X SECTION AND ETHOS IN SONATA FORMS BY HAYDN, MOZART, AND

EARLY BEETHOVEN

By

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Floyd Grave

And approved by

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ABSTRACT OF THE DISSERTATION

X Section and Ethos in Sonata Forms by Haydn, Mozart, and Early Beethoven

By DANIEL M. LIBIN

Dissertation Director: Floyd Grave

By the end of the eighteenth century, questions of form in Western instrumental music centered largely on what critics would later call “sonata form.” Its middle part, commonly recognized as Durchführung, or “development,” but also usefully described by Leonard Ratner’s maximally inclusive term “X section,” contrasts with the outer sections in tonality and sometimes thematic material. Its manifestations have been examined in at least cursory fashion in all authoritative accounts of sonata form, most recently and extensively by James Hepokoski and Warren Darcy in Elements of Sonata Theory (2006); but little attention has been devoted to the rhetorical or narrative forces in play that inform the relationship between this “and the plot thickens” phase and the logical procession of events by which it is framed (i.e., opening ritornello in a concerto, exposition, recapitulation, coda, etc.) My dissertation seeks to address this lacuna by considering ways in which the three Viennese masters Haydn, Mozart, and Beethoven often imbued their X sections with musical signification that advanced or captured the overall character of a work. This character, which I refer to as “ethos,” finds dynamic expression in an X section’s manipulation of exposition material, introduction of new material, and on occasion, interaction with subsequent events. The central questions to be posed herein focus on key aspects of the X section’s function and spirit as witnessed in an array of specific instances. These are drawn mostly from the last quarter of the eighteenth
century, and they cover a wide range of genres. Individual chapters consider the X section as it relates to matters of rhetoric, post-recapitulatory space, Mozart’s piano concertos and certain arias and ensembles from his operas, and Enlightenment notions of the sublime.
Acknowledgements

Every book-length study has a backstory uniquely its own that chronicles the journey of its author up to the study’s completion. While crucial chapters of this backstory detail the author’s dedication to and passion for the subject matter, the most significant episodes relate the author’s interactions with those individuals who made the completion of the study possible. While these episodes are the ones most worthy of recounting, they are also the ones that are hardest to capture, especially in the limited space allotted to the “acknowledgments.”

First and foremost, I would like to express my deepest gratitude and appreciation for my dissertation adviser, Professor Floyd Grave. In his capacities as Professor and Professor Emeritus, Floyd Grave invested numerous hours meeting with me and reviewing my draughts. He consistently challenged me to sharpen and clarify my arguments as he maintained an open and enthusiastic attitude towards my ideas and interpretations. Professor Grave trusted my vision for this study from its inception. His patient and supportive manner as well as his capacious knowledge of the subject made him an ideal adviser. I am fortunate indeed to have been under his tutelage.

Along with Floyd Grave, I would like to acknowledge the three other members of my dissertation committee, Rebecca Cypess and Douglas Johnson, both of Rutgers University, and Elaine Sisman of Columbia University, who encouraged my foray into graduate study. Professor Sisman’s dynamic classroom presence and engaging approach to teaching figured prominently in my decision to pursue the study of eighteenth-century music. I fondly recall her undergraduate Haydn course in the spring of 2009 and her Don Giovanni graduate seminar the following year, which she invited me to join. The
completion of this study is testament to Professor Sisman’s lasting influence on my academic journey.

I would also like to acknowledge Professors Kofi Agawu of Princeton University and James Hepokoski of Yale University for their helpful periodic correspondences. Channan Willner of the New York Public Library assisted me along the way with valuable bibliographic citations and historical observations. Catherine McGowan and Dana Keith of the New York Society Library procured numerous hard-to-find volumes that figured prominently in my research. Finally, I would thank and acknowledge those two individuals present from the very first pages of this study’s backstory, my parents, who, as they inscribed in a certain book they presented to me some twenty-six years ago, wish only for my journey to be uniquely my own.

New York City, Thanksgiving, 2017
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### Abbreviations

<table>
<thead>
<tr>
<th>Abbreviation</th>
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<tr>
<td>AFR</td>
<td>Area of furthest remove (Ratner 1980, 227)</td>
</tr>
<tr>
<td>DP</td>
<td>Dwelling on the point (chapter 2)</td>
</tr>
<tr>
<td>EEC</td>
<td>Essential expositional closure (HD, 18)</td>
</tr>
<tr>
<td>ESC</td>
<td>Essential sectional closure (HD, 20)</td>
</tr>
<tr>
<td>K</td>
<td>Closing theme</td>
</tr>
<tr>
<td>N</td>
<td>New thematic material</td>
</tr>
<tr>
<td>P</td>
<td>Primary theme</td>
</tr>
<tr>
<td>PAC</td>
<td>Perfect authentic cadence</td>
</tr>
<tr>
<td>PFR</td>
<td>Point of furthest remove (Ratner 1980, 225)</td>
</tr>
<tr>
<td>S</td>
<td>Second (subsidiary) theme</td>
</tr>
<tr>
<td>SR</td>
<td>Structural return</td>
</tr>
<tr>
<td>T</td>
<td>Transition theme</td>
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</tbody>
</table>

*Thematic abbreviations follow Wolf/LaRue (Wolf 1981, 2–3)*
Music Examples

Haydn, Symphony 83/i
Mozart, Symphony K. 550/i
Mozart, Keyboard Sonata K. 332/i
Beethoven, Piano Sonata op. 2/1/iv
Mozart, Keyboard Sonata K. 545/i
Mozart, Symphony K. 504/iii
Haydn, Piano Sonata Hob. XVI: 41/i
Mozart, Piano Sonata K. 576/i
Mozart, Keyboard Sonata K. 311/i
Beethoven, Piano Sonata op. 10/2/i
Mozart, String Quartet K. 387/i
Beethoven, Piano Sonata op. 2/3/i
Mozart, Sonata for Two Keyboards K. 448/i
Mozart, Violin Sonata K. 481/i
Mozart, Keyboard Sonata K. 330/i
Mozart, String Quartet K. 458/i
Mozart, String Quartet K. 590/i
Beethoven, Piano Sonata op. 10/3/i
Mozart, String Quartet K. 464/iv
Beethoven, String Quartet op. 18/1/ii
Mozart, Symphony K. 133/i
Mozart, Piano Concerto K. 413/i
Mozart, Piano Concerto K. 415/i
Mozart, Piano Concerto K. 482/i
Mozart, Piano Concerto K. 467/ii
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<tr>
<td>Mozart, Piano Concerto K. 595/i</td>
<td>228</td>
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<tr>
<td>Mozart, Piano Concerto K. 466/i</td>
<td>236</td>
</tr>
<tr>
<td>Mozart, Piano Concerto K. 491/i</td>
<td>241</td>
</tr>
<tr>
<td>Haydn, Piano Sonata Hob. XVI: 49/i</td>
<td>252</td>
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Introduction

Some Prefatory Remarks on “Middles”

If we were to reduce the three main stages of a narrative arc to clichés, we might come up with “once upon a time” for a beginning and “and they lived happily ever after” for an ending. But coming up with one for the middle might be a little harder—maybe “and the plot thickens.” This middle-section tag-line betokens a crucial distinction.

Whereas the beginning and ending clichés admit a world that lies outside of narrative (the “real world”), either by initiating or closing narrative space, the middle one only engages events that occur within the narrative. As such, the middle term has no contact with the world that makes its narration even possible: it only borders the narrative’s beginning and ending. We might represent this dynamic through this simple scheme, where ↔ symbolizes “has contact with” and A, B, and C symbolize the narrative’s beginning, middle, and end, respectively:

Non-narrative world ↔ A ↔ B ↔ C ↔ Non-narrative world

In musical forms of the eighteenth century, the century in which “sonata forms” emerged, the middle section presents a direct parallel to B in the above model. For it is generally in the middle part of the form, that musico-narrative space where the plot thickens, which is given to harmonic exploration, while the outer sections, at the inception and conclusion of the work, confirm the primary tonality. (Even if a minor-key work ends in major it will confirm the tonic in the parallel major.) This means that while the tonic of a given structure always engages the non-narrative world, the non-tonic part of the form, best articulated by the middle section, never does. It remains insulated, sealed-off from non-narrative space, inhabiting a realm remote from the structure’s outer walls that bound it.
Occupying this position of interiority, the middle claims a privileged place in musical form, dialoguing exclusively with musical events that surround it. Its status renders it unburdened from the charge of real-world engagement, as beginnings and endings are mandated to establish the tonic as an initiating or concluding gesture. We might represent this rudimentary tonal dynamic of sonata form, where A symbolizes the tonic and B the non-tonic, accordingly:

\[
\text{Non-musical world} \leftrightarrow A \leftrightarrow B \leftrightarrow A \leftrightarrow \text{Non-musical world}
\]

This Study

This study is about the middle part of musical form as practiced by three Viennese masters of the late eighteenth century: Haydn, Mozart, and Beethoven. While observing the above tonal paradigms, each of them utilized the form’s middle to enrich the entire structure, often imbuing it with musical signification that advanced or captured the overall character of the work. This character, which this study refers to as “ethos,” finds dynamic expression in the middle section’s manipulation of exposition material, introduction of new material, and, in certain works, interaction with later parts of the movement. The works selected for analysis will explore the implications of the above observations. They will be drawn from a finite chronology, around the last quarter of the eighteenth century, but a wide range of genres. While the first three chapters deal exclusively with non-concerto instrumental music, the latter two chapters are genre and composer specific: chapter 4 deals with three of Mozart’s operas and chapter 5 with examples from his piano concertos.

All the works selected engage sonata form in that they have a tonic return coinciding with a return of exposition material. This point is noteworthy when
considering the opera chapter since the term sonata form may be applied quite liberally to this genre. For example, the tonal return in “Non ti fidar” from Don Giovanni is set to non-exposition material. Does this mean the aria is not in sonata form? My purpose here is not to delimit what sonata form is or how we should apply this construct. But I am interested in a consistent theoretical approach across genres. For this reason, the arias and ensembles discussed here from Idomeneo, Le Nozze di Figaro, and Don Giovanni answer to the above criterion, as do all the non-operatic examples.

For this opera chapter, the reader is advised in advance to have scores handy. For other chapters, most significant passages are presented in full score. There are some notable exceptions where no score has been provided: Mozart’s Symphony K. 425/i, Haydn’s String Quartets opp. 77/1/i and 54/2/i (all in chapter 3), and Gluck’s “Deh placatevi con me” from act II of Orfeo ed Euridice (chapter 4). The examples discussed in this study involve various degrees of detail, and the reader is encouraged to refer to scores apart from the examples provided, where desirable.

Secondary Literature

This study aspires to join an ongoing conversation about form in Western music. In so doing, it relies heavily on the work of others as it draws on insights, concepts, and analytical points of view that have been explored by critics past and present. The central questions to be posed herein concern the middle region of a musical design that often bears the label “development section” and the challenge of capturing key aspects of its function and spirit as witnessed in an array of specific instances.

The development section or Durchführung, alternatively labeled “X section” by Leonard Ratner, has been examined in at least cursory fashion in all authoritative
accounts of sonata form, most recently and extensively by James Hepokoski and Warren Darcy.² Missing from the existing discussion is any detailed consideration of the rhetorical or narrative forces in play that inform the relationship between this “and the plot thickens” phase and the logical procession of events by which it is framed (i.e., opening ritornello in a concerto, exposition, recapitulation, coda, etc.) My dissertation seeks to address this lacuna through close analyses of representative cases both in instrumental movements and in operatic arias and ensembles.

