The Function of the Apparent Tonic at the Beginning of Development Sections

by Jack Adrian

Sometimes the tonic sonority begins the development section of a first-movement sonata form. When it occurs in conjunction with the first subject or opening material, the articulation of this tonic poses important questions of form, design, and function. Theoretical discussion of sonata form in terms of a procession either of themes,[1] or of harmonic areas,[2] or even some combination of the two, cannot successfully explain an event which, by any account, should occur only at the recapitulation. Such an event must be understood as a feature of the design of a particular work; the event may illuminate, but does not necessarily determine, that work's structure.[3]

For the present study I shall define the pairing of tonic harmony with the opening thematic material as an *articulated tonic*.

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[1]Though repeated in subsequent theoretical works, the first widely-known description of the sonata as a three-part thematic form is given by Czerny in his *School of Practical Composition*, trans. John Bishop, 3 vols. (London: Robert Cocks, 1848).

[2]See Leonard G. Ratner, "Harmonic Aspects of Classic Form," *Journal of the American Musicological Society* 2 (1949): 159–168.

[3]On the role played by design in articulating a work's structure, see John Rothgeb, "Design as a Key to Tonal Structure," in *Readings in Schenker Analysis and Other Approaches*, ed. Maury Yeston (New Haven: Yale University Press, 1976).

There are over fifty works whose development sections begin with an articulated tonic.[4] The tonic there may be classified as either "real" or "apparent."[5] The distinction between these two types, and the explanation of the far-reaching ramifications of the "real" appearance of the tonic at the beginning of development sections—a ramification which radically alters the "classical" sonata form—has already been explored at length in another article.[6] There it was

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[4]My study takes into account the symphonies, overtures, sonatas and chamber works of major composers of the common practice period (C.P.E. Bach, Haydn, Mozart, Cherubini, Beethoven, Clementi, Schubert, Schumann, Mendelssohn, Brahms, Dvořák, Bruckner, Tchaikovsky and Rachmaninoff). I have examined principally first movements, and have also included the last movements of two works whose first movements are not in sonata form: Beethoven's Piano Sonata in C♯ minor, Op. 27, No. 2, and Haydn's String Quartet in D minor, Op. 42, each of which opens with a slow movement and ends with a sonata form for the last moment. In these two works, the last movement takes the place of the first as the carrier of the dramatic weight of the whole work.

The last movements of many multi-movement works are in sonata form; some of these have development sections beginning with the tonic chord (e.g., Mozart's String Quartet in G major, K. 387). These have been excluded from the discussion because first and last movements have different overall functions and hence different means of implementing tonality. For the sake of this study I wish to compare apples to apples as much as possible.

[5]Another way an articulated tonic may arise is as a parenthetical insertion, a topic addressed by Edward Laufer in a paper given at the Schenker Symposium, Mannes College of Music, New York, 1985. Examples of this phenomenon at the beginning of the development section include Brahms's Piano Quartet in G minor, Op. 26, and Dvořák's Symphony No. 8 in G major, Op. 88. In the latter, the articulated tonic is quoted, and indeed the entire passage is in musical quotation marks, after which the work goes on its way with no interruption felt in the overall structure. This category of articulated tonic is beyond the scope of the present study.

[6]Jack Adrian, "The Ternary-Sonata Form," *Journal of Music Theory* 34:1 (1990): 57–80.

demonstrated that the (rare) presence of a real tonic at that strategic point engenders an unusual and distinct variant of sonata form.

Apparent tonics, on the other hand, are much more common and, except locally, do not disrupt the unfolding of a sonata form. Yet this local disturbance is precisely what traditional theoretical discussions, whether harmonic, thematic, or the two in tandem, cannot explain consistently within their framework. And it is this "local disturbance" which must be explained if a coherent and correspondent view of musical form in general and the sonata form in particular is to be realized. Such explanations will be presented in the following study within the framework of Schenker's concept of sonata form.[7]

The problem of the articulated tonic at the beginning of development sections may be summarized as follows: (a) the sonata is designed to allow for a contrast of themes and harmonic regions;

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[7]Schenker's concept of sonata form is discussed in many sources, prominent among these being his analyses of individual works and the chapter on form in *Free Composition*, trans. and ed. Ernst Oster (New York: Longman, 1979). Other sources include his seminal essay in *Das Meisterwerk in der Musik* II (Munich: Drei Masken Verlag, 1926), 45–54, entitled "Von dem Organischen der Sonatenform," which was translated by Orin Grossman and originally published in the *Journal of Music Theory* 12:2 (1968): 164–183 and subsequently reprinted in Maury Yeston, ed., *Readings in Schenker Analysis* (New Haven: Yale University Press, 1977), 38–53; and by Sylvan Kalib in *Thirteen Essays from the Three Yearbooks*, Das Meisterwerk in der Musik *by Heinrich Schenker: An Annotated Translation*," 3 vols. (Ph.D. dissertation, Northwestern University, 1973). Subsequent discussions of sonata form are found in Oswald Jonas, *Introduction to the Theories of Heinrich Schenker*, trans. John Rothgeb (New York: Longman, Inc., 1982); Felix Salzer, *Structural Hearing* (New York: Dover, 1982; originally published New York: Charles Boni, 1952); and Allen Forte and Steven Gilbert, *Introduction to Schenkerian Analysis* (New York: W.W. Norton, 1982). Ernst Oster's extensive footnote to the sonata form section in *Free Composition* (139–141) is the most significant of the post-Schenker illuminations on form.

(b) the prolongation or extension of the harmonic goal of the second subject area is realized by the development section which then prepares the return of the tonic at the point of recapitulation; (c) the presence of the initial theme not supported by the tonic (e.g., Mozart, Piano Sonata in B♭, K. 333, I) or of the tonic not articulated by the opening material (e.g., Beethoven, the "Waldstein" Sonata in C, Op. 53, I) does not disrupt the above; (d) the presence of a tonic sonority articulated by the first subject or opening material at the beginning of the development section *does* disrupt (b) above, raising the question of the structural meaning of that articulated tonic both locally and in relation to the whole form. The inadequacy of aforementioned thematic-harmonic descriptions of sonata form (see footnotes 1 and 2) to account for this plan is thus revealed.

In all fairness, it should be pointed out that none of the theorists whose writings I have examined go so far as to dismiss works with an articulated tonic at the beginning of the development section as "pseudo-sonatas." Rather, the unusual procedure is simply observed and treated as an aberration or deviance. Yet the discrepancy between theory and practice begs resolution. It is at this point that Schenker's theories of chord versus scale-step, structural levels, and form are not only useful but compelling.

Schenker viewed form as emanating from the background, a view which is predicated upon his theory of structural levels. This theory permits two events to be accorded unequal structural value, often in spite of a remarkable similarity between them. It also states that events may be hierarchically organized. One chord,

for example, may "summarize" a host of other triads.[8] This "summarizing" chord is a scale-step at that level.

At the background level of the sonata, scale-steps are relatively few in number (see Figure 1).[9] The chords delineating the background structure (in conjunction with the descent of the upper line) are the scale-steps, while the chords which embellish those scale-steps are accorded less structural weight. For this reason they are given as black notes, which, through analogy to shorter versus longer rhythmic values, indicate their lower level of function. These black notes may in turn represent scale-steps on some middleground level. In discussing the essential motion of the sonata it would be wrong, in Schenker's view, to confuse levels and grant every chord the same weight by calling them all scale-steps, failing to differentiate between their function(s) in relation to the different middleground levels and to the background.

As mentioned, there are more than fifty opening movements in sonata form in which the tonic chord and the initial theme, motive, or opening material occur together at the beginning of the development section. Because of the confluence of the tonic and the opening material, this point of simultaneity might suggest, however briefly, two different responses or interpretations. First of all, one might wonder if the work is really cast either in a

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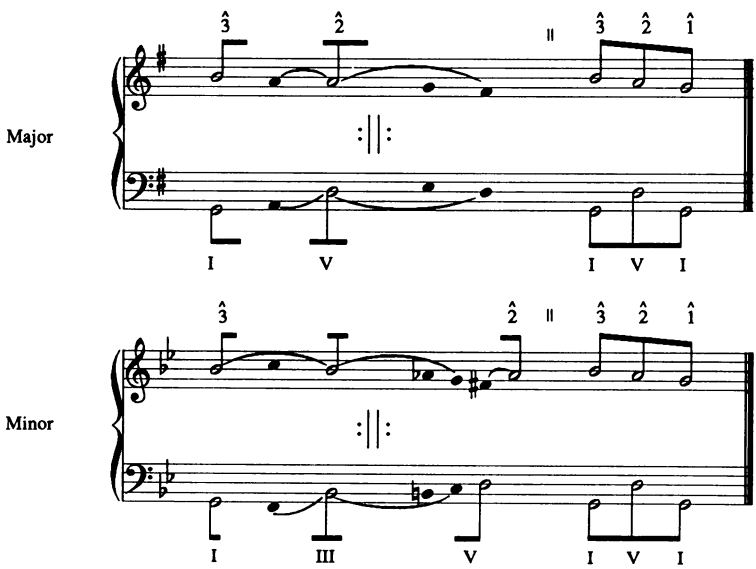
[8]Heinrich Schenker, *Harmony*, trans. Elizabeth Mann Borgese (Chicago: The University of Chicago Press, 1954), 138–9.

[9]Figure 1 is reproduced from Jack Adrian (op. cit.), 59.

Figure 1.

