Interrelations between Expression and Structure in the First Movements of Joseph Haydn's Piano Sonatas Hob. XVI/44 and Hob. XVI/20

Lauri Suurpää

There is no form of instrumental music that is more capable of depicting wordless sentiments than the sonata….In a sonata, the composer might want to express through the music a monologue marked by sadness, misery, pain, or of tenderness, pleasure and joy; using a more animated kind of music, he might want to depict a passionate conversation between similar or complementary characters; or he might wish to depict emotions that are impassioned, stormy, or contrasting, or ones that are light, delicate, flowing, and delightful.

This quotation from a well-known description of the Classical sonata, the article on "Sonata" from Johann Georg Sulzer's *Allgemeine Theorie der schönen Künste*, published in 1771–74, sums up a pertinent late-eighteenth-century view of music generally and sonata specifically: it emphasizes the significance of emotions, a recurrent theme in eighteenth-century texts.[1] Exactly contemporaneous with the works that form the topic of this study (the first movements of Joseph Haydn's Piano Sonatas in G minor, Hob. XVI/44, and C minor, Hob. XVI/20), it might also be a description of them—a rather poetic and imprecise one, to be sure.[2] In this paper, I will analyze the Haydn movements by means of two broad and ultimately intertwined approaches. On the one hand, I will examine expression and narrativity, aspects related to the Sulzer quotation above, while on the other, I will study the movements' form and structure. The approach thus combines what

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[1] Translation from Baker and Christensen 1995, 103–04.

[2] The exact dating of the sonatas is difficult. A. Peter Brown has discussed this issue in detail and suggested that the G-minor Sonata was composed ca. 1770 (Brown 1986, 123). At first the dating of the C-minor sonata would seem to be more straightforward, since its incomplete autograph is marked with the year 1771. Brown does not conclude, however, that this is necessarily the year in which the sonata was completed. He suggests two possibilities: either that the entire work was composed ca. 1771, or that it was set aside after 1771 and completed only later, perhaps at the end of the decade (ibid., 120).

Peter Kivy calls the "emotive" and "technical" descriptions of music.[3]

I will concentrate on notions of confirmation, completion, and closure, studying situations in which the large-scale framework predicts certain confirming, completing, or closing gestures while the music's local course seems to deviate momentarily from the expected course. In the end, the predicted goal usually—though not always—arrives, but moments of uncertainty sometimes obscure the actual path leading to that goal. This dialogue between the general (i.e., the large-scale framework) and the particular (i.e., the actual way in which the music executes the framework in individual pieces) relies on the significance that conventions play in the music of the Classical era. Normative, archetypal procedures are often associated with works in a certain genre—in this instance with first movements of minor-mode piano sonatas. This paper concentrates largely on one class of these conventions: important musical goals, particularly cadential arrivals. The locations of these cadences are predicted by the common principles encountered in Classical sonata-form movements, but the common framework does not forecast the actual paths leading to them.

Since my analyses emphasize the dialogue between a general framework of expectations and the details of the two Haydn movements—that is, the ways in which the expectations are or are not fulfilled—the notion of hierarchy is of great significance. I make hierarchical distinction between, on one hand, a deep-level, general framework and, on the other, a local layer that occasionally features unexpected twists. This distinction resembles, to some extent, the one made by Mark Evan Bonds between "conformational" and "generative" aspects of musical form.[4] The former is used to "denote those various structural elements that a large number of works share in common. In terms of practical analysis, this approach to form looks for lowest common denominators and views individual works in comparison with such stereotypical patterns as sonata form, rondo, ABA, and the like."

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[3] Kivy 1989, 5–9.

[4] Bonds 1991, 13–30. This distinction resembles Robert Hatten's division between musical features he calls "stylistic" (general within the style) and "strategic" (work-specific) (Hatten 1994).

The latter, on the other hand, "sees form as the unique shape of a specific work. This view, unlike the first, is essentially generative, in that it considers how each individual work grows from within and how the various elements of a work coordinate to make a coherent whole."[5] Rather than stressing the differences between the two layers, though, I aim to examine how they interact in the two Haydn movements—and, specifically, how the general creates expectations and how the particular does or does not fulfill them.[6]

My aim in discussing expressive and structural features alongside each other is twofold: First, I provide analyses that elucidate these works in a more thorough manner that an analysis concentrating either on structure or on dramatic factors alone would do. Second, in my analysis of the two movements, I also indirectly address the topic of how expression and structure—considered more broadly—interrelate in the Classical repertory. The two works examined hardly give sufficient material for far-reaching generalizations; rather, they function as case studies. Nonetheless, I conclude with some tentative, overarching observations on the issues suggested by the analyses.

Expression

My approach to the movements' expressive and narrative aspects consists of two essential levels. The broad level spans entire movements and is common to numerous Classical minor-mode works. As such, it provides a generic framework within

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[5] *Ibid.*, 13–14.

[6] The topic of expectations and the success or failure in confirming them has been examined in several recent studies. For example, David Huron has suggested, from the perspective of psychology, that expectations created by various musical factors (tonal, formal, motivic etc.) are integral for our perception of music as well as for our emotional response to it. Huron argues, further, that our affective reaction to music's failure to fulfill the expectations has a biological foundation (Huron 2006). Elizabeth Hellmuth Margulis, taking another approach, has proposed a "taxonomy of expectation in music" which includes aspects like "time course" (the moment when the listener assumes the expected entity to occur) and the "object" of expectation (varying from specific factors like chords to more general phenomena like closure) (Margulis 2007).

which the specific features of the music's expressive course occur, functioning somewhat similarly to sonata form in its formal design or to an *Ursatz* in its voice-leading structure. The two movements' large-scale expressive trajectories are examined using Robert Hatten's notion of "expressive genre." With this idea, Hatten refers to the underlying, primary expressive states of a work. "Expressive genres…are, in one sense, the largest types encountered in a style. As is the case for forms such as sonata, they also function as schemata, but at a more archetypal level."[7] In other words, they stem from the general aspects of a style rather than from the particular features of an individual work. Expressive genres are often oppositional in character, so the tension between the poles of expressive opposition contributes to the musical drama. The broader of my two analytical purviews focuses on explicating the opposition between two basic emotions: *Tragic* and *Joyful.* Here, I associate the former with the minor, the latter with the major.[8] As Hatten has noted, *Tragic* and *Joyful* (or "nontragic" in his terminology) are the two primary expressive states of Classical music and are usually associated with the minor and the major, respectively.[9]

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[7] Hatten 1994, 69. Hatten has discussed the notion of expressive genre in detail in Hatten 1994 and Hatten 2004. The narrative implications of the expressive genre are clearly presented in Hatten 1991. Hatten is not, of course, the only scholar who has suggested that the expressive events of music have narrative implications, even though they do not have direct extramusical references: other studies discussing this issue include Karl 1997 and Klein 2004.

[8] Even though such an association of tragic with the minor and joyful with the major can be understood as a truism or simplification, it seems so obvious that it cannot be overlooked when approaching the issue of expression in the music of Haydn and his contemporaries. For a discussion on eighteenth-century writers' comments on the affective qualities of the major and the minor, see Grave 2008, 27–34. In the two movements discussed presently, this connection seems corroborated over and over again in piece-specific ways, thereby justifying its application. With this said, I certainly do not wish to deny the existence of instances in the Classical repertory where this association does not apply. Such a broad discussion of this issue is outside the scope of this essay; for our purposes, it is sufficient that this association is valid in the two individual movements examined here.

[9] Hatten 1994, 75–82. At a more general, philosophical level, it has been argued— quite convincingly in my view—that music is incapable of reflecting higher

In both movements (as in many other Classical minor-mode sonata forms), the expressive genre introduces the opposition between *Tragic* and *Joyful* in the exposition, subsequently relinquishing the *Joyful*. Of the two expressive states, *Tragic* is the primary one, while *Joyful* provides contrast.[10] The motion from the tension between the two emotions into the confirmation of the primacy of the *Tragic* is of great significance for the music's expressive drama. As Hatten observes, "Another way of conceiving contrast…is in terms of an ongoing, dramatic 'working out' of oppositional forces, and it is this characterization that underlines change-of-state expressive genres."[11]

This underlying expressive genre of the two Haydn movements can be schematized as "*Tragic* vs. *Joyful* → *Tragic*," a motion from tension to release.[12] It functions as a kind of "narrative archetype," to use a term used in more specifically narrative studies and applied recently by Byron Almén to music. Significant for us here is Almén's first step to undertaking a narrative analysis: "For each analyzed piece, the musical elements that are in conflict must be identified….The significant elements represent a 'problem' for

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emotions that require an object; music cannot be jealous of something, for example. Thus, according to this argument, music can reflect only basic emotions such as sadness and joy, the two emotions on which I concentrate, since they can be recognized without any known object. As Stephen Davies puts it: "[Some] emotions have typical behavioral expressions that retain their expressive character to an observer who knows nothing of the emotional object, beliefs, desires and context of the person expressing them. I take sadness and happiness to be examples of these emotions" (Davies 1994, 226).

[10] Such a scheme was paradigmatic in minor-mode sonata form of Haydn's *Sturm und Drang* period, as well as in works written by other composers in the 1760s and 70s. In Haydn's later minor-mode works, this scheme was often replaced by recapitulations that reached the parallel major, thereby ending the movement in joyful expression.

[11] Hatten 1994, 74.

[12] I depart here slightly from Hatten's definition of expressive genre. For him change-of-state expressive genres move from one expressive state to another (for example, "tragic-to-transcendent") whereas the underlying expressive genre I propose for the Haydn movements moves from tension to release ("tragic vs. joyful → tragic").

which the music provides a resolution."[13] The expressive genre of the two Haydn movements fulfills this requirement, providing a conflict (i.e., *Tragic* vs. *Joyful*) as well as a resolution to it (i.e., the confirmation of the *Tragic*).

Neither the expressive genre nor the narrative archetype describes the specific trajectory of individual pieces; they merely provide its framework. As Almén has noted, "The primary task of a narrative analysis is to correlate the details of musical activity with a temporal model that describes how the primary conflicting elements influence each other….As a result, an effective analysis must attempt to explain why certain musical events seem surprising, interesting, shocking, or otherwise salient."[14] As we will see, the influence of the narrative archetype "*Tragic* vs. *Joyful* → *Tragic*" can be traced locally in the music's attempts to reach gestures that confirm—or attempt to confirm—either *Tragic* or *Joyful*. There are often detours in arriving at these anticipated goals (if they arrive at all), and these detours are significant for the music's local expression.