NOTES TO INTRODUCTION

1. This is not to say that the middle section never refers to the tonic. Several middle sections by Haydn and others do so, if briefly (e.g., Haydn Symphonies 43/i and 55/i).

Chapter 1

X Section: Concepts and Analyses

Why X?

A 1629 mathematical paper on ovals by René Descartes provides no explanation for his unprecedented designation of the letter \( x \) for unknown quantities. While Descartes’s \( x \)—and later, his \( y \) and \( z \)—was not immediately adopted in the mathematical world (Cajori, 381–83), the letter \( X \) today is commonly recognized as a symbol for the mysterious (Planet X), the undefinable (the X factor; generation X), and the unknown variable in and out of mathematics. Indeed, the symbol is not foreign to the field of musicology. In *Classic Music*, Leonard Ratner uses the letter \( X \) to refer to the development section in eighteenth- and nineteenth-century sonata form movements (1980; 213–16, 225–26).\(^1\) Ratner, like Descartes, does not comment on the significance of the letter \( X \), but in a later work *The Beethoven String Quartets* (1995), his schematic for the beginning of reprise II—or part II—of a sonata form movement bears the label “harmonic exploration, X” (7).

From the mid-eighteenth through the early nineteenth centuries, the X section is the most unquantifiable part of the form, and the exploration this section pursues is not limited to harmony. As Ratner notes, it “supports a wide range of options in the disposition of melodic material” (1995, 6). Similar ideas about the X section have been expressed by other scholars. Wallace Berry observes, “development is of primary importance in the sonata, for in no other traditional form is the free manipulation of musical ideas so emphasized, nor is there in any other conventional form a major division.
for treatment of this kind. The development may be fantasia like with frequent and abrupt changes of key, of material, even of tempo” (163). Lauri Suurpää notes that

whereas expositions and recapitulations are framed by predicted goals in the form of punctuating gestures . . . 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. (185–86)

Similarly, Dennis Green finds

there is no standard design for the development section as there is for the exposition . . .

. . . The material of the development consists of anything that the judgment of the composer deems appropriate. . . . The listener cannot possibly guess in advance what is in store for him. (195)

Recognizing unpredictable harmonic action of late eighteenth- and nineteenth-century X sections, James Hepokoski and Warren Darcy (2006) note in Elements of Sonata Theory (herein, HD), “developments came to have multiple nontonic goals” (197). HD also detail some of the various techniques that were available to composers of X sections: frequent modulation, complete or fragmented references to thematic material from the exposition, interpolated episodes or new themes, sequences, Sturm-und-Drang textures, contrapuntal treatment, and the so-called false-recapitulation effect, among others (196). HD state that “many development sections present ‘new’ material in individual sections, and a few fill that zone almost entirely with contrasting material” (195). Their observation is immediately followed by a parenthesis that puts forth Ratner’s X section as an alternative label, though Ratner did, in fact, use the term development section as well. Given that the X section in a myriad of works from the period contains new or contrasting material, the analyst may wonder in what way this music is undergoing any development at all. In Sonata Forms (1988), Charles Rosen identifies the
development section as the region where “anything was possible, including the introduction of new material, changes of tempi, or nothing at all” (162). Christoph Koch in 1793 mentions the possibility of a new melodic idea (200) and Francesco Galeazzi in 1796 remarks that new material is one of two ways of commencing the second part (start of the X section) (Churgin 1968, 195). Wye J. Allanbrook, a protégé of Ratner’s who was given to using the term “X section” in analysis, offers the following observation regarding her mentor’s approach: “if we accept Leonard Ratner’s premise that the essential task of the ‘X-section’—his term for the development—is to regain the tonic via the reversal of the harmonic trajectory, then we are no longer bound to explain the events of this section in primarily thematic terms, and will have less rigid expectations as to its procedures” (1992, 140).

The term X section is at once a more precise and a vaguer description of the sonata space in question. It is a term of “exquisitely studied neutrality” (Jan, 27) that encompasses the potential variety of its musical procedures while encouraging a spatial orientation of sonata form over one of process. Moreover, the term still covers that countless number of movements from the period whose middle sections are more accurately described as developmental. Consequently, this study will consider development sections as a subset or type of X section: the middle portion of the sonata space that, generally stated, is bounded by the end of the exposition and the structural return (SR).² Sections that feature new or contrasting material often have areas that also develop material from the exposition. In these cases, I use the term development as kind of musical activity within X. Sequencing as well as fragmenting of exposition material
are examples of developmental activities within X sections; such sections may be referred to as developmental X sections.

The X Section: Purpose and Scope

The purpose of the X section, according to Ratner, is to “regain the tonic” after the establishment of the secondary key in the exposition. It does so by means of dominant harmony or by the point of furthest remove (which I refer to as the PFR), a harmonic inflection point—a cadence on VI, III, or V/VI—that alters the tonal trajectory of the section toward the tonic and the onset of the SR. Generally, the X section comprises two phases: one that supports continued motion away from tonic (a process underway in the exposition), and another that supports motion toward the tonic, with the PFR acting as the threshold between them (1980, 225–26). Ratner’s two phases of X are related to Rosen’s two basic sectional functions, the “development and retransition: the development intensifies the polarization and delays resolution; the retransition prepares the resolution” (1988, 263). Essentially, Rosen and Ratner both regard the section as providing an arc that bridges the inherently more stable outer sections of the movement. The arc creates a miniature drama within the structure as it extends the tonal action initiated in the exposition—Ratner’s “harmonic exploration.” The denouement of this drama arrives with the SR, generally restoring exposition material in the tonic. These twentieth-century views of the section track Galeazzi’s 1796 description. Referring to part of the X section as the “modulation,” he notes that “however remote the modulation is from the main key of the composition, it must draw closer, little by little, until the reprise [recapitulation],
that is, the first motive of part I in the proper natural key in which it was originally written, falls in quite naturally and regularly” (Churgin 1968, 195).

In shorter X sections, harmonic exploration is curtailed, resulting in a “less dramatic structure” (Rosen 1988, 106). Are these sections acting as what critics commonly call development sections (referred to here as X sections) or as transitions to the recapitulation? In her PhD dissertation on the symphonies of Dittersdorf, Margaret Grave has outlined the following three criteria for true development sections:

“1. Definable structural hierarchy within the section. 2. Harmonic motion more substantial than a simple return from the dominant to the tonic. 3. Reference to previous material or development of new ideas” (142, 70n6). Accordingly, an X section that lacks one or more of these criteria is a transition or link to the SR. At one extreme, we might consider an X section transition that is as brief as a single bar. The Adagio molto of Beethoven’s Piano Sonata in C Minor, op. 10/1, a movement without repeat marks, wedges a dominant-seventh chord (m. 45), preceded and followed by rests, between the exposition and the structural return. As this single measure serves neither an expositional nor a recapitulatory function, it is the de facto X space. Its main purpose is to prepare for the tonic arrival, fulfilling Ratner’s requirement for X sections. It signifies motion away from tonic, and, simultaneously, motion to the tonic. Not all brief dominant transitions, however, should be considered X sections. The three-measure link in the overture to Mozart’s Le Nozze di Figaro, for example, serves as an introduction to the SR and presents no discrete profile as does m. 45 in the Beethoven sonata. Brief developmental X sections that follow a double bar include the fifth movement of Mozart’s Serenade in D, K. 185. Though only eight measures in length, the passage, arguably, fits Margaret
Grave’s criteria: definable structural hierarchy articulated in a 4+4 phrase structure, a
tonal path from B minor to E major, and reference to thematic material (mm. 54–55
develop P material from mm. 3–4).3 We find a clear example of a brief developmental X
section in the fast movement of Mozart’s Violin Sonata, K. 379. The 12 measures
following the double bar use closing material from the exposition sequentially to
“prolong harmonic tension” before the recapitulation (Rosen 1988, 108). Forms that
feature brief, non-developmental X sections have been variously described in the
literature. Rosen refers to movements that have links or transitions to the SR as “slow
movement forms” (1988, 106), while HD refer to them—and to those without such
links—as “Type 1” sonatas (345–46). Using Margaret Grave’s criteria, we can identify
those X sections that belong to these movement types.

The concept of the X section may also be applied to certain kinds of binary
movements from the early decades of the century, including those that fall under Ratner’s
small two-reprise form (1980, 209–13). Many of these movements have two melodic
groups before the double bar, the first one in the tonic and the second one in a non-tonic
key (Ratner notes that some end in the tonic before the double bar). Following the double
bar, or part one, the first group is stated in a non-tonic key (usually the dominant, or, in
minor-key works, the relative major) and the second group is stated in the tonic. The
structure may be diagrammed as ||:A1 + B2:|| ||:A2 + B1:||. In such examples, we find the
X section coinciding with A2. The off-tonic reprise of A immediately after the double
bar, followed by the tonic reprise of B, aligns with the basic concept of the X section: a
dynamic between non-tonic, new, or contrasting material with a structural return, in this
case the return of non-tonic exposition material now in the tonic. Whether the A material
undergoes any alteration in the reprise other than a shift of tonal level (alternatively labeled A’) is beside the point; the motion away from tonic and the return to tonic is sufficient to warrant the X section moniker. Examples of these “binary sonata forms” (Longyear 1971, 164–65) or “Type 2” sonatas (HD, 353–87) abound in the literature. Many notable composers from the early and middle years of the century composed movements in this form, including D. Scarlatti (Sonata in G, K. 2), Handel (Sonata in F Minor, HWV 433/v), and Johann Stamitz (Symphony Wolf E♭ 4/i). Later composers, including C. P. E. Bach (Sonata in F Minor, Wq. 57/6/iii), Joseph Haydn (Symphony in E Minor, 44/iv) and Mozart (Symphony in D, K. 133/i) also utilized this form.

A variety of this construction occurs when a new theme (N) in a non-tonic key is substituted for A2, a circumstance that HD refer to as N “writing over” A2 (358). Accordingly, the form may be diagrammed as ||:A1 + B2:|| ||:N + B1:||. Examples in early Mozart are the Keyboard Sonata in E♭, K. 282/i and the String Quartet in D, K. 155/ii. In Scarlatti sonatas that roughly follow this format, the incipit is missing from the second part of the sonata, replaced by a vamp or new theme proper, as in his Sonatas in B, K. 261; E♭, K. 193; and F Minor, K. 19.

Many of the binary forms fitting the above descriptions from the first half of the century do not find tonal equilibrium until late in the movement, and it is not unusual for the “crux,”—part 2’s correspondence of B in tonic—to arrive only in the final measures. For this reason, the X sections of these binary forms are larger than their respective “post-crux” or SR sections. K. F. Heimes’s (1973) survey of sonata movements before 1742 shows that in these years it was not unusual to find the tonic as late as the final one-third of part 2. Gradually, as composers increased the size of the post-crux area, the relative
duration of X and the tonic region came into closer alignment. Rather than X sections comprising around 70% of part 2, they would comprise around 50% (231–33). By the late eighteenth and early nineteenth centuries, a symphony’s X section could span over one third of the movement. The X section of Haydn’s Symphony 102/i in B♭, for example, is about 38% of the movement (at 116 measures it is longer than the exposition, 88 mm., and the recapitulation, 85 mm.); and the X section of the first movement of Beethoven’s Eroica Symphony is about 35% of the movement.

