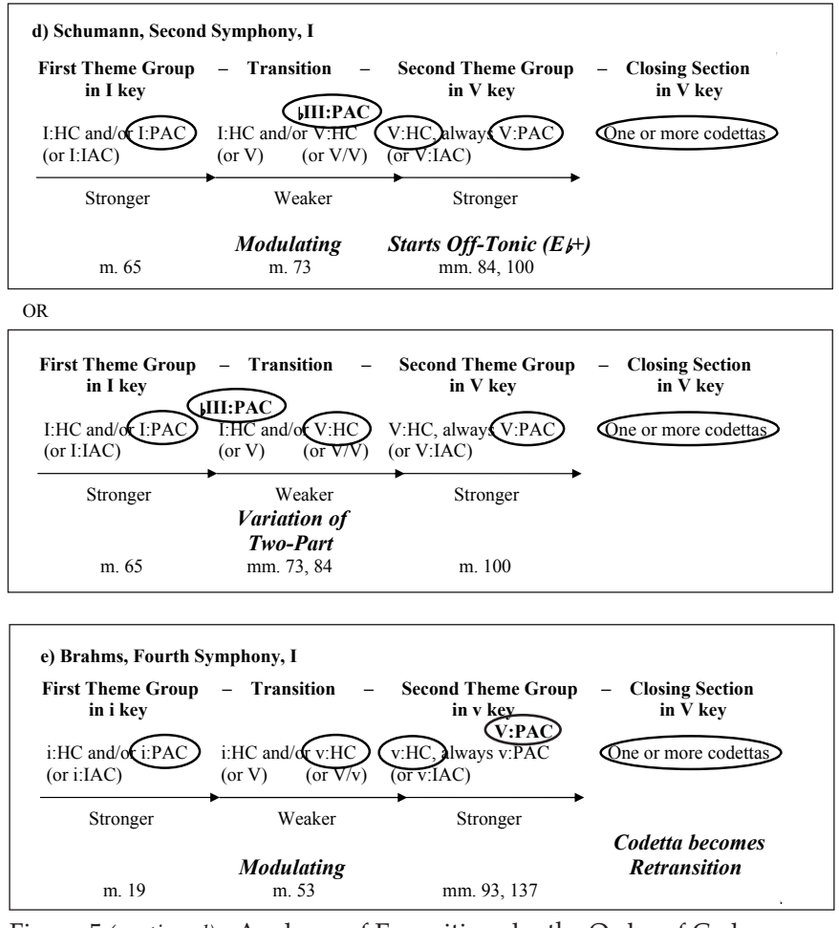


Figure 5 *(continued)* - Analyses of Expositions by the Order of Cadences

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Appendix

Terms from Caplin, *Classical Form* (see especially Caplin's Glossary of Terms on pp., 253-58)

Basic Idea – An initiating function comprising a two-measure unit that usually contains several melodic or rhythmic motives and is generally supported by tonic harmony.

Codetta – A postcadential function following a perfect authentic cadence and ranging from a single chord to a four-measure phrase. It is supported by a tonic prolongational (occasionally a cadential) progression. Codettas are not limited to the end of an exposition but may occur after any phrase in a form.

Dominant arrival – A phrase-ending V chord that is non-cadential due to inversion, the addition of a dissonant seventh, or an approach by pedal point.

Evaded Cadence – The failure of an implied authentic cadence to reach its goal harmony. The event appearing in place of the final tonic groups with the subsequent unit and (usually) represents the beginning of a new cadential progression.

Exact Repetition (of a Basic Idea) – A basic idea is repeated exactly when it is harmonized like its original statement. At times, the melody is transposed to a different scale-degree while the harmony remains the same (as when a melody beginning on Î is restated on $\hat{3}$).

Period – In model form, an eight-measure theme comprising a two-measure *basic idea* followed by a two-measure *contrasting idea* that leads to a HC or IAC to complete an *antecedent*. The basic idea then returns to begin the *consequent*, which ends with a contrasting idea that brings a PAC.

Premature Dominant Arrival – A dominant arrival that appears before the prevailing melodic-motivic and phrase-structural processes have come to an end.

Retransition – An intrathematic function that effects a modulation from a subordinate key or development key to the home key, thus preparing for the return of a main theme (or A' section).

Sentence – In model form, an eight-measure theme comprising a two-measure *basic idea* that is repeated to form a *presentation*, after which four bars of *continuation* usually reduce the size of structural units (fragmentation), providing an acceleration towards its ultimate goal, the *cadential* function (generally contained within the four-measure continuation).

Standing on the Dominant – A postcadential function following a half cadence. Consists of one or more ideas supported by a dominant prolongation. Hence, a standing on the dominant is essentially equivalent to Hepokoski and Darcy's "dominant-lock" (see *Elements of Sonata Theory*, 19) and the traditional term, "dominant preparation."

Statement-Response Repetition – A tonic version of a unit (usually a basic idea) immediately restated by a dominant version.

Thematic Introduction – A short formal function (generally one to four measures) that precedes the initiating unit of a theme. Expresses the sense of "before-the-beginning" and usually emphasizes tonic harmony.

Two-Part Subordinate Theme – A subordinate theme whose first part ends with an internal half cadence and whose second part starts with new, initiating material.

Terms from Hepokoski and Darcy, *Elements of Sonata Theory* (see especially their Terms and Abbreviations, pp. xxv-xxviii)

Closing Zone (C) – Follows the secondary-theme zone (S) and generally occurs after the first PAC in the new key. Includes both a closing theme or themes as well as any codettas that follow them.

Medial Caesura (MC) – The brief, rhetorically reinforced break or gap that serves to divide an exposition into two parts, tonic and dominant (or tonic and mediant in most minor-key sonatas). In rapid-tempo compositions a medial caesura is usually built around a strong half cadence that has been rhythmically, harmonically, or texturally reinforced. Thus, the medial caesura is not merely a textural gap, but one that is usually harmonically prepared by a half cadence. Moreover, the music that follows the gap must necessarily be the secondary-theme zone (S), otherwise what results is some type of "medial caesura declined," "trimodular block," or "continuous exposition," none of which would contain a true medial caesura where initially implied after a half cadence and, perhaps, a textural gap. For a discussion of these three situations, respectively, see *Elements of Sonata Theory*, 45-47, 170-77, and chap. 4. But see also Hepokoski and Darcy's earlier article, "The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition," *Music Theory Spectrum* 19 (1997): 115-54.

Type 2 Sonata – A "binary" sonata form comprising an exposition, development, and incomplete recapitulation usually beginning with the secondary theme or material just preceding this from the transition.

Type 3 Sonata – A "textbook" sonata form comprising an exposition, development, and recapitulation.