Some of the rhetorical figures described by Johann Adolf Scheibe in his *Critischer Musikus* (1745) aptly describe the local events that deviate from the expected path.[15] I will apply those of Scheibe's figures that describe expressive processes (shown in Table 1). These are pertain to the relationship between expectations and their fulfillment. *Interrogatio*, *dubitatio*, and *suspensio* all suggest motion from suspense to clarification. The three overlap to some degree, but I will make the following distinction among them: *Interrogatio* is the most local of the three. It poses a musical question in the form of local suspense, which immediately receives a clarifying answer. *Dubitatio* refers to somewhat larger musical spans than *interrogatio*; in the former, the goal is made clear by the global context, but detours postpone its arrival. *Suspensio*, in contrast to the others, describes a situation where the global

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[13] Almén 2003, 19–20. Almén further develops his ideas on musical narrativity in Almén 2008.

[14] *Ibid.*, 20.

[15] Scheibe 1745, 683–99. For discussion on Scheibe as a writer on musical rhetoric, see Bartel 1997, 148–56; and McCreless 2002, 870–72.

Table 1. Some rhetorical figures from Johann Adolph Scheibe's Critischer Musikus *(1745)*[16]

Dubitatio The next figure is doubt or *dubitatio*. It indicates an uncertainty or indecision and is particularly important in music….Should the combination and correlation between the melody and harmony result in the listeners' uncertainty regarding the music's progression and ultimate conclusion, it is an indication of the composer's adept expression of *dubitatio*….However, the *dubitatio* must not confuse the composer's own arrangement or the proper coherence of his music.
Ellipsis The next figure is the suppression or *ellipsis*, or the breaking off of a passage which one only begins but does not completely finish. It can occur in two forms. First, one can suddenly break off and remain silent in the middle of a passage in a vehement affection. Or one can alter the expected ending notes of a passage and proceed to a completely foreign and unexpected chord.
Gradatio The ascension (*gradatio*) occurs when one progresses by step from a weak passage to stronger ones, thereby gradually increasing the importance and emphasis of the expression of music.
Interrogatio The next figure is the question or *interrogatio*….A lengthy piece which is constructed out of numerous connected melodies retains a pleasant cohesion through a frequent application of the *interrogatio*. The subsequent passage must also provide clear answers in response, as it were. Furthermore, the figure can very well be doubled, resulting in numerous successive questions.
Suspensio. The next figure is *suspensio* which occurs when a passage begins from a remote point and progresses through a considerable time through numerous digressions in such a manner that the listener cannot immediately discern the intention of the composer but must await the end where the resolution becomes self-evident.

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[16] Scheibe 1745, 686-97; English translation from Bartel 1997, 224-316.

context has not definitively determined the goal, creating an element of genuine surprise. The other two figures in Table 1, *ellipsis* and *gradiatio*, are self-explanatory; the former refers to situations in which expectations are first created but not subsequently fulfilled, while the latter refers to an increase in emphasis, ultimately leading to a culmination.

Connecting rhetorical figures with expression accords with Scheibe's own views: "Music is like oratory and poetry. These two free arts could show neither fire nor tender character if one is not willing to use figures. Can one stimulate and express movement of sentiments without figures? No. Figures are a language of affections."[17] His emphasis on the process-like nature of figures was new in the history of musical rhetoric. Scheibe no longer understood figures as they had often been described in the Baroque era, for instance as explanations for dissonance treatment or the use of certain intervals. Rather, he understood them as affecting the course of music on a broader level: "When correctly understood, figures do not refer to any specific fundamental notes [*Grundnoten*]… [Rather,] they very often affect the course of musical periods. They consist, thus, at the same time of harmony and melody, and therefore principally influence the relationships [*Zusammenhang*] within a musical work."[18] In other words, Scheibe's figures operate on a phrase level rather than on the level of individual notes.[19]

There is also a historical interest in the application of Scheibe's figures: he was, after all, writing roughly at the same time as Haydn composed his sonatas. I do not mean to suggest that my rhetorical

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[17] Scheibe 1745, 683. Some scholars have stressed the structural rather than the expressive nature of rhetorical figures when examining the music of the Classical era. In his study of Mozart's piano sonatas, John Irving has argued that "rhetorical *figurae* apply to adornment of structure….Musically, this comprises the embellishment of a theme by various means, of which two are fundamental, *decoration*…and *development*" (Irving 1997, 151–52).

[18] Scheibe 1745, 684.

[19] Michael Spitzer has suggested that Scheibe's figures are no longer related to music's local events but rather to the *dispositio*, the overall course of a musical work: "Scheibe's most striking innovation was to apply figures originally denoting local or contrapuntal progressions to the broader levels of the piece, to the *dispositio*" (Spitzer 2004, 186).

comments constitute an attempt to somehow recreate an eighteenth-century view on the two Haydn movements; this is clearly not the case. Yet, the application of rhetorical figures does lay the groundwork for a more modest historical association. As James Webster has suggested, gestures and rhetoric play a significant role in Haydn's *Sturm und Drang* works.[20] The use of rhetorical figures applies terminology that eighteenth-century musicians themselves used in discussing gestures and musical expression. I do not, however, claim to understand Scheibe's figures in the same way in which eighteenth-century musicians did, which is not necessary to applying them. Thus, I agree with John Neubauer, who has argued that "if it should be the case that the glory of seventeenth- and eighteenth-century music partly derives from the deliberate employment of musical figures as a code, then the confusion and mistakes in their translation are hardly relevant."[21]

Form and Structure

I will also analyze form and structure at various hierarchical levels. The overall sonata form is approached from the perspective of the Sonata Theory of James Hepokoski and Warren Darcy.[22] I will use their concepts of "medial caesura," "essential expositional closure," and "essential structural closure" to describe the primary articulating cadences of sonata form (see Table 2). These cadences divide the exposition and the recapitulation into individual zones, thus providing a framework for archetypal Classical movements in sonata form. Meanwhile, my more local, phrase-structural analysis of the form draws upon William Caplin's taxonomy of formal functions.[23] Caplin makes a distinction among three such functions: initiating, medial, and concluding (see Table 3). I am mainly concerned with the relationships between medial and

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[20] Webster 1991, 123–27.

[21] Neubauer 1986, 40.

[22] Hepokoski and Darcy 2006

[23] Caplin 1998.

Table 2. Terms and abbreviations used in the analysis of sonata form (after Hepokoski and Darcy 2006)

primary-theme zone (P)	opening thematic unit, consists of one or several thematic modules
transitional zone (TR)	area characterized by energy-gain, leads to the medial caesura
medial caesura (MC)	a rhetorically reinforced gap that divides the exposition into two parts, most often a half cadence in the secondary key
secondary-theme zone (S)	the first thematic unit in the secondary key, ends in a perfect authentic cadence
essential expositional closure (EEC)	a perfect authentic cadence in the secondary key, usually the first in this key, closes the S
closing zone (C)	post-cadential modules that follow the EEC, confirm the cadence and closure
P⇒TR	primary-theme zone and transition have been merged; i.e., the section begins as a P but later assumes the function of a TR
essential structural closure (ESC)	usually the first perfect authentic cadence in the S of the recapitulation, usually corresponds to the EEC in the exposition

Table 3. *Terms and abbreviations used in the analysis of phrase structure (after Caplin 1998)*

initiating function	temporal quality of "beginning"
medial function	temporal quality of "being-in-the-middle"
concluding function	temporal quality of "ending"
period	a thematic unit consisting of an antecedent phrase and a consequent phrase, the latter of which ends with a more conclusive cadence than the first
sentence	thematic unit consisting of a presentation phrase and a continuation phrase
presentation phrase	the first phrase in a sentence, consists of a basic idea and its repetition
continuation phrase	the second phrase in a sentence, often fuses medial and concluding functions, ends in a cadence
basic idea (b.i.)	two-measure initiating idea
R = 1/2N	a single real measure occupies only one half of the notated measure; i.e., a basic idea, for example, lasts one measure instead of the usual two

concluding functions; the former signifies a process of aiming toward the goal, while the latter, always ending in a cadence, signals the arrival of that goal.

Cadences play a significant role in the theories of both Hepokoski and Darcy, and Caplin. The sonata form's primary articulation through the medial caesura, essential expositional closure, and essential structural closure provides the generic archetypal framework, which functions in my analyses of form somewhat similarly to the expressive genre in the examination of expression. At the more local phrase-structural level the relationships between medial and concluding functions indicate how obstacles may stand in the way of arriving at the expected concluding cadences. In the analyses, I will relate different layers of form to different structural levels of voice leading, described from a Schenkerian perspective. The background voice leading provides the archetypal framework while the middleground and foreground reflect the detours, deviations from the expectations created by the background.[24]

Suspense and Surprise

In sum, I will examine the relationships between deep-level frameworks and their local elaborations in the musical expression, form, and structure. I will focus on expressive, formal, and structural closures and clarifications, examining in particular the suspense preceding these confirming and closing musical gestures. The meaning of suspense here is a special one: As the large-scale framework has already defined the objective prior to its arrival, our sense of doubt is not concerned with the *what* of the goal that is being foreshadowed. Rather, it concerns *how* this goal is reached—the obstacles or detours that delay its arrival. This distinction between "suspense" and "surprise" can be illuminated by the literary critic Seymour Chatman's book, *Story and Discourse*, in which he argues that in fiction, doubt of the outcome is not a prerequisite

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[24] I use the term background in a broader sense than Schenker does, also including deep middleground levels that establish the archetypal voice-leading patterns underlying sonata-form movements.

for the emergence of suspense or uncertainty. "If, indeed," he says, "we are not surprised by the character's doom, how can we speak about 'uncertainty'? At best, it must be a partial uncertainty: the end is certain, all that is uncertain is the means….So anxiety is not a reflex of uncertainty about the conclusion, since that is already foregone. It is rather that we know what is going to happen, but we cannot communicate that information to the characters, with whom we have come to empathize."[25] So, surprise is not a prerequisite to suspense—we already know what the goal will be, so its arrival creates no sense of surprise. Gerald Prince explains this concisely when defining the function of suspense in narratology; for him, suspense may emerge "when a given outcome is known but how and when it will occur is not."[26]

My analyses, therefore, aim at clarifying how the local levels of music (i.e., rhetorical figures, phrase structure, and foreground voice leading) create suspense with respect to the goals defined by the archetypal deep levels (i.e., expressive genre, sonata form, and background voice leading). The intention is to elucidate the relationships between expression and structure in situations where there are detours in reaching the goal—that is, the expressive effect created by these detours and the structural features underlying them. I believe that such a dual perspective illuminates the effect of the detours better than either expression or structure alone would do. At times in the two movements, the underlying schemes predict the outcomes incorrectly, or not at all, engendering a sense of genuine surprise. In such situations, it is important to examine what the actual goals are (i.e., those not determined by the archetypal schemes) in addition to how they are come to be.