_Dispositions of X_

While X sections are as disparate in size and scope as they are in compositional procedures, their overarching commonality is their location. Occupying the middle part of the movement between the form’s two structural poles, the X section looks back to the exposition as it looks forward to the recapitulation, marking a turning point in the musical argument or narrative. If the exposition introduces the ethos, or character, of the movement through its thematic, tonal, and other stylistic profiles, it follows that the recapitulation and coda present the final reconsideration of this ethos. Because X marks the general locus of developmental activity, it often catalyzes this reconsideration.

As the agent positioned between these poles, X space offers the composer numerous ways of establishing a disposition towards the exposition’s material. Dispositions are accounts of X-section material in relation to their expositions. All X sections, regardless of their length or scope, have dispositions towards their expositions. At the broadest level, these dispositions are discerned by identifying the source of its material: the exposition or the X section itself. If the material is only from the exposition, the disposition is discerned by what material the X section does and does not recall.
Consequently, it is characterized by what it is—its positive content—as much as it is characterized by what it is not—its negative content. The disposition is also discerned by the way musical ideas are treated, notably, their prominence in X and how they contrast with their iterations in the exposition. Two critical questions which apply to dispositions are, as Wallace Berry asks, “is the material under consideration new or does it derive from the exposition? Precisely what it being done with it?” (1986, 169).

A movement’s disposition is evaluated by comparing X’s thematic profile—any musically significant material therein—to all music that is exclusive to each of the four possible thematic modules of the exposition and new material (Jan LaRue’s P, T, S, K, and N). Because the disposition is determined by X’s positive and negative content, it is formalized in positive (+) and negative (−) terms. For example, if X’s profile is K, the disposition is both K positive (+K, or simply K) and P, T, S, N negative (−P, T, S, N).

Further, if X’s profile is P and S, then the disposition is both PS (or, if S precedes P in the X section, SP) and −T, K, N. In this way, X sections have complementary positive and negative dispositions. (Modules are generally arranged according to their smaller thematic units. Accordingly, dispositions can be Pa positive and Pb negative; Ka positive and Kb negative. This more detailed representation is of more practical use to the analyst.) Of course, X sections can have exposition material and new material. If X’s profile is P, K, N, then its disposition is and P, K, N and −T, S. If an X section does not avail itself of any exposition material, opting instead only for new material, then the disposition is both N and −P, T, S, K. Such X sections that do not refer to any exposition material have dispositions that are void. Opposing void dispositions are corresponding dispositions, in which X features material from all the exposition’s modules: P, T, S, and
K. *Natural dispositions* are corresponding dispositions in which the recalled modules are ordered as they are in the exposition, and *plenary dispositions* are corresponding dispositions that feature N. Their disposition is \(+P, T, S, K, N\) and 0.\(^7\) Dispositions that are void, corresponding, natural, or plenary fall under the category of *binary* since X approaches their modular recall in binary fashion, either recalling all of them or none. Non-binary dispositions that have new material and recall three or fewer modules are *mixed*, and those that only recall three or fewer modules are *modular*. The categories of dispositions are summarized in table 1.1.

**TABLE 1.1 Categories of Dispositions**

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<td>All</td>
<td>Yes</td>
<td>P, T, S, K, N</td>
<td>0</td>
</tr>
<tr>
<td>Void</td>
<td>None</td>
<td>Yes</td>
<td>N</td>
<td>P, T, S, K</td>
</tr>
<tr>
<td>Non-binary</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Mixed</td>
<td>≤ 3</td>
<td>Yes</td>
<td>≤ 3 Modules, N</td>
<td>≤ 3 Modules</td>
</tr>
<tr>
<td>Modular</td>
<td>≤ 3</td>
<td>No</td>
<td>≤ 3 Modules</td>
<td>≤ 3 Modules, N</td>
</tr>
</tbody>
</table>

\(^*\)The recalled modules are ordered as in the exposition.

If an X section is positively disposed towards a theme and negatively disposed towards another, it does not necessarily follow that the composer thinks the former is in some way better than the latter. Rather, a positive disposition reveals the composer’s preoccupation with that musical idea in the X section. It indicates that this theme plays a significant role in the composer’s design of the movement. Likewise, a negative disposition does not imply the theme is of less importance. Such themes may play a significant role in the recapitulation or the coda. For this reason, *the disposition of the X section must always be evaluated in the context of the whole movement.*
While the X section’s disposition plays an important part in describing the relationship or dynamic X has with the exposition, the recapitulation or coda may, of course, also have a notable dynamic with the X section. As observed above, this dynamic could manifest in the consequential treatment of X material. The remainder of this chapter deals with examples that will illustrate many of the above concepts.

**Dispositions & Analysis of X**

The X section from the first movement of Joseph Haydn’s Symphony 83 in G Minor (“The Hen”) has a nuanced relationship with its surrounding sections. The exposition of this movement features marked elements in its opening measures (example 1-1a) and later, at the start of S (m. 45). In the first two measures, the G-minor, arpeggiated triad is disrupted by a strong-beat C♯, creating the unexpected tritone. The tritone is a source of tension throughout P (35 measures), resurfacing at mm. 9–10, 17–18, 25–26, and 31–32. This tension is temporarily dissipated by the spirited T (mm. 33–45), which yields to a comic-S theme type in lombard rhythms and, seven measures later, joined by staccato, dotted figures for solo oboe (which, apparently, reminded someone of the eponymous female bird; mm. 45–59). These two elements, occupying distinct spaces within the exposition, define the character or ethos of the whole movement. Clearly, the two elements—the tritone and the hen idea—stand in opposition to one another: *Sturm und Drang* v. *opera buffa*, lent v. carnival, gravity v. joviality, and so on. As the marked elements of the exposition, one might suspect that these oppositions would reappear in the development section, perhaps in closer contact, where some synthesizing or mediating action would be operative.
The X section (mm. 69–129, example 1-1b) launches an ascending figure in the same rhythm as the main motive from m. 1. However, it distorts that already distorted gesture by the melodic ascent in the harmonic minor. By invoking this note pattern, Haydn further removes the melody as a stabilizing element, distorting the distortion that was first created by the tritone. The effect is brought into sharper focus as the S theme, not a restatement of P, quite suddenly enters the stage after a dramatic pause (m. 73). This pause harks back to the opening of the movement where the phrases at mm. 1, 5, and 16 are each followed by one. In the opening measures of X, Haydn contracts the sonata space that separates the two ideas in the exposition. This contraction and the harmonic-
minor alteration of the opening idea bring into relief the topical extremes of the exposition.

EXAMPLE 1-1b Haydn, Symphony 83/i, mm. 69–133

The quick return of the S material also disorientates the listener—“didn’t I just hear this?” The exposition material has not only been (further) distorted, but has been reordered, as though some agent has acted upon the exposition to create a *novus ordo*. It turns out that X’s initial P motive was just a feint at parallel structuring or an ordered “rotational scheme” (HD, 205–7). In fact, this new order emancipates several ideas from
the exposition’s temporal design. Following S (with the hen motive in the flute), T
material is recalled in the violins (m. 83), while Pa, the tritone idea, is reiterated in the
low strings and, initially, the bassoon. These measures, featuring arpeggiated tritones in
contrary motion, collapse temporally-distant elements from the exposition into a musico-
spatial singularity. Part of the X section’s new order is an investigation into how these
temporally discrete, horizontally oriented units can be combined vertically. The course of
this investigation reveals the consequential dialectic of the initial P motive.
The middle portion of the X section, mm. 83–116, comprises about 56% of its measures, and is dominated by T (exposition, mm. 33–44) throughout this expanse. Yet this element is not X’s primary focus. Rather, it serves as background action, providing the contrapuntal substrate under which the tritone motive searches for a diatonic rejoinder. After much harmonic perambulating, the rejoinder finally arrives in mm. 95–103, where G, B♭, C♯, D is answered by G, B♭, D, C, and F, A, B♭, C is answered by F,
A, C, B♭. This consequential passage arrives not only precisely halfway through the X section but halfway through the whole movement.

EXAMPLE 1-1b (continued)

If the significance of this passage may not be immediately apparent, the denouement of the movement affirms the diatonic gambit from X, as measures 182–87 recall that section’s tritone and diatonic rejoinder (example 1-1c). As David Schroeder observes in his insightful analysis, “[this] points to something earlier in the movement which may have escaped notice then, but is in fact of central importance” (88). Measures
182–87 also participate in the temporal-spatial project we saw in X. Now with the oboe—the original purveyor of the hen motive—offering the diatonic rejoinder, the topics are aligned vertically; for the first time they function together both harmonically and harmoniously.¹⁰

EXAMPLE 1-1b (continued)

This X section engages both of its surrounding sections. It recognizes the two marked elements in topical conflict from the exposition, and assesses the tritone as the central disturbance in the movement. As it provides the tritone’s diatonic answer, it reimagines the exposition’s linear deployment of thematic material as an expansive,
vertically integrated thematic area. The closing measures implement both strategies as part of the ethos-affirming *lieto fine*.

EXAMPLE 1-1b (continued)

EXAMPLE 1-1c Haydn, Symphony 83/i, mm. 177–93

Though it has gone without mention, this commentary invests heavily in the aforementioned analytical framework concerning the X section: Evaluate the disposition of the various themes, observe any significant contrast to their respective iterations in the exposition (especially of marked elements), and determine if X-section treatment of
material factors in the recapitulation. The following analysis revisits the same movement with a more formalized approach.

EXAMPLE 1-1c (continued)

The 61-measure X section of Symphony 83/i has a *corresponding disposition* (table 1-1). The most prominent thematic recalls in terms of total measure numbers are from Pa (38 mm.) and T (34 mm.), followed by S (10 mm.) and K (3 mm.).11 This modular breakdown identifies the dominant thematic units in the X section. While this breakdown does not tell us about which elements are present in X, it does give us a global view of what sections from the exposition X is disposed to most favorably.
Except for measures 3–4, the P material in X is limited to the tritone motive from the exposition (Pa). As the tritone motive (and its diatonic double) appear in thirty-two measures throughout X, we can conclude that it is a marked element in X. Its arrival in the recapitulation, with the diatonic rejoinder in the closing measures, indicates that the opening tritone motive is the marked element in the movement.

But is it the only one? X’s profile indicates that T is just as prominent as P in total number of measures. There are, however, significant differences in how they are used. Whereas we find Pa throughout X, T is only in the middle and almost only in the presence of P. T endows X with the movement’s unsurpassed passage of contrapuntal rigor, fixing the section topically in the learned style. This is noteworthy when we consider that this rapid-fire, contrapuntal action accompanies the realization of the tritone idea into its diatonic double. We might say that T catalyzes the articulation of the tritone into the diatonic statement prominent in the X section.

Totaling ten measures, S’s recall of the lombard and hen motive are confined to the beginning of the X section, and, though consequential in the tonal trajectory of X, it does not complicate the phrase structure from the exposition.\(^{12}\) For these reasons, these motives are not marked in X. The final element of X’s profile is the brief but unusual K reference (mm. 83–86 from 59–61, not shown; see note 11). Its effect is too limited to be considered of dispositional significance, and its role is eclipsed by the more prominent P and T. Nonetheless, it provides contrapuntal flair that is sure to delight Kenner und Liebhaber alike.
Table 1.2 below provides an overview of the disposition of X in the movement, including the *strength* (percentage of each module in X) and presence of any marked elements (including percentage of measures in X).

