# Formenlehre Revived*

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

### Review Article by Joel Galand

#### General Organization and Theoretical Background

William Caplin's long-awaited, magisterial book, *Classical Form: A Theory of Formal Functions*, is being marketed to a relatively wide audience. According to the blurb on the front cover, it is "written for theorists, musicologists, and composers," but can also be used in classes on form and analysis. In fact, as Caplin explains in his preface, the book began life as materials for a theory course at McGill University; earlier drafts of the book have been tested in both undergraduate and graduate curricula at institutions such as Yale. Caplin's purpose in writing this book is nothing less than "to revive the *Formenlehre* tradition by establishing it on more secure and sophisticated foundations" (4). In keeping with that tradition, he begins by treating small musical units, combines them in ever-expanding hierarchies, and finally builds up to entire movements. The two chapters of Part I provide preliminary definitions and descriptions of the thematic and harmonic concepts to be invoked throughout the study. Part II establishes a typology of tight-knit themes such as those that typically occupy the principal key area in sonata expositions. Each of the following categories occupies one chapter: sentence, period, hybrid and compound themes, small ternary, and small binary. In Part III, Caplin considers looser formal regions: subordinate themes, transitions, developments, recapitulations, and codas, each the subject of a chapter. Part IV presents in five chapters the following full-movement forms: sonata, slow-movement, minuet/trio, rondo, and concerto.

What is novel, especially in the context of American theory, is Caplin's attention to *intrathematic function*—that is to say, the functional components within individual themes. Accounts of how classical forms are organized have typically stressed expositional interthematic functions, such as the principal, transitional, secondary or subordinate, and closing groups of sonata expositions.[1] (Schenkerians, taking a cue from Schenker's diatribes against traditional form theory, have tended to ignore thematic function altogether.[2]) Caplin's theory of intrathematic function draws its chief inspiration from descriptions of the sentence and period by members of the Schoenberg school.[3] Hitherto, Schoenberg's influence on the analysis of eighteenth-century music, at least in this country, has been largely confined to the categories of "basic shape" and "developing variation." These categories have been applied independently of thematic function, perhaps unavoidably. As Dahlhaus puts it:

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[1] Style historians have used Jan LaRue's symbols P, T, S, and K to designate these functions. See LaRue, *Guidelines for Style Analysis*, 2nd ed. (Warren, Mich.: Harmonie Park Press, 1992), 169.

[2] That has started to change, of course. William Rothstein has made a signal contribution towards correlating traditional expositional functions, such as secondary and closing, with phrase structure as determined by Schenkerian analysis. But he too passes lightly over intrathematic functions, largely because his point of departure is the entire phrase, understood as a "complete tonal motion" in the Schenkerian sense. See Rothstein, *Phrase Rhythm in Tonal Music* (New York: Schirmer Books, 1989). Among Schenkerian theorists, Janet Schmalfeldt's deployment of Schoenbergian intrathematic functions is exceptional. See Schmalfeldt, "Towards a Reconciliation of Schenkerian Concepts With Traditional and Recent Theories of Form," *Music Analysis* 10 (1991): 233-87; and "Form as Process of Becoming: The Beethoven-Hegelian Tradition and the 'Tempest' Sonata," *Beethoven Forum* 4 (1995): 37-71.

[3] Some of Schoenberg's own lecture materials on this topic were edited posthumously by Gerald Strang and Leonard Stein as *Fundamentals of Musical Composition* (London: Faber and Faber, 1967). In Germany, Schoenberg's ideas were largely disseminated by two of his students; see Erwin Ratz, *Einführung in die musikalische Formenlehre* (Vienna: Universal, 1968); Erwin Stein, *Form and Performance* (London: Faber and Faber, 1962); and Josef Rufer, *Composition With Twelve Notes*, trans. Humphrey Searle (London: Barrie and Rockliff, 1952).

Irritating though it may be at first sight, the imprecision of the expression 'basic shape'—whose meaning can vary between an actual theme defined in all its parameters, an abstract interval structure and a still more abstract pattern reaching back behind the intervals to mere outline and expression, is unavoidable to the extent that the degree of abstraction on which an analysis is based either depends or should depend on the specific character of the work.[4]

Thus, in one widely-read application of the *Grundgestalt* concept to the classical style, the "basic shape" can in one instance comprise both the presentation phrase of a sentence-form and the beginning of its continuation, or "liquidation," as in mm. 1-11 of Mozart's G-Minor Symphony, K. 550. Elsewhere, the basic shape can consist of just the first half of a presentation phrase, as in mm. 18-19 of Haydn's Symphony No. 104.[5]

Although Caplin is interested in theme types and their functional components, he quickly makes it clear that he is not a thematicist, in the tradition of Mersmann, Keller, Réti, and Epstein. He argues that even Schoenberg's own *Formenlehre* shows little evidence of the composer's preoccupation elsewhere with the

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[4] Carl Dahlhaus, "What is 'Developing Variation'?," in *Schoenberg and the New Music*, trans. Derrick Puffett and Alfred Clayton (Cambridge: Cambridge University Press, 1987), 132.

[5] Unless otherwise noted, all citations of multi-movement works refer to the opening movement. The Mozart and Haydn examples are drawn from David Epstein, *Beyond Orpheus: Studies in Musical Structure* (Cambridge, Mass.: MIT Press, 1979; rpt. Oxford: Oxford University Press, 1987), 139 and 144. Epstein leaves Schoenberg's discussion of a theme's functional components completely aside. A brief review of sentence structure as Schoenberg understands it may be helpful here. The "presentation" function of a typical eight-bar sentence consists of mm. 1-4 within a (2x2) + [(2x1) + 2] arrangement. The fragmentation into smaller units in mm. 5-6 of the continuation contributes towards "liquidation," Schoenberg's term for the process of "gradually eliminating characteristic features, until only characteristic ones remain, which no longer demand a continuation" (*Fundamentals of Musical Composition*, 58). The cadence of mm. 7-8 completes the liquidation process with a more-or-less formulaic cadential punctuation. In the case of Mozart's G-Minor Symphony, of course, these intrathematic functions occupy twice as many notated measures as in the eight-measure model. The term "presentation phrase," is actually Caplin's; Schoenberg merely refers to the "beginning" of the sentence, although his explanation clarifies that this beginning has a presentational function that sets it apart from the subsequent processes of development and liquidation.

*Grundgestalt* (259 n. 12). And he is surely correct in arguing that formal function does not depend on motivic content (4). Nonetheless, Caplin does decide to pinpoint just what Schoenberg may have meant by the nebulous *Grundgestalt*, at least for pieces in the classical style. He takes it to refer to the opening two-bar unit of a normative eight-bar sentence.[6] Schoenberg himself never made this connection, even though his description of the sentence implies it: if mm. 3-4 contain a more-or-less varied repetition of mm. 1-2, and if the continuation in mm. 5-8 entails development and liquidation, one may well ask just what it is that is being repeated, developed, and liquidated, if not a "basic shape" in the first pair of measures. Despite this seemingly unassailable logic, there are many analysts who are sure to cavil at the assimilation of the *Grundgestalt*—which has traditionally invited analogies to thought and logical development—to a purely syntactic unit. In any case, Caplin restricts to one footnote the comparison of his "basic idea" to Schoenberg's *Grundgestalt* (264 n. 11) and thereafter ignores it. In actual practice, regardless of what one takes the *Grundgestalt* to be, analysts are bound to retain a flexibility that allows them to select as a work's principal unifying feature now a subthematic cell (as Réti did in his analysis of the *Appassionata*), now the opening two-bar unit of an antecedent phrase (as Schenker did in his analysis of Beethoven's Op. 101), and now an expressive strategy that encompasses the entire movement (as in Robert Hatten's recent work).[7] Caplin is concerned with formal functions shared by pieces that might otherwise deploy their thematic substance in radically different ways.

Caplin's typology of themes is based on a dualism of sentence and period inherited from Schoenberg and disseminated by Erwin Ratz, Edwin Stein, and Josef Rufer. The eight-bar sentence is marked by the initial repetition, exact or not, of a two-bar idea,

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[6] Caplin prefers the coinage "basic idea" to "basic shape," however.

[7] Heinrich Schenker, *Erläuterungsausgabe der letzten fünf Sonaten Beethoveens: Opus 101* (Vienna: Universal Editions, 1915); Rudolph Réti, *Thematic Patterns in Sonatas of Beethoven* (New York: MacMillan, 1967); Robert S. Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington: Indiana University Press, 1994).

followed by a four-bar "development" that concludes with a cadence. In the eight-bar period, on the other hand, the first four-bar phrase presents a basic idea followed by a contrasting one. The contrast demands not further development but rather an analogical repetition. The resulting parallel phrases are distinguished primarily by their endings, the cadence of the consequent being more strongly marked than that of the antecedent. Thus, the motivically similar eight-bar openings of Beethoven's Sonata in F Minor, op. 2, no. 1/1, and Mozart's Symphony in G Minor, K. 550/iv exemplify two distinct thematic types: the former a sentence, the latter a period.

As both Caplin and William Rothstein have noted, phrases corresponding exactly to the sentence as Schoenberg describes it have appeared in treatises as early as Koch's *Versuch*.[8] One should not, however, make too much of this; in Koch's treatise, sentence forms appear intermingled with many other types of phrases, and Koch does not single them out for special attention. Moreover, he makes only a hierarchical distinction between phrase and period: a period is simply a grouping of phrases that ends with a formal cadence. Before Schoenberg, the *Satz*, if it was discussed at all, tended to be defined negatively as a theme that lacked the characteristics of a period, or that formed only part of a period.[9] And the term *Periode* could be used globally to designate any

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[8] Heinrich Christoph Koch, *Versuch einer Anleitung zur Composition*, vol. 3 (Leipzig: Adam Friedrich Böhme, 1793; facs. rpt., Hildesheim: G. Olms, 1969); trans. Nancy K. Baker as *Introductory Essay on Composition: The Mechanical Rules of Melody, Sections 3 and 4* (New Haven: Yale University Press, 1983), 57; hereafter cited as *Introductory Essay*. Caplin and Rothstein both mention this adumbration of sentence form in Koch's treatise; see Caplin, 263 n.1; Rothstein, *Phrase Rhythm*, 26-27.