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[25] Chatman 1978, 59. Chatman quotes Alfred Hitchcock who understands tension similarly: "It is possible to build up almost unbearable tension in a play or film in which the audience knows who the murderer is all the time, and from the very start they want to scream out to all the other characters in the plot, 'Watch out for So-and-So! He's the killer!'" (quoted in *ibid.*, 59–60).

[26] Prince 2003, 96.

Overview of Hob. XVI/44

Example 1 offers an overview of the opening movement of
Hob. XVI/44. The expressive genre is shown on two levels: the
deeper *Level 1* indicates the underlying "*Tragic* vs. *Joyful* → *Tragic*"
scheme, while the more local *Level 2* indicates how this is
elaborated. The opening state of *Level 1* (i.e., *Tragic* vs. *Joyful*)
encompasses the exposition and development, and includes two
kinds of Level-2 states—static states, and states featuring struggle.
Tragic occurs as a stable state in the exposition's primary-theme
zone (in addition to the entire recapitulation), whereas *Joyful* is
stabilized in the secondary-theme and closing zones of the
exposition. The transitional zone of the exposition and the entire
development include struggle.

The two poles of the expressive opposition do not, in my view,
simply appear to be neutral emotions. Rather, I would argue that
the *Tragic* is imbued with negative associations, and the *Joyful* with
positive ones. That is, the *Tragic* seems to represent in the work an
emotion that the music would like to avoid, while the *Joyful* stands
for one that it would like to establish. Striving toward the *Joyful* and
attempting to avoid the confirmation of the *Tragic* will turn out to
be important in the movement's expressive narrative, as was
common in eighteenth-century sonata form. James Hepokoski and
Warren Darcy have suggested, "The desire to be emancipated from
minor into major constitutes the basic narrative paradigm…of
minor-mode sonata form. Within this paradigm a minor-mode
exposition can offer the promise of modal release….A more stable
emancipation from the tonic minor, however…, can be effected
only by a lasting conversion into the *tonic* major [in the
recapitulation]."[27] Similar tension between positive and negative
poles has been described in more general, music-narratological
terms by Byron Almén: "The oppositional pole that elicits the
analyst's sympathy as listener must be identified for each
piece….This identification process can be aided by topical

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[27] Hepokoski and Darcy 2006, 311; emphasis in the original.

Example 1. Haydn, Piano Sonata, Hob. XVI/44, I, overview of voice leading, form, and expressive genre

or conventional associations such as the contrasting use of major or minor, but such associations need not be present."[28]

The form of the movement quite closely follows the scheme proposed by Hepokoski and Darcy, the only somewhat unusual feature being the recapitulation's first part, which includes no independent transition (P⇒TR). Example 1 also indicates the movement's primary cadences, which function as significant tonal goals. In the relationship between formal organization and voice-leading structure, it is worth noting that I interpret the essential structural closure in m. 63, but read the arrival at the background $\hat{1}$ only in m. 71. The fact that the form and voice leading arrive at deep-level closure at different places has significant expressive and narrative consequences.
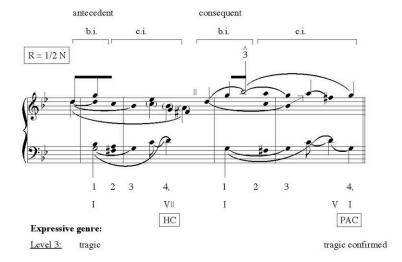
Striving toward Joyful: The Exposition of Hob. XVI/44

The exposition takes the first step of the movement's expressive narrative, moving from the *Tragic*, securely established in the primary-theme zone, through the struggle of the transitional zone to an unequivocal joyful state in the secondary-theme and closing zones. The primary theme, mm. 1–4, establishes both the tonic key of G minor and the opening tragic expression. (See Example 2; the foreground examples show still another layer of the expressive genre, *Level 3*.) I should make one clarification regarding the analytical examples of the foreground. In this movement, one half-measure functions as an independent unit both in the metrical and in the phrase-structural organizations. Hence, I have shown two beats of a hypermeasure within one measure, and I interpret basic and contrasting ideas that last only one measure instead of the typical two. In the examples, I have indicated this by showing that one "real" measure occupies only one half of the notated measure (R=1/2N), a designation suggested by William Caplin for

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[28] Almén 2003, 20. An interesting rhetorical counterpart can be found in the writings of Johann Christof Gottsched, whose texts were an important source for Scheibe and influenced his discussion of rhetorical figures. Gottsched argued that emotions can be reduced to a basic pair of attraction and repulsion (Conley 1990, 207).

describing situations like this.[29] Example 2 shows that the primary theme consists of a period whose antecedent and consequent both occupy one hypermeasure. The symmetry of the period and the closing perfect authentic cadence help to indicate the stability of both the tonic key and the tragic expression.[30]

Example 2. Haydn, Piano Sonata, Hob. XVI/44, I, mm. 1–4

Perfect authentic cadences, such as the one in m. 4, are significant in my analyses. First of all, they function as primary tonal goals, often concluding formal units and voice-leading prolongations. They are significant also for the key-area design; it is not an exaggeration to say that in the music of the Classical era a
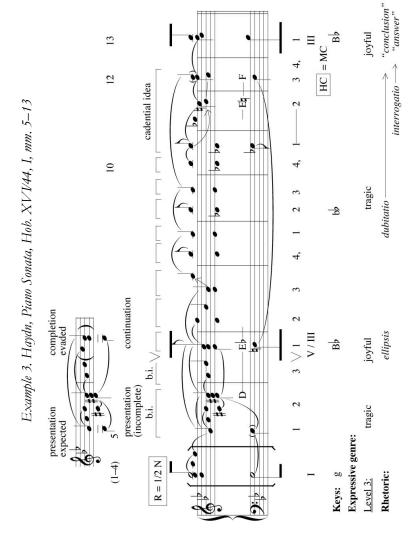
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[29] Caplin 1998, 35.

[30] The voice leading of this period is not quite conventional, however. The descent to $\hat{1}$ (interrupted at the end of the antecedent) begins from $\hat{5}$. Yet I do not read the $\hat{5}$ as the structurally primary top-voice note. Instead, I read a $\hat{5}$–$\hat{1}$–$\hat{3}$ arpeggiation, so the main top-voice note of the antecedent is $\hat{1}$ and of the consequent $\hat{3}$. My reasons for emphasizing $\hat{3}$ are registral and textural. In the former, this is the highest pitch of the primary theme. In the latter, in turn, its length (as well as that of the ensuing A) distinguishes it from its environment— before the C of m. 6, the B♭ and A of m. 3 are the only non-appoggiatura notes in the top voice which are longer than eighth notes.

key is not securely established unless a PAC has confirmed it.[31] However, perfect authentic cadences are also significant to the music's expressive course. As confirming gestures, they corroborate expressive states—that is, it is difficult to reach expressive stability in a tonally unstable environment. The cadence of m. 4 fulfills all of these intertwined functions: it ends a formal unit (both the primary theme and a period), concludes a third-progression in the top voice, confirms the tonic key, and corroborates the tragic expression.

The transitional zone, which begins in m. 5, might at first seem to continue to stress G minor and the tragic expression, as the transition begins in m. 5 with a presentation prolonging the tonic. However, in the middle of m. 6, an F-dominant seventh chord displaces the expected tonic with the dominant of the secondary key (B♭ major). This omission has structural consequences (see Example 3). With respect to phrase-structural organization, the repetition of the basic idea is left unfinished; hence, the presentation occurs in an incomplete form. (The prototypical, complete form is shown on the staff above Example 3.) With respect to metrical organization, moreover, the fourth beat of a hypermeasure has been omitted. As a result, from the middle of m. 6 onward, the hypermetrically strong beats occur in the middle of the notated measures.[32] These structural events are related to the musical drama. The incomplete presentation and the omission of the fourth beat of a hypermeasure create an impression that something has been left out of the music, that the return of the

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[31] The requirement of a confirming perfect authentic cadence does not concern the tonic key at the beginning of a work, since it does not displace any previously established key. Indeed, many tonic keys that open works are confirmed by a half cadence only. But the Classical composers practically never omit the confirming perfect authentic cadence from the secondary-key area (the exposition's second part) or from the recapitulation's regained tonic key. Often the development, on the other hand, includes no PACs, and as a result none of its keys is firmly established.

[32] Retaining the preceding meter would be in my view musically counterintuitive. The music reaches in the middle of m. 6 a V of III, which is prolonged through embellishing six-four chords. Such six-four chords occur typically on metrically weak beats, which speaks for interpreting the third quarter of m. 6 as metrically strong.

Example 3. Haydn, Piano Sonata, Hob. XVI/44, I, mm. 5–13

tonic chord predicted by the phrase structure—the expected goal—has been excised. In Example 3, I have employed the figure *ellipsis* to describe this impression, a figure defined by Scheibe as "the breaking off of a passage which one only begins but does not completely finish" (see Table 1).

In terms of expression, the *ellipsis* figure shifts the music from *Tragic* to *Joyful*, omitting a gesture that would have underlined the former. The time for the stable *Joyful* has not yet arrived, however. The V of III replaces the expected tonic, a replacement followed by persistent neighboring motions that extend the dominant. It is as if the music "knew" it wanted to escape the *Tragic*, but did not know how to proceed once the *Tragic* had, indeed, been eluded. In m. 9, D♭ replaces the preceding D in the inner-voice neighboring figuration, initiating a modal shift to B♭ minor, which usher the *Tragic* expression back in. The music attempts to find a way out of the repetition of neighboring motions and of the *Tragic* expression, a task attempted by the G♭ of the bass (mm. 10–11) and the augmented sixth chord leading to a half cadence (mm. 11–12).[33] I interpret the latter as a musical question*, interrogatio*, seeking a route back to the *Joyful*.[34]

Sonata-form procedures predict the arrival of the joyful expressive genre at the transition, and of the background voice leading at the V of III.[35] These are both reached on the third beat

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[33] Mm. 10–12 are significant to the metrical organization. In mm. 10–11 the first beat of a hypermeasure is expanded, and consequently the dominant of the half cadence occurs on a strong beat at the beginning of a measure. Thus the expansion corrects the metrical asymmetry caused by the omission in m. 6.