Formal Design		EXPOSITION		DEVELOPMENT	RECAPITULATION
Harmonic Design	First Key-Area	Tran- sition	Second Key-Area	Harmonic Digression	First and Second Key-Area in Tonic
Thematic Design	First Theme	Tran- sition	Second Theme	Various Manifestations	First and Second Theme in Tonic



four-part form[10] or a rondo, since in these two forms the internal recurrence of an articulated tonic is customary. Even in the absence of such a drastic re-evaluation, questions about the meaning of the form may be generated.[11] The other possibility is that the articulated tonic is soon understood to be a transitory phenomenon, either part of, or on the way to, some other harmonic goal. Here the articulated tonic fails to penetrate to or affect the background. While the tonic sonority appears, the tonic scale-step does not, and the classical structure of the sonata remains fundamentally undisturbed; the impression, momentary or otherwise, of a "real" return is disqualified and the event is understood finally as only an "apparent" return. An apparent return to the tonic may be defined as a transitory tonic chord which, because it is articulated by reference to the initial thematic material or motive, momentarily suggests the possibility of a (real) return to the tonic scale-step.

Apparent returns in which the tonic chord but not the tonic scale-step occurs pose no problem to the traditional sonata form because the real return of the tonic scale-step is withheld until the point of recapitulation. By showing that the tonic beginning the development section is in fact a transient chord, one shows a continuation from the second subject area towards the interruption

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[10]By "four-part form" I mean the form one frequently finds in slow movements of sonatas, with a thematic structure of A–B, A–B and a harmonic structure of I–V, I–I. The slow movement of Beethoven's Piano Sonata in C minor, Op. 10, No. 1 and Mozart's Overture to *Le Nozze di Figaro* are examples of this form.

[11]As an example consider the first movement of Robert Schumann's String Quartet in A major, Op. 41, No. 3.

just before the recapitulation. And, in truth, a listener acquainted with the literature normally senses this transitory quality. Even so, the "apparent" tonic opening a development section initially can give one cause to wonder about its exact meaning and structural function, even while one senses that the classical norm is still in effect. The purpose of this essay is to cite cases where an apparent tonic begins the development section, to elaborate the criteria for making such a determination, and to categorize the various functions of such tonics.[12]

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Examples of apparent returns to the initial tonic extend from the earliest examples of mature sonata writing (Haydn's String Quartet in F, Op. 17, No. 2) to the last great romantic concertos (Rachmaninoff's Third Piano Concerto in D minor). They are not limited to any particular genre, style, mood, or length of movement. Some have first and second endings at the close of the exposition, some have a double bar line with repeat signs, and others have no double bar line at all. While the psychological effect is different in each case, and the use of first and second endings

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[12]There are a number of recent studies of aspects of the apparent tonic in tonal music. See Napthali Wagner, *The A[pparent] T[onic] in the Music of the Eighteenth and Nineteenth Century*, Ph.D. dissertation, Hebrew University [Jerusalem], 1986, and "Tonic References in Non-Tonic Key Areas," in *Israel Studies in Musicology*, Vol. IV (Jerusalem: Israel Musicological Society, 1987), 59-72. On the phrase level, see Eric Wen, "Illusory Cadences and Apparent Tonics: The Effect of Motivic Enlargement upon Phrase Structures," in *Trends in Schenkerian Research*, ed. Allen Cadwallader (New York: Schirmer Books, 1990), 133-144.

virtually gives the solution away even before the problem is raised, nonetheless, from a theoretical standpoint, one cannot make a conclusive judgment until the tonic is actually shown to be transient (and thus "apparent").

The first movements in sonata form that I regard as having apparent returns of the tonic may be classified into four main categories which I shall use to organize my discussion. These are: 1) the return of an articulated tonic in major keys; 2) use of parallel major and minor tonics; 3) the tonic supporting a foreground motive; and 4) the tonic as III^{5-6}. In nearly all cases, the reader will be obliged to consult the score in question since space limitations preclude the inclusion of excerpts here. Owing to the large number of works to be presented, an appendix of pieces discussed is included at the end of the article for ease of future reference (see pp. 51–3).

SECTION I. RETURN OF AN ARTICULATED TONIC IN MAJOR

I.A. When the tonic with the lowered seventh is the first sonority of the development section, it would be almost unimaginable to confuse it with a real return to the tonic. In Haydn's String Quartets Op. 33, No. 3 in C and Op. 64, No. 3 in B♭, "I_2^4" is the first sonority of the development.[13] The first sonority of the development section of Beethoven's Piano Trio Op. 97 in B♭, is a "I_3^4", which, as with the two previous examples, is very clearly articulated as an applied dominant. While the

[13]Unless otherwise stated, all subsequent references are to first movements of works cited.

seventh virtually[14] guarantees that there will be no confusion with the initial tonic, the Haydn movements, in recalling the opening material, also use changes in design to insure that the recurrence of the tonic is not misinterpreted. In Op. 33, No. 3, for example, the opening sixth lies between e^1 and c^2 and the principal melody enters on a G, while at the beginning of the development section, the sixth is between g^2 and e^2 and the principal melody enters on c^3. The cello arpeggio of the C triad in bar 4 subsequently is replaced in the development section by IV, the chord to which the tonic sonority there is subordinated. In Op. 64, No. 3, differences in texture and disposition of the voices alert the listener to the fact that the two tonic chords are not to be equated.

The same explanation applies to works where the first sonority of the development is a "$I^{\flat 7}$", such as Haydn's String Quartets Op. 54, No. 2 in C, Op. 33, No. 4 in B♭, his Symphony No. 93, and Mozart's Symphony No. 29 in A. In Op. 54, No. 2, not only is the lowered seventh added, but the voicing of the chord is changed in the first bar of the development. In Op. 33, No. 4, the harmonization is different, even though the opening fragment of the initial theme is present in the proper register. In the symphony, changes in dynamics and orchestration accompany a condensation of thematic material. The fortissimo marking that emphasized the tonic in bar 8 instead emphasizes IV in the development, clarifying the function of "I" as a local dominant applied to IV. Despite certain parallels with their respective openings in all these

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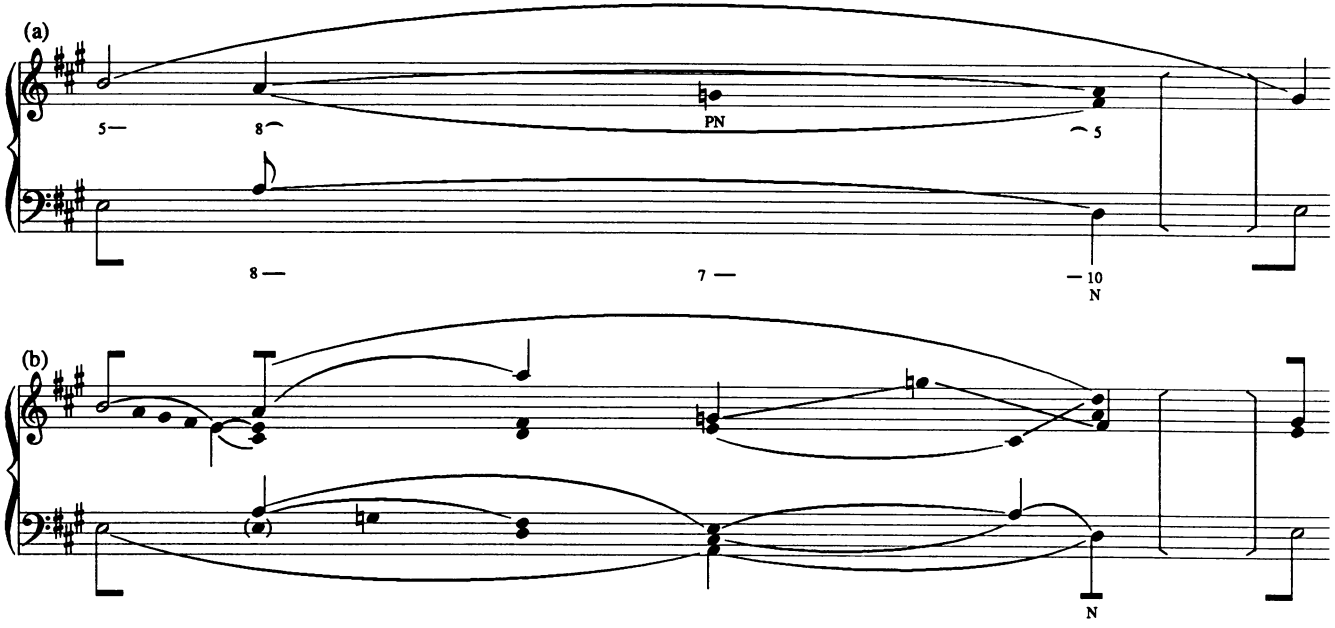
[14]Though not always—a counter-example may be found in Schenker, *Free Composition*, Fig. 53/4 (Chopin Op. 25, No. 1).

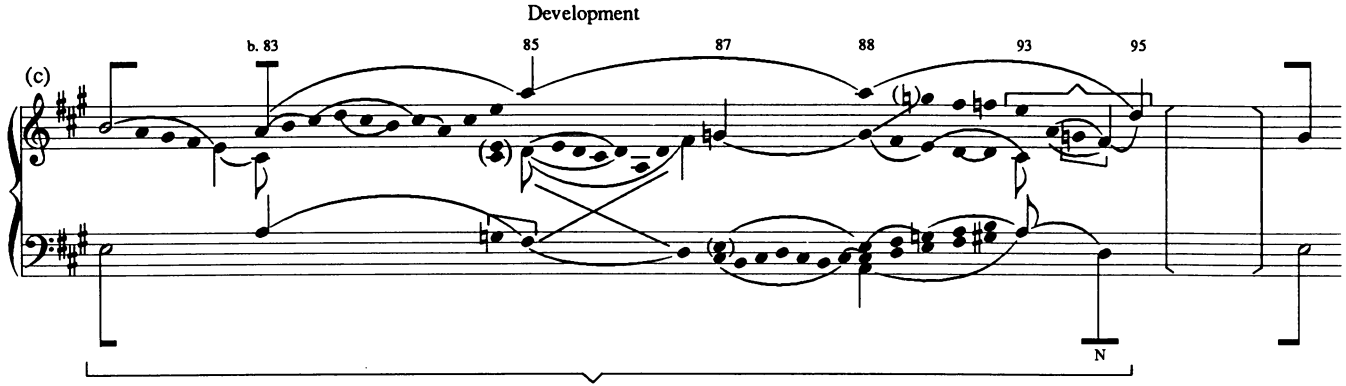
examples, differences in the disposition of material, texture, and/or orchestration signal that the passages beginning the exposition and development section should be interpreted differently.