[9] Carl Dahlhaus has explored the history—or perhaps, more accurately, the prehistory—of the sentence/period dualism in "Satz und Periode: Zur Theorie der musikalischen Syntax," *Zeitschrift für Musiktheorie* 9 (1978): 16-26. Unless otherwise specified, all subsequent references to Dahlhaus are to this article, which is possibly the first *critical*—as opposed to expository—account of Schoenberg's thematic categories. In his preface, Caplin mentions that he first encountered this body of ideas in a seminar on musical form given by Dahlhaus, for which Ratz's book served as the main text.

constellation of phrases tied together by a cadential punctuation point (e.g., Koch's *Hauptperiode*), or locally to designate a particular grouping of two phrases with parallel beginnings and complementary cadences (A. B. Marx's *Periode* with corresponding *Vorder-* and *Nachsatz*).

It was an original stroke of Schoenberg's to ground the sentence/period distinction in a truly dualistic schema, although similar polarities were endemic to Austro-German theory between the wars. Caplin suggests that Schoenberg's typology may have owed something to Wilhelm Fischer's celebrated distinction between *Fortspinnungstypus* and *Liedtypus*.[10] The functional areas of the sentence—presentation of the idea in mm. 1-4, developmental continuation in mm. 5-6, and cadence in mm. 7-8—do correspond superficially to Fischer's succession of *Vordersatz-Fortspinnung-Epilog*, although, of course, Fischer is describing the formal functions of an entire concerto ritornello, not of a single, tightly-knit theme. An alternative schema, Friedrich Blume's dualism of *Fortspinnung* and *Entwicklung*, has to do with the difference between a merely juxtaposed continuation and a truly developmental one.[11] Two themes, both sentences according to Schoenberg, could belong to different types in Blume's schema. The oft-cited principal theme of Beethoven's op. 2, no. 1 exemplifies the *Entwicklungstypus*: mm. 5-8 form a "developmental" continuation in which thematic fragmentation and rhythmic "reduction" (the term is Schoenberg's) complement one another. The process of thematic liquidation is gradual, completed only in the cadence of mm. 7-8. The principal theme of Haydn's String Quartet in D Minor, op. 42 corresponds to Blume's *Fortspinnungstypus*. Consider Caplin's Example 3.14 (46), reproduced here as Example 1, which he cites as a sentence whose continuation constitutes a single expanded cadential phrase.

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[10] Fischer, "Zur Entwicklungsgeschichte des Wiener klassischen Stils," *Studien zur Musikwissenschaft* 3 (1915): 24-84.

[11] Blume, "Fortspinnung und Entwicklung: Ein Beitrag zur musikalischen Begriffsbildung," *Jahrbuch Peters für 1929* (1930): 51-70.

Example 1.

Here, mm. 5-8 can scarcely be considered a thematic development; they stand in a purely syntactic relationship to the presentation. But even if thematic development as such is absent, other characteristics—the faster harmonic rhythm; the shorter durations in the melody; the complete liquidation of the basic idea—clearly mark the second half of the theme as the continuation of a sentence form.

The sentence/period distinction of the Schoenberg school also brings to mind the elaborate dualism constructed by Hans Mersmann in a famous essay on the phenomenology of music.[12] Mersmann's pictorial representation of his schema is reproduced as Figure 1. Departing from a fundamental distinction between "line" and "motive," Mersmann attempts to interpret various levels of musical form, from theme to cycle, according to whether the connection between their constituent sections is one of succession or development. At the level of theme, Mersmann constructs the polarity of *Periode* and *Thema*, each of which corresponds to a particular *Verlaufsform*, designated by the terms *Ablauf* and *Entwicklung* and depicted graphically by the *Verlaufskurven* reproduced in Figure 2. The period is marked by overall closure and a clear interrelation between its constituent parts. The theme is a more dynamic, open form. Unfortunately, Mersmann offers no examples of this contrast, and he is more interested in applying the period/theme distinction to the construction of larger forms: the closed period demands continuation by another closed period, yielding rondos, suites, and, at the extreme, the potpourri. The theme demands subordinate themes and developments; it finds its large-scale analogue in the sonata. Of course, Mersmann admits that any particular characteristic on one side of Figure 1 could be combined in actual pieces with characteristics on the other. In practice, after all, one finds many a sonata form beginning with a period. Nonetheless, Mersmann is not completely off the mark. A period that begins a sonata form will often acquire relatively "open" characteristics; for instance, its consequent might modulate and lead to the dominant of the subordinate key. Rondo themes,

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[12] Mersmann, "Versuch einer Phänomenologie der Musik," *Zeitschrift für Musikwissenschaft* 5 (1922-23): 226-69.
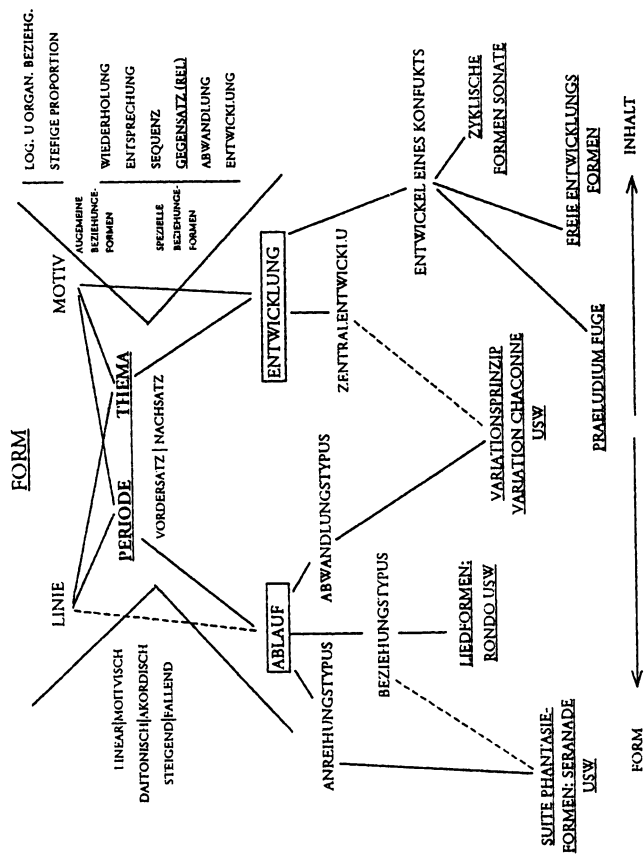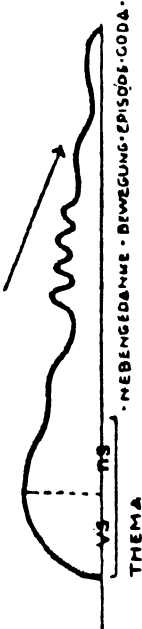
*Figure 1.*



FORM

LOG. U ORGAN. BEZIEHG.
STEFIGE PROPORTION
WIEDERHOLUNG
ENTSPRECHUNG
SEQUENZ
GEGENSATZ (REL.)
ABWANDLUNG
ENTWICKLUNG

ALLGEMEINE BEZIEHUNGS-FORMEN

SPEZIELLE BEZIEHUNGS-FORMEN

MOTIV

THEMA

PERIODE

VORDERSATZ | NACHSATZ

LINIE

LINEAR|MOTIVISCH
DALTONISCH|AKORDISCH
STEIGEND|FALLEND

ENTWICKLUNG

ZENTRALENTWICKL.U

ENTWICKEL EINES KONFLIKTS

ZYKLISCHE FORMEN SONATE

FREIE ENTWICKLUNGS FORMEN

INHALT

VARIATIONSPRINZIP VARIATION CHACONNE USW

PRAELUDIUM FUGE

ABWANDLUNGSTYPUS

ABLAUF

BEZIEHUNGSTYPUS

LIEDFORMEN: RONDO USW

ANREIHUNGSTYPUS

SUITE PHANTASIE-FORMEN: SERANADE USW

FORM

*Figure 2.*



1. Periodiſcher Ablauf:

2. Thema und ſeine Funktionen:

3. Thematiſche Entwicklung:

however, are almost never sentences and are virtually always harmonically closed. Although Mersmann's system may strike us as both quaint and cumbersome, he was one of the first scholars to grapple with the music-theoretical implications of the phenomenological movement in German philosophy. More to the point, his theories and Schoenberg's may well have mutually conditioned one another. Mersmann, who studied at the University of Berlin and the Stern conservatory in 1912-14 could have heard Schoenberg's lectures. In the 1920s, as editor of *Melos*, he was a leading apologist for the New Music, and Schoenberg knew of his theoretical writings.[13]

The period/sentence dualism, even as amplified by Schoenberg's followers, is not without its limitations. For one thing, because the two phrases that make up a period are themselves often organized as sentences, we are dealing less with a dualism of two opposing formal principles than with two different hierarchical orders: the period has an internal cadence. One way to appraise Caplin's contribution to this body of thought is to take up a few of the problems Dahlhaus raises and see how they are addressed in *Classical Form*. One of these is a terminological problem that disappears in English: in German, a *Periode* can be a type of *Satz* if the latter term is understood globally as referring to any musical utterance that is in some sense complete, i.e., a phrase. In English, the term sentence has come to signify a theme that follows a particular syntactic arrangement. A sentence in this sense may become part of a period at a higher hierarchic level—as is the case in the opening theme of Mozart's G-Minor Symphony—but it need not. It makes no sense to write that a period is a type of sentence, the way it can in German. Other problems that Dahlhaus enumerates are not so easily disposed of. In what follows I discuss Caplin's solutions to three of these.

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[13] See Schoenberg, "Glosses on the Theories of Others," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein (Berkeley: University of California Press, 1984), 313.