[34] In his analysis of the movement, Schenker gives two contradictory readings of the transition (Schenker 1996, 24–25). His Figure 1 (24) indicates a ♮IV♭7 of III in m. 12 (Schenker's somewhat odd designation for the augmented sixth chord) as the main harmony between the opening I and the V of III of m. 12. Yet his Figure 2 (25) shows the bass G♭ of m. 10 as a neighbor note above F, a reading which suggests that the V of III arrives already in m. 6.
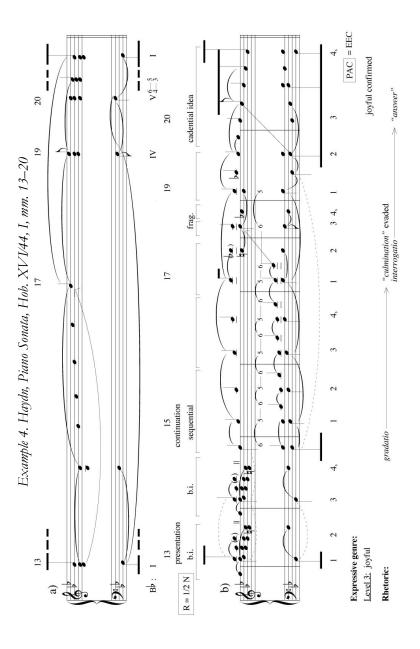
[35] In many Classical minor-mode expositions the secondary key arrives early and in a somewhat unprepared manner. James Hepokoski and Warren Darcy have noted this phenomenon: "In minor-mode expositions the move to the key of the mediant major frequently occurs rather early, almost in a premature or precipitous manner" (Hepokoski and Darcy 2006, 111). Thus the deep-level expectations created by sonata-form procedures predict that the joyful indeed arrives already in the transition, not only at the beginning of the exposition's second part. But such

of m. 6, but locally in a very unexpected manner—through the omission of the expected tonic that would have functioned, had it arrived, as the phrase-structural goal of completion of the presentation. As a result of this omission, the deep-level expectations are fulfilled through locally unexpected events. It is as if the music were so eager to proceed toward the secondary key and the joyful expression that it introduced them prematurely; the brief return of the *Tragic* in mm. 9–11 reminds us that the *Joyful* was reached hastily. The uncertainty of the significance of the unprepared V of III and the joyful expression is enhanced by the fact that they do not bring about all expected goals established by the conventions of sonata form; one still waits for a medial caesura. (Furthermore, the V of III arrives at the beginning of the continuation phase, so at a phrase level, it signals a medial, not a concluding function; see Example 3.) The medial caesura and the concluding phrase-level function finally arrive in m. 12, and now that all underlying deep-level elements have been reached, the exposition's second part can begin.

Even though the medial caesura fulfills the deep-level expectations associated with the transition, it does not remove the local sense of suspense; the *dubitatio* and *interrogatio* figures still look ahead for clarification, to the arrival of a stable, major-mode tonic in the secondary key of III (see Example 3). This occurs in m. 13, at the beginning of the secondary-theme zone. The secondary theme (mm. 13–20) consists of a loosely constructed sentence, the continuation phrase of which is expanded to six measures (see Example 4). The continuation closes in m. 20 by means of a clear perfect authentic cadence that functions as the essential expositional closure. As Example 4a indicates, this cadence closes a descending third-progression in the top voice from D, a note which has been shifted from an inner voice to the top voice in m. 17.

The essential expositional closure of m. 20 functions as the secondary-theme zone's archetypal deep-level goal, both

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an early arrival of the secondary key in minor-mode sonata is not a rule, of course. In the 1760s and 70s composers occasionally end the transition in a half cadence in the tonic key, for example, in which case both the secondary key and the joyful expression arrive only when the second theme begins.

Example 4. Haydn, Piano Sonata, Hob. XVI/44, I, mm. 13–20

structurally and expressively: it confirms the secondary key, fulfills a concluding function in the phrase structure, closes the top-voice descent upon the local $\hat{1}$, and corroborates the joyful expression. However, the clarity of the deep-level goal is obscured somewhat with local suspense (see Example 4). The sequence that begins in m. 15 can be described with Scheibe's figure *gradatio*, which "progresses by step from a weak passage to stronger ones, thereby gradually increasing the importance and emphasis of the expression of the music" (see Table 1). Here, however, the *gradatio* does not lead to the expected culmination. Example 4b shows that the sequence underlying the *gradatio* consists of contrapuntal 5–6 progressions. After arriving at the tonic in m. 17, the 5–6 motions continue one extra step, hence transforming the tonic chord into a G-minor sixth harmony; the impression is that the contrapuntal 5–6 motions are carried one step too far. This extra step leads to more fragmentary and uncertain music that I have interpreted as *interrogatio*, suspense sweeping aside the culmination for which the *gradatio* aims. The expected goal of EEC ultimately arrives, as we assume all along, and the cadential idea of mm. 19–20 provides the answer to the *interrogatio* figure.

The ensuing closing zone further stresses the B♭ key area and the joyful expression by exhibiting three thematic modules, each of which ends with a perfect authentic cadence (mm. 24, 26, and 28). The thematic material of the closing zone also has dramatic significance. Measures 21–22 display, in complete form, the presentation left incomplete in mm. 5-6; the music now completes in the joyful expression the presentation whose closure was avoided in the tragic emotion. This thematic association forges a large-scale connection between the passage in which the *Joyful* emerges for the first time and the one following its eventual confirmation, thereby enhancing the movement's underlying narrative of attempting to avoid the *Tragic* and secure the *Joyful*.

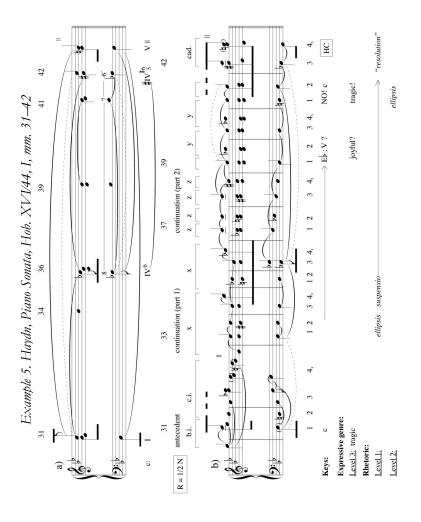**Struggling against the Tragic: Development of Hob. XVI/44**

Whereas expositions and recapitulations are framed by predicted goals in the form of punctuating gestures (e.g., EEC,

ESC, top-voice descents to $\hat{1}$ either in tonic or in the secondary key), development sections do not have such clear generic archetypes.   The goals change from piece to piece and their significance may become apparent only when they arrive, or even later in the composition. As a result, the large-scale organization is less certain in development sections than in other parts of sonata form. This is a truism, of course, but it does have significance for the analysis of the development of G-minor sonata, indicating instability in both expression and structure. Example 1 shows that *Level 2* of the expressive genre is governed by struggle throughout the development; since there are no perfect authentic cadences, no expressive genre is firmly established. The harmony and thematic material divide the development into two phases (mm. 31–42 and mm. 43–51), both of which end in a half cadence; thus, no key is established by a PAC. In the voice-leading structure, moreover, most of the development is governed by a contrapuntal expansion, a C-minor chord consisting of a passing tone in the bass and an incomplete neighbor in the top voice.

The development begins with the antecedent that opened the movement, transposed into C minor (mm. 31-32, Example 5b). There is no consequent to complete the period, however, so the predicted phrase-structural goal does not arrive. Instead, the rest of the development's first phase consists of a fragmented, sequential, and tonally unstable continuation. A medial function suggests that the music is on its way to a goal—the concluding function—but one does not know what that goal will be.[36] This avoidance of a tonally closed consequent is described in Example 5b with the rhetorical figure *ellipsis* (see Table 1). The expressive result is the omission of a perfect authentic cadence that would confirm the *Tragic*, the emotion that displaced the preceding *Joyful* at the beginning of the development.

After the *ellipsis*, the tonal focus is briefly lost, which gives the impression of searching. I have described this impression with the *suspensio* figure, which occurs "when a passage begins from a remote point and progresses through a considerable time through
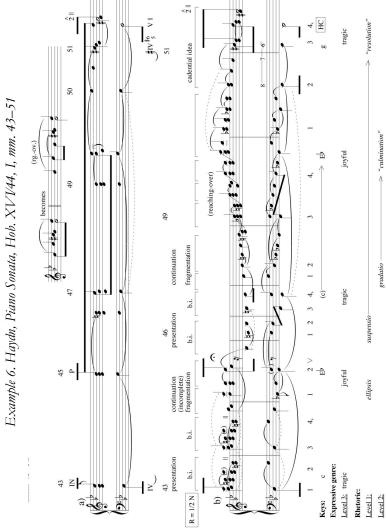
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[36] William Caplin uses the designation "Hybrid 1" for describing the combination of antecedent and continuation (Caplin 1998, 59–61).

Example 5. Haydn, Piano Sonata, Hob. XVI/44, I, mm. 31–42

numerous digressions, in such a manner that the listener cannot immediately discern the intention of the composer, but must await the end where the resolution becomes self-evident" (see Table 1). In the absence of any archetypal expectations, a genuine uncertainty exists as to *what* will happen, rather than merely *how* the foregone conclusion will be reached.

Measures 39–40 endeavor to find a way out of the tonal instability by attempting to establish E♭ major through its dominant B♭ (see Example 5b). At the same time, the *Joyful* tries to replace the *Tragic*. The bass B♭ of the V of E♭ is a passing tone, however, and is chromatically transformed into B♮ in m. 41. Thus, the anticipated joyful E♭ major does not arrive, a procedure I have described as *ellipsis*; the possibility of E♭ and the joyful expression turns out to be only one of the "numerous digressions" of the *suspensio* figure that occur "in such a manner that the listener cannot immediately discern the intention of the composer, but must await the end where the resolution becomes self-evident." The B♮ of m. 41 prepares that resolution; it reintroduces the key of C minor and reestablishes the tragic expression. The half cadence in m. 42 functions as the final resolution of the underlying *suspensio* figure. Example 5 indicates the significance of this half cadence as a goal: in addition to its role as the resolution of the *suspensio* figure, it closes both the hybrid phrase-structural unit and the prolongational entity, which both began in m. 31. However, the significance of the half cadence as a goal is made apparent primarily by its arrival, not by any generic archetype of Classical sonata forms.