I.B. When the seventh does not occur on the downbeat, but is delayed or even absent, there is more ambiguity as to whether the tonic is strong enough to be considered a scale-step, or whether the confirmation that the tonic return is only apparent is simply delayed. By interpreting the tonic as an applied chord to IV, one shows that it cannot be considered a scale-step, and hence its appearance must be evaluated as "apparent." There are a number of possible realizations and structural contexts for the "tonic" with added seventh; six of these are outined below.

I.B.1. In simple cases of the delayed seventh, the tonic chord is the first sonority of the development section, and the seventh is added later. In Beethoven's Violin Sonata in A, Op. 30, No. 1, the seventh is added in the second measure of the development, and the brevity of the delay avoids confusion with a real return of the tonic. In this case, the material quoted also differs from the opening: the violin has the single note $c\sharp^1$, whereas initially it sounded a third, $c\sharp^1$ and e^1; the sixteenth notes of the piano sound two octaves higher; the A in the bass is sustained; and the *pianissimo* of the first bar is replaced by *forte-piano*. The seventh occurs in the bass voice leading down to $c\sharp^1$, at which point the violin picks up the seventh ($g\natural^1$). The "$I^{\natural 7}$" is extended for an additional seven measures before resolving to IV. Figure 2 shows the background dominant being prolonged by the IV which acts as its lower neighbor note. The change in texture as well as

Figure 2. Beethoven: Violin Sonata Op. 30, No. 1, I




Development
b. 83
85
87
88
93
95
(c)
N

the almost immediate addition of the lowered seventh destabilizes the tonic, preventing any interpretation other than an apparent tonic.

Note in levels (b) and (c) of Figure 2 that the seventh in bar 84 is not the seventh which introduces the IV that prolongs the structural V; rather, it has a local effect, leading the harmony to a D chord which gives consonant support to the passing F♯/D in the upper voice. It is part of the extension of V/IV and functions as a passing chord within that applied dominant. In this case the seventh added in bar 84 is a deceptive device en route to the more significant G♮ in bar 87, which creates the true V/IV.

In Beethoven's String Quintet in C, Op. 29, after modulating to VI to complete the exposition, the tonic sounds without the seventh, quoting the initial material. As with the previous example, differences in instrumentation indicate that the beginnings of the development section and exposition are similar but not identical. Here, the seventh is introduced by the first viola and eventually transferred to the first violin, which finally resolves this seventh, showing the "tonic" chord to be a V/IV. This completes the arpeggiation from the tonic downward to IV, which eventually moves to V at the end of the development (see Figure 3). Thus, the tonic that begins the development section is a transitory event introducing another scale-step.

I.B.2. The tonic (with a delayed seventh) may be applied to a transitory event. This slightly different situation occurs in

Figure 3. Beethoven: String Quintet Op. 29, I

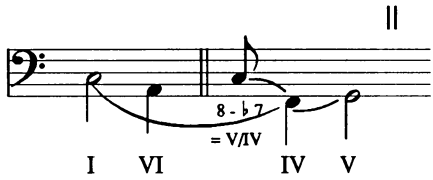
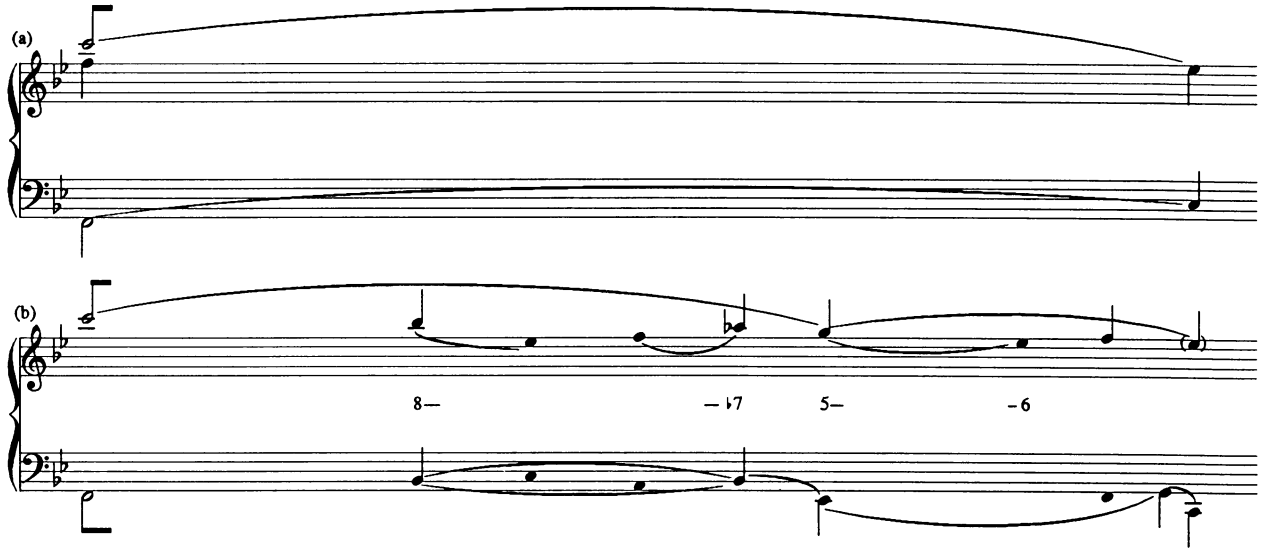
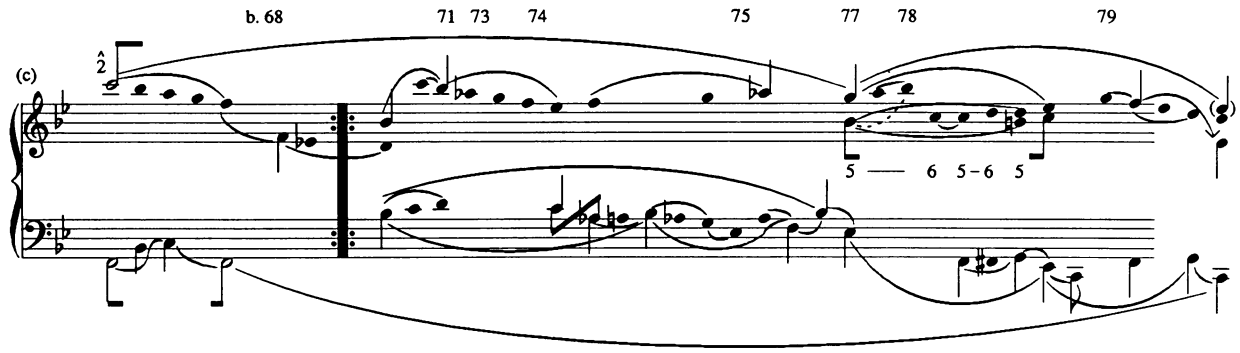


Figure 4. Mozart: Violin Sonata, K. 372, I




b. 68
71
73
74
75
77
78
79
(c)
2
5 — 6 5-6 5

Mozart's Violin Sonata in B♭, K. 372 (see Figure 4).[15] After a tonicization of the dominant at the double bar, the development begins with the tonic, quoting the initial thematic material with slight differences in design. The lowered seventh is introduced two measures after the double bar. While there is some articulation of the IV chord (to which the tonic seventh resolves) in the upper voice of the piano part in bar 75, the main figuration continues until the C-minor chord of bar 79, where the steady stream of eighth notes in predominantly conjunct motion now changes to sixteenth-note arpeggios. This and other differences in design mark bar 79 as a point of arrival and indicate a continuous flow of events from bar 66 to that point. Hence, the E♭ chord (IV) to which the tonic with the added seventh resolves is a transitory event between V and II.

I.B.3 The tonic chord may be altered by the time the seventh is added. In Haydn's String Quartet in F, Op. 17, No. 2 and Mozart's Piano Trio in B♭, K. 254, a return to the opening material of the exposition is accompanied by the tonic chord that opens the development section. In the Haydn quartet, the introduction of the seventh is delayed by two bars. By the time the seventh is added, the bass note has risen a half step and the harmony has changed. In the Mozart trio, the similar chromatic ascent continues, coming to a rest on V/VI. From the brackets in

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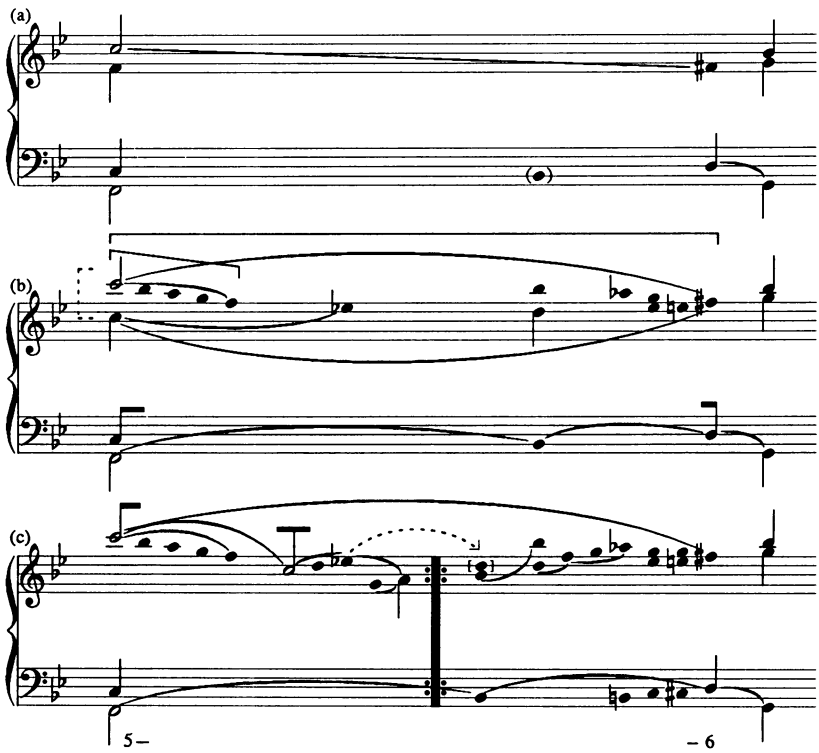
[15]In *Sonata Forms* (New York: W.W. Norton, 1980), 155–6, Charles Rosen places K. 372 and all other examples of tonic returns together into a single rough category, ignoring their subtle and sometimes fundamental differences.