**TABLE 1.2 X-Section Dispositions, Haydn, Symphony 83/i (X = mm. 67–127)**

<table>
<thead>
<tr>
<th>Measures</th>
<th>P</th>
<th>T</th>
<th>S</th>
<th>K</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Positive</td>
<td>1–32</td>
<td>33–45</td>
<td>45–59</td>
<td>59–66</td>
<td>n/a</td>
</tr>
<tr>
<td>Negative</td>
<td>Pc</td>
<td>0</td>
<td>Sb</td>
<td>Kb, Kc</td>
<td>N</td>
</tr>
<tr>
<td>Strength %</td>
<td>65</td>
<td>58</td>
<td>16</td>
<td>5</td>
<td>—</td>
</tr>
<tr>
<td>Marked element (%)</td>
<td>Pa (62)</td>
<td>None</td>
<td>None</td>
<td>None</td>
<td>—</td>
</tr>
</tbody>
</table>

*Note: Measure nos. of initial occurrence of significant phrases/motives in exposition are as follows: Pa, 1–2; Pb, 3–4; Pc, 9–10; Sa, 45–49; Sb, 50–51; Sc, 52–56; Ka, 59–61; Kb, 62–65; Kc, 66–68.

‘See note 11.

Provided below is the organization of the X section’s exposition-based material (not accounting for motivic variance), with measure numbers in parentheses and structural divisions, weak and strong, indicated by / and //, respectively. Dashes indicate vertical arrangement of material.

Pa+Pb (69–72) // Sa+Sa–Sc (73–82) / Pa–T–Ka (83–117) // Pa (118–129)

A detailed breakdown of the instances of the Pa motive in the exposition (with starting measure nos.) underscores its prominence:

Pa+Pb (1) // Pa1+Pb1 (5) // Pc(a)+Pb2 (9) // Pa+Pb3 (17) / Pa2+Pb4 (21) / Pa+Pb5 (25) / Pa2+Pc1 (30)

It also reveals that the major-mode, triadic iteration (Pa2) that precedes the diatonic rejoinder in X and the recapitulation is embedded deep in the P module and in the low registers (mm. 21–22 and mm. 30–31). As these motives are preceded each time by minor, root-position broken triads, there is a modal conflict in addition to the tonal one.

This is also at play in the X section where the first Pa2 (m. 87) is preceded by Pa (minor). Such conflicts are dispelled in the closing, climactic measures of the movement, described by Floyd Grave as, “a revelatory transformation that reconfigures
the opening ideas as an agent of harmonious accord rather than conflict while
nevertheless retaining its core identity” (2009, 23).

Table 1.2 and the two organizational plans point to a pronounced relationship
between Pa and the content of X and the exposition. If we can speak of a musical
narrative in this movement, then it is the story of the Pa motives. Even when the sonata
rhetoric would syntactically allow for a new theme in the exposition, e.g., mm. 17 and 25,
Pa motives persist right through the T module, accounting for almost half of the
exposition. The X section is so focused on Pa that there is no musical activity in X that it
does not coincide with or immediately follow. The motives alone account for no less than
60% of X and 34% of the movement. As if this were not enough to establish Pa as the
central marked element, we include in our discussion the diatonic rejoinder to the motive
that arrives in measures 186–87; a closing gesture that “marks a new stage in the
development of Haydn’s approach to minor tonality, . . . lending a persuasive force as
never before to the narrative of major transcendence” (Grave 2009, 23).

Another G minor symphony, written fewer than four years later, Mozart’s K. 550
also has a prominent motive that launches its first movement. (The dispositions are
outlined in table 1.3.) The motive’s dominance over the opening phrase, mm. 1–9,
portends the stranglehold it will have over the entire X section, which it is disposed to in extremis.
This X section forgoes all other thematic material in the exposition in favor of the opening motive; it is *monomotivic*. The motive surfaces in the exposition at the start of T, the start of K (mm. 21 and 73, respectively), and in a coda gesture starting at m. 285, as subdued strings hauntingly recollect its final iterations.\(^{16}\) In this way, individual sections of the movement accord with X’s aggressive disposition to Pa. However, as the motive appears in 132 measures, accounting for 44% of the movement, its foregrounding is of prime concern not only in X but in the exposition, recapitulation, and coda. Consequently, the motive occupies several critical areas of sonata space: the beginning measures, the end of the exposition, all of the X section, the start of the recapitulation, the end of the recapitulation, and the coda. Table 1.4 breaks down the measures in which Pa and its derivatives appear for each section and, for the exposition and recapitulation, each module.

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### TABLE 1.3 X-Section Dispositions, Mozart, Symphony K. 550/i (X = mm. 101–64)

<table>
<thead>
<tr>
<th>Measures</th>
<th>P</th>
<th>T</th>
<th>S</th>
<th>K</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Positive</td>
<td>Pa</td>
<td>0</td>
<td>0</td>
<td>0*</td>
<td>0</td>
</tr>
<tr>
<td>Negative</td>
<td>Pb, Pc</td>
<td>T</td>
<td>S</td>
<td>K</td>
<td>0</td>
</tr>
<tr>
<td>Strength %</td>
<td>98</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td></td>
</tr>
<tr>
<td>Marked element (%)</td>
<td>Pa (98)</td>
<td>None</td>
<td>None</td>
<td>None</td>
<td></td>
</tr>
</tbody>
</table>

*Note: Measure nos. of initial occurrence of P units in exposition are as follows: Pa, 1–9; Pb, 10–16; Pc, 17–20.

*Ka (mm. 73–86) is mostly Pa based. As Ka borrows material from Pa, it is not considered a purveyor of new material in its own right (see note 5).*
The motivic concentration of the X section is matched by its brevity, 64 measures or 21% of the movement. Moreover, without a well-articulated, structural cadence these 64 measures unfold with a perceived seamless celerity unusual for X sections. But a short X section does not necessitate mono-motivic or mono-modular treatment, nor does it necessitate the forgoing of structural articulation.\(^\text{17}\) Mozart’s avoidance of non-Pa material in X is related to the movement’s goal in affirming the minor mode. This disposition secures X from any major-mode intrusion that may accompany progress to the S module. As HD write, “Try as it might, the developmental space cannot burst through the MC [medial caesura] point to include the equivalent of the major-mode S and C zones of the exposition. Such developments can become powerful representations of tension, of frustration, of hopes dashed” \(^\text{18}\).

This goal of affirming the minor is also manifest in the recapitulation’s T module (example 1-2a). Having begun the recapitulation in tonic, Mozart recalibrates T towards the subdominant of B♭, the tonic’s relative major. This is initially indicated by the Ab inflection in m. 185 and confirmed by the structural downbeat of mm. 191–92 in E♭. This modal turn to the major is ephemeral; the passage does not progress to the S module in the manner it did in the exposition, but to the recycling of the aforementioned structural
EXAMPLE 1-2a Mozart, Symphony K. 550/i, mm. 180–216
downbeat, now in F minor (mm. 198–99). This modal-correcting gesture marks another dismissal of the major mode in favor of minor—dashed hopes indeed. What follows
EXAMPLE 1-2a (continued)

amounts to a developmental area within the recapitulation that sets a fragmented, metrically dissonant T idea against a contrapuntal passage in the second violins (mm. 203–11). This culminates in yet another iteration of the structural downbeat (mm. 211–12), now in G minor. With the tonic now in hand, the recapitulation progresses to the S module in the home key. Significantly, the recapitulation presents a modal dialectic followed by a developmental area before initiating the tonic S, suggesting that lingering thematic and tonal issues remained before the sonata could advance to this module—the first one in the exposition wholly in major.

Two non-competing ways to consider this gambit involve form and tonality. As the recapitulation interjects developmental activity, one can read the movement’s X section as not completing its developmental task—it has “left something on the table.” Indeed, as a mono-motivic section, X’s negative disposition to most of the exposition’s
material is conspicuous. It seems appropriate in retrospect that the sonata-argument would engage other modules in the course of the recapitulation. In this way, the recapitulation works in harness with the X section. This attunement between the two sections is more subtly observed by the falling-fifth root progression common to the beginnings of both sections. The progression in the recapitulation’s measures 202–11 (C–F–B♭–E♭–A♭–D♭) recalls that of the X section’s measures 109–22 (C♯–F♯–B–E–A–D–G; example 1-2b). Consequently, X and the recapitulation apply the same harmonic progression to their respective motives, Pa and T. Here we find an X-section developmental process reproduced in the recapitulation. As this example shows, developmental activity is not limited to the X section.

EXAMPLE 1-2b  Mozart, Symphony K. 550/i, mm. 108–25

This recapitulation’s non-cadencing motion to IV of the relative major followed by return to the main key for other exposition material is consistent with Koch’s observations from
EXAMPLE 1-2b (continued)
Whether the motion is to IV of the home key, as Koch notes, or to IV of the relative major, as in K. 550, the turning of one degree to the flat side (I → IV = i → IV/III) is common in late-eighteenth century recapitulations and is integral to many developmental areas in recapitulations. As Rosen notes of the first movement of Beethoven’s *Waldstein* Sonata, the “introduction of the subdominant area... serves to make the return of the tonic more decisive. It is the restoration of harmonic equilibrium as well as the need for variation that gives the Secondary Development its function” (1988, 288–90). Owing to the modal tension it generates, the motion to IV in the recapitulation of K. 550 not only makes the return to tonic more decisive, it confers vaulted status upon the movement’s minor mode. The Pa-based X section and the recapitulation’s F-minor reconfiguration of the structural downbeat are integral to the character of the movement, which is distinguished by a minor mode that is impervious to any lasting major-mode inflection. In this way, Mozart raises the stakes for a conventional, late-eighteenth century recapitulatory trope.

The ethos of K. 550/i stands in sharp contrast with that of Haydn’s 83/i, where X is given to exploring conflict of major and minor modes rather than asserting one to the exclusion of the other. This exploration extends into the latter’s recapitulation where the entirety of the T module resurfaces in G major (m. 144), simultaneously with the apposite change of key signature. It is at this juncture that the major mode commands not only the rest of the movement, but the rest of the work. Its designation as a “Symphony in G Minor,” seems, in retrospect, nominal, especially when contrasted with the control G minor asserts over three of the four movements of K. 550.
A Musical Task

Both first movements exemplify aspects of Siegmund Levarie’s “concept of the musical task” (3), which Guy A. Marco formulates as the “technique of delaying for artistic reasons the resolution of certain tendencies possessed by material in the expository section of a work. Such tendencies are of two general types: there is the tendency to complete a pattern which is at first incomplete, and the tendency to account for material which at first seems extraneous” (Marco, 41). In Haydn’s Symphony 83, the accented, chromatic C♯ from the opening motive would qualify as the extraneous element. Therefore, it is the movement’s “task” to resolve this chromatic note, which forms the diabolical tritone with the tonic note, G. This task, proposed in the ex abrupto opening and resolved in the closing measures, finds its purest expression in the X section where the tritone motive is juxtaposed with its diatonic answer (mm. 97–104). In this movement, X plays a central role in the resolution of this task.