Once the *Tragic* and C minor reappear in mm. 41–42, the development's second phase begins in m. 43 with the material of the secondary-theme zone, now in C minor. In the exposition, the secondary theme established the *Joyful* by means of a perfect authentic cadence in B♭ major. An exact repetition of the theme in the development would also repeat the confirming perfect authentic cadence, now in C minor and in the tragic expression, but this is not what happens (see Example 6b). The continuation phrase, which could bring about the perfect authentic cadence, is rather rudely interrupted in m. 45; the continuation features no cadence of any kind, thus omitting the concluding function. Moreover, the last two beats of the underlying hypermeasure are

Example 6. Haydn, Piano Sonata, Hob. XVI/44, I, mm. 43–51

not heard. As a result, the phrase-level goal does not arrive.   I interpret the powerful gesture of m. 45 as an *ellipsis* figure. It is as if the music had evaded the expected confirmation of the *Tragic*, shouting out loudly "No, I will not accept the *Tragic* and C minor!" The strength of this gesture is enhanced by the fermata of m. 45. The music here concretizes aspects only intimated in the development's first phase; E♭ major is now tonicized and the *Joyful* is at least briefly established, whereas these were heard only as implications in mm. 39–40. In other words, the struggle against the *Tragic* gains power as the development proceeds.

After avoiding confirmation of the *Tragic* in m. 45, the music seems unsure of how to proceed—an uncertainty similar to that encountered after m. 6, where an *ellipsis* figure tears the music from the *Tragic*. The presentation (mm. 46-47) of the sentence that spans mm. 46–51 consists of a basic idea in E♭ major (m. 46), but then a repetition that seems to lead back to C minor and the *Tragic* (m. 47). The doubt that this presentation casts upon the local expression—as to whether the music is joyful or tragic—initiates an uncertainty that governs the rest of the development, a *suspensio* figure (see *Level 1* of rhetoric in Example 6b). As in the development's first phase, this figure refers to genuine ambiguity, since generic sonata-form procedures determine no archetypal goal for this phrase-structural unit.

The continuation phase, beginning in m. 48, contains the development's final struggle between *Tragic* and *Joyful.* The fragmentation and registral ascent in mm. 48–49 lead to a gesturally and registrally underlined E♭-major sixth chord on the last quarter of m. 49. I have interpreted this as a *gradatio* figure that culminates on the E♭-major sixth harmony (see *Level 2* of rhetoric in Example 6b). The strong culmination does not successfully reestablish the key of E♭ major and the joyful expression, though. Measures 50–51 descend to a lower register than that of 49, and in m. 51, an augmented sixth chord leads to the primary-key dominant that ends the development.

The arrival of the half cadence in m. 51 creates multilayered associations. The dominant functions as a clear and significant goal in the deep levels of form and structure. Its arrival is anticipated by

archetypal sonata-form procedures and background voice leading.[37] At the phrase level, it closes the sentence that began in m. 46. Finally, with respect to deep-level expression, it signals the primacy of *Tragic* over *Joyful*, and the end of the struggle between them. Locally, though, the arrival of the dominant is unexpected. Its preparation is very brief—consisting of just the augmented sixth chord on the first quarter of m. 51—so it appears suddenly. The dominant is also a surprise with respect to local expression. The underlying expressive genre predicts the primacy of the *Tragic*, but the *Joyful* still attempts resistance in m. 50. Rhetorically, an uncertainty over the expression prevails until m. 51, when the *suspensio* figure receives its resolution as the augmented sixth chord reaches the dominant, thereby sealing the primacy of the *Tragic*.

The deep-level voice leading supports this dramatic interpretation (see Example 6a). In spite of the rhetorical emphasis on the E♭-major sixth chord at the end of m. 49, this harmony has a decorative structural role. The top voice of mm. 45–51 consists of an ascending third B♭–C–C♯–D. As Example 6a indicates (on the staff above the graph), the E♭ major chord of m. 49 results from reaching over in the uppermost voice, an elaboration of the underlying C–C♯ motion. That is, the B♭ of m. 49 (which signifies a stepwise descent from the preceding C) is an inner-voice pitch appearing before the primary top-voice pitch C♯ arrives in m. 51. The E♭-major chord of m. 49 is, thus, not directly connected to the harmony of m. 45 that initiated the struggle against the *Tragic*. As a result, the final attempt to resist the *Tragic* occurs at the moment when the deep-level voice leading is inevitably on its way to the C♯ of the augmented sixth chord, the final seal of the *Tragic*.[38]

The narrative aspects of the development's second phase can even be connected to the deep-middleground voice leading shown in Example 1. The augmented sixth chord of m. 51, the agent leading to the structural dominant that closes the development,

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[37] Although ending the development on the dominant was the norm, Haydn also used various other options in the works of his *Sturm und Drang* period. For a discussion of these procedures, see Webster 1991, 138–45.
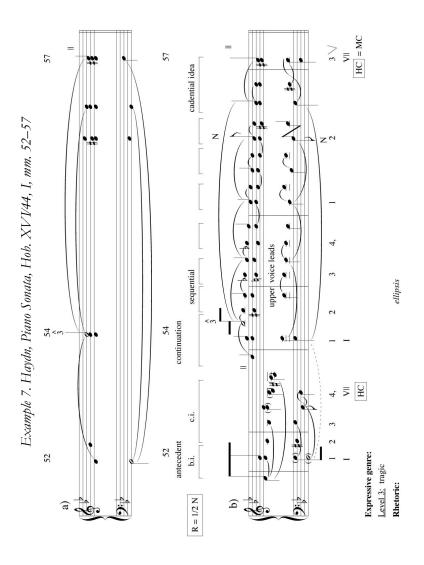
[38] In his unpublished analysis of the movement, Ernst Oster connects the E♭-major chords of mm. 45 and 49. I am indebted to William Rothstein for showing Oster's graph to me.
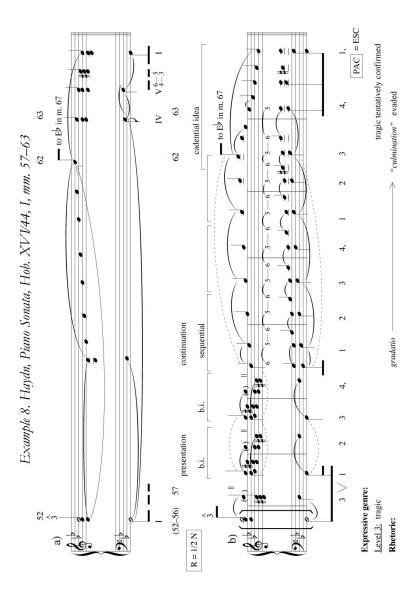
prolongs the IV that opens the development. The augmented sixth chord has a common top-voice note, B♭, with the E♭-major chord of m. 45, the harmony that first introduces a firm joyful expression in the development. Since the augmented sixth chord is the primary element, the B♭ of m. 45 functions as an anticipation, while the bass G of m. 45 is the upper third above the E♭ of m. 51. Or, to interpret the situation through the lens of expression, the E♭-major sonority of m. 45 (i.e., the element attempting to evade the *Tragic*) elaborates the augmented sixth chord of m. 51 (i.e., the element sealing the primacy of the *Tragic*)—a relationship suggesting, at the deep middleground, that the struggle against the *Tragic* is ultimately futile.

Confirmation of the Tragic: Recapitulation of Hob. XVI/44

After the freer development section, the music returns in the recapitulation to a set of relatively fixed expectations created by the generic norms of sonata form. Primary among these is the perfect authentic cadence expected to close the secondary-theme zone. If this expectation is fulfilled, it should function formally as the essential structural closure, tonally as the close of the *Ursatz*, and, in the expressive genre, definitively confirm the *Tragic*. At the beginning of the 1770s, when Haydn composed the G-minor Sonata, it was not typical (as it was later) to end minor-mode movements in the parallel major. Thus, expectations predict the confirmation of the *Tragic* without providing *Joyful* as a likely alternative. Owing to generic conventions and to the events of the exposition, one assumes that, prior to this primary closing cadence, there might be a perfect authentic cadence to close the primary-theme zone and a half cadence (the medial caesura) at the end of the transitional zone.

The first of these three anticipated goals is omitted in this recapitulation (see Example 7). The recapitulation begins with a hybrid theme consisting of an antecedent and a continuation, the latter of which replaces the expected consequent. I interpret the omission of the consequent as an *ellipsis* figure. Formally, mm. 52–

Example 7. Haydn, Piano Sonata, Hob. XVI/44, I, mm. 52–57

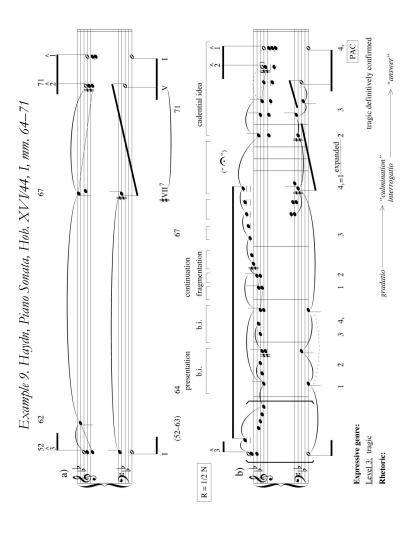*Example 8. Haydn, Piano Sonata, Hob. XVI/44, I, mm. 57–63*

57 merge the primary theme with the transition, ending in a half cadence that functions as the medial caesura. The omission of the consequent is tied to the expressive narrative of the movement; the avoidance of the perfect authentic cadence avoids a concluding gesture that, after the struggle between *Tragic* and *Joyful* in the development, would otherwise have confirmed the primary tragic expression.

Measure 57 ushers in the secondary theme, which has played an important role in the expressive narrative of the movement. In the exposition (mm. 13–20), its closing cadence (i.e., the EEC) confirmed the local joyful expression. In the development, it was heard in C minor (mm. 43ff.), but the strong gesture of m. 45, an *ellipsis*, denied it cadential closure. In the recapitulation, the generic expectation is of a perfect authentic cadence to close the secondary theme and to definitively confirm the *Tragic.* Such a cadence would undermine—or overwrite—the exposition's joyful expression, occurring in the corresponding formal moment in which the *Joyful* was locally established in the exposition. This cadence does indeed arrive in m. 63, and since it closes the secondary-theme zone, I interpret it as the essential structural closure (ESC). Yet, it leaves a somewhat understated impression. As Example 8b shows, the continuation phrase begins in m. 59 with a 5–6 sequence, a *gradatio* figure, which traverses an entire octave, thus returning to the tonic sixth chord in m. 62. However, the *gradatio* seems to reach no culmination. After the registral ascent, leading to d^3 in m. 62, the top-voice fifth-progression descends to the $\hat{1}$ of the ESC in such a laconic manner that it seems to provide no counterbalance to the increase in tension brought about by the ascending *gradatio.* For this reason, I do not read the completion of the *Ursatz* in m. 63; the voice-leading tensions thus remain unresolved. It is as if the music admitted that the confirmation of the *Tragic* (i.e., the ESC) can no longer be avoided, yet did all it could to downplay this confirmation (by forgoing the completion of the *Ursatz*).