### Developmental Continuation versus Free *Fortspinnung*

Friedrich Blume's categories of *Fortspinnung* and *Entwicklung* led him to classify two themes as different types, even where both could be interpreted as sentences. Dahlhaus, referring back to Blume, raises the question as to whether "it is even justifiable to assimilate development and continuation—the 'subordination' and 'coordination' of musical ideas—into a single concept, that of the sentence."[14] By way of example, he compares the opening themes in the outer movements of Beethoven's op. 2, no. 1. The principal theme of the first movement has become, of course, the *locus classicus* of the sentence type. That of the finale, Dahlhaus argues, can also be regarded as a sentence (Example 2). Not only is there an initial repetition of the two-bar unit, but the continuation, although free, is still linked to the basic idea by a common anapestic rhythm. The requirement expressed by the Schoenberg school that the second part of a sentence constitutes a "development" should not be taken too literally:

To construe these criteria too narrowly would be to depart from reality. To maintain the postulate according to which the second part of a sentence must in principal be a development would be to curtail severely the descriptive utility of the syntactic category for the sake of the model. Not infrequently, it is [in the second part of a sentence] a question less of a development than of a simple continuation.  Or more precisely: a connection by means of similarity is almost always perceptible, but often insufficient to justify the term "development," which evokes a process of dissociation—as in the principal theme of Beethoven's Sonata op. 2, no. 1, an example without which scarcely any theory of syntax can do.[15]

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[14] "Man könnte sogar zweifeln, ob es überhaupt berechtigt ist, Entwicklung und Fortspinnung—das 'Auseinander' und das 'Nebeneinander' musikalischer Gedanken—in einen einzigen Begriff, den des Satzes, zusammenwerfen" ("Satz und Periode," 22).

[15] "Anderseits wäre es realitätsfremd, die Kriterien zu eng zu fassen. Mit dem Postulat, daß der zweite Teil eines Satzes prinzipiell eine Entwicklung sein müsse, würde man um der Drastik des Modells willen die deskriptive Brauchbarkeit der syntaktischen Kategorie empfindlich schrumpfen lassen. Nicht selten handelt es

*Example 2.*

Possibly following Dahlhaus's lead, Caplin prefers to call the second half of the sentence form a "continuation" rather than a "development" (*pace* Schoenberg and Ratz). As pointed out in connection with Examples 1 and 2, there are other factors besides purely thematic development that can produce a convincing sentential continuation. Sometimes, as in the first example, the cadential function of the continuation phrase can predominate, encompassing the entire four-bar unit. That the succession of *Stufen* is now one instead of two to a measure suffices to lend a "developmental" quality to mm. 5-8; indeed this continuation fully satisfies the requirement that the second part of a sentence involve what Schoenberg terms "reduction" (analogous to Ratz's *Verdichtung*, and Caplin's "fragmentation.") Caplin has, one hopes once and for all, disentangled the concepts of period and sentence from a cumbersome *Formenlehre* more preoccupied with interesting a priori binary oppositions (*Entwicklung/Fortspinnung*) than with adequacy to observed pieces of music.[16]

### Syntactic Levels

One of Dahlhaus's problems concerns the role played by different orders of magnitude (*verschiedenen Größenordnungen*) in differentiating thematic types. The difficulty lies in teasing apart "the system of super- and subordinated sentence- and period-structures" that constitutes many an individual theme.[17] Some of the points Dahlhaus makes in this connection are completely uncontroversial. Thus, referring to the rondo theme from Beethoven's Sonata in B♭, op. 22/iv, he remarks that the antecedent

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sich weniger um eine Entwicklung als um eine bloße Fortsetzung. Oder genauer: Eine Verknupfung durch Ähnlichkeit eines satztechnischen Teilmoments ist zwar fast immer fühlbar, genügt aber oft nicht, um den Terminus "Entwicklung" zu rechtfertigen, der an einen Abspaltungsprozeß—wie in dem Hauptthema aus Beethovens opus 2, 1, auf das kaum eine Syntaxtheorie als Exampel verzichtet—denken läßt" ("Satz und Periode," 18).

[16] Caplin characterizes his theory as "empirical and descriptive" (5).

[17]"Manche Themen erscheinen geradezu als Systeme von über- und untergeordneten Satz- und Periodenstrukturen" ("Satz und Periode," 22).

and consequent of the eighteen-bar period (2 x 8 with cadential extension) are themselves structured as sentences. This construction corresponds precisely to the first of Caplin's three methods for building a sixteen-bar period. But Dahlhaus also claims that the first four bars of the rondo theme are themselves a miniature period (T-D/D-T); there are three orders of magnitude in the theme. Caplin, quite correctly, would not recognize Dahlhaus's smallest order here. Neither would eighteenth-century theorists like Koch, for that matter. There are no cadences in mm. 2 and 4 of Beethoven's theme, and the play of differently-weighted cadences is far more crucial to period formation than the mere presence of a I or V scale step.

Another problem when considering orders of magnitude is one to which Dahlhaus merely alludes when he notes that the number of notated "small" or "large" measures has no effect on metrical and syntactic reality. The distinction between "real" and "notated" measures—which is not the same as the distinction between hypermetric levels—was a crucial element of Riemann's rhythmic theories.[18]    Riemann, however, did not recognize the eight-bar sentence as an independent thematic formation in its own right: a sentence could only be part of a normative eight-bar period. When confronted with an eight-bar sentence, Riemann has no alternative but to identify only four real measures.[19] For Caplin, what is decisive in calculating the numbers of real measures is the rate at which the normal pattern of a theme type unfolds. Thus, mm. 1-4 from Mozart's Piano Sonata in B♭, K. 333/ii and mm. 6-21 of Beethoven's Fifth Symphony form two themes both made up of eight real measures. The value of Caplin's distinction between real and notated measures becomes apparent when he presents the true sixteen-bar sentence, which has its own syntactic structure, distinct from that of the eight-bar sentence. Consider mm. 1-16 of Mozart's Piano Quartet in G Minor, K. 478. Its proportions

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[18] Several hypermetrical levels may exist beyond the notated measure, even where the notated measures are "real." The distinction between "real" and "notated" is a purely syntactic one, based on the normative lengths of theme types.

[19] Ivan Waldbauer summarizes Riemann's concept of period in "Riemann's Periodization Revisited and Revised," *Journal of Music Theory* 33/2 (1989): 333.

appear to be those of a sentence multiplied by two, but the
determining factor is the construction of the opening four-bar unit.
In the principal theme from Beethoven's Fifth Symphony, the
initial four-bar unit (mm. 6-9) is a simple basic idea. In the Mozart
Quartet, mm. 1-4 are made up of two distinct parts, which Koch
would have termed *Einschnitten*. Caplin uses the term "compound
basic idea" to designate such four-bar openings, capable of being
further subdivided into a two-bar basic idea and a two-bar
contrasting idea. The varied repetition of this compound idea as a
whole constitutes the eight-bar presentation function of the true
sixteen-bar sentence.

   If the true sixteen-bar sentence has often confused analysts, it
may be because the compound basic idea superficially resembles the
antecedent of an eight-bar period, which is also constructed from
two contrasting two-bar ideas. Thus, Hans Mersmann identifies
the opening four bars of Haydn's Sonata in E♭, Hob. XVI: 49 (see
Example 3), as a *Vordersatz-Nachsatz* construction, even though the
V7 harmony of m. 4 cannot possibly represent a half cadence.
Mersmann confuses syntactic levels: mm. 1-8 here constitute the
two-fold presentation of a compound basic idea. (That the
continuation consists not of another eight bars but only of a four-
bar expanded cadential progression creates a frequently-
encountered twelve-bar variant of the sixteen-bar sentence.) Blume
makes a similar error when he identifies the opening theme of
Mozart's Violin Sonata in E♭, K. 481, as a *Fortspinnungstypus*
instead of an *Entwicklungstypus* (see Example 4). This is a six-bar
compound basic idea (2 + 4), which receives its expected varied
repetition in mm. 7-12 and its "development" in the compressed
continuation of mm. 13-16. Although in its motivic organization, a
compound basic idea resembles an antecedent phrase, the crucial
distinction is that the former lacks a cadence.

*Example 3.*

Example 4.

### Refractory Themes

Dahlhaus alludes to several classical themes that fit neither the sentence or the period schema as defined by the Schoenberg school. One of the most original aspects of Caplin's work points the way out of Dahlhaus's quandaries. He establishes a typology of intrathematic functions (italicized in the remainder of this paragraph). In sentences, the initial two-fold repetition of the basic idea constitutes a *presentation* phrase.[20] The following phrase combines two functions, *continuation* and *cadential*. There are cases (as in Example 1) in which the entire continuation phrase, and not just the last two bars of its pattern [(2 x 1) + 2], is built on a cadential progression. In such situations, Caplin discerns a special type of phrase, which he symbolizes as *continuation⇒cadential*. The expression is meant to represent the process of becoming, during which a phrase with continuational characteristics (e.g., fragmentation) is reinterpreted retrospectively to have been built on a single expanded cadential progression. In more loosely-constructed themes, such as are typically heard in the second-key groups of sonata expositions, the continuation and cadential functions may each occupy a distinct group. In the true sixteen-bar sentence, there appears another type of four-bar group: the *compound basic idea*, composed of a *basic idea* and a *contrasting idea*, each two bars in length. To these sentential functions may be added the periodic ones of *antecedent* and *consequent*.

Now, most deviations from period or sentence form may be analyzed as compressions, extensions, or expansions of one or more of these intrathematic functions, or as interpolations between functions. Caplin describes various strategies along these lines, placing himself firmly within an analytical tradition that embraces theorists as divergent as Koch, Riemann, and Schenker. New is Caplin's emphasis on the interaction between these deviations and

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[20] Caplin uses "phrase" where others might use "group." He makes it clear that, in contrast to eighteenth-century theorists like Koch (and more recently, William Rothstein), he does not use "phrase" to designate a group containing a complete tonal motion ending with a formal cadence. Cf., Rothstein, *Phrase Rhythm*, 3-15.

their form-functional context. On occasion, one might question Caplin's normative reconstructions. Example 5 reproduces Caplin's Example 3.16 (46), which illustrates an expanded cadential function. No doubt an eight-bar prototype underlies the actual theme, but Caplin's version (5b) ends half a bar too early. The basic idea has already established a pattern of caesuras on the second half of even-numbered measures, and the cadential function ·hearkens back to the rhythmic motive of the opening. Example 5.1 shows an alternative reconstruction that accords better with the rhythmic organization of the presentation phrase. Alternatively, one could arrive at the tonic already on the downbeat of m. 8 while suspending the upper voices.