Figure 5(b) one can see that the fifth which is filled out at the end of the exposition is now composed out at the beginning of the development section, with one important difference: instead of being a perfect fifth, it is now diminished (the F is raised to F♯) as part of a seventh chord, V/VI. Accompanying this linear motion is an arpeggiation from F (before the double bar) to B♭ (at the double bar) to D, which realizes a large 5-6 motion over the dominant, shown at level (c). The arpeggiation through B♭ permits an expansion of the dominant, giving the upper line time to move through the fifth c^3 to $f\sharp^2$, creating a parallelism between the end of the exposition and beginning of the development section.

I.B.4. The delayed seventh may be anticipated. In all of the examples examined so far, the late entry of the seventh momentarily delays the re-evaluation of the tonic sonority as an applied dominant. Beethoven has constructed a passage the first movement of his Sixth Symphony such that in advance of actually hearing the seventh, one interprets the passage as though the seventh were already there. A transitional passage with new material derived from the first theme begins four bars before the end of the exposition (m. 135). At the end of the exposition, the melody ascends from c^1 to the seventh ($b\flat^1$), changing the dominant harmony to the dominant seventh that facilitates the repetition of the exposition. Moving into the development, this V^7 resolves to a tonic in bar 143, where the same material is restated. This parallelism raises the expectation that the seventh will likewise be added to the tonic sonority, causing the listener to know immediately that a V^7/IV, and not a tonic, occurs in bars 143ff.

Figure 5. Mozart: Piano Trio K. 254, I



I.B.5. Another noteworthy case occurs when there is an extended correspondence of material between the openings of the exposition and development sections, with the seventh extraordinarily delayed. This presents a compelling case (at least initially) for a real return to the tonic. In the first movement of Beethoven's String Quartet in F, Op. 59, No. 1, this impression is due, in large part, to the arresting opening which takes place over a tonic $\frac{6}{4}$. At the close of the exposition, the seventh is added to the dominant (bar 98) and resolved to a I^6 in bar 99, a process repeated several times in the ensuing measures (see Figure 6). Then in bars 103ff. there is an exact repetition of the very unusual opening four measures. The return of those arresting measures cannot fail to convince the listener that they signify a return to the initial tonic. The autograph reveals that Beethoven toyed with the idea of inserting a repeat sign after bar 102, but then scratched it out.[16] This association is thus made particularly forceful by the absence of a repeat sign at the end of the exposition. The repetition of the opening at the beginning of the development section is, in fact, part of an elaborate deception.

In the exposition, an eight-bar theme is stated by the cello. Even though in $\frac{6}{4}$ position, the initial harmony is best understood as a tonic. The theme is then repeated by the first violin over a dominant chord, also in $\frac{6}{4}$ position, with a two-bar extension. This extension leads the violin up to f^3, and it is only then that the supporting harmonies finally provide appropriate harmonization in

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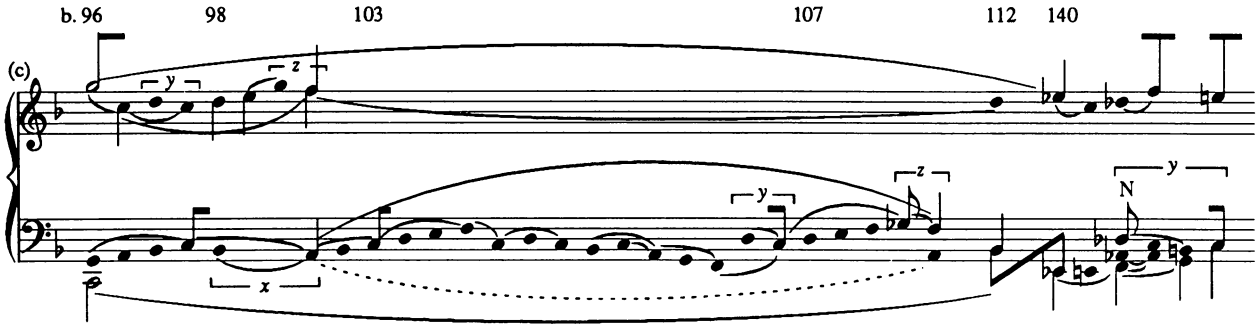
[16]Ludwig van Beethoven, *String Quartet*, Op. 59, No. 1, facsimile of the autograph (London: Scholar Press, 1980).

Figure 6. Beethoven: String Quartet Op. 59, No. 1, I


b. 96
98
103
107
112
140
(c)
y
z
x
y
z
y
N

root position. The whole point of the opening is to delay a stable presentation of the harmonic goal (here the tonic) until the initial motive (c, d, e, f) is composed out in the highest register, ending in bar 19.

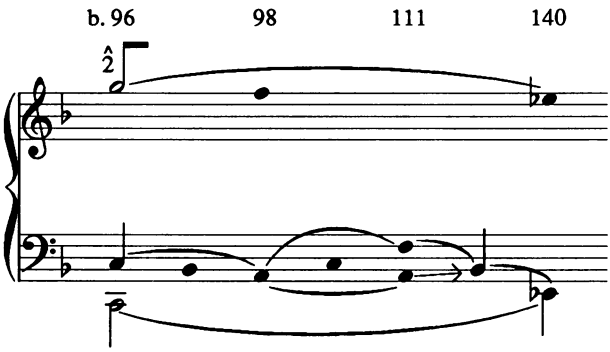
In the opening of the development section, the same presentation takes place; the melodic goal is the same f^3. But the harmonic goal here is not the tonic, it is the subdominant. The section is, in fact, an elaborate recomposition of the opening of the work, designed to lead someplace other than the tonic. As Figure 6(c) shows, the tonic sonority ultimately functions as an applied dominant to the B♭ chord in m. 112, and the B♭ itself eventually functions as V of the dominant's upper third, E♭, as part of a composing out of the octave in the bass voice.

The deception is even more elaborate; not only is the return of the opening tonic "apparent," but the meaning of the I_4^6 is different from the beginning of the movement. At the outset, the I_4^6 functioned as a "substitute" for the root position tonic chord. The governing sonority of the passage at the beginning of the development section, however, is actually a $\frac{6}{3}$ chord over the A. Each member of this I^6 is elaborated by its upper neighbor note; B♭ to A (mm. 98–102), d to c (mm. 105–6), and g♭ to f (mm. 108–111), in the cello. These are labelled *x*, *y*, and *z* respectively in Figure 6(c). The return of the opening material coincides with the arpeggiation of A up to c in the bass. The second upper neighbor (d to c) completes the literal statement of opening material, after which changes begin to occur to the main theme. In bars 107ff., it moves from c up to f by way of g♭. When it resolves to

f in bar 111, the arpeggiation of the first inversion of the tonic chord is complete; each member has been embellished by a well-articulated upper neighboring note, and the lowered seventh has been added. Note that in bar 111 the initial sonority is incomplete: f, e♭^{1} and e♭^{2}, and f^1 are present but neither the A nor the c is. The A (the leading tone of an applied dominant of B♭) must be understood as present, coming from the A in bars 99–102, moving to the B♭ in bar 112, as shown in Figure 7. The further deception, then, is that in bar 1, the I^6_4 was an inversion of the tonic chord in root position; but here at the beginning of the development section, it must be considered an inversion of the I^6. Hence the parallel is not quite exact, even though initially it seems so. This difference shows that a change in design (and, by implication, "style analysis" more generally) need not be limited to the foreground or surface features of a work. This inexactitude differentiates the design at the beginning of the development section from that of the exposition. Furthermore, the change in design which unmistakably differentiates the beginning of the exposition from the beginning of the development occurs in a way only accessible by using the concept of structural levels.