The completion of the *Ursatz* occurs in the next phrase (see Example 9). After the presentation phrase of mm. 64–65, which repeats the music that opened the closing zone in the exposition as well, the continuation phrase (mm. 66–71) begins building tension through a *gradatio* figure, leading in m. 67 to the culmination, an eb^3 supported by a $\sharp VII^7$. The top-voice E♭ continues the structural

Example 9. Haydn, Piano Sonata, Hob. XVI/44, I, mm. 64–71

top-voice line from the d^3 in m. 62. The music seems to stop for a moment to question how to proceed, an impression described in Example 9b with the fermata sign and the *interrogatio* figure. It has now arrived at the expressive peak of the movement; the great outburst, the *interrogatio*, is answered by the perfect authentic cadence of m. 71 that closes the *Ursatz* and confirms, in the expressive narrative, the definitive primacy of the *Tragic*.

Thematic material contributes to the finality of the cadence of m. 71. The figuration of the essential expositional closure (m. 20) is different from that of the essential structural closure (m. 63); the *Joyful* is confirmed by the EEC with stronger figuration than the *Tragic* is by the ESC. I have argued above that the rather weak cadence of m. 63 avoids the ultimate closure of the voice-leading structure, postponing the completion of the *Ursatz*. When the voice-leading structure finally reaches closure in m. 71, the cadential figuration is the same as that which closed the secondary-theme zone in the exposition. To interpret the situation from the expressive and narrative perspective, we may argue that in order to downplay the cadential confirmation of the *Tragic*, the music is at first (in m. 63) unwilling to use the same strong, cadential figuration that had confirmed the *Joyful* in the exposition. Ultimately, though, this reluctance results not in a cancellation, but rather just a postponement until m. 71. After the definitive confirmation of the *Tragic*, the music simply repeats the important cadential figuration in mm. 73 and 75, finally sinking in the second ending to a depressed, low register.

Escaping Schematization: C-Minor Sonata, Hob. XVI/20

In the opening movement of the G-minor Sonata, the overall expressive genre, form, and voice-leading structure proceed according to generic expectations. As a result, even those events that deviate locally from expected procedures ultimately lead the music to the anticipated goals. This conformance is not the case in every piece, though. I will now turn to the first movement of the C-minor Sonata, Hob. XVI/20, whose overall form is notoriously problematic. I will not examine the movement in as detailed a

manner as the opening movement of the G-minor Sonata above—
the phrase-structural organization and meter alone are so subtle
and complex that their thorough discussion would require a
separate study.

Several writers have argued that the exposition of the opening
movement of the C-minor Sonata does not follow standard
expositional procedures and is not, therefore, divided into two
principal parts. Rather, it has been suggested that the exposition
falls within a type called either "three-part" or "continuous"
exposition. In this type, the opening thematic idea is followed by an
extended "expansion section" that avoids the dividing gesture of
the medial caesura. The expansion section ends in a perfect
authentic cadence in the secondary key, thus giving the third part a
post-cadential role.[39] However, despite agreeing on a tripartite
organization of this particular exposition, writers disagree on the
location of the boundaries between the three parts, as well as on
the function of the last part. Jens Peter Larsen has argued that the
third part begins in m. 26, while A. Peter Brown has suggested that
it begins only in m. 32.[40] James Hepokoski and Warren Darcy agree
with Brown that the thematic idea beginning in m. 32 has a "C-
rhetoric" (i.e., the air of a closing zone rather than of a second
theme). They note, however, that this reading is conceptually
problematic, since there has been no perfect authentic cadence in
the secondary key, and the closing zone would therefore precede
the essential expositional closure, rather than follow it as required

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[39] This exposition type was first described by Jens Peter Larsen (Larsen 1988), and
has subsequently been discussed, for example, in Hepokoski and Darcy 2006, 52–
60; Longyear 1971, 184; Rosen 1988, 100–06; and Webster 1991, 166. While the
general outlines of these descriptions are quite similar, there are some significant
differences as well. Larsen merely states that the third section is devoted to the
secondary key, and that it provides a "long-awaited relaxation" (Larsen 1988, 275).
Longyear argues along similar lines when he writes about the "tripartite exposition
consisting of first theme, an extensive transition, and a prominent closing theme"
(Longyear 1971, 184). Hepokoski & Darcy and Webster, on the other hand,
emphasize that the third part must be preceded by the first perfect authentic
cadence in the secondary key, the essential expositional closure in the terminology
of Hepokoski and Darcy. Hence the third part has a post-cadential function,
constituting the closing zone in the theory of Hepokoski and Darcy.

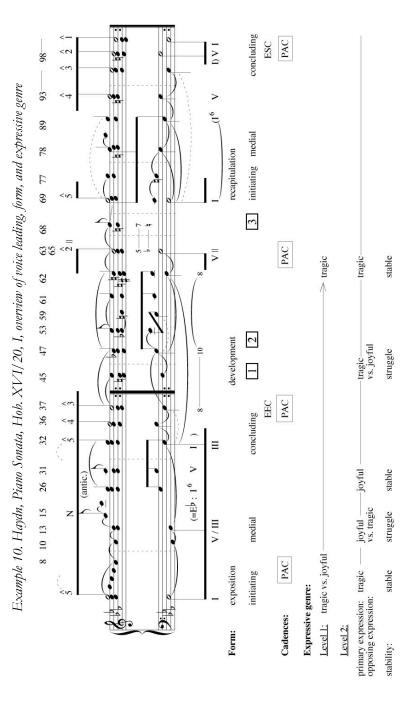[40] Larsen 1988, 274 and Brown 1986, 295.

by their theory. They view a situation like this as "a special, Haydnesque variant of the expansion-section subtype of the continuous exposition, one in which the 'C-like' theme can also be understood as the concluding module of a broad TR⇒FS space [=the expansion section]."[41]
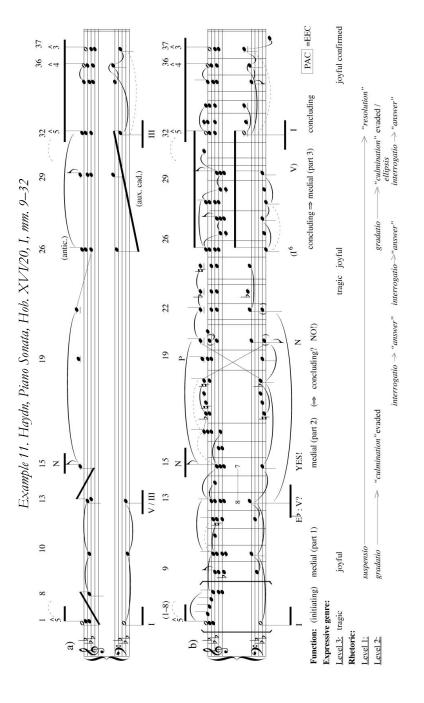
Example 10 shows my reading of the entire movement. The exposition and the recapitulation have each been divided into three sections, based on the underlying function: initiating, medial, and concluding. The concluding function of the exposition is satisfied by the essential expositional closure, and that of the recapitulation by the essential structural closure. Since the passages beginning in mm. 32 and 93 have a cadential rather than post-cadential function, I prefer, unlike Hepokoski and Darcy, not to speak of continuous exposition and recapitulation. I have divided the development into three phases without further explication of their functions.[42]

Formally, the exposition and recapitulation largely avoid the expected, generic norms. There is no medial caesura to divide them into two parts, nor is there a genuine continuous organization, as the second of the three parts does not close with a perfect authentic cadence. As a result, most of the formal goals predicted by archetypal sonata-form procedures are not operative in the exposition and recapitulation. Yet the two sections do not depart from all generic norms. In the key-area design the exposition moves to the mediant key, established by the essential expositional closure, while the recapitulation remains in the tonic, confirmed by the essential structural closure. The background voice leading, in turn, exhibits a paradigmatic interrupted structure. In other words, the unique form takes place within the framework of a conventional, more fundamental key-area design and voice-leading structure. In addition, the deep-level expressive genre follows

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[41] Hepokoski and Darcy 2006, 59–60. They coin the designation "Cpre-EEC" for describing such situations where a "C-rhetoric" precedes the EEC in a continuous exposition.

[42] Wayne Petty has applied similar functions in describing the internal formal organization of the three main sections of sonata form (exposition, development, and recapitulation) in the works by C. P. E. Bach (Petty 1999, 154–56). Petty bases his discussion on Caplin's functions, as well as on the *Fortspinnungstypus* introduced by Wilhelm Fischer (Fischer 1915, 29–33).

Example 10. Haydn, Piano Sonata, Hob. XVI/20, I, overview of voice leading, form, and expressive genre

Example 11. Haydn, Piano Sonata, Hob. XVI/20, I, mm. 9–32

Function: (initiating) medial (part 1)   (⇒ concluding? NO!)   medial (part 2)   concluding ⇒ medial (part 3)   concluding

Expressive genre:

Level 3: tragic   joyful   tragic joyful   joyful confirmed

Rhetoric:

Level 1: *suspensio*   *"culmination"* evaded

Level 2: *gradatio* ⟶ *"culmination"* evaded   *gradatio* ⟶ *"culmination"* evaded /   *gradatio* ⟶ *"culmination"* evaded /
          interrogatio → *"answer"*   *interrogatio* →*"answer"*   *ellipsis*   *"resolution"*
                                                interrogatio → *"answer"*

generic conventions, moving, as in the G-minor Sonata, from tension (*Tragic* vs. *Joyful*) to resolution (*Tragic*) (cf. *Level 1* in Examples 1 and 10). In the more local *Level 2*, there are—again, as in the G-minor Sonata—sections with a stable expression and other sections featuring struggle. In the following analysis, I will concentrate on the exposition, examining the development and recapitulation in cursory fashion only.