More interesting are Caplin's explanations of themes that cannot be analyzed as phrase-rhythmic deviations from sentential and periodic norms; rather they seem to demand the formulation of entirely new syntactic categories. The solution lies in Caplin's insight that the intrathematic functional components of sentences and periods can be separated and recombined. Consider one of Dahlhaus's problematic themes, mm. 1-8 from the finale of Beethoven's Sonata in C Minor, op. 13 ("Pathéthique"). Dahlhaus wonders whether the motivic analogy between the opening and closing two-bar units is enough to justify designating it as a period. He concludes that the half and perfect cadences at their expected locations, mm. 4 and 8, compensate for the displacement of the motivic parallelism from the beginning to the end of the consequent. To Dahlhaus, a period is not so much a definite construction as it is an Ideal Type constituted by an ensemble of variable parameters (20-21). In light of the refinements Caplin introduces in his syntactic theory, however, Beethoven's theme may be analyzed more precisely as the juxtaposition of an antecedent phrase (mm. 1-4: 2 + 2) and a continuation phrase (mm. 5-8: [2x1 + 2]). The theme is not formed by an arbitrary combination of sentential and periodic traits; rather, it is one of four clearly defined hybrids, which Caplin locates on a continuum from most sentential to most periodic (see Figure 3, which reproduces his Figure 5.1, 63).

*Example 5a-b.*

*Example 5.1.*
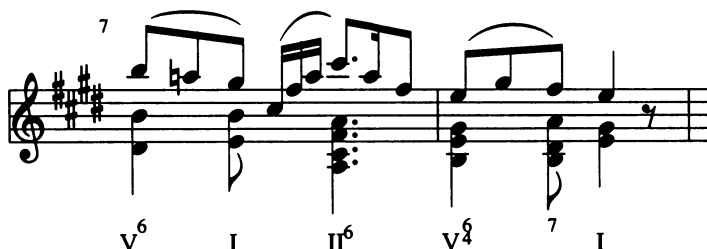


*Figure 3. Relation of the hybrids to the sentence and the period.*

|            |                                          |
|------------|------------------------------------------|
| sentence:  | presentation + continuation              |
| hybrid 3:  | compound basic idea + continuation       |
| hybrid 1:  | antecedent + continuation                |
| hybrid 2:  | antecedent + cadential                   |
| hybrid 4:  | compound basic idea + consequent         |
| period:    | antecedent + consequent                  |

Hybrid constructions also explain the syntax of components in those sixteen-bar periods that are not formed by the combination of two sentences. For example, the antecedent in mm. 1-8 of Mozart's Concerto in A Major, K. 488, comprises a compound basic idea followed by a continuation phrase.

There is a fifth possible hybrid, that of a presentation followed by a consequent. Caplin mentions it as a merely theoretical possibility because he cannot exclude it on syntactic grounds: an initiating function is followed quite properly by a concluding one.

He dismisses it, however, on the grounds that since the presentation already contains a two-fold statement of the basic idea, the consequent (basic idea + contrasting idea) brings a redundancy of material. Nonetheless, Caplin could have invoked this black sheep of a hybrid as an explanation for another one of Dahlhaus's refractory types: themes exhibiting a pattern of [(3 x 2) + 2]. Dahlhaus cites, among others, the second theme of Beethoven's op. 2, no. 1/iii (Example 6). Caplin claims that "this potential type of hybrid seldom occurs in the repertory" (63). This may be statistically true, but so exhaustive is Caplin's text, that it is a surprising he left this theme type almost entirely out of account. Dahlhaus's examples are neither particularly *recherchés* nor exhaustive. When I read this portion of Caplin's book, the opening eight bars of the finale from Beethoven's Violin Sonata in G, op. 96, sprang to mind. Still, it has to be admitted that this particular hybrid comes into its own as a fully idiomatic type only later in the 19$^{th}$ century (e.g., the opening theme from the *Rigoletto* quartet). Indeed, a possibility for future research along the avenues Caplin has opened up might use the disposition of intrathematic functions as a grid with which to assess stylistic difference.

Intrathematic functions are not completely interchangeable: an initiating function (presentation, compound basic idea, antecedent) cannot occupy the slot of a concluding function (cadential, consequent). Furthermore, slots may be eliminated. The opening theme of Beethoven's Sonata in E$^{♭}$, op. 31, no. 3, has an internal grouping structure that, as Dahlhaus notes, does not correspond to the sentence form: (2x1) + [(2x2) + 2]. As Caplin interprets it, the theme consists of a single expanded cadential progression: the movement begins in *media res* with what a Schenkerian would term an "auxiliary cadence."[21] Another one of Dahlhaus's refractory themes, mm. 1-24 of Beethoven's Sonata in C Minor, op. 90 is made up of an antecedent (mm. 1-16), followed by a four-bar

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[21] Heinrich Schenker, *Neue Musikalische Theorien und Phantasien*, vol. III, *Der freie Satz* (Vienna: Universal Edition, 1935); trans. and ed. Ernst Oster as *Free Composition* (New York and London: Longman, 1979), § 244-246.

Example 6.

cadential function (mm. 17-20) that is repeated after a deceptive
cadence.[22]  In this case, it is the consequent that begins in *media
res*. If a theme begins with a sequential progression, Caplin might
analyze it as a sentence with an omitted presentation, as he does for
the subordinate theme at mm. 58-92 of Beethoven's Sonata in A,
op. 2, no. 2/i (112-13). Intrathematic functions are in principal
detachable, although their syntactic meaning remains fixed. The
audacity of Beethoven's late forms often stems from the
fragmentary quality of his themes; Caplin shows us very precisely
how even his relatively early works foreshadow this tendency.

   Along with sentences, periods, and their variants and hybrids,
Caplin also proposes two compound theme types: the "small
ternary" and "small binary." The "small ternary" is a theme type
that many theorists would consider to be "rounded binary,"
especially when repeat signs are present. For the purposes of a
theory that seeks to explain thematic formal functions, Caplin's
ternary division is perfectly suitable, and the explanation he
furnishes for his terminology should satisfy all but the excessively
pedantic. As compound themes, the binary and ternary forms
predictably incorporate the other theme types. What Caplin terms
the "contrasting middle" of the ternary type can sometimes, if it is
sufficiently loose in structure or consists only of "standing on the
dominant," correspond to what A.B. Marx termed a *Gang*, yet
another category of refractory theme mentioned in Dahlhaus's
essay.

   A final thematic category that cannot be assimilated into the
sentence/period dualism is the genuine *Fortspinnungstypus* of the
Baroque ritornello, as first formulated by Wilhelm Fischer. Caplin
more or less ignores this type of construction, except to note,
correctly, that the presentation-continuation-cadential functional
succession of the sentence is not analogous to the *Vordersatz-
Fortspinnung-Epilog* of the *Fortspinnungstypus* except in the most
superficial way. Nonetheless, even if one's purview is restricted to
Haydn, Mozart, and Beethoven, some recourse to the

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[22] "Satz und Periode," 18. Caplin does not discuss this theme, but I imagine
he would analyze it along the lines I suggest.

*Fortspinnungstypus* might shed light on certain passages by the elder member of that triumvirate. I will elaborate on this point when I consider Caplin's treatment of genre.

**Genre**

Caplin occasionally observes that genre can affect the disposition of thematic functions within a movement. For instance, concertos tend to have more subordinate themes than do other genres—as many as four (not five, *pace* Caplin) in the first movement of Beethoven's C-major Concerto.[23] Rondos are more likely to open with compound themes, a period, or perhaps a hybrid, rather than a sentence. A more thorough study of the interrelationship between genre and thematic function, obviously beyond the scope of this already compendious book, might prove fruitful. Eighteenth-century theorists, for example, sometimes suggest that the phrase structure of a sonata movement might differ markedly from that of a symphony. In an oft-quoted passage, Koch writes:

...as similar to one another as the forms of the sonata and the symphony may be in the number of periods and the course of modulation, as different, conversely, is the inner nature of the melody in the two....[I]n the sonata the melodic sections are not connected as continuously as in the symphony, but more often are separated through formal phrase endings. They are not usually extended through the continuation of a segment of this or that melodic section or through sequences, but more often by clarifying additions...[24]

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[23] Caplin finds five subordinate themes in Beethoven's op. 15, the third of which is repeated. I am not sure how he arrives at this parsing, since applying his analytical technique yields only four, the last of which is repeated. The first subordinate theme (mm. 155-74) is a sixteen-bar period with an extended continuation in the consequent (8 + 12). The second subordinate theme, an eight-bar sentence, cadences at m. 182. The third (mm. 182-91) is an eight-bar period with cadential extension (4 + 6). The fourth (mm. 191-225) is a sentence extended through repetition of the presentation phrase, and through a sequence in the continuation. The fourth theme is then repeated (mm. 225-57), but with a *tour de force* expansion of the cadential predominant and dominant harmonies: chromatic alteration and a "purple patch" on the Neapolitan stretch m. 223 to ten bars, while a written-out fermata on the cadential 6/4 expands m. 224 to twelve bars.

[24] *Introductory Essay*, 204.

Principal theme groups in symphonic movements often feature the loose construction that Caplin normally finds in subordinate groups. Caplin analyzes one such opening; see Example 7, which reproduces his Example 13.4 (198). Here he discovers an anomalous procedure, one that "obscure[s] a clear sense of basic idea and its repetition" (199). Elsewhere, he writes:

A characteristic melody uniquely defines a theme as an individual, one different from other themes. A conventional melody, on the contrary, is interchangeable from piece to piece. Whereas a characteristic melody normally appears at the very beginning of a thematic unit, a conventional melody is typically used for interior passage-work and cadential closure. A diversity of intervallic content (combinations of leaps, steps, and directional changes) and a variety of durational patterning help bestow individuality on an idea. Conversely, conventional ideas tend to feature consistent stepwise or arpeggiated motion within a series of uniform duration values. (31)

All of the melodic gestures in the Haydn example are utterly conventional, and they are typical of his C-major symphonies featuring trumpets and timpani. Not merely the symphonic genre but, more specifically, one of its subgenres determines the melodic construction here. It is not through characteristic motives but rather through the grandiose pacing of the harmonic rhythm that Haydn suggests the noble *simplicité* associated with the symphonic sublime.