Mozart’s K. 550 also presents a musical task in the exposition, albeit one that is understood retrospectively. Given the customary order, the recapitulation must present non-tonic exposition material in a new key, generally the home key or the parallel major in minor-key works. The exposition’s major-mode T, S, and K modules pose a de facto musical task: How will the recapitulation account for the tonal adjustment that must take place? Will it be major or minor? As Matthew Riley notes, the aforementioned move to VI (IV of the relative major) in the recapitulation is “unique in the minor-key repertory” for the period (255). While this gambit may project a trajectory in the major mode, the following two iterations of the downbeat in minor that frame the developmental passage
seal the modal fate of the movement. The musical task ultimately resolves in favor of the minor mode.

The presentation of a tonal task in the exposition that can only be resolved in the recapitulation is a form-defining feature. What complicates this task in minor-key works is the modally bifurcated path that awaits the composer. Major-mode expositions virtually always lead to major-mode recapitulations, while minor-mode expositions regularly lead to recapitulations concluding in either mode. When the recapitulation commences in minor-key movements its modal fate remains uncertain. It is only through its activation of S or T—the module that generally initiates tonal action away from tonic in the exposition—that the musical task is ultimately confronted. For it is in these modules that the sonata must make a choice: major or minor. According to HD, “that choice of mode is one of the factors that determine the character of a piece. And sometimes it may be the most important factor” (307). In both symphonies examined here, the activation of the recapitulations’ T modules declares the ultimate modal allegiance of the movement.\textsuperscript{19} This allegiance, which may be detected through first-movement dispositions, resonates throughout each work as an ethos-affirming feature.

\textit{N in X}

In these two examples, we find X responding to events in the exposition and treating the source material “developmentally.” Symphony 83 relies heavily on the contrapuntal framework (T) that supports the Pa motive, while K. 550 fragments the opening idea for virtually 60 consecutive measures. There is nothing of musical consequence in either X section that does not derive from the exposition.\textsuperscript{20} In this way,
X’s contribution to the movement is more interpretive than it is additive. What, then, might we say about movements that include new material in their X sections?

If we can speak of a normative procedure in X sections, then the inclusion of N material lies outside that norm, certainly for the major composers from the period.21 The introduction of a new theme in X signifies the appropriation of an expository role for the section (Rosen 1988, 322). This may seem counter-intuitive to those who hold that the formal model requires discrete tasks for each section: the exposition’s job is to present the material; the development’s job is to develop that material. If we consider Ratner’s assertion that the X section of this period “may well have achieved its final definition by the incorporation of elements of part II of the da capo aria” (1980, 232), whose B section provides melodic contrast to the A section, we should not find it at all surprising that composers from time to time found it preferable to use their middle sections for contrast rather than “development.”22 Nevertheless, the choice to pursue a new melodic course rather than draw from exposition material is a marked procedure. This is true not only because it was less practiced, but because of the statement it makes about the exposition. The forgoing of exposition material in X in favor of N, either in whole or in part, reveals the impulse to explore new music, which often means new expression. This indicates that the material in the first section does not fully express the true character—the ethos—of the work. There is a lacuna in the exposition’s content, and X must fill it.

To explore this idea further, we should first distinguish among the three main manifestations of N in X sections: those that are entirely composed of N (whose dispositions are void), those that start with N and then move on to a module, and those that interpolate N between modules (the latter two having mixed dispositions). These
various manifestations vary according to their relative independence from their exposition’s thematic material. Accordingly, X sections that are void are more independent than those that are mixed, which are more independent than those that are modular, having no N material at all. Similarly, an X section that is 80% new material and 20% exposition material is more independent than one that is 20% new material and 80% exposition material. X sections’ degrees of independence may be formalized according to their dispositions: void > mixed > modular. It should be noted, however, that some N themes are, arguably, more derivative than others. This is a factor that may complicate the question of an X section’s independence.

The relative independence of an X section is not necessarily a judgment about that exposition’s music, per se. But, it may be said that an X section with any degree of independence indicates that the movement longs for new content. At the extreme end of the spectrum, this amounts to a reconsideration of all the material in the exposition and of the developmental process itself, which has been adjudged insufficient to meet the expressive demands of the movement. Indeed, an entirely different approach to X space is required.  

William S. Newman finds that new themes (among other strategies) in development sections indicate greater independence and complexity (1983, 144). This complexity is born out of several factors. In addition to the aforementioned three general manifestations, there are varieties of thematic material and function. Some material will be motivic, while other will be lyrical. Some material will operate at the phrase level, while other will be periodic. Moreover, the material will always be read contextually; its layers of meaning will be contingent on the exposition and, retrospectively, the
recapitulation and coda. This last section in particular presents an opportunity for composers to utilize N material, thereby enabling the two sections to dialogue at a distance—like two quantum entangled particles.

Just as we can organize X sections by their degree of independence, so can we consider occurrences of N according to their degree of similarity with exposition material. Material that is distinct can still be related. The X section of the first movement of Mozart’s Keyboard Sonata, K. 332 in F Major (m. 94, example 1-3), opens with a new minuet idea that is related to the opening theme (Gagné, 28–30); it functions much like a counter melody. As this new theme also occupies the same topical space as 1S and 2Sb (see table 1.5), the start of X pursues a similar expressive path as the exposition. Indeed, the expressive path of X as a whole is marked by a topical trajectory analogous to its exposition. As observed by Wye J. Allanbrook, this movement is a “pellmell succession of topical representations. . . . The existence of disparate styles itself seems to be a theme and organizing principle” (1992, 131).

The X section elaborates that organizing principle by juxtaposing the new minuet theme with the Sturm und Drang 2 idea from the S module (2Sa), a topical ordering that was itself the basis of the extended S. This new theme, periodic and in the dominant, undergoes no development at all (its restatement is an octave lower, m. 102). Yet 2Sa’s material which follows is developed by an extended harmonic progression leading to the
EXAMPLE 1-3  Mozart, Keyboard Sonata K. 332/i, mm. 93–138
EXAMPLE 1-3 (continued)

“standing on the PFR” affect (V/vi and v/vi) at mm. 123–26, just about the mid-point of the movement. This gesture brings the action to stasis as it is followed by the first of four pregnant pauses. The first (m. 126) follows 2Sa’s closing motive, mm. 123–26 being analogous to mm. 67–69. Whereas the exposition repeats the one-measure idea at pitch (m. 67 = m. 123), X repeats it down an octave (m. 124), recalling the approach taken in N’s restatement. The fragmentation of mm. 67–68, treated cursorily and as a transition in the exposition (m. 69), becomes a marked element in X. From measures 125–32, the motive is stated four times, ceding to harmonic fluctuations at each turn and followed by the aforementioned pauses. Each pause amounts to an interruption akin to the rhetorical aposiopesis, the sudden breaking off of a sentence with the sense incomplete (Vickers 1988, 492). This is the only moment where musical continuity is disturbed and the seamless concatenation of topics stymied. With topical expression at an impasse, the fragmented Sturm und Drang motive seems incapable of yielding to another idea. Quite simply, X is fresh out of topics. After three iterations of the motive in the middle of the keyboard (mm. 125–30), m. 131 reaches up an octave to the dominant seventh of F
major, a desperate gesture aimed to trigger the recapitulation (“please begin now, I’ve got nothing else.”).

Allanbrook captures the ethos of the movement when she characterizes its organizing principle as the “existence of disparate styles.” From this vantage point, it would be fair to say that the movement favors two of its five topics above the others, the minuet and the *Sturm und Drang*. The exposition twice alternates different themes of each style in measures 23–86, about 69% of that section (this percentage includes the major-mode version of *Sturm und Drang* 2 that follows minuet 2). If topics can be marked (rather than themes), then the exposition presents these two marked topics in opposition. This is further evidenced by the short X section (16% of the movement), which is disposed to the same topical opposition.

This does not explain the choice of a new theme, however. Presumably, Mozart could begin X with a previous minuet theme in the dominant so as to preserve the topical opposition. But even this would entail development of the idea—a gesture that would be averse to the objective of this X section. Part of the conceit of the topical opposition is the functionality that accompanies each of the theme types. The minuet as it appears in this movement and as a generic dance is a closed, stable musical structure. These are not characteristics normally associated with development. On the other hand, *Sturm und Drang* 1 and 2 in the exposition are the disrupting agents. The first is the harmonically transitional T module, which bridges the harmonically stable tonic themes to the harmonically stable, dominant minuet 1 theme. According to Allanbrook, it is “tailored for modulation: without syntactic implications . . . it consists of arpeggios and scale passages, typical ‘travelling music’” (136). The second *Sturm und Drang* theme, as
Allanbrook points out, elides with the minuet ideas both in the exposition and the X section: “formed stuff again yielding to the unformed” (142). The erstwhile “unformed” stuff, the exposition’s *Sturm und Drang* 2, is the only material in X (and in the movement) that Mozart taps for development (there is even a major version of this in the exposition, 2Sc). This is not to say that Mozart could not have altered the functions of the two topics in X. Of course he could have. But to do so would have meant distorting their characteristic functions that he had established in the exposition.

As the exposition moves confidently from one topic to another, the sonata discourse encounters no resistance to its superfluity of ideas. Even when first engaging the X section, the movement shuns formal norms of development, pursuing instead a new theme that continues the topical dialectic. Mozart’s objective for X is to undermine this sense of order and structured momentum that results from the “pellmell succession of topical representations.” He achieves this through developmental activity—fragmentation of an idea which dissolves into aporetic silences. Mozart uses the developmental process sparingly in this section because it is directed specifically for this purpose. This process finds expression in the movement’s topic that is most suited for development, culminating in the measures of aposiopesis before the recapitulation.
<table>
<thead>
<tr>
<th>Measures</th>
<th>1Pa</th>
<th>1Pb</th>
<th>2P</th>
<th>T</th>
<th>1S</th>
<th>2Sa</th>
<th>2Sb</th>
<th>2Sc</th>
<th>K</th>
<th>N</th>
</tr>
</thead>
<tbody>
<tr>
<td>Topic</td>
<td>Singing 1</td>
<td>Learned</td>
<td>Hunt</td>
<td>Sturm und Drang 1</td>
<td>Minuet 1</td>
<td>Sturm und Drang 2</td>
<td>Minuet 2</td>
<td>Sturm und Drang 2 (major)</td>
<td>Singing 2/cadential</td>
<td>Minuet 3</td>
</tr>
<tr>
<td>Tonality</td>
<td>I</td>
<td>I</td>
<td>I</td>
<td>vi→V/V</td>
<td>V</td>
<td>V</td>
<td>V</td>
<td>V</td>
<td>V</td>
<td>V</td>
</tr>
<tr>
<td>Positive</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>2Sa</td>
<td>0</td>
<td>0</td>
<td>0</td>
<td>N</td>
</tr>
<tr>
<td>Negative</td>
<td>1Pa</td>
<td>1Pb</td>
<td>2P</td>
<td>T</td>
<td>1S</td>
<td>0</td>
<td>2Sb</td>
<td>2Sc</td>
<td>K</td>
<td>0</td>
</tr>
<tr>
<td>Marked element</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
<td>—</td>
</tr>
</tbody>
</table>

* m. 69
Having explored the minuet topic in the exposition, the new theme that starts X represents another manifestation of the minuet, and, therefore, expands the expressive content of that topic. Nevertheless, the persistence of the minuet topic for N compromises the X section’s independence and allows the topical dialectic to continue well into the section. This delays the developmental activity and the subsequent challenge to the ethos of the movement.