The initiating function that opens the exposition (mm. 1–8) is a relatively conventional period; the antecedent closes with a half cadence in m. 4 and the consequent with a perfect authentic cadence in m. 8. The PAC in m. 8 is a strong gesture that confirms the tonic key as well as the *Tragic* expression. After this short-lived straightforwardness, though, only some of the subsequent goals predicted by generic expectations arrive, and even those are reached in an unexpected manner. Example 11a shows the middleground voice leading that provides a framework for the local events. The music arrives quite early at the dominant of the secondary key (m. 13) and at a neighbor note above the top-voice $\hat{5}$ (m. 15). The resolution of this V of III and the top-voice neighbor note is considerably postponed, occurring only in m. 32. An E♭-major sixth chord is heard already in m. 26, but this opens an auxiliary cadence, thus fulfilling an anticipatory function.[43] The first perfect authentic cadence in the secondary key, which supports the $\hat{4}$ and $\hat{3}$ of the *Urlinie*, is not heard until the last two measures of the exposition.

Example 11b clarifies the local events, showing below the voice-leading graph phrase-level functions, expression, and rhetoric at two levels. Since the phrase structure is highly unconventional, I refer only to the three general functions proposed by Caplin (i.e., initiating, medial, and concluding) instead of the quite strictly defined phrase-structural factors examined in the G-minor sonata (i.e., basic ideas, presentations, continuations, etc.). After the cadential arrival in m. 8, a new formal section begins in m. 9 with a three-measure sequential pattern that is repeated a step higher in mm. 12–14. The second sequential unit ends in m. 14 on a
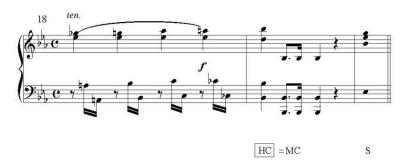
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[43] Burstein 2005 is a thorough discussion on the complex concept of "auxiliary cadence." The anticipatory nature of the auxiliary cadence is clearly explained in Laufer 1999, 135–37.

tonicized B♭-major chord. At the background level, this chord is the dominant of the secondary key, but this function is not immediately evident (see Example 11)—for, although it is the arrival of the first harmonic background goal predicted by schematic sonata-form procedures, its arrival is obscured by the local context. Only the addition of the seventh, A♭, in m. 15 clarifies the situation. Still, though, the music sounds somewhat hesitant, as the top-voice A♭ sounds one octave lower than expected; the middleground unfolding g²–c² / d²–a♭², shown in Example 11a, prepares A♭ in the two-line, not the one-line octave.[44]

If the harmony and form are uncertain, so too is the expression. (See Example 11b; in this example, *Level 2* of rhetoric includes two superimposed lines. These are not hierarchical; the upper shows figures generally, while the lower indicates the instances of the *interrogatio* figure. These are both subordinate to *Level 1* above them.) In m. 9, the preceding *Tragic* expression is replaced without preparation by the *Joyful* in a rather declamatory manner. Measures 9–14 consist of a sequence suggesting a rhetorical *gradatio* figure, which aims at a culmination. Since sequences are associated with the medial function, the new formal section begins in m. 9 without an initiating function, a feature that underlines the suddenness with which the *Joyful* expression is introduced. If the culmination of the *gradatio* figure had arrived, it would have suggested that the positive air implied by the figure were justified. However, the culmination has been evaded, which seems to question the self-assurance of the *gradatio*'s *Joyful* expression. The situation resembles the way in which the structure reaches the background V of III; the deep-level expression arrives at the goal predicted by generic expectations (i.e., the contrasting *Joyful*), but the local context obfuscates its function somewhat by avoiding the culmination of the *gradatio.*

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[44] From the purely thematic perspective, the musical idea of mm. 15–17 has the air of a second theme. Seen in the larger context, however, such an interpretation seems problematic: the thematic idea has not been preceded by a medial caesura, does not lead to a confirming perfect authentic cadence (the essential expositional closure), and does not open with an initiating function.

Example 12. Haydn, Piano Sonata, Hob. XVI/20, I, mm. 18–20,
recomposition

The A♭ heard in the one-line octave in m. 15 is shifted in m. 17 to the primary two-line register. The increasing harmonic activity of the following measure—most importantly the augmented sixth chord at the end of m. 18, emphasized by the *forte* dynamic—suggest that the music is approaching a significant punctuating element, most likely a half cadence. This option, reflecting the generic expectations of sonata form, is shown in Example 12, a recomposition that shows a half cadence functioning as the medial caesura, followed by the subsequent beginning of a hypothetical secondary-theme zone. Haydn's dominant arrival in m. 19 brings no half cadence, however. Rather, since the figuration continues to a II^6 extended in mm. 20–21, the dominant sounds like a passing chord rather than a goal, an impression captured by the voice exchange in mm. 18–20 (see Example 11b). These events are shown in the commentary below the graph of Example 11b, with the designation "medial (part 2) (⇒ concluding? NO!)". That is, the evasion of the half cadence also evades the concluding function, denying the arrival of the expected formal goal. Rhetorically speaking, the suggestion of a concluding function can be understood as an *interrogatio* figure—"are we going to reach the significant articulating half cadence?"—while the avoidance of the half cadence is the negative answer.[45]

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[45] Hepokoski and Darcy suggest that m. 19 does function as a half cadence: "TR begins at m. 9, arriving with the III:HC at the downbeat of m. 19 into the suggestion of a light III:HC MC" (Hepokoski and Darcy 2006, 59).

The dominant returns in m. 22. Now that the music has unsuccessfully attempted to reach the clear half cadence that would lead to the secondary theme and a tonic of E♭ major, the *Joyful* has lost some of the self-assurance it had proclaimed so powerfully in m. 9; the addition of an embellishing C♭ changes the expression temporarily from *Joyful* to *Tragic*. In mm. 24–26, the suspense of the music, described by the *interrogatio* figure in Example 11b, is underlined by the slower tempo, the halting of motion (fermata), the *piano* dynamic, and the *tenute* marking. Of all *interrogatio* figures heard thus far in the movement, this query is the strongest—the very future of the *Joyful* is in question and, as a result, a local struggle takes place between the two primary emotions.

Measure 26 provides the answer to the *interrogatio*, which seems to play a confirming role in several respects: first, an E♭-major chord is heard for the first time; second, the tonic sixth chord seems to begin an expanded cadential progression (thereby leading one to assume that the music has arrived at a concluding function ending in a perfect authentic cadence); third, the musical gestures recall the self-assured declamations that introduced the *Joyful* in m. 9. However, the music's certainty turns out to be premature; the expanded cadential progression is only apparent, and no cadence closes the phrase; the music is, once more, unable to reach the expected goal. Instead of a perfect authentic cadence, there is a halt on a V^7 in m. 31. The course of the music is indicated in Example 11b by the designation "concluding⇒medial." In principle, the concluding function should follow the medial function, not the reverse as in this instance. However, I feel that this theoretically problematic description aptly illustrates the musical impression of drastically changing expectations. The avoidance of the expected cadence is described by the *ellipsis* figure. The sense of breaking off is enhanced by the preceding *gradatio* figure, from which the culminating cadence has been omitted. The resulting suspense leads once more to a musical question in the form of an *interrogatio* figure.
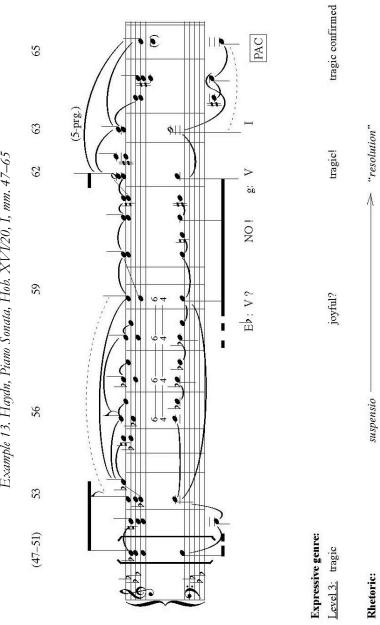
Measure 32 signifies the beginning of the large-scale concluding function that follows the medial function of mm. 9–31. It finally resolves the music's tonal tensions, and the E♭-major chord that had begun the auxiliary cadence as an anticipation now arrives in earnest (see Example 11a). This sense of resolution also

has long-range rhetorical significance. Ever since the perfect authentic cadence in the tonic key that closed the large-scale initiating function, the music has been saturated with questions and uncertainties. In Example 11b, *Level 1* of rhetoric, I have interpreted mm. 9–32 in their entirety as a *suspensio* figure (see Table 1). Within this suspensio, the first anticipated goal—the medial caesura—is omitted altogether. After this frustration, m. 32 functions finally as the resolution: it brings the music to the tonal goal of E♭-major, answering at the same time the exposition's last local *interrogatio*. Thus, formal, structural, and rhetorical issues combine to drive the music toward m. 32. All that remains to be heard is a perfect authentic cadence, the essential expositional closure, which arrives in mm. 36–37 and finally confirms the secondary key and the *Joyful* expression unequivocally. At the same time, it introduces the $\hat{1}$ of the secondary key and functions as the exposition's generic tonal goal, albeit at a highly unconventional moment.

I will close this analysis by discussing the development and recapitulation only briefly, relating their events to the drama of the exposition. Example 10 provides a middleground graph of the development. The first phase (mm. 38–46) leads the music into the dominant of B♭ minor, and the resolution to the tonic of this key occurs at the beginning of the second phase (m. 47). At the same time, the expression has moved from the *Joyful* established at the end of the exposition into the *Tragic*. The B♭-minor chord of m. 47 begins a new prolongational unit. At the deep level, the lowermost voice of the development's second phase ascends from the B♭ of m. 47, via C (m. 61), to D (m. 62), which functions as a V of V (see the beam between staves in Example 10). The V, which forms the goal of the development, arrives in m. 63 and is confirmed in mm. 64–65 by a perfect authentic cadence. This PAC functions as the movement's final confirmation of the *Tragic*; the *Joyful* does not appear thereafter.

Although the *Joyful* occurs in the development only fleetingly, it has an important function. The development's first phase can be understood as an extended *dubitatio* figure, juxtaposing the *Tragic* and the *Joyful*, which receives conclusion when the *Tragic* is established in m. 47. The material at m. 47 is repeated at m. 53 in E♭ minor, which seems to establish the *Tragic* more fully. The

Example 13. Haydn, Piano Sonata, Hob. XVI/20, I, mm. 47–65

music does not quite give up the struggle, however; in mm. 56–59, a sequence leads to an E♭-major six-four chord that could conceivably function as a cadential six-four chord and initiate a tonicization of E♭ major. In other words, the music could return to the key that ended the exposition in the *Joyful* expression. There is no escaping the *Tragic*, however (see Example 13): The structure of the sequence leading to m. 59 is highly unusual, consisting of parallel $\frac{6}{4}$ harmonies, so the sequence lacks stable sonorities altogether, although there are triads. This structural oddity also questions the likelihood of regaining the *Joyful*. I interpret the sequence and the possibility of the tonicization of E♭ major as an initiation of a *suspensio* figure—the movement's final quest for the *Joyful* (see Example 13). The bass B♭ of m. 59 is not resolved to E♭, however, but rather ascends via C to D, the bass of the V of V. The arrival at the structural dominant in m. 63 and the confirming perfect authentic cadence of mm. 64–65 give the final, negative resolution to the preceding *suspensio*.