The tonic chord with an added seventh does not always equal V^7/IV, however. Beethoven, it seems, was fond of beginning the development section with a reference to the opening of the whole movement. Another example involving the tonic chord is his Piano Sonata in E major, Op. 14, No. 1. It, along with the Razumovsky quartet and such works as the Piano Sonata in E♭, Op. 31, No. 3 and the Ninth Symphony (which do not begin with

Figure 7. Beethoven: String Quartet Op. 59, No. 1, I



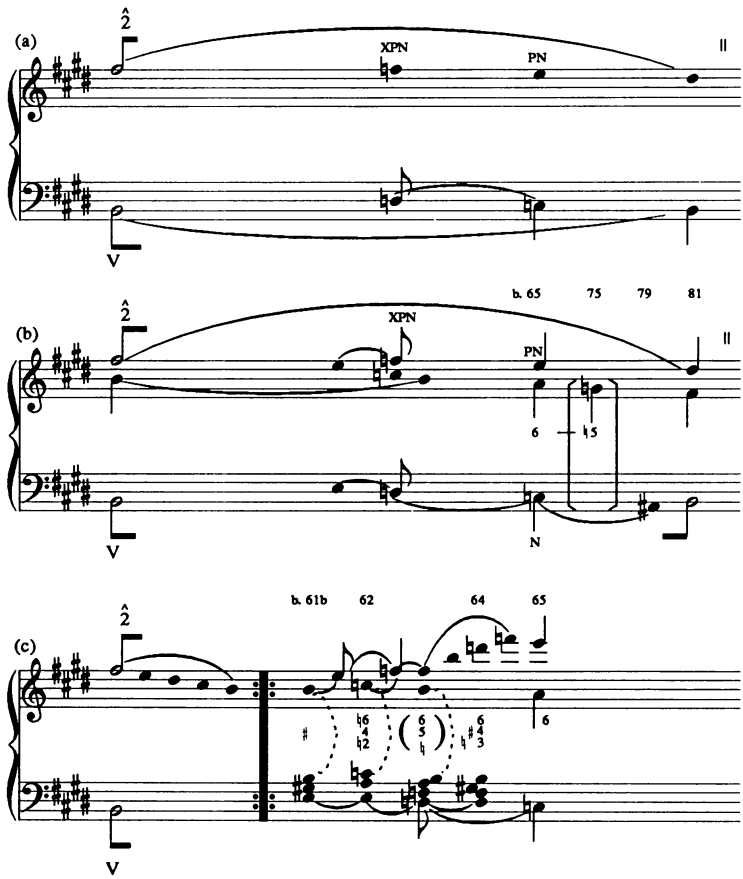
the tonic, but whose development sections open with the entire introductory material of the exposition), all have one characteristic in common, namely, a development section that begins with initial exposition material.

In Op. 14, No. 1, the tonic chord, as we shall see, leads indirectly to an upper neighboring chord of the dominant. As Figure 8(a) and (b) indicate, the $\hat{2}$ is prolonged by a descending third moving to the leading tone through a chromatic passing tone. The middle note, E, is dissonant against the dominant harmony. In order to prolong the dominant, this passing tone must be (temporarily) transformed into a consonance. This is achieved by giving the E the consonant harmonic support indicated in Figure 8: a neighboring harmony built on C, which itself functions as a neighboring note to the dominant, B.

When this point in the development section is reached, the C in the bass and passing note E in the soprano are harmonized by a $\frac{6}{3}$ chord (bar 65) with the sixth subsequently moving to a fifth in bar 75. Introducing the A minor $\frac{6}{3}$ chord of bar 65 is its dominant, which is, of course, a "tonic chord." This tonic chord in bar 61b has the same diminutions as the initial tonic of bar 1, creating a parallelism between the openings of the development and exposition sections.[17] But by bar 62 there is already a change from a major to minor IV^6_4. In the following measure, unlike the treatment of the F♯ in bars 2ff., F♮ is sustained and vaulted up an octave as the

[17]See also Carl Schachter, "Beethoven's Sketches for the First Movement of Op. 14, No. 1: A Study in Design," *Journal of Music Theory* 26/1 (1982): 1–21.

Figure 8. Beethoven: Piano Sonata Op. 14, No. 1, I



harmony shifts to VII^{o4}_{3}/IV in bar 63, which resolves to a IV^{6} in bar 65. In view of this emphasis on the F♮, its extension, and its subsequent motion to E in bar 65, it would be best to interpret it as a chromatic passing note between F♯ ($\hat{2}$) and E in bar 65. The E of bar 61b introduces the F♮, thereby avoiding a direct chromatic alteration of the F♯. The tonic chord in bar 61b supports that melodic E and thus must be considered as a transitory event. As the E of the upper voice moves to the F♮, so the E in the bass moves to D, which eventually becomes a $\sharp VII^{o4}_{3}$ of the neighbor-note IV^{6}.[18] Whereas in the exposition the initial material supported the ascent to the primary melodic tone, in the development section the tonic and initial material act to embellish a chromatic passing tone which in turn introduces the main prolongation-sonority of the development.

As mentioned, Beethoven's Piano Sonata in E♭ major, Op. 31, No. 3, and his Ninth Symphony behave similarly. The main difference is that the opening sonority is not a tonic but a passage which introduces it. The repetition of this introductory passage at the beginning of the development section recalls the opening and, by implication, the tonic. The repeated introductory material, however, leads to new harmonic destinations in the development. Figure 9 summarizes this in the case of the Ninth Symphony.

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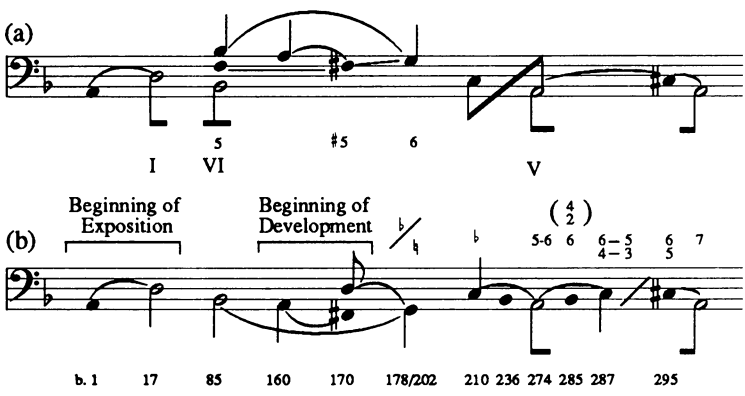
[18]For a different view of this section, see Allen Forte and Steven Gilbert, *Introduction to Schenkerian Analysis* (op. cit.), 279 (Ex. 220).

Figure 9. Beethoven: Symphony No. 9, I



Haydn on at least one occasion employed a similar procedure. His String Quartet in D major, Op. 50, No. 6, begins withan auxilliary cadence (see Figure 10a), establishing the tonic only at bar 4. The development section begins with the same melodic material in the first violin, paralleling the (presumably repeated) opening section. The parallel is only momentary, for in bar 56 the opening fragment is reharmonized, leading to IV. Obviously the A♯ in bar 56 derives from the A two bars before and is an extension of the dominant (see Figure 10b).

I.B.6. Finally, the seventh is sometimes omitted, as in Haydn's String Quartet in D major, Op. 64, No. 5, and Mozart's Symphony No. 28. In the Haydn Quartet, the articulated tonic occurs in first inversion but for only one measure. While there is no seventh, the brevity of the tonic chord and its appearance in first inversion readily make it evident that the tonic was merely "touched" on the way to IV.

SECTION II. PARALLEL TONIC MINOR OR MAJOR

II.A. Some pieces in the minor mode begin the development section with the major tonic. The change of mode is, in itself, a signal that something different from the opening is occurring. In the nineteenth century, it was not uncommon, particularly after the works of the middle period of Beethoven, to conceive of a work as moving from minor to major. This change, however, usually took place in the last movement of a multi-movement work, such as

Figure 10. Haydn: String Quartet Op. 50, No. 6, I

(a) Beginning of the Exposition

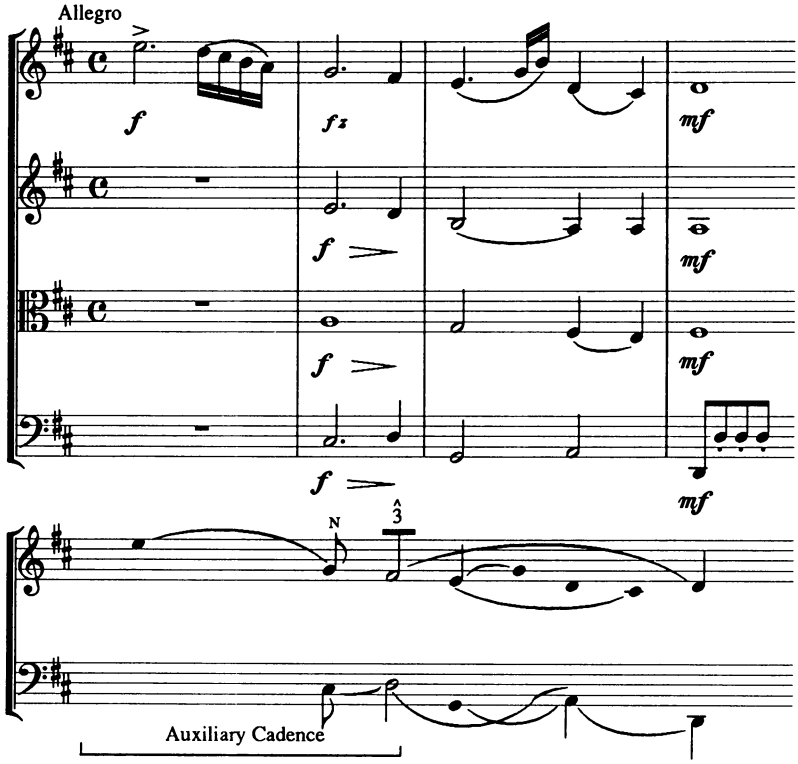
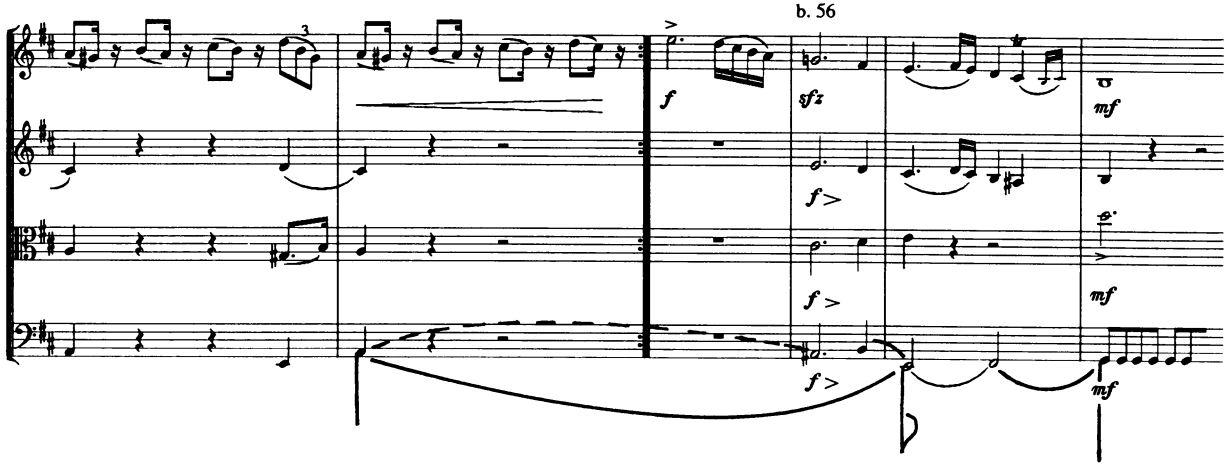


Figure 10 cont'd.