The continuous phrase structure that characterizes symphonies for Koch has its analogue in Wilhelm Fischer's *Fortspinnungstypus*, mentioned earlier as a type of thematic construction not well served by the sentence/period dualism. Consider the exposition of Haydn's Symphony No. 44 in E Minor (*Trauersymphonie*). Measures 1-12, a half-cadential phrase, fit the sentential schema only with some interpretive effort. The theme has an annunciatory, motto function, akin to a *Vordersatz*. The motto returns at m. 13, initiating an elaborate *Fortspinnung* passage. Although the modulation to G major is effected as early as m. 20, Haydn manages, through a series of evaded cadences and *Takterstickungen*, to delay any formal cadence until m. 53. That cadence elides in

*Example 7.*

turn with a three-bar *Epilog*. The last six bars of the exposition effect a modulation back to the repeat.[25] To be sure, the analogy between Haydn's exposition and the tripartite division of *Fortspinnungstypus* into *Vordersatz—Fortspinnung—Epilog* fails on at least one crucial ground: The locus of the *Fortspinnungstypus* is the tonally-closed Baroque ritornello. Applying it to a tonally-open symphonic exposition means drawing an analogy that can be defended only thematically. It remains undeniable, however, that many symphonic expositions begin with tonic complexes that correspond only vaguely to Caplin's "tight-knit" principal theme types. Such expositions continue with sprawling, unstable sections in which transitional and subordinate expositional functions are inextricably fused. Finally, they close with an epilogue, a post-cadential section following the long-delayed formal arrival in the secondary key. Caplin does acknowledge Larsen's concept of the three-part exposition, and he analyzes mm. 53-74 of Haydn's Symphony No. 93 in D as a genuine fusion of transition and subordinate functions (203-4). The continuous symphonic exposition is common enough to be merit further attention. It may well represent a stylistic holdover from a time when themes fitting Caplin's typology did not yet hold sway.[26]

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[25] One could argue, as would Jens Peter Larsen, that a closing section begins already at m. 42 with a resumption of the opening motto, now in the relative major. The 6/3 chord delayed by the 5/2 bass suspension undermines the sense of initiation at m. 42, however, and the moment of cadential arrival in the new key is effectively withheld. Larsen cites this movement as an instance of the "three-part exposition" in "Sonaten-form Probleme," in *Festschrift Friedrich Blume* (Kassel: Bärenreiter, 1963): 228. The essay is translated in *Handel, Haydn, and the Viennese Classical Style*, trans. Ulrich Kramer (Ann Arbor: UMI Research Press, 1988), 269-79.

[26] In this connection, one might note the possible origin of the concert symphony in the ripieno concerto of the early 18th century. See Eugene K. Wolf, "Antecedents of the Symphony: The Ripieno Concerto," in *The Symphony: 1720-1840*. Series A; vol. 1. (New York: Garland, 1983).

### The Boundary between Transition and Subordinate Functions

Caplin's longest, and perhaps most valuable, discussion concerns subordinate themes, those that occupy the secondary-key group in a sonata exposition. He is not the first to have remarked that the subordinate group is typically broader in its construction than the primary group. It is not atypical that one real measure in the opening theme corresponds to two real measures in the subordinate theme. The first movement of Mozart's Sonata in B♭, K. 333, for example, opens with a six-bar compressed sentence and a two-bar basic idea, while the subordinate group opens with a sixteen-bar period and a four-bar compound basic idea. Expanding upon a dichotomy of *fest* and *locker* borrowed from Schoenberg and Ratz, Caplin establishes a wide range of criteria for distinguishing between tight-knit and loose construction. The looser construction of subordinate theme groups can often be attributed to what Caplin calls "functional inefficiency." Presentation phrases can be repeated; continuation phrases can be enlarged by means of sequential development, or by modal shifts and remote tonicizations (Tovey's "purple patches"); cadences can be extended or expanded, as they typically are in the bravura themes that close the first solo section in concertos. Although theorists have been identifying such techniques since the days of Riepel and Koch, Caplin approaches phrase expansions from a new vantage point. His is the most thoroughgoing account we have of how subordinate groups specifically achieve their often sprawling proportions. Not all intrathematic functions of subordinate themes are expanded in each instance, of course. Sometimes they are curtailed, and not infrequently the initiating function is eliminated altogether, or at least compromised by a weakened tonic prolongation. In such cases, it may not always be clear where the transition ends and the subordinate group begins. Caplin has his ideas about this, which are worth exploring in some detail, since some of them may prove controversial.

Table I schematizes six common cadential patterns in sonata expositions, labeled a-f. The example is mine, drawing on Caplin's Table 13.1 (196) and on some of his analyses. Pattern a, with its

*Table 1.*

| | **Pattern (a)** | **Pattern (b)** | **Pattern (c)** |
|---|---|---|---|
| Main theme: | ——→I　PAC<br>(or I——→V HC I——→I PAC) | Main theme as antecedent:<br>——→V　HC | Main theme as antecedent:<br>——→V　HC |
| Transition: | ——→ [V] HC | Transition as consequent:<br>——→[V] HC | Transition/Subordinate theme 1:<br>——→V　PAC |
| Subordinate theme: | ——→V　PAC | Subordinate theme:<br>——————→V PAC | Subordinate theme 2:<br>——→V　PAC |
| Innumerable examples | | e.g., Beethoven: Op. 49, no. 1<br>(pp. 128-29) | e.g., Mozart: K. 454<br>(pp. 203, 205) |

Table 1. (cont.)

| **Pattern (d)** | **Pattern (e)** | **Pattern (f)** |
|---|---|---|
| Main theme:<br>——→ I  PAC | Main theme:<br>——→ I  PAC | Main theme:<br>——→ I  PAC |
| Transition:<br>——→ V  HC | Transition part 1:<br>——→ V  HC | Transition part 1:<br>——→ V  HC |
| Subordinate theme part 1:<br>——→ [V] HC | Transition part 2:<br>——→ [V] HC | Transition Part II/Subordinate theme<br>1 fusion<br>——→ V  PAC |
| Subordinate theme part 2:<br>——→ V  PAC | Subordinate theme:<br>——→ V  PAC | Subordinate theme:<br>——→ V  PAC |
| e.g., Mozart: K. 219<br>(pp. 106, 117-18) | e.g., Mozart: K. 442/iii<br>(pp. 137-38) | e.g., Haydn: Symphony No. 95<br>(pp. 203-04) |

clear boundaries between main-theme, transitional, and subordinate-theme functions, requires no special explanation. In pattern b, main theme and transition are fused to the extent that what starts out as a consequent phrase becomes a transition. Inspired perhaps by the way A.B. Marx characterized such an opening theme as a *Periode mit aufgelöstem Nachsatz*, Caplin speaks of a period "with failed consequent." Because elsewhere Caplin uses the symbol ⟹ to indicate a fusion of functions, both intra- and inter-thematic, one wonders why in this case he characterizes just the antecedent phrase as the main theme and just the consequent as the transition, rather than designating the entire period as MT ⟹ Tr. On the one hand, the internal half cadence at the end of the antecedent phrase demarcates two functions. On the other hand, the two functions are combined in a single theme type, that of the parallel period. There is a certain tension here between an eighteenth-century, cadence-oriented conception of form (Koch spoke of *Interpunktische* Form) and a Schoenbergian thematic conception, a tension that Caplin rather passes over.

Pattern c resembles b except that now the consequent of the main theme reaches not merely a half cadence but rather a perfect authentic cadence in the subordinate key. In this case, Caplin does identify a fusion of transition and subordinate functions, for the consequent here satisfies his requirement that "a subordinate theme ends with a perfect authentic cadence in the subordinate key" (97). While he admits that "it would be simple to claim that the consequent phrase of the period is exclusively transitional," he rejects this interpretation:

To speak in this manner, however, is to recognize authentic cadential closure as a legitimate deviation from the normal ending of a transition. But sanctioning this cadential possibility blurs a theoretical distinction fundamental to this study, namely, that the authentic cadential confirmation of a subordinate key is an essential criterion of the subordinate theme's function. It is thus theoretically more consistent to interpret such passages as cases of fusion than to risk confusing the fundamental characteristics of the interthematic formal functions. (203)

From the standpoint of thematic construction, the first two phrases of pattern c form a period with modulating consequent. From the perspective of eighteenth-century theory, the pattern is equally

unproblematic: a *Quintabsatz* in the tonic is followed by a *Grundabsatz* in the dominant. Does such a straightforward, economical exposition plan require an explanation as complex as Caplin's? His presentation of intrathematic construction and of cadential strategies is adequate to the music he seeks to explain. One wonders, especially in the case of the Mozart piece that exemplifies pattern c, whether a well-wielded Ockham's razor might not severe from Caplin's theory the traditional categories of interthematic exposition functions to which he yokes it.

Difficulties are compounded in patterns d-f because of the number of cadential arrivals on dominant harmonies. Consider Caplin's Example 8.17 (118), reproduced here as Example 8, which illustrates pattern d using a passage from Mozart's Violin Concerto in A, K. 219. Caplin acknowledges that many analysts would regard m. 81 (with anacrusis) as the true beginning of the subordinate theme, but he points out that mm. 74-80 are already composed in the dominant key. Even though the half cadence on V/V at m. 80 does in some sense compensate for the lack of a prior modulation, it is still internal to the subordinate theme:

The appearance of an internal half cadence [within a subordinate theme] is most often motivated by how the transition ends. Most transitions modulate to the subordinate key and conclude there with a half cadence followed by a standing on the dominant, which builds up strong expectations for tonic resolution at the start of the subordinate theme. Sometimes, however, the transition does not modulate and closes instead on the dominant of the home key; the subordinate theme then begins directly in the subordinate key. In such cases, the absence of an emphasized subordinate-key dominant at the end of the transition is often rectified by an internal half cadence within the subordinate theme. (115)

One question that arises from Example 8 is why Caplin reads a single two-part subordinate theme, rather than two subordinate themes in mm. 74-98. The two-part subordinate theme is a special construction Caplin introduces as a logical consequence of the subordinate theme's principal function, namely the confirmation of the new key with a perfect authentic cadence (hereafter abbreviated PAC):

*Example 8.*

*Example 8. (cont.)*

...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 the two-part subordinate theme may be introduced.... (117)

Caplin could merely have required that the subordinate *group* end with a PAC in the secondary key. That would have allowed any subordinate theme but the last to end with a half cadence. The category of "two-part subordinate theme" seems rigged to support an unnecessarily restrictive definition.