The recapitulation clarifies many of the uncertainties encountered in the exposition. The suspense associated with the confirmation of the *Joyful* in the exposition is replaced by more straightforward music when the recapitulation expands the *Tragic*, which had been confirmed already in m. 65; Example 10 clarifies this. The recapitulation's extended medial function begins in m. 78 simultaneously with the thematic idea heard in m. 15 of the exposition. The sequential material that had challenged the primacy of *Tragic* in the exposition (mm. 9–14) has been removed from the recapitulation; accordingly, the air of doubt that this material had created in the exposition has also been eliminated. (The sequential material is heard already at the end of the development, in mm. 65–68, there underlying the tragic expression confirmed in m. 65.) In other words, the uncertainty in the exposition resulted from the omission of the *gradatio* figure's culmination in m. 15 as well as from the doubt concerning the function of the B♭-major chord in m. 13. This uncertainty has now been removed in the recapitulation; the V^7 of m. 78 is connected to the dominant of the preceding measure and the top-voice F occurs immediately in the primary two-line register, so both the structure and the rhetoric are clear.

In the exposition, the auxiliary cadence of mm. 26–32 had postponed the arrival on the structural III, thereby also deferring tonal clarification. In the recapitulation, in contrast, there is no auxiliary cadence; the six-three chord of m. 89 is connected to the recapitulation's opening tonic, forming part of a $\hat{1}$–$\hat{3}$–$\hat{5}$ progression in the bass. The background structure, thus, consists of one unified progression, avoiding the detour of an auxiliary cadence. In all, the recapitulation offers a more straightforward motion to the concluding perfect authentic cadence than the exposition does. As a result, the closing confirmation of the primary *Tragic* in the recapitulation does not face complications similar to those heard when the secondary *Joyful* was established in the exposition.

Conclusions

Haydn's *Sturm und Drang* works, as exemplified by the two movements examined above, often feature strong emotional contrasts, formal idiosyncrasies, emphatic gestures, and metrical irregularities. James Webster has referred to such features in terms of "gesture" and "rhetoric," speaking about "the dynamic role of gesture in tonal music. This can function in many domains – rhythm, phrase construction, non-congruence among different musical domains or among apparently parallel formal units, the blurring of formal boundaries, denials of closure…and so forth….In the eighteenth century, these 'gestural' aspects of music were understood as part of a more general quality that has since become unfamiliar to us: that of *rhetoric*."[46] Charles Rosen has also noted the significance of these irregularities, stressing further that they are clearly integrated into the whole in Haydn's music: "What is unprecedented…is the synthesis that Haydn gradually developed, in the late 1760s and the early 70s, out of dramatic irregularity and large-scale symmetry….Haydn developed a style in which the most dramatic effects were essential to form—that is, justified the form and were justified (prepared and resolved) by it."[47]

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[46] Webster 1991, 124–25; emphasis in the original

[47] Rosen 1971, 112.

Both Webster and Rosen emphasize the significance of relationships among local gestures or irregularities and their function in the larger context. Moreover, their respective perspectives suggest a dialogue between, on one hand, music's dramatic and expressive factors and, on the other, its structural and formal aspects. This essay is a case study on such relationships and dialogues. I have studied the arrival at deep-level goals that are often, but not always, determined by the schematic deep levels. I have mainly concentrated on analyzing situations featuring detours in the path toward these goals (in the G-minor Sonata) or situations where some of the anticipated goals do not arrive at all (in the exposition of the C-minor Sonata). It is relatively straightforward to establish the archetypal structural and formal goals in Classical sonata-form movements—or at least to determine a theoretical framework within which such goals can be defined. We do have analytical methodologies that describe form and structure in such a thorough manner that we can speak about generic processes creating expectations in the mind of an acculturated listener. These expected goals are a prerequisite for detours; unless we anticipate a certain goal, we cannot speak about deviations in the path leading to it.

It is a complex task to establish a framework and methodology for the analysis of musical expression. One approach applied widely in recent research on Classical music is the theory of "topics," an approach not applied here, however.[48] This is not to say that topical analysis would not deepen the expressive interpretations given above—it certainly would. One could, for example, speak about the singing style in mm. 15–18 of the C-minor Sonata, which could be argued to represent the topic often associated with second themes, thus obscuring the formal situation further. Or one could discuss the transformation of the *buffa* topic in mm. 15–17 in the G-minor Sonata into *Empfindsamkeit* when it returns in the recapitulation (mm. 60–62), a topical transformation paralleling the motion from *Joyful* to *Tragic*. I have refrained from

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[48] The concept of "topic" was introduced in Ratner 1980. For a thorough discussion of its expressive, historical, and referential aspects, see Monelle 2006, 3–32. For a broad, but by no means exhaustive, list of actual topical labels, see Agawu 1991, 30.

referring to such topical aspects, however. Topics are, by definition, static. They are labels given to certain musical figures, textures, rhythms, or affects, and as such they are revelatory—but they have no temporal dimension and cannot, therefore, refer directly to musical processes (although they may well be involved in these indirectly). Since my aim is to examine how musical goals are reached, my mode of analysis should be able to describe musical processes; topics cannot do this.[49]

On the other hand, the rhetorical figures of Scheibe that I have applied *do* refer to musical processes. Each of them deals, in one way or another, with expectations and their fulfillment. Hence, they seem particularly apt in describing the arrival at musical goals. The overarching expressive genre, in turn, provides a larger, generic context by indicating a large-scale tension between *Tragic* and *Joyful* and establishing an expressive framework within which the local processes, described with rhetorical figures, occur.

In my analyses, the goals of expressive and narrative processes—both of the local rhetorical figures and of the global expressive genre—have been identified to a great extent by musical structure and form. I have stressed, above all, the significance of cadences. From the perspective of deep-level form and structure, cadences function importantly in articulating formal and voice-leading frameworks. At the same time, they play a prominent role in establishing and confirming large-scale expressive states. As a result, dramatic and structural aspects clearly intertwine in my analyses. The same overarching story is usually told, on the one hand, by the formal course and prolongational deep-level structure and, on the other, by the narrative expression (which, at the deep levels, moves from juxtaposition of *Tragic* and *Joyful* into the primacy of *Tragic*). However, it is not only within this general framework that expression and structure intertwine; more local layers also show clear connections. While the generic scheme may predict the goals that arrive, it does not foretell the actual manner in which they are reached. In the two movements considered here, the local idiocyncrasies, associated with the specific way in which

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[49] For a discussion of this aspect of topics, see Agawu 1991, 17–20; and Caplin 2005.

the generic goal is attained (or avoided), often feature interaction between structural and expressive factors.

I will conclude this paper by considering three instances from the movements analyzed above in which the formal-structural and expressive-narrative layers interact in three different ways. Even though the three instances are individual musical passages, the principles encountered in them suggest, more generally, that structure and expression can interact in a variety of ways. However, this discussion is not intended, by any means, as a comprehensive list of ways in which structure and expression can work together.

Let us first consider a very straightforward situation, the postponement of the arrival of essential expositional closure in the G-minor Sonata (see Example 4). This cadential goal, which is predicted by the general framework, is ultimately reached in m. 20, but it arrives somewhat later than Classical symmetry would lead one to assume. When discussing this passage, I suggested that this sense of postponement is an outcome of structural factors (i.e., the expansion of the continuation phase of the sentential structure and the "extra" step in the 5–6 sequence) as well as expressive features (above all the avoidance of the culmination of the *gradatio* figure and the consequential *interrogatio* figure).

The interaction of structure and expression also functions significantly in situations where the expected goal does not arrive— where there is tension between the music's anticipated course and its actual unfolding. Such a situation occurs in the exposition of the C-minor Sonata. Here, the generic medial caesura is not heard, even though its arrival is hinted at in mm. 18–19 (see Example 12). As a result, the most common formal archetype associated with expositions is not completed. At deep levels, this leads to a considerable postponement of both the arrival of the background III and the essential expositional closure (structure) and the confirmation of the contrasting *Joyful* affection (expression) (see Example 11). More locally, the avoidance of the medial caesura leads to confusion among formal functions (structure) and the proliferation of rhetorical figures associated with uncertainty (expression).

In both of these instances, the two layers (general and particular) as well as different musical parameters (form, structure, and expression) have coincided. That is, the cadences in these cases

signify an unequivocal structural closure and expressive confirmation (general), but their arrivals are postponed—considerably so in the C-minor Sonata (particular). There are instances, however, in which various musical features do not show such congruence. As an example, we can consider the recapitulation of the G-minor Sonata. The formal goal, the essential structural closure, arrives in m. 63 (see Example 8), but the voice-leading tensions are not resolved here and the attainment of the background $\hat{1}$ is deferred until m. 71 (see Example 9). In other words, the generic recapitulatory goal of form and that of the voice-leading structure do not coincide. This situation interacts subtly with the expression. In the large-scale expression, I interpreted m. 63 as a tentative confirmation of the *Tragic*, which is made final at m. 71. More locally, a sense of inconclusiveness befalls the cadence in m. 63 as a result of the avoidance of a culmination to the *gradatio* figure beginning in m. 57. The *gradatio* figure beginning in m. 66, on the other hand, does reach a clear culmination, thus also lending finality to the cadence of m. 71. As a result, in spite of the tension between the music's formal and structural large-scale courses, the formal-structural and expressive-narrative factors again support each other in a subtle manner.

The analyses in this study suggest a clear linkage between structure and expression in the two Haydn movements, and a more extensive study of the literature would probably show this to be true more generally in the music of the Classical era. Thus, it seems justified, and in my view highly important, to discuss structure and expression together. Our description of the interrelation between structure and expression enables us to examine, simultaneously, two strata of our multilayered perception of music. On the one hand, we can describe our emotional reaction to music, to its expressive drama. On the other, we can consider its voice leading or generic form. Since these layers are not divorced in our perception of music, they may well intertwine in our analyses of it as well.

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