(b) Beginning of the Development



Beethoven's Fifth Symphony.[19] Such a change was less common within a single movement: the change from minor to major was often only temporary, a rhetorical device to heighten the effect of tragedy or pathos. For example, in the first movement of Beethoven's Piano Sonata in F minor, Op. 57, the recapitulation begins in the major but is soon re-colored back into minor. The coda of the first movement of his Fifth Symphony likewise features a transitory change to the major to heighten the effect of the return to the minor. Before 1800, this device was rare. There are some examples, such as Cherubini's Overture to *Medée*, where the first theme and second theme are reversed in the recapitulation; the second theme is recapitulated in the major, followed by the first theme in the minor for the sake of the tragic subject. This same design was later used by Brahms in his *Tragic Overture* to cite but one example. In the Classical era, true changes from minor to major were rare and usually confined within individual movements, often, as in the case of Mozart's String Quintet in G minor, K. 516, or Beethoven's Piano Sonata in C minor, Op. 111, with some elaborate preparation or, as in the Fifth Symphony or his String Quartet in F minor, Op. 95, some exuberant re-confirmation of this change of mode.

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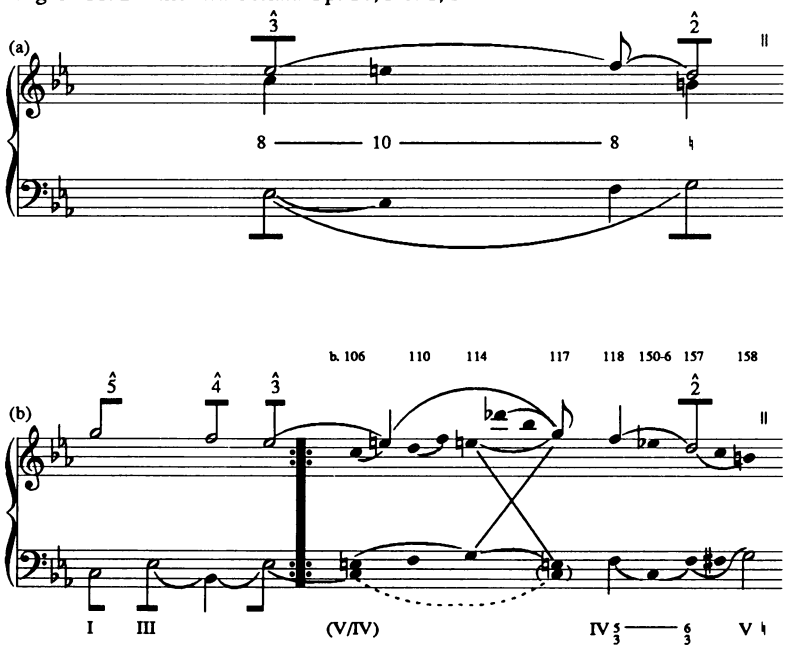
[19]There are exceptions, of course, both in single-movement works, such as Beethoven's *Egmont* Overture, or in single movements of works such as the first movements of Haydn's Symphony No. 95 and the so-called "Rider" Quartet (Op. 74, No. 3). In the quartet, both first and last movements begin in the minor and end in the major. While this does create a parallelism between the movements, one would be reluctant to equate the aesthetic meaning of this change with that of Beethoven's Fifth Symphony and other nineteenth-century works as mentioned above.

II.A.1 I♯ as an applied chord. The absence of either preparation or re-confirmation of the major tonic harmony, combined with its subordinate function of establishing a new harmonic goal, readily clears up any initial confusion which might occur in this situation. In Beethoven's Piano Sonata in C minor, Op. 10, No. 1 (see Figure 11), the tonic major at the beginning of the development section soon moves to the IV chord (prolonged from bars 118–158), which passes between III and V. When the IV is reached, the texture and thematic material are changed and the IV is more stable, indicating that it and not the tonic is the (momentary) goal.

Many works in minor use this or a similar procedure to introduce IV in the development, e.g., Beethoven's String Quartet in F minor, Op. 95, the last movements of Beethoven's Piano Sonata in C♯ minor, Op. 27, No. 2, Haydn's String Quartet in D minor, Op. 42, and the first movement of Mozart's Piano Trio in D minor, K. 442. The development section of Schubert's "Unfinished" Symphony also begins with a $I_{\sharp 3}^{7} = V^7/IV$. While the role of the IV there is different from that of the other works mentioned, the change from minor to major and the relatively swift progression to a seventh chord resolving to IV leaves little doubt that the tonic chord was not meant to be understood as the initial tonic.

II.A.2 I♯ as a third-divider between III and VI. An entirely different use of the parallel major can be found in Haydn's Piano Sonata in E minor, H.XVI:34, and Symphony No. 83. In both works, III is tonicized at the end of the second subject area,

Figure 11. Beethoven: Sonata Op. 10, No. 1, I

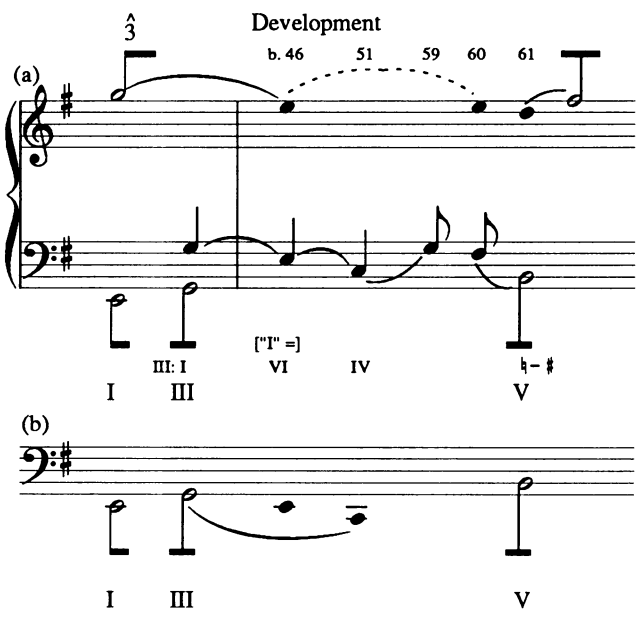


and each begins the development section with the tonic and initial thematic material in major. Figure 12 shows that in the piano sonata the tonic is a third-divider between I and IV in the key of III. In this case, the $\hat{3}$ of the basic line is altered to $\sharp\hat{3}$, returning to $\natural\hat{3}$ when IV in the key of III is reached. The corresponding tonic in the symphony functions similarly. In both works, changes in texture and dynamics mark off each step of the arpeggiation. Although the role of IV in the key of III differs between the piano sonata and symphony, the function of the tonic as a third divider (and not a scale-step) is similar.

II.B. Use of the parallel minor. Works in the major mode whose development sections begin in the parallel minor create a very different effect from those in minor using the parallel major. In a sense, the parallel minor is more stable because it cannot act as an applied dominant. This means that the process of absorbing the tonic minor must be more elaborate. On the other hand, the ear seems less willing to accept a change from major to minor as genuine. Only very rarely, as in Mendelssohn's "Italian" Symhony, do works begin in major and end in minor, suggesting that an unwillingness of the ear to accept the change from major to minor as genuine overrules its logical potential for stability. Nonetheless, such aural equivocation over the strength of moving from major to minor suggests that some cases of apparent minor tonics might not be clearcut, at least initially.

In Beethoven's Piano Sonata Op. 14, No. 2, the development section begins in the parallel minor tonic. The material of the first four bars of the development section comprises

Figure 12. Haydn: Piano Sonata, H. XVI: 34, I



a restatement of the opening material, now in G minor instead of G major. This parallelism is broken at bar 68, and in the ensuing measures it becomes clear that even though this passage refers to the opening of the work, the appearance of the tonic was misleading; the tonic sonority after the double bar was not an independent scale-step but a subsidiary part of a progression leading to the B♭ sonority in bar 74 (see Figure 13). Not only is the tonic sonority misleading, so also is the return of the initial melodic material.[20]

Haydn's Symphony No. 87 shows a similar though slightly different sort of procedure in that the tonic eventually prepares the V/VI. VI is a passing chord on the way to VII, which is the upper third of V (see Figure 14). It supports the chromatic descent of an inner voice E–D♯–D♮ and unfolds into the dominant. It is in this unusual way that the seventh over the V is introduced. Whatever the pattern of the development section, and whatever the intermediate goal, the change of mode from major to minor alerts us to the change in meaning of the articulated tonic chord.