Many X sections that start with N, however, do present a topical break and a more dramatic change of expression. An example is the last movement of Beethoven’s Piano Sonata in F Minor, op. 2/1, where the stormy exposition doubles-down on its minor-mode orientation by featuring an S in the minor dominant (mm. 33–49) that is as tempestuous as P. The incessant minor-mode prestissimo in the first section makes a major-mode start to X all but compulsory. But the new section (mm. 58–108) offers something more radical than just a change of mode. X is marked sempre piano e dolce with a new lyrical theme to match: a veritable “song without words” (the opening is shown below).

\[
\text{N is a closed, periodic structure in the relative major, the key that was declined for the S module. The 50-measure period is about 61\% of X, the remainder of which is a}
\]

\[
\text{sempre piano e dolce}
\]
development of the P module. HD read N as a “‘lost’ S,” a “reminder of what could have been” (214).

Varieties & Variability of X

These two examples represent one of three significant manifestations of N, which represents one of two basic approaches to X sections: those that have new material and those that do not (recall the second column in table 1.1). This distinction points to historic and generic differences in musical forms. In addition to da capo aria form, Ratner points to “Scarlatti” form (along with fantasia procedures) as influencing the development of sonata form. More specifically, these two forms manifest the above two basic approaches to X sections. Ratner describes Scarlatti form as having the following thematic/tonal organization: \[ A/I \ B/V \ A/V(X) \ B/I \]. This organization presents the second A section as having the properties of the X section with A in the dominant, likely motion to the PFR, and material subject to developmental activity; it does not posit new material for this section. (Though Scarlatti often presents new material here.) In describing the influence of the da capo aria on the X section, Ratner adduces the overture to Mozart’s \textit{Die Entführung aus dem Serail} where the X section introduces new material, like the B section of a da capo aria. Completely unrelated to the exposition, the material is in the tonic minor and in a slower tempo (1980, 231–33). To reflect this dualistic or second-order binary paradigm of dispositions, table 1.1 may be reorganized and modified accordingly:

<table>
<thead>
<tr>
<th>TABLE 1.6 Second-Order Binary Dispositions</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>X section material</strong></td>
</tr>
<tr>
<td>------------------------</td>
</tr>
<tr>
<td>N is present</td>
</tr>
<tr>
<td>Exposition only</td>
</tr>
</tbody>
</table>
Table 1.6 emphasizes the binary categorization that all X sections answer to; it suggests Ratner’s historical links and examples of each type from this chapter.

* * * *

This chapter has detailed some of the theoretical foundations that will be incorporated into this study. Nothing in it, however, implies that concepts in later chapters will not challenge some of what has been covered here. The goal of an investigation into art should never be to exhaust layers of meaning using any analytical framework. Such an endeavor is not only futile but contrary to the spirit of art. It is futile because, as A.B. Marx notes, there are as many forms as there are works of art (1838, 5). It is contrary to the spirit of art because, like myth, a work of art is “richer than any single interpretation that can be put upon it” (Bartlett, 14). In this regard, the approach of this study should model itself after the very elasticity of sonata forms themselves. In fact, let us advance no further without stipulating that what we call “sonata form” is, as Jan LaRue explains, “less a form than a flexible collection of characteristic procedures and techniques” (LaRue, 2015). If this statement is true of what we call sonata form as a whole, then it is true a fortiori for the X section, the part which Koch singles out as having “greatly diverse structures” (199).

This study proposes that inhering within many of these greatly diverse structures lies the potential for approaching a work’s ethos. If this study is successful, the following chapters will bring us closer to that ethos and to a more nuanced view of the musical procedures and techniques that construct it.
NOTES TO CHAPTER 1

1. In an earlier work, *Music: The Listener’s Art*, Ratner refers to the harmonic area in the development section as “X”. Here he does not explicitly refer to X as a section, and the symbol is only used in a formal layout (1966, 138–39). Similarly, Siegmund Levarie (267) uses “X” in describing the structure of the act IV finale of Mozart’s *Le nozze di Figaro*.

2. The *structural return* (the point where the recapitulation begins) may present P in the tonic, another theme group in tonic (what HD call a tonal resolution, p. 356), or P in some other key, as in Mozart’s Keyboard Sonata in C, K. 545 (P in IV). Also possible is another theme group in IV, as in K. 311 (see chapter 2).

3. I am grateful to Prof. Floyd Grave for his commentary.

4. In describing N themes “writing over” P at the start of “developmental rotations,” HD observe, “what is absent is likely to be as important to the expressive content of the piece as what is present” (214).

5. For example, if K closely recalls P material (as often happens in Haydn), this recall would not be included in the disposition. While such recalls are significant and must be accounted for in analysis of the exposition, a module only participates in the disposition if it offers new material. This study will refer to Eugene Wolf’s modified version of Jan LaRue’s thematic symbols: P (1Pa, 2Pb, etc.) T, S, K, and N (Wolf 1981, 2–3).

6. The terms positive and negative are used here to indicate whether there exists a correspondence of musical material between the two sections; they reflect no judgment about the aesthetic value of the music.

7. It is not wrong to refer to the X section itself as being in any one of the above categories. “Disposition” is a general term that describes X’s relationship to the exposition. Positive and negative content are only one aspect of the disposition. Therefore, where appropriate, an X section and its disposition could each be described as plenary.

8. The major difference between the two relationships, of course, is one of formal expectation. We expect X sections to use material from the exposition more than we expect recapitulations or codas to use material, new or reworked, from X sections.

9. There are descending tritones in quarter notes towards the end of the exposition, mm. 59–61.

10. The tritone idea is harmonized with itself for the first time since the prescient X (mm. 83–89).
11. Embedded in the orchestral texture at mm. 83–86 is the oboes’ recall of the Ka motive. This is related to Pa; a descending tritone formerly in quarter notes (mm. 59–61), evoking *stile antico* in its augmented, X-section form.

12. The appearance of S after P preserves the rotational scheme’s “first principle,” as expressed by HD: “The crucial thing is that the order of presentation be roughly the same [as that of the exposition]” (207). HD regard as “fully rotational” development sections that have pre-medial caesura and post-medial caesura references in order; they need not have the full complement of modular references (206). As has been shown, Haydn reconfigures the linear and temporal presentation of the exposition material. The presence of S at this juncture also pressures another generality asserted by HD: “While S does appear in many developments and even dominates some, it may be that its relative infrequency is related to its cadentially ‘sensitive’ role in the exposition. To allude to S might be to call up connotations of its seeking the proper tonal ‘track’ on the way to the ESC (something that can normally happen only in a recapitulation)” (207). If HD are correct about the allusion to S, it follows that either it was Haydn’s intention to fool his audience into thinking that the ESC was in the offering, or he simply didn’t care if he did. Either way, it demonstrates another way this X section does not comport to HD’s rotational scheme they claim is the norm in the mid-eighteenth century (206).

13. The dispositions as previously described may be achieved by finding the “sums” of each row, e.g., the positive disposition of Symphony 83/i is, Pa, Pb, T, Sa, Sc, Ka.

14. This is the first instance of a member of the Pa network outlining a major triad. Pa is root minor, Pa1 is first-inversion minor, and the Pc(a) motive has a minor third that moves to the augmented fourth. The Pa motive starting the exposition is discussed above. Marked as it is, it is the only one that contains no tritone.

15. Measures 87–88 are a harmonized version of Pa, where the first violins arpeggiate a major D♭ triad over B♭ minor in the low strings (cf. the harmonization in m. 184–85). Floyd Grave finds the association of discord with minor tonality in the minor consequent in m. 6: “The fact that this consequent-phrase dissonance springs not from an alien, inflected tone but within the scale degrees of the minor mode itself may be heard as one element in the movement’s pointed equation of discord with minor tonality” (2009, 22).

16. This, of course, follows the recapitulation of K, in which the motive is restated numerous times.

17. Two of Haydn’s shorter first-movement X sections from his symphonic maturity—the G Major Symphonies 92 (1789) and 94 (1791)—each comprising 18% of their respective movements, refer to various modules from the exposition, and contain demarcated structural units.
18. In addition to Mozart’s K. 550, examples offered by HD are Beethoven’s Fifth Symphony and his *Sonata Pathétique* (217).

19. Although the recapitulated T of K. 550 terminates with the major dominant of G minor, its inclination toward the minor mode is manifested as described above.

20. K. 550 has a linking passage to start the X section. As mentioned above, such passages are not considered as part of X’s disposition; they do not constitute new material.

21. For how Mozart begins his development section, including use of N, see Rasch 2012. For N in Beethoven, see Churgin 1998.

22. It is important to remember that *développement*, as it applies to musical form, is nineteenth-century terminology; it was first used by Anton Reicha in 1814 (see Hoyt 1996).

23. HD allude to this conclusion in their discussion of X sections that use “episodic” (new) material in place of exposition material. “Whether such a nonrotational development as a whole writes over the concept of a rotational one is a provocative issue that we shall not take up here” (215).
As regards the composition of continuous speech, as soon as we have acquired the smoothness of structure and rhythm of which I have spoken, we must proceed to lend brilliance to our style by frequent embellishments both of thought and words. [A] For great effect may be produced by dwelling on a single point, and by setting forth our facts in such a striking manner that they seem to be placed before the eyes as vividly as if they were taking place in our actual presence. This is especially effective in stating a case or for the purpose of illuminating and amplifying the facts in course of statement, with a view to making our audience regard the point which we amplify as being as important as speech can make it. [B] On the other hand, as opposed to this procedure we may often give a rapid summary, suggest more than is actually said, may express ourselves tersely in short, clean-cut sentences and disparage, or, what is much the same, mock our opponent in a manner not inconsistent with the precepts given us by Caesar. [C] Or we may employ digressions and then, after thus delighting our audience, make a neat and elegant return to our main theme.¹

This passage, originally from Cicero’s counsel to the orator, is part of a lengthier quotation by the first-century rhetorician Marcus Fabius Quintilian. In quoting Cicero, Quintilian seeks expressions from rhetoric that are “especially striking and most effective in stirring the emotions of the audience” (Quintilian, 3:363; 9.1.25). The types of expressions he refers to are commonly known in classical oratory as figures. Before investigating the specific kinds of figures, Quintilian (after Cicero) outlines several strategies for oratory, of which the three in the above quotation are the first mentioned. Aimed at making an impression on the audience, all three have clear parallels in X sections. The strategy labeled A in the above passage, “dwelling on a single point” (commoratio) is analogous to the monomotivic X section, as in the first movement of Mozart’s Symphony K. 550.² Strategy B, which “gives a rapid summary,” is comparable to the modular X section and is even more closely associated with HD’s rotational
scheme. Strategy C brings to mind the X section that features a new theme (“digression”) and the recapitulation that follows with the main theme.³

These rhetorical effects—the *figurae*, or *Figurenlehre* in German lands—were presented as musical devices by German authors as early as 1599, the year that Joachim Burmeister published the first of his three treatises on the subject (Bartel, 94). An example of a rhetorical figure that is especially applicable to musical organization is *anadiplosis*, in which “the last word(s) of one clause or sentence becomes the first one of the following” (Vickers 1988, 491).⁴ This figure is similarly described by Quintilian (though not by name) and by the eighteenth-century German philosopher and literary critic Johann Christoph Gottsched (Quintilian, 3:367, 9.1.33; Bartel, 182). An example of musical anadiplosis appears in Moritz Johann Vogt’s *Conclave thesauri magnae artis musicae* of 1719 (150).⁵ Vogt’s example, shown below, is accompanied by the following description: “Anadiplosis occurs when we form a beginning out of the preceding ending” (Bartel, 182).