From an eighteenth-century perspective, the succession of four cadences in patterns d-f poses no difficulties. Both d and e, for example, follow this standard *Interpunktische* Form:[27]

> I.Tonic: Grundabsatz     III.Dominant: Quintabsatz
> II.Quintabsatz           IV.Grundabsatz

Schenker's interpretation of such movements shares this cadence-oriented perspective. Consider his graph of Beethoven's Sonata in C, op. 2, no. 3/i, reproduced here as Example 9.[28] In this instantiation of pattern d, the apparent absence of a transition, and the immediate juxtaposition of a half cadence on the dominant at m. 25 and material in the minor dominant at m. 27 induced Riemann to refer to this passage as a "well-known little mistake."[29] For Schenker, there is no mistake:

The events in measures 27-43 may under no circumstances be taken for a prolongation of the 2̂, but must be regarded merely as an extension of the d² which appeared over the dividing dominant in measure 25.[30]

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[27] See Koch, *Introductory Essay*, 213-14.

[28] Schenker, *Free Composition*, fig. 154/2.

[29] "bekannte kleine Fehler" (Riemann, *L. van Beethovens sämtliche Klavier-Solosonaten* [Berlin: M. Hesse, 1917], 166-67). Cited in Robert S. Winter, "The Bifocal Close and the Evolution of the Viennese Classical Style," *JAMS* 42 (1989): 285.

[30] Compare *Free Composition*, figure 47,1 (Mozart: Sonata in C, K. 545/i), in which the dividing dominant is in fact immediately followed by a prolongation of the 2̂. See also figure 154, 1, in which the subordinate theme begins with auxiliary harmonies.

*Example 9.*



Heinrich Schenker, *Neue musikalische Theorien und Phantasien, Vol. 3: Der freie Satz.* © Copyright 1935 by Universal (Vienna); Oster trans., *Free Composition.* © Copyright (renewed) 1979 by Longman (New York). Used by permission.

Thus, what Caplin considers the first part of a subordinate theme, Schenker regards as an extension of the transition. A similar procedure occurs in the first solo of Mozart's Piano Concerto in C Major, K. 467/i, which one could graph very much as Schenker did Beethoven's op. 2, no. 3 (see Example 10). As in the Beethoven, the dividing dominant is extended by a G-minor passage, and an augmented-sixth chord ushers in the V-of-V that prepares the prolongation of the 2̂ proper. In the Mozart, however, the emphasis on C minor prior to the augmented-sixth chord suggests the possibility of reading the G minor as a passing tone within a modally-inflected voice exchange.[31]

In short, it is not entirely clear that the two parts of what Caplin calls a "two-part subordinate theme" always form a single thematic unit; the parts might well exist on different structural levels.[32] In

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[31] The passage is discussed in Joel Galand, "Heinrich Schenker's Theory of Form and Its Application to Historical Criticism" (Ph.D. diss., Yale University, 1990), 145-48. More recently, James Hepokoski and Warren Darcy have interpreted K. 465 along similar lines in a reading they attribute to Allen Cadwallader ("The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition," *Music Theory Spectrum* 19/2 [1997]: 148-49, n. 43). They propose, however, a direct voice exchange between the tonic and the augmented-sixth chord. If voice exchange there be, it involves only the modally inflected tonic, since the c♯ arises later (temporally as well as conceptually) as a chromatic passing tone that tonicizes 2̂. Compare also the very similar strategy in Mozart's Concerto in Eb, K. 482/i, mm. 106-52, and his Concerto in B♭, K. 595/i, mm. 95-130. Readers consulting an edition of K. 595 that does not incorporate corrections introduced by the *NMA* should look at mm. 87-123.

[32] One further example from Caplin: he analyzes the first couplet from the rondo finale of Mozart's Clarinet Trio in Eb, K. 498, as a "subordinate-theme group (no transition)" (235). To be sure, Mozart follows the tonic PAC at the end of the refrain (m. 16) immediately with an eight-bar sentence in B♭ major. Yet, despite its lyrical self-sufficiency, this theme does not yet mark the definitive arrival of 2̂ over V, and at m. 24 it elides with a more obviously transitional sentence that leads to a half-cadential V-of-V. I would suggest that the 2̂ prolonged in mm. 16-24 serves as a consonant passing tone within a third-progression g—f—e♭ that spans mm. 1-31. It is this third progression that prepares the half cadence on V-of-V, which is extended in mm. 32-34 by a "standing on the dominant." Mozart has, in effect, lavished new melodic material on a passing

*Example 10.*

that case, one might consider the first part of the subordinate theme as still belonging in some sense to the transition. Janet Schmalfeldt has tried, persuasively in my opinion, to reconcile Schenkerian and "traditional" approaches to form (see n. 1 super). The tradition that concerns her is principally that of Schoenberg and Ratz, as transmitted by Caplin. In that study, Schmalfeldt emphasizes intrathematic function. It would be interesting to continue along the lines she suggests, but with an added emphasis on interthematic function. While such a study is beyond the scope of this review, the foregoing discussion suggests that the interpretation of transitional areas would be a challenging place to start.

## The Expositional Closing Function

It is a trivial truth that the rhetoric of sonata form requires not merely that an exposition end but also that it close, and that its final section be devoted to making that closure palpable. Demarcating the boundaries of such closing sections in individual cases, however, has proven to be anything but trivial. Does the closing section encompass the entire group that brings about the final perfect authentic cadence in the subordinate key? Does it begin only with the cadential formulas themselves? Is it limited only to post-cadential codettas? Or is it purely a rhetorical category in its application as well as its effect, its boundaries the objects of persuasion rather than demonstration?

We might begin by examining the range of definitions and descriptions of closing sections proposed by recent style historians and analysts. Consider, for the purposes of discussion, an analysis

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harmony—an apparent dominant step. The regularity of phrasing and the emphasis on melodic invention are characteristic of rondos, of course, but such lyrical effusiveness within transitional material exemplifies a more general Mozartean trait: the subjectivisation of that which is objectively required by the form. For this reading of the Clarinet Trio finale, I am indebted to an unpublished analysis included in the paper "Parenthetical Passages," presented by Edward Laufer to the First International Schenker Symposium, Mannes College of Music, New York (March 1985).

of Mozart's Keyboard Sonata in F, K. 332/i, by Jan LaRue.[33]  His
first closing theme in mm. 82-86 (1K) turns out not to be a theme
at all, but rather a cadential expansion within the theme that began
already at m. 71. The twice-iterated evaded cadence in this passage
exemplifies the technique Koch describes as the *Vielfältigung der
Absatz Formeln*. Evaded cadences are one way among several of
multiplying cadential formulas, and in turn, the multiplication of
cadential formulas is one way among several of extending a closing
phrase (*Schlußsatz*). But Koch's *Schlußsatz* is not the same as the
closing theme or group of sonata theory. A *Schlußsatz* can end with
either an authentic or a half cadence; it is simply a cadential phrase.
In connection with the symphonic allegro, Koch also describes a
different sort of extension:

Following the cadence [i.e., the definitive perfect cadence of the first *Hauptperiode*,
which we would call the "exposition"] a clarifying period is often appended that
continues and closes in the same key in which the preceding one had also closed.
Thus it is nothing else than an appendix [*Anhang*] to the main first period and
both united may quite properly be considered a single main period.[34]

Now, Koch is describing something closer to what some
analysts—though not LaRue—mean by "closing theme." In Koch's
parlance, LaRue's closing section encompasses both the
*Vielfältigung der Absatz Formeln* (mm. 82-85) that expands the
cadence of the main period, and the *Anhang* (mm. 86-93) that
"clarifies" that cadence and enhances its rhetorical effect. Part of
the rhetorical enhancement surely stems from the parallelism
between the appendix and the preceding material (compare mm.
90-93 with mm. 82-86). An analysis that would posit m. 82 as the
initiation point of a formal function is alien to Koch's concept of
form, based as it is on cadential punctuation.

A Schenkerian too would balk at identifying as a new formal
section in the midst of a single tonal motion, namely the
completion of a fifth-progression in the key of the dominant. As
shown in Example 11a, the tonic arrival at m. 86 groups with mm.
71-81, while the parenthetical cadential expansion in mm. 82-85

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[33] LaRue, *Guidelines for Style Analysis*, 169.
[34] Koch, *Introductory Essay*, 199.

groups with m. 86. Example 11b offers an alternate analysis, which follows Schenker's usual practice in according primacy to the final local melodic descent to 1̂. The two alternatives illustrate one point of divergence between eighteenth-century form theory and Schenker's practice: what for Koch would be an internal expansion—an *Einschaltung*—might well prove for Schenker to be the definitive linear progression. Either way, however, mm. 71-86 constitute a unitary tonal motion, no portion of which can be deemed an appendix to an earlier portion. There are three internal points of punctuation in Mozart's subordinate group: a PAC at m. 56, a half cadence at m. 67 (extended through m. 70), and the PAC at m 86. Closing groups, by definition, do not confirm half cadences. Therefore, either the closing group begins already at m. 56 following the first PAC, which seems far too early, or it consists only of mm. 86-93, following the second PAC. The latter solution better accords both with eighteenth-century practice and with Schenkerian theory.[35]

At this point, it may be useful briefly to consider how Schenkerians have generally interpreted movements with multiple internal PACs in the subordinate group. In only three cases did Schenker himself parse the subsections of such subordinate groups: the outer movements of Haydn's Sonata in E♭, hob. XVI: 52, and the first movement of the "Eroica."[36] Schenker claimed that in the Haydn movements, the first internal PAC divides the second theme into two *Teilgedanken*; it is the second and last PAC that initiates the *Schlußgedanke*. As for the "Eroica" exposition, he identified four *Quintzüge* from F to B♭, which correspond to the four PACs in the dominant key. He regarded the material leading to the first

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[35] But see Janet Schmalfeldt, "Cadential Processes: The Evaded Cadences and the 'One More Time' Technique," *Journal of Musicological Research* 12/1-2 (1992): 1-52. She makes the case, in similar situations, for reading along the lines of Example 11a, despite certain theoretical inconsistencies entailed.