II.C. Use of the parallel minor to delay the arrival of V^7/IV. In the first movement of Beethoven's Second Symphony in D, the development section begins with the parallel minor and the first

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[20]Other examples of the use of parallel minor include Beethoven's String Trio in D, Op. 9, Haydn's String Quartets Op. 71, No. 3 in E♭ and Op. 54, No. 1 in G, his Symphony No. 87 in A, and Schubert's Piano Sonatas No. 4 in B, Op. 47 (D. 575) and No. 11 in G, Op. 78 (D. 894), and his Piano Trio in B♭, Op. 99. In these works, the role of the tonic minor is as a passing sonority. Haydn's Op. 54, No. 1, for example, is similar initially to the progression found in Beethoven's Piano Sonata Op. 14, No. 2, but Haydn subsequently composes the progression so that the goal is the diatonic VI (instead of ♭VI), which subsequently moves through V/V to V^7.

Figure 13. Beethoven: Piano Sonata, Op. 14 No. 2, I

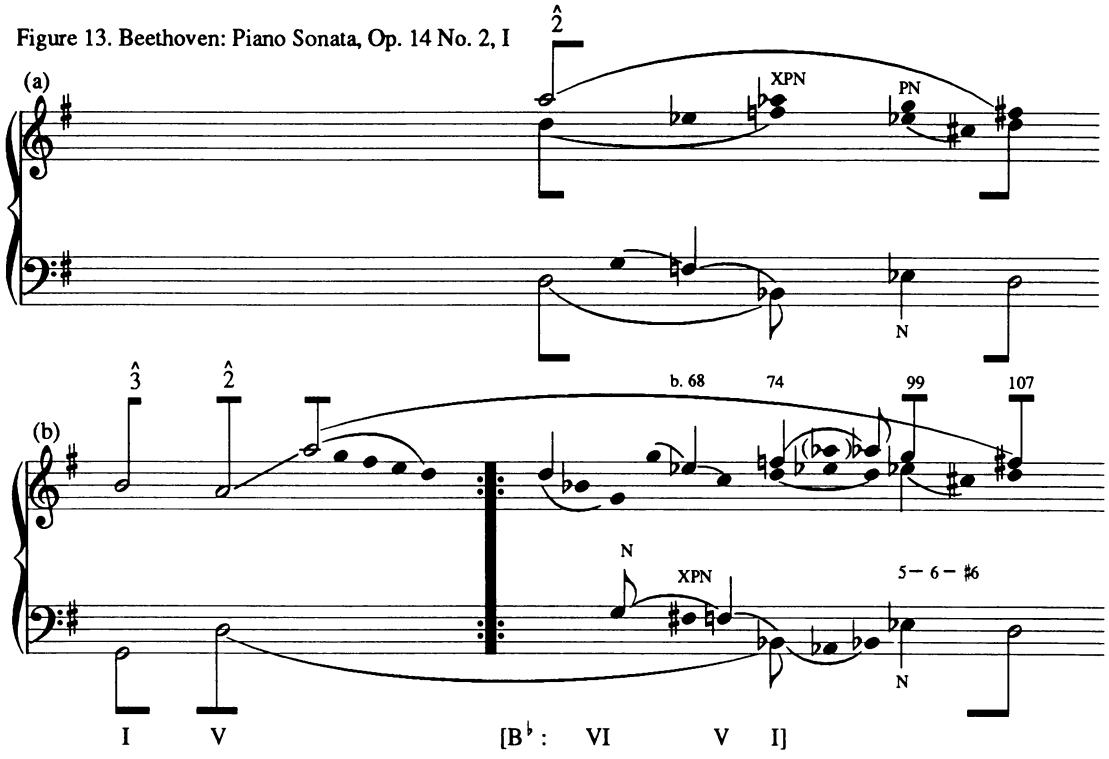
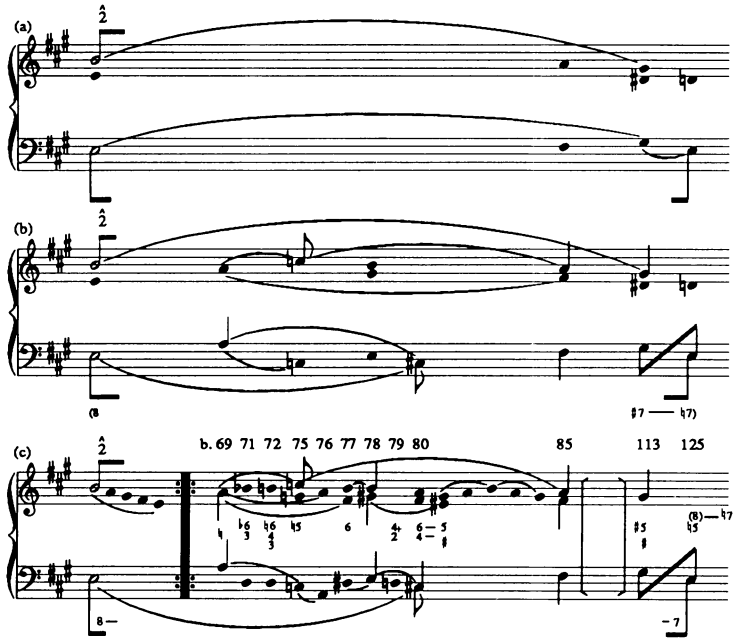


Figure 14. Haydn: Symphony No. 87, I



theme is slightly modified. The essential voice leading is from E ($\hat{2}$) over F♮ to F♯ to G (see Figure 15). The F♮ is harmonized by a D-minor chord, which by the end of the passage becomes a D major chord with the added lowered seventh. The inner voice reaches the lowered seventh by moving from $\hat{5}$ to ♭$\hat{6}$ to ♮$\hat{7}$. The parallel minor is used to delay the sounding of the major until the seventh is reached. In this case the double effect of parallel minor and tonic chord with a lowered seventh ensures that the appearance of the tonic is apparent and does not represent a real return to the initial tonic.[21]

SECTION III. FOREGROUND MOTIVE SUPPORTED BY A TONIC SONORITY

The Presto of Beethoven's Sonata for Violin and Piano in A, Op. 47, begins with an e^2 to f^2 motive in the violin. The play from E to F (and F to E) as a motive is of paramount significance in this work. After moving to the dominant in the second subject area (and closing there repeatedly), there is a brief transition beginning in bar 190. The progression is V♮–V/V–V^4_2/V–V^6_5. The last of these has a fermata. It is followed in the first ending by a tonic chord that gives consonant support to the opening e^2 (implied) of the Presto and the E–F motive. The A-minor chord there is part of a I–IV–V–I progression in the tonic.

The second ending is almost the same. The transition is as before, leading to a tonic sonority that gives consonant support to

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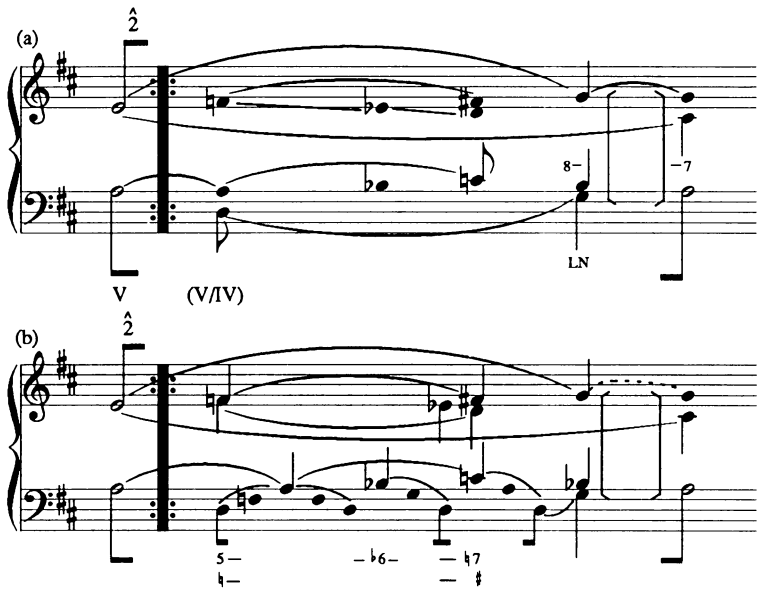
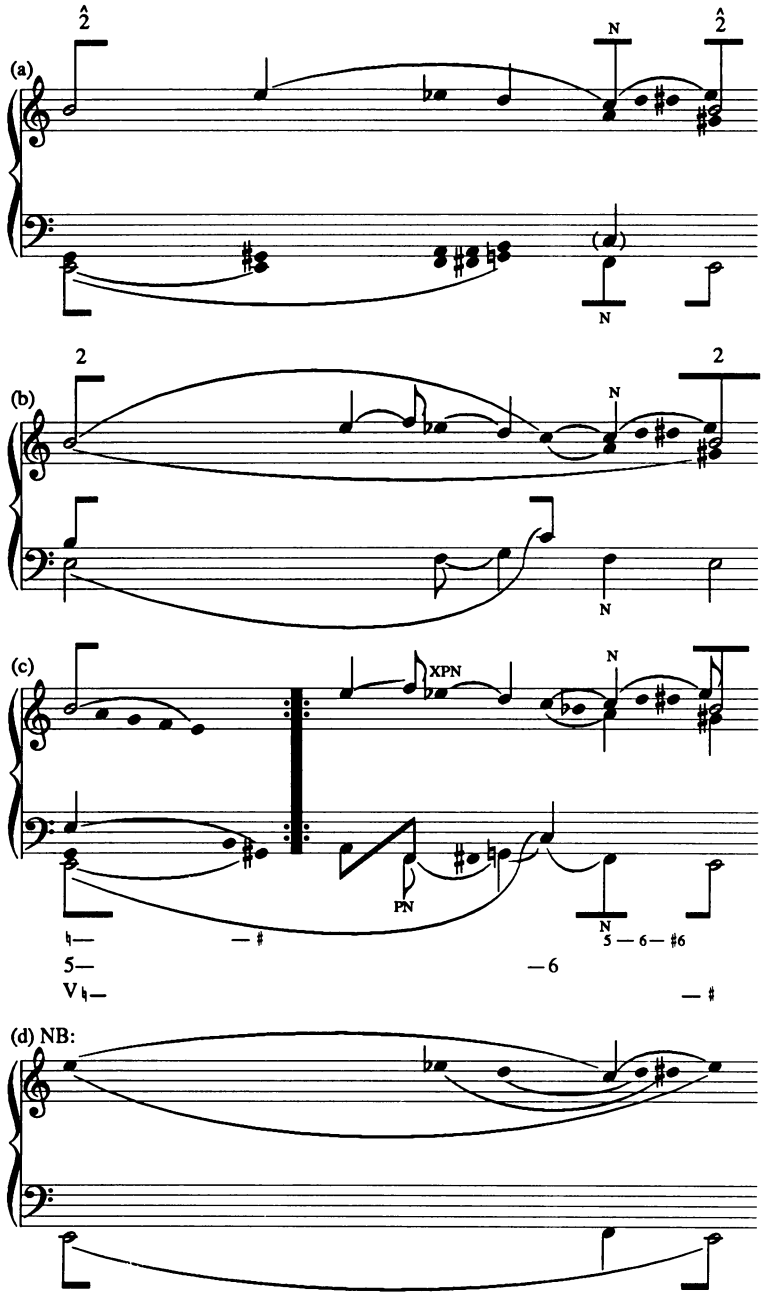
[21] An almost identical situation may be found in Haydn's String Quartet in G, Op. 33, No. 5.