In *Der vollkommene Capellmeister* (1739), Johann Mattheson includes anadiplosis in a series of musical word figures (*figurae dictionis*) that feature different arrangements of musical repetitions. According to Mattheson, figures of repetition “assume such natural positions in music that it almost seems as if the Greek orators borrowed these figures from the art of musical composition. For they are purely *repetitiones vocum*, repetitions of words, which are applied to music in various different ways.”⁶ Dietrich Bartel summarizes Mattheson’s view of musical rhetoric accordingly: “just as music and
rhetoric share common goals, so do they share common methodologies, structuring principles, and expressive devices” (258).

The Anadiplosis Effect

An instance of such expressive devices, structuring principles, and common methodologies may be observed in the use of the *anadiplosis effect* as an X-section initiating gesture. A brief look at Mozart’s Keyboard Sonata in C Major, K. 545/i will illustrate. EXAMPLE 2-1 Mozart, Keyboard Sonata K. 545/i, mm. 24–45
Measures 26–27 present a closing idea right after the EEC (essential expostional closure; HD, 18). This gesture is taken up immediately in minor to begin the developmental X section (mm. 29–30 and 33–34). Change of mode aside (for the moment), the repetition warrants comparison with the rhetorical device of anadiplosis, which has the effect of connecting two phrases by repeating the same word(s). The phrases in K. 545 are separated by a double bar; but the figure repetition succeeds in continuing the exposition to the development section.

Composers’ use of such repetition to commence the X section has not escaped critical attention, though to my knowledge this has not been compared to the rhetorical device of anadiplosis. It is described by Galeazzi as one of two preferred ways to begin the second part of a movement (the other is with a new theme, as discussed in chapter 1). In his essay, Galeazzi provides a written-out example of this technique, shown below,
noting that the key of the second part should be the same as the one that ended the first part (Churgin 1968, 195, 197–98).

Oswald Jonas (8–11), writing in the early 1930s, refers to the linkage technique. While not reserving this technique to begin X, Jonas describes the procedure as occurring when “a new phrase takes as its initial idea the end of the immediately preceding one and then continues independently, either within the same formal unit . . . or to initiate a new section.” According to Newman, this lessens the sense of departure from the exposition and makes for a smooth transition into X rather than a clear break (1963, 145). In their consideration of the “C-based opening” for X (using the letter C instead of LaRue’s K), HD highlight those X sections that begin with “reverberations from the end of C”—what is referred to here as the anadiplosis effect. For HD, these reverberations “imply the presence of a strong ‘final’ idea that captures and arrests our attention, one whose forcible gestures, still echoing, override the more standard appearance of P at this point” (215–16).

Of course, not all instances of the anadiplosis effect involve a “strong” idea from K. But even though the repetition may involve nothing more than cadential chords, it would nevertheless accord with a historically-informed notion of anadiplosis from literature and rhetoric. Among the pertinent references is that of the English poet and scholar John Hoskins, who wrote in 1599 immediately following his examples of
anadiplosis, “and as no man is sick in thought upon one thing but for some vehemency or distress, so in speech there is no repetition without importance” (Hoskins, 12). Vehement and stressful emotions were likewise associated with anadiplosis by the German theologian and academic Johann Matthäus Meyfart, who in 1634 compared it to a sword striking twice on the same place, a metaphor which recurs in Quintilian and many Renaissance rhetoricians (Vickers 1988, 324; 1984, 22n11). Quintilian generalizes the origin of the figures of repetition as follows: “they make our utterances more vigorous and more emphatic and produce an impression of vehemence such as might spring from repeated outbursts of emotion” (3:477; 9.3.54). Brian Vickers offers a modern, historical perspective by concluding that “rhetoric then has codified the linguistic consequences of upset emotions” (1984, 21).

Returning to K. 545, the repetition of the K motive intrudes upon the X section forcibly for three reasons: its unexpectedness, its appearance in minor, and its phrase structure. The anadiplosis effect is not a stereotypical method for initiating the X section. It is more common for the section to start with some element of P in a non-tonic key, or opposite mode, as happens in K. 545: not unusual but still forceful. In this regard, commencing an X section in the minor dominant, as happens in K. 545, is not unusual—but still forceful. By articulating the anadiplosis effect in minor, ex abrupto, Mozart doubles down on the forcible nature of the effect. While it is questionable whether anadiplosis is a signal of upset emotions in music, it is nonetheless an attention-grabbing gesture that freshly emphasizes an idea. When the X-initiating idea appears in minor or in a distant key, the effect may conjure upset emotions, especially when this gesture represents a relatively audacious tonal venture, as it does in K. 545. Therefore, the degree
to which this idea’s emphasis is “forcible” is partly contingent on its tonal relationship to its iteration in the exposition.

The K idea that opens X in this sonata does not simply function as a device to introduce the X section. Rather, it is validated at the phrase level. Measures 29–35 form a 2+2+2, A–B–A phrase that moves from G minor to its dominant. The greater complexity accorded the idea in this passage distinguishes it from its closing function in the exposition, where it unfolds over two measures in the dominant. The repetition scheme employed in these opening measures of X resembles another rhetorical figure of repetition, *epanalepsis*, “where the same word is repeated at the beginning and end of a line, clause, or sentence.” In this movement, the epanalepsis functions as a rhetorical unit that prepares X’s root-fifth, scalar progression—the main substance of this X section (mm. 35–41). Indeed, this passage is anticipated by phrase unit B (mm. 31–32), in which scalar figures progress by similar motion. The two figures, anadiplosis and epanalepsis, while maintaining discrete functions in X, overlap at mm. 29–30. These measures mark the concluding part of the former and the initiating part of the latter.

But this analysis has overlooked the most glaring rhetorical figure of all—that articulated by the K theme itself. As it is only two measures long, K should more properly be understood as a motive than as a theme proper. And as these two measures contain a note-for-note repetition at the octave, the essential content of K is in fact only one measure. Repetition is intrinsic to the identity and function of this K. In this movement the anadiplosis effect functions as the middle element in a network of repetition figures. Each figure is conjoined to the succeeding one by the overlapping
measures, providing closure, continuity, and initiation for the first and second phases of the form.

It may be observed of anadiplosis that no other musical figure of ancient origins claims a more prominent and recurring role in linking the exposition to the X section while maintaining a clear distinction between them. Anadiplosis in this context resembles an orator moving from one section of speech to the next, using the ultimate passage of the previous section to commence the next one. This analogy suggests a certain structural and formal role for anadiplosis in music, one that could not have been anticipated by theorists before the emergence of sonata form. Yet it is possible to discern structural integration in Vogt’s above description of anadiplosis from 1719 (“anadiplosis cum initium facimus ex praecendentis fine,” forming a beginning out of the preceding ending). The notion that a figure of repetition has the capacity to make or form a new beginning from an ending suggests rhetorical potential beyond simply emphasizing strong emotions. Anadiplosis, according to Vogt, can play a generative role, one that reimagines the stuff of endings as the stuff of beginnings.

While the anadiplosis effect in K. 545 extends the K motive beyond X’s opening measures, other examples present the closing idea or parts of it in less elaborate ways. Often, the effect only serves as a link to other X-section material, as in those cases where the exposition ends and the X section begins with chordal repetitions. Such instances are commonly found in Haydn, including the first movements of Symphonies 55, 67, 79 (discussed below), and 85, where the repetitions prepare X’s new key. Other times, the anadiplosis effect is subject to the presence of intermediating material between the repetition. In K. 545 the intermediating material is limited to two cadential chords, a
strong effect but perhaps not quite as strong as the effect in Mozart’s Keyboard Sonata in D, K. 576/i, in which there is no intermediating material at all (see example 2-4). The latter movement is a purer, sharper demonstration of anadiplosis, and consequentially, of the anadiplosis effect. Indeed, this distinction arises in literary considerations of the figure. The scholar G. M. A. Grube uses the term “near-anadiplosis” for examples where the repetition is not immediate.\(^\text{12}\) I suggest the adoption of this term in music when the effect has only cadential matter intervening between the repeated ideas. Accordingly, K. 545/i is an example of near-anadiplosis, and K. 576/i, which has no such material, is an example of anadiplosis simpliciter. While the material repeated in these two examples is motivic, each totaling no more than two measures, some examples feature an entire phrase or even the entire K module (Haydn’s Symphony 80/i) as the subject of anadiplosis.

\textit{Vogt’s Test}

Certain examples will feature measures of material between the repetitions. In these movements, the effect is delayed or, if the intermediating material is substantial enough, not perceived at all. If the effect in question is to withstand the intermediating material, it needs to answer affirmatively to Vogt’s description, or “Vogt’s test”: Does the effect suggest a beginning created out of an ending? It is for this reason that HD’s end of K stipulation warrants careful consideration. When an exposition’s K features more than one idea, as it often does, the effect is most notable when the idea that immediately precedes the double bar is the subject of repetition. But does this mean the effect is negated if an earlier idea from K is repeated? Examples may present \textit{delayed anadiplosis} in which the intermediating material is more than cadential chords; it represents a
potential grey area for the anadiplosis effect. Mozart’s String Quartet in C Major, K. 157 is one such case. The opening of this movement’s X section is based on the exposition’s initial K idea (mm. 42–45) and not the final motive of the exposition (mm. 49–50). Consequently, the anadiplosis is neither near nor simpliciter. Yet when X begins, the idea is not so distant from mind as to render the effect inoperative. As the K module is only 12 measures, there is still a sense that the beginning has emerged from the ending. That is, we sufficiently perceive the subject of the anadiplosis as an ending gesture to the exposition even though it is not the material that concludes it. Our consideration of such examples should account for the musico-rhetorical effect at work regardless of its relative strength.

Three ways of distinguishing the relative strength of the anadiplosis effect include the figure’s type, quality, and action.\(^ {13} \) The quality of the effect describes the nature of any intermediating material relating specifically to the propinquity of the repeated elements. This is expressed by the above terminology: simpliciter, near, and delayed. The action refers to the change of tonal level or harmony affecting the repeated material. Type describes the extent to which the repeated material is present in the X section. One such type resembling the aforementioned figurae dictionis, or word figures (speech figures), holds when the material’s only appearance in X occurs as part of the latter half of the anadiplosis figure. However, when the repeated material exceeds the ambitions of the localized anadiplosis figure, either by expansion—often as a repeated motif—or by presentation elsewhere in the X section, the effect is analogous to the figurae sententiae, or figures of thought, “which affect whole sentences through their variations, imitations, repetitions, etc., etc.” (Bartel, 141). In some of these situations, the
effect becomes the main discourse for X, emphasizing an idea of special significance to
the section and, therefore, to the whole movement. It is reminiscent of those rhetorical
embellishments that “dwell on the point,” as cited above.