[36] Schenker, "Haydn: Sonate Es-Dur," *Der Tonwille* 3 (Vienna: Universal, 1922): 3-21; trans. Wayne Petty, *Theoria* 3 (1988): 105-60. "Beethovens dritte Sinfonie zum erstenmal in ihrem wahren Inhalt dargestellt," *Das Meisterwerk in der Musik* 3 (Munich: Drei Masken Verlag, 1930): 29-101; trans. Derrick Puffett and Alfred Clayton, *The Masterwork in Music Volume III* (Cambridge: Cambridge University Press, 1997), 10-68.

Example 11.

PAC at m. 57 as part of the transition, since this *Quintzug* does not begin in B♭ major. The material leading to the second PAC at m. 83 is entirely in B♭ major, but Schenker still regards it as part of the transition on the grounds that it lacks *sangbare Diminution*. For all of Schenker's invective against Riemann, he shares a tendency to seek the onset of the second subject in a *cantabile* melody. One does not have to subscribe to traditional *Formenlehre*, however, to share with Schenker the intuition that the arpeggiations of mm. 57-83 have the rhetorical effect of an introduction to the second subject. The second subject proper is composed of a phrase and its expanded repetition. Thus, the third *Quintzug* and its expansion as a fourth *durchgearbeiteter Quintzug* together make up a single, vast second subject (mm. 84-143). There remains the suffix on a B♭ pedal point in mm. 144-148.

Schenker's practice accords with Koch's definition of the *Anhang* and, superficially, with Koch's one concrete analysis of a complete symphonic movement: the slow movement of Haydn's Symphony in D No. 42.[37] The piece contains two internal PACs in the dominant at mm. 34 and 49, only the second of which inaugurates the *Anhang*. In that respect, Koch's analysis resembles Schenker's treatment of the two Haydn movements with multiple subordinate-group PACs. But in Koch's example, the material following the *second* internal PAC (mm. 49-66) constitutes an expanded repetition of the material following the *first* (mm. 33-49). This two-fold iteration, linked through *Takterstickung*, surely ought to group together; it is unclear why Koch isolates the expanded repetition as an appendix, rather than as an expansion of the *Hauptperiode* proper. Schenker very likely would have interpreted the form of Koch's Haydn movement along the lines of the third and fourth *Quintzüge* in his "Eroica" analysis. This inconsistency on Koch's part aside, it is possible to venture an important generalization at this point: both in eighteenth-century theory and in Schenker's writings, the closing group tends to follow the *last* internal PAC in the subordinate key area. Both Koch and Schenker, after all, are concerned more with tonal motion and goals, rather than with thematic content. Moreover, for Schenker,

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[37] Koch, *Introductory Essay*, 141-48.

both melodic and harmonic closure are required: a PAC by itself is
not be enough; there needs to be also a strong melodic descent to $\hat{1}$,
which may well be lacking in an earlier internal cadence.

The most thorough Schenkerian interpretation of exposition
thematic functions are William Rothstein's and Kofi Agawu's, both
of whom also draw on eighteenth-century theory. In light of the
analyses by Schenker and Koch cited above, Rothstein's categorical
statement surprises:

[W]e will term as closing theme, or in some cases codetta, only the suffix or
suffixes to the exposition—that is, only those portions of the second group
*following the first strongly articulated perfect cadence in the goal key*...Analyzing the
second group on the basis of the closing cadence does not entirely relieve the
analyst of ambiguities, because there may be some question as to which of two or
three cadences is the closing cadence. Normally, it is the first perfect authentic
cadence in *the* key of the second group. However, there may be a series of perfect
cadences, each one stronger than the last. In such cases it is still usually best to
identify the first of the series as the closing cadence....[38]

To be sure, Rothstein introduces an important qualification: the
boundary point is the first *strongly articulated* cadence. Rothstein
later cites two pieces in which there are in fact two internal PACs
in the subordinate key: the first movements of Haydn's Piano
Sonata in E Minor, Hob. XVI:34, and Mozart's Piano Sonata in G,
K. 283. In both of these cases, the material following the first
internal PAC repeats at least part of the material preceding the first
PAC. Rothstein argues, correctly in my opinion, that the repetition
suggests an expansion of the main period proper, rather than the
initiation of an appendix; this brings him in line with Schenker's
"Eroica" analysis, though not with Koch's Haydn analysis.
Unfortunately, Rothstein gives no indication of how he would have
grappled with multiple cadences in the Haydn movements analyzed
by Koch and Schenker, even though their readings conflict with
some of his basic premises. Indeed, he does not acknowledge the
divergence.

Agawu does not write of closing themes or groups but, more
generally, of "ending," which he describes as follows:

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[38] Rothstein, *Phrase Rhythm in Tonal Music*, 116; my italics.

The primary obligation of an ending is to secure closure for the entire structure. As a sign, the ending has two components—a syntactic one and a rhetorical one. The syntactic component$_\wedge$ is the melodic-harmonic even that closes the overall structure, usually a $\hat{2}$-$\hat{1}$ (or functionally equivalent) melodic progression supported by a V-I harmonic progression. The rhetorical component, on the other hand, is the set of devices that emphasize the close—notably, repetition in various dimensions and on various temporal levels. Both are necessary for the structure to be complete, but attitudes toward the second component vary from genre to genre. [39]

In his actual analytic practice, however, Agawu's attitude varies not only with respect to the rhetorical component, but also to the syntactic one. In the case of Mozart's Quintet in C Minor, K. 406, the ending (mm. 66-94) encompasses all of the material *following* the first PAC in the relative major:

The beginning of the end may be $_\wedge$located in m. 66, where the fundamental line reaches $\hat{3}$ over III or, more locally, $\hat{1}$ over I in E$^\flat$ major. The following twenty-eight measures are therefore, strictly speaking, confirmatory, providing the rhetorical component to the previously executed syntactic function. [40]

The same considerations apply to his analysis of Haydn's Piano Sonata in D, Hob. XVI:37 (71). In the case of Mozart's Piano Sonata in C Minor, K. 457/ii (69-70), however, the ending consists of the passage that *brings about* the PAC in the relative major, following a half cadence on V/III (mm. 9/2-13/2), as well as the material following that PAC (mm. 13/2-16). The ending section in Haydn's Piano Sonata in C$^\sharp$ Minor, Hob. XVI:36, begins at m. 27, two measures after a deceptive cadence on VI/III; here again, the ending effects the first PAC in the subordinate group rather than confirming it. One can only conclude that, for Agawu, the concept of "ending" is largely a rhetorical one; there is no consistent correlation with the melodic-harmonic syntax represented by his Schenkerian analyses.

Caplin, meanwhile, consistently takes a view opposite to Rothstein's: the closing section of a movement follows the *last*

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[39] Kofi Agawu, *Playing With Signs: A Semiotic Interpretation of Classic Music* (Princeton: Princeton University Press, 1991), 67.

[40] Ibid., 68.

theme that carries a PAC; the closing section is entirely post-cadential (16, 122-23). This means, in effect, that Caplin jettisons the idea of a closing theme altogether. Consider the little tunes that frequently round off Haydn's symphonic expositions, e.g., the one beginning at m. 76 of the Symphony No. 93 in D. Rothstein considers it a closing theme on the grounds that it follows a decisive PAC in A major at m. 74.[41] Jens Peter Larsen would likely have termed it an epilogue following a long, unstable *Fortspinnung*. For Caplin, however, it is a second subordinate theme; only the (local) tonic-prolonging suffix at mm. 95-108 counts as the true closing section.

Caplin does not make it entirely clear what counts for him as a post-cadential section. Since most of the Caplin's examples consist of pedal-point progressions or simple alternations of dominant and tonic, one might conclude that the absence of a PAC is the determining factor. But consider Caplin's Example 8.11 (110), reproduced as Example 12. There are two internal PACs at mm. 69 and 75. Why does Caplin consider the material at mm. 66-75 of Mozart's Clarinet Quintet a codetta, while counting mm. 76-95 of Haydn's Symphony No. 93 as a subordinate theme? The only answer consistent with the rest of Caplin's project is the following one: None of the material in a post-cadential section is analyzable as a sentence, period, or hybrid. In the Haydn Symphony, the putative closing theme is a regulation period, with a modified and expanded repetition. In contrast, mm. 66-69 of the Clarinet Quintet consist merely of a basic idea followed by a contrasting idea. One might argue that these four measures form an antecedent phrase, of which the immediate expanded repetition serves as consequent. But for Caplin, hierarchical cadential differentiation along with melodic parallelism is equally determinative of periodic

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[41] Rothstein, *Phrase Rhythm*, 116.

*Example 12.*

Example 12. (cont.)

structure. If the first two beats of m. 69 had A-G# in the melody, thereby effecting an imperfect cadence, Caplin would presumably have analyzed mm. 66-75 as a third subordinate theme.[42]

Some scholars will find Caplin's definition of a closing section overly restrictive, especially since it contradicts many contemporary approaches to sonata form. The conflict does not arise from incommensurable paradigms, of course. Caplin knows perfectly well what sorts of themes are commonly designated as "closing":

> One thematic situation previously described, however, resembles somewhat the traditional notion of a "closing theme," namely, the case in which the final subordinate theme of a group acquires a relatively tight knit organization, so that its sense of being a subordinate theme, with a markedly loose organization, is minimally expressed.... (273 n. 84).

Caplin's description fits precisely those Haydn tunes that Rothstein and Larsen, among others, consider archetypal closing themes.[43] The conflict in interpretation lies purely in what a "closing" is taken to be. For Caplin, a closing section is post-thematic and post-cadential; all the work of the exposition is done, and there remains only the matter of extending the final point of punctuation. Thus, because the reiterated five-bar idea at m. 72 of Haydn's Symphony No. 99 is a genuine theme—a sentence with compressed presentation and continuation—Caplin would likely consider it a second subordinate theme. Only the material at m. 81, following the last cadence of the final exposition theme, constitutes a "closing section." But for other analysts, the effect of the entire tune, following a particularly hard-won PAC, is one of relaxed closure.