Figure 15. Beethoven: Symphony No. 2, I



the E of an E–F motive occurring in the same register and played by the same instrument (the violin) as in the opening of the Presto. Note, however, that the meaning of the motive and the tonic chord is now completely different (see Figure 16). In the development, the E–F motive is no longer associated with the tonic step or even the initial thematic material of the Presto. A different melody is used, drawn from a later part of the exposition, and, because the E is an eighth note instead of a quarter note, not only is the difference all the more apparent, but it becomes clear that the E acts locally as an appoggiatura to the F. In the opening the F is understood as a neighboring note to the E; here in the development section, the F is understood as a temporarily consonant neighboring note which serves to introduce the E♭. In this way a direct chromatic succession (E to E♭) is avoided, although the underlying progression is nonetheless from E through E♭ to D. This eventually moves to a C in the course of the development section. The e^2 is consonantly harmonized by the tonic chord, and the f^2 by the F chord. The f^2 introduces $e♭^2$, which moves to d^2, while in the bass, the F moves through an F♯ to G. In other words, the A triad opening the development unfolds into the F chord, acting as its upper third, facilitating a smoother passage of the chromatic descent from E to E♭ by restating the opening E–F motive. Indeed, the tonic chord here exists for the sake of squeezing in the foreground motive one more time; as it turns out, this aids in smoothing out the chromaticism. As shown in Figure 16, the whole passage moves to the upper neighboring chord of V when the C in the upper voice is reached. An augmented sixth is added, returning

Figure 16. Beethoven: Violin Sonata, Op. 47, I



the work to V for the interruption. In the recapitulation, this whole idea is given a contracted presentation in bars 362–6. Thus, in this fascinating case, the tonic sonority acts as the upper third of another chord and gives consonant support to the foreground motive.

SECTION IV. TONIC USED TO PROLONG III THROUGH 5–6 LINEAR MOTION

In a number of works that move from I to III in the exposition, the tonic chord occurs at the beginning of the development section in ways seemingly identical to the opening of the whole movement. Five such works occurring in the literature are Beethoven's Piano Sonata in G, Op. 31, No. 1, Haydn's String Quartet in G minor, Op. 20, No. 3, Brahms's Piano Trio in C minor, Op. 101, Mendelssohn's *Fingal's Cave* Overture and Rachmaninoff's Third Piano Concerto in D minor.[22] In the Beethoven sonata, after moving from I to III at the end of the exposition, there is a terse one-bar retransition (bar 111) back to the tonic chord. When the whole of the exposition is repeated, it is of course clear that this tonic chord is identical in function to the initial tonic. The next time through, the same transition and restatement of the first seven bars of the principal theme are given. Only in the eighth bar is there a change whereby the harmonic motion is redirected toward a different goal. This surely raises the problem of whether the tonic chord and restatement of the principal theme is meant to be understood as a return to the initial tonic, thus

[22]Brahms's *Tragic Overture* may also belong to this category.

setting off on a new approach to the dominant, or whether it has some other meaning in this context.

Ultimately we might better understand the tonic at the beginning of the development section as originating from a 5-6 motion over III. A seventh is then added to the tonic (bar 119), which subsequently acts as an applied dominant of minor IV in m. 122. This IV, in turn, functions as a neighboring chord to the ♭III of m. 134 that provides consonant support to the chromatic passing tone B♭. This prepared consonance is then made dissonant by a C♯, resolving to the structural dominant with $\hat{2}$.[23]

A similar function may be ascribed to the tonic found at the beginning of the development sections of the aforementioned Haydn Quartet Op. 20, No. 3, and Brahms C-minor Trio. The Quartet, as with many works in minor, progresses from I to III in the exposition. An important motive that occurs in various guises throughout the composition is the neighboring figure D-E♭. The final cadence for the exposition (bar 87) is followed by a transition, which, as in the Beethoven sonata, must serve two functions, viz., to facilitate both the repetition of the exposition and the transition to the initial point of the development section.

A rough sketch of this transition appears as Figure 17. The D in bar 87, supported by III, moves in the subsequent passage to an E♭ supported by a C in the bass, both of which are neighboring notes. The fifth above the B♭ (the inner voice) moves through the F♯ to the G, expressing the motion of 5-5♯-6 over the III, which

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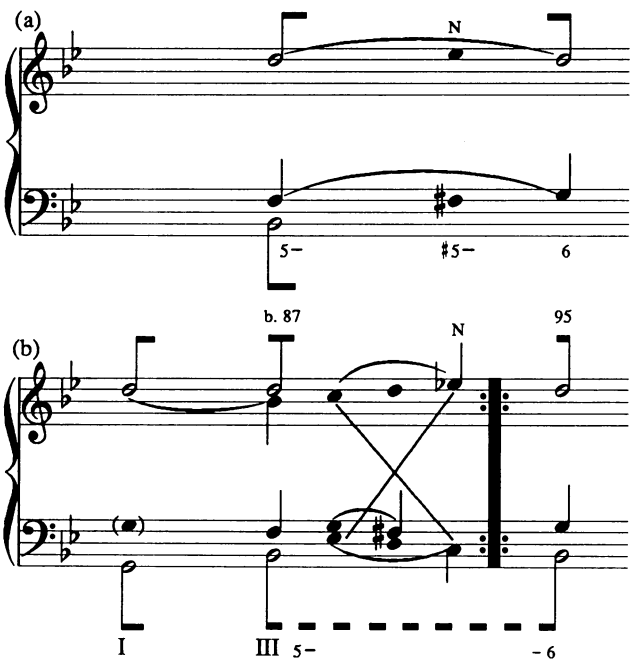
[23]I am indebted to Edward Laufer for this interpretation.

Figure 17. Haydn: String Quartet Op. 20, No. 3, I



accounts for the appearance of tonic harmony. The E♭ in the upper voice and the C in the lower voice are achieved by means of a voice exchange (shown in Figure 17b), and the first chord of that figure is made consonant by the inner voice G which acts as a neighbor to the passing F♯.

The 5-5♯-6 in Brahms's Trio in C minor, Op. 101, is perhaps all the more apparent because of the terseness of the transition in bar 80. After closing in III in the second key area, there are three bold chords, the last of which is the tonic which begins the development section. Despite the thematic allusion to the first subject area, the compositional differences in instrumentation, figuration and harmonic direction lead through the tonic rather than to it. In very broad terms, the reappearance of the tonic has to do with the C-E♭-G motive in the bass of the opening measures, reminding us that the origin of the tonal motion over the whole work comes from that initial motive, and (in relation to the development section as a whole) from the entire first twenty-one bars of the movement. But it acts solely as a reminder, much in the same way a flashback image in a novel or play recalls some other event, whose pertinence "suddenly" becomes relevant and so must be present as an image in order to recall an otherwise distantly separated event. Though the image is concrete, its veracity is only that of a reflection upon a prior event, and is not to be confused with the event itself. Such is the meaning of the "apparent" tonic.

* * *

All of the works presented here share a distinctive harmonic feature that seems, on the face of it, to run counter to standard descriptions of sonata form. By employing Schenker's concept of levels of interpretation it has been possible to show that the majority[24] of articulated tonics at the beginning of development sections are only apparent returns, with such a tonic functioning as part of a chord progression determined or controlled by some other harmony. These tonic sonorities neither interfere with nor disrupt the classical sonata-allegro form. They do not in any way alter, except momentarily, the customary flow of events. Their purpose has to do with design rather than with structure: there is a sense of surprise which is then rectified. The tool that best accounts for this rectification, that best elucidates the structural context in which this feature of design ultimately resides, is Schenker's concept of structural levels.[25]

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[24]Exceptions were noted in footnotes 5 and 6.

[25]I would like to thank Allen Cadwallader for his careful reading of this paper and his many valuable editorial suggestions, David Beach, who greatly assisted in the preparation and direction of this whole study, and Edward Laufer, for too many things to recount in a single footnote.

List of Works Cited