The conflict between Caplin and, say, Rothstein, over the boundaries of the closing section, though perfectly comprehensible, may be unresolvable for the simple reason that "closing" is

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[42] A small question about Example 15: Why does Caplin label the material at mm. 50-65 as "Subordinate Theme 2" instead of "Subordinate Theme 1 (repeated with extension)"? That would be consistent with his labeling of mm. 70-75 as "Codetta 1 (repeated with extension)."

[43] Some further examples: Symphonies No. 99, mm. 71-81; 103, mm. 79-87; 104, mm. 100-16.

ultimately a rhetorical category that defies formal precision. We can demonstrate that different theorists are invoking different values in different ways, but it is unlikely that we can produce agreement on what those values should be. Consider the LaRue analysis cited earlier: though it cuts against the grain from both a Schenkerian and a Schoenbergian perspective, it is not entirely without foundation. One could make the perceptual claim that it is precisely when Mozart introduces a series of evaded cadences in rapid succession that the auditor senses an imminent ending. A largely unarticulated appeal to listener psychology seems to lie behind LaRue's thinking here. Both Kochian and Schenkerian theory, on the other hand, appeal mainly to composer psychology, with predictably different analytical results.

Having said that much, I propose that in the particular case of Haydn's Symphony No. 99, a reading is possible that reconciles opposing viewpoints (see Example 13). The melodic goal of the PAC at the end of the subordinate theme (mm. 48-70) is suppressed; m. 71 merely introduces the accompanimental figure to the little five-bar tune in mm. 72-76. Of course, the B$^\flat$ melodic goal is surely implied, but it takes the course of the five-bar tune for it to literally appear, in the lower of the two registers opened up by the subordinate theme. Schenker's two criteria, harmonic and melodic/contrapuntal closure, are both fulfilled, but the point of punctuation is staggered: the bass and melodic arrivals do not temporally coincide. From the melodic perspective, the five-bar tune is still an integral part of the subordinate group. On the other hand, the rhetorical emphasis that Haydn bestows on the IV-V at m. 70 gives the impression that the theme in mm. 71-76 merely prolongs the $\hat{1}$ that is its goal. Not all similarly-located tunes can be analyzed this way, but this example suffices to suggest that "closing section" is less a unitary concept than an array of strategies.

## Ritornello Forms

Caplin's chapters on rondo and concerto are perhaps the best we have in a general account of classical form. They should be required reading for any course that plans to consider such pieces

Example 13.

analytically. Inevitably, there are minor quibbles one might express. Caplin's concerto form (not forms) is a two-solo, three-ritornello plan, although he admits:

> Given that the beginning of the recapitulation often brings the full orchestra alone, historians have sometimes recognized a formal "ritornello" at this point, one that harks back to earlier mid-century models of the concerto. (287, n. 39)

Mid-century concertos did indeed often present a three-solo, four-ritornello plan. In those earlier plans, however, the third ritornello more often served not to initiate the tonic recapitulation but rather as a retransition, e.g. from VI to I. Koch likened this third ritornello to the *Nebenperiode* in a symphonic movement that connects the two sections of the second *Hauptperiode*, or, in modern parlance, the retransition that connects development and recapitulation. To be sure, such third ritornellos disappear in Mozart's later works, but instances arise in his Salzburg years (e.g., Violin Concerto in B♭, K. 207). They are very common among Haydn's concertos, most of which predate Mozart's (e.g., the Keyboard Concerto in C, Hob. XVIII: 5). Since Caplin's account of the concerto is so thorough in all other respects, he might have thrown in a bit more information about the interaction between tutti and solo at or just before the tonic return—beyond his citation of Jane Steven's work.

Having said this, I have a somewhat different interpretation of one of Caplin's rondo forms. According to Caplin:

> One standard deviation [from sonata-rondo form], adopted frequently by Mozart, eliminates refrain 3 from the form. Since a full sonata-rondo brings four statements of the refrain, omitting one of them does not significantly impair the rondo effect. When refrain 3 is left out, couplet 3 usually begins directly with the subordinate-theme group. In such cases, the end of couplet 2 usually brings material from the transition of couplet 1 to prepare for the recapitulation of the subordinate theme in couplet 3. (239)

What he is discussing here is a modification of the following sonata-rondo form:

| Exp. | | | Episode/Dev. | Recap. | |
|---|---|---|---|---|---|
| A — | B$^1$ — | A — | C ———————— | A — | B$^2$ — A |
| I | V | I | (x) | I | I |
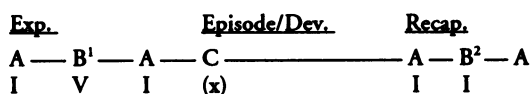
Caplin derives Mozart's finale form by omitting the third refrain in this schema, thereby effecting what appears to be a reversed recapitulation following the central episode cum development.[44] Now, we could assume an omitted refrain if Mozart actually set up this expectation only to frustrate it, but he does not. Rather, the phenomenological effect of these finales accords better with the following binary schema:

Principal Trans. Subordinate Closing

I        I → → V

Principal (Expansion) Trans. Subordinate Closing Principal/Coda:_

I → → X  →    →    V I

("X" denotes non-tonic, non-dominant area)

In the finale of the Quintet in C, K. 515, which Caplin cites (285 n. 39), Mozart conveys the expectation that the developmental expansion in mm. 289-332, itself inextricable from the recapitulatory process, will be followed not by another rondo return but by the remaining exposition material.

Since I have discussed K. 515 elsewhere,[45] I propose a reading of the finale from the companion piece, the Quintet in G Minor, K. 516. This movement differs from the K. 515 finale in so far as its developmental expansion is preceded by a closed subdominant episode, lending it a more pronounced rondo character. Nonetheless, the binary framework described above still obtains. Example 14 presents an analytical graph in which the two prongs of the bipartite plan are aligned. The initial tonic group of Part I forms, in typical rondo fashion, a self-contained structure comprising two small binary forms, labeled 1P and 2P, (mm. 1-19) and (mm. 20-41).[46] Through linkage technique, the cadential

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[44] Caplin does not make the analogy to a reversed recapitulation. Others have; see, for example, Schenker, *Free Composition*, 142.

[45] Joel Galand, "Form, Genre, and Style in the Eighteenth-Century Rondo," *Music Theory Spectrum* 17/1 (1995): 45.

[46] Here I adopt LaRue's symbols P, T, and S as shorthand for designating, respectively, first-group, transitional, and second-group materials within sonata expositions (see n. 6 above). Arabic numerals preceding these letters (e.g., 1P)

formula of 2P becomes the motive of the ensuing transition (mm. 42-50) and of the second group. A brief retransition leads to the opening tonic material at m. 107. Here Mozart repeats only the first of the two tonic themes, altering its ending so as to lead at m. 138 to a subdominant episode, another closed binary theme. There follows at m. 155 a developmental expansion of the previously omitted second tonic theme, which merges at m. 172 with a transposition at the lower fifth of the original transition and second-group material.

In short, mm. 138-178, which in a conventional rondo analysis would be designated as the "second episode" or "C section," combine several formal functions. Measures 138-154 comprise a lyrical, contrasting episode based on the upper neighbor $\hat{4}$ to the primary tone; in retrospect this episode may be read as an interpolation within the recapitulation of the first group. Measures 155-178 function both as the recapitulation of the second tonic theme and transition, and also as a development. The second group itself is fused with the development because the $\hat{4}$ does not definitively resolve until m. 182; the I at m. 179 is in this sense parenthetical. Finally, the coda after m. 223 serves both as a partial final ritornello and as a terminal development, since it alludes to material from the developmental expansion at mm. 155-172.

The design of K. 516/iv—its particular fusion of ritornello and binary principles, and its thorough amalgamation of development and recapitulation—is characteristic of Mozart's finales after 1775, his concertos in particular. It does not arise from the abridgment of a form that, in any case, was strictly codified only around 1845, when A. B. Marx described the *Sonatenartige Rondo*.[47] Rather, Mozart incorporates ritornello procedures within the framework of an exposition immediately answered by a recapitulation that is enlarged through what eighteenth-century theorists might have termed an *Einschaltung*.

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distinguish individual themes. Lower-case letters (e.g., Pa) designate intrathematic formal components, such as antecedent phrases.

   [47] Adolf Bernhard Marx, *Die Lehre von der musikalischen Komposition* (Leipzig: Breitkopf & Härtel, 1845) 3:298-304.

*Example 14.*

## Development Sections

There are several other aspects of Caplin's book worthy of attention. The chapter on development sections gives us much information on their thematic structuring and the ways in which their formal units relate to the theme types established in earlier chapters. In connection with the large-scale organization of developments, Caplin introduces some terminology that may be unfamiliar to most North American readers. The central portion of a development section consists of one or more "core" sections (after Erwin Ratz's *Kern der Durchführung*):

[The core] establishes a relatively large model, which is repeated sequentially one or more times. Subsequent fragmentation leads to a half cadence (or dominant arrival) of either the home key or a development key....Lengthy development sections are likely to contain two different cores: the first normally confirms a development key, and the second leads to the dominant of the home key to prepare for the recapitulation. (141)

In shorter development sections, the establishment of the development key is followed not by another core, but rather with a briefer retransition. The core is typically preceded by a "pre-core," namely a relatively stable, tight-knit opening phrase or series of phrases. Caplin also presents a variety of developmental plans that do not contain a core as he has defined it. I have found Caplin's formal divisions of developments distinctly useful in helping undergraduates find their way, both analytically and compositionally, in a portion of sonata form that is often for them an impenetrable thicket. My only regret is one that Caplin expresses: "A more detailed investigation into middle-ground tonal plans for development sections lies beyond the scope of this study." Without going as far as providing a "detailed investigation," it might have been feasible in this case merely to append to his discussion a chart of typical large-scale bass plans, supplemented with occasional figured-bass and Roman-numeral symbols. Such a chart, together with Caplin's existing discussion, would provide undergraduates with all the information they would need to organize their own development sections. The same might be said of transitions as well. Still, in light of the many riches that Caplin's

text affords us, it seems mean-spirited to complain about what he didn't do. *Classical Form* is a tremendous piece of theoretical research, one that is sure to engage scholars at all levels for years to come.