The division between the two kinds of figures employed by Mattheson, Forkel
(54), and other eighteenth-century critics dates from Cicero’s time. In his Orator (not to
be confused with his On oratory), Cicero distinguishes between figures of style that
ornament by using various kinds of word repetition and figures of thought (sententiarum
ornamenta) that embellish ideas. Cicero confers higher status on those figures in which
the orator “will treat the same subject in many ways, sticking to the same idea and
lingering over the same thought . . . he will turn from the subject and divert the
thought . . . he will bring himself back to the subject; he will repeat what he has said”
(1934, 407–11; 39.134–40.137). X sections that feature the anadiplosis effect often
incorporate the musical equivalent of these strategies by using the subject of the
anadiplosis as the basis for part or all of its discourse. In this way, anadiplosis, considered
a word figure by eighteenth-century theorists (see note 3), resonates as an animating
principle in sonata form movements that corresponds to figures of thought. This
“thought” type of the anadiplosis effect answers to Mattheson’s above quoted description
of figures which “affect whole sentences.”

Anadiplosis + Dwelling on the Point

Besides Quintilian and Cicero, another source for the rhetorical notion of
“dwelling on the point” (DP) is found in the first-century-CE Rhetorica ad Herrenium
(RH), formerly attributed to Cicero. The unknown author of this work presents this
concept: “dwelling on the point occurs when one remains rather long upon, and often
returns to, the strongest topic on which the whole cause rests. Its use is particularly advantageous, and is especially characteristic of the good orator, for no opportunity is given the hearer to remove his attention from this strongest topic” ([Cicero], 375; 4.45.58). The words “and often returns to” (“et eodem saepius reditur”) align with Cicero’s above quotation from his Orator. Accordingly, DP examples, a special expression of thought figures, foreground the subject through much if not the entire section. Regarding formal boundaries, the material can be expected to conclude the exposition, begin X, and conclude the movement. When K is based on a prior module—usually P [expressed as K(P)], but occasionally S or T—this aspect of DP is enhanced. Such is the case in four motivically concentrated movements: Haydn’s Symphonies 54/i and 77/iv, and Mozart’s Symphonies K. 504/iii (finale) and K. 543/iv. In these examples, the anadiplosis effect is part of the movement’s DP agenda, which is at play throughout much of the exposition as well as in X.

The extreme example is the last movement of Mozart’s Symphony K. 504. This movement features its opening motive, or a derivative thereof, prominently in all four modules of the exposition (m. 1ff., m. 31ff., m. 98ff, mm. 120-21, m. 130ff.) and returns to it at the start of X, which pursues it for the entire section. This approach stands in contrast to that of K. 550/i, where the opening motive is present in just three modules; its final appearance in the exposition (m. 76) is too far removed from the start of X for the anadiplosis effect to be operative. While both movements are examples of DP, K. 504 charges its motive with greater rhetorical energy at the junction of the exposition and X section by dint of the anadiplosis effect.
This movement from K. 504 expresses another dimension of DP when the recapitulation recalls the paired ideas that had started the developmental X section. The X section begins with a *forte* tutti outburst and is followed by a Pa-inspired venture in the winds (mm. 152–59, example 2-2a).
EXAMPLE 2-2a  Mozart, Symphony K. 504/iii, mm. 138–84
The recapitulation proceeds expectedly through the initial phrase until it veers off harmonic course via the Pa wind motive, now followed by the tutti outburst in minor (mm. 216–32, example 2-2b). These contrasting ideas, paired in both sections, correspond to the interplay between diversion and return as described above in Cicero’s *Orator*. Viewed locally, the ideas work off each other in short bursts of motivic contrast: the diversionary, disruptive, unfamiliar tutti outburst v. the return of the familiar Pa motive (and, accordingly, vice versa). The recapitulation returns to the diversion that had initiated X. This diversion, a disruptive agent in X, is the source of greater disruption in the recapitulation because it arrives not at the start of the section but soon after the section has commenced. The recapitulation of K. 504 boldly repurposes the disruptive passage and, in the process, undermines its restatement of the opening module. In so doing, it maximizes the gesture’s destabilizing potential while it satisfies the formal expectation of reconfiguring analogous space from the exposition. In this way, Mozart ironically incorporates elements of the X section into the recapitulation.

In the recapitulation, disruption itself emerges as a property or characteristic of the movement. It is not one anticipated in the exposition, which mostly focuses on one idea, but rather one that emerges from the volatility that introduces X. Herein lies a correspondence between the X section and the recapitulation. While we have seen such a correspondence between the middle of X and the closing measures of Haydn’s Symphony 83/i, the present correspondence features symmetrical appearances at the start of X and near the beginning of the recapitulation.
As John Irving points out in *Mozart’s Piano Sonatas* (1997), correspondence between the X section and the recapitulation may be explained rhetorically by a passage he quotes from RH: “[In the summing-up] the speech must not be repeated in its entirety but] must take its beginning [i.e. derive] from the division . . . set[ting] forth the points treated in the proof and refutation.” Irving applies this concept to the dynamic between the X section and the recapitulation in the first movements of Mozart’s K. 309, K. 311, K. 533, and K. 570. He observes in each the use of the minor-mode in the X section and the recapitulation for themes which were in the major mode in the exposition. He concludes from these examples that “in the recapitulation the exposition themes must not be literally repeated but must take account of their transformation in the development” (135). His conceit draws on the classical *refutatio*, or refutation section of an oration, which he associates with the development section (104–5).14
EXAMPLE 2-2b (continued)
In K. 504, the idea of diversion and return comports with the harmonic function in the above passages from the X-section and recapitulation. X begins on the dominant with the tutti outburst followed by the winds and moves with each of its two successive iterations further away from that key: V/V\(\rightarrow\)V/vi\(\rightarrow\)vi (m. 176), the point of furthest remove. The recapitulation inverts the order of these motives but still uses them as part of a harmonic diversionary strategy that culminates with the return to tonic for the recapitulated S. (Recapitulation at m. 216: I . . . iv [mm. 228–32]\(\rightarrow\)V\(^7\)/♭VI\(\rightarrow\)♭VI [m. 244]\(\rightarrow\)v/iv\(\rightarrow\)iv\(\rightarrow\)vii\(^{7}\)/V [not shown]\(\rightarrow\)V\(\rightarrow\)I; S at m. 260.) As this progression contains a ♭VI inflection point, it presents a microcosm of X-section harmonic activity, suggesting that these measures represent a kind of secondary developmental X.

Both sections utilize the paired ideas in three-fold succession, a gesture that initiates X’s pursuit of the PFR. A less complex network of three-fold entries, the chordal variety referenced above, occurs in Haydn’s Symphony 79/i, where X commences with three chords, creating anadiplosis simpliciter with the exposition’s ultimate measure. These three chords represent the first of three three-chord units that lead the harmonic action away from the dominant. These chordal units function as a gateway into deeper X-zone activity, in this case P in the subdominant. Here, the anadiplosis effect initiates the repetition of the chordal motif as a means of preparing this key.

On occasion, successive restatements of closing material via *simpliciter* accomplish harmonic transition while at the same time conveying topical significance. Such is the case in the first movements of two piano sonatas from the period: Haydn’s Hob. XVI:41 in B♭ (example 2-3) and Mozart’s K. 576 in D (example 2-4). Each of their
expositions concludes with the *ranz des vaches* motif, a traditional shepherd’s call of the Swiss Alps (Rousseau, 405). The motifs launch their respective X sections into startling

**EXAMPLE 2-3** Haydn, Piano Sonata Hob. XVI:41/i, mm. 46–65

![Example Image]

...tonal trajectories. In the Haydn movement, the exposition-concluding dominant moves directly to bIII followed by V⁷/IV and IV, which engages P. In the Mozart movement, the exposition-concluding dominant is followed immediately by the dominant minor—a gambit like that seen in the contemporaneous K. 545, though now without intermediating chords. Mozart’s next step is to move to V⁷/bVI and bVI for P. The shifting of tonal
levels along with changes in dynamics may be heard to emulate the “pastoral horn call” (Monelle, 100–102) in the distance.

Whereas the Haydn movement provides topical contrast to the pastoral closing with the dotted rhythm of its opening idea (recalled in m. 60), Mozart’s pastoral motif is related to the opening hunting idea, prominent through much of the exposition (P: m. 1, m. 9, m. 13; S: m. 28). In the exposition, the two intervallic motives are separated by 1K (m. 42, dolce), a singing idea. The development section shuns the latter, and, after the initial pastoral motifs, pursues the hunting idea in B♭ (m. 63) and G minor (m. 70). Each entry engages sixteenth-note passagework reminiscent of the right hand throughout much of the exposition. This culminates in the stabilization of V/vi at m. 81, which marks the mid-point of the movement and the re-entry of the pastoral idea, the subject of the DP effect. The V/vi leads to a fifths progression, meeting the “area of furthest remove” (Ratner 1980, 227) in mm. 85–88, where the harmony oscillates between VI and its dominant. The DP effect continues through the dominant-lock at m. 92, adding a rising chromatic line that bridges B♭ and F, the focal points of the area of the furthest remove.

The X section of this movement elevates the exposition’s modest, georgic, closing figure into a motive of rhetorical eloquence by subjecting it to repetition figures, notably anadiplosis and DP. The motive is of great structural consequence as it is prominent in the section’s opening, middle, and closing. It is no less significant harmonically. Mozart chooses this motive for the most far-reaching harmonic exploration of the movement and presents it at crucial junctures of X space, thereby endowing it with a depth of expression and emotional import that surpasses his treatment of all other themes from the exposition.
Indeed, it is possible that the motive itself is laden with pathos by its topical associations. In his 1768 *Dictionnaire de musique*, Jean-Jacques Rousseau (317) claims

EXAMPLE 2-4  Mozart, Piano Sonata K. 576/i, mm. 1–105
EXAMPLE 2-4 (continued)
EXAMPLE 2-4 (continued)
that Swiss soldiers were forbidden from playing the ranz des vaches upon pain of death.

It seems that the melody was so reminiscent of home that soldiers were prone to desertion and emotional outbursts—even death—when hearing it. Rousseau notes that there is nothing in the melody itself which can explain this reaction. The emotional hold over those who heard it came from nostalgia for their former pleasures, youth, and way of life. ("Leurs anciens plaisirs, leur jeunesse & toutes leurs façons de vivre.") Such evocations, he adds, would be lost to anyone unfamiliar with the melody. In the same passage, Rousseau claims that in this case the music does not act as music per se, but as a memory sign. ("La Musique alors n’agit point précisément comme Musique, mais comme signe mémoratif.")

Mozart’s treatment of the motive in X—the sequential elisions without resolution; the extended, chromatic ascent in the middle register—reveals the longing, or Sehnsucht, the pastoral horn motive can evoke. As this part of the movement features its most remote
harmonic distance from the home key, it may be associated with homesickness, loss, and nostalgia. In this way, Mozart demonstrates an acute sensitivity to musical signification. Rousseau might have found in him that rare artist who could render the cultural particulars of experience as profound, universal expressions.15

Another Mozart sonata first movement, K. 311 in D (example 2-5), features anadiplosis simpliciter with an unassuming, “afterthought” of a closing idea (HD, 159). The exposition progresses to strong cadential articulation: intensified surface rhythm, perfect authentic cadence in the dominant, and a rhetorical pause (m. 37)—convincing end-of-exposition gestures for sure. Then comes the afterthought: an eighth-note, trochaic appoggiatura chain, tonic to dominant, followed by a half-beat rest. As the EEC had arrived at m. 36 and the full cadence in the very next measure, the insertion of this material seems supplemental, undermining the definitive closure the spirited movement seemed to be driving towards.

And yet this gesture, which initiates part 2 with a 4 + 4 phrase grouping (mm. 40–43, repeated down a step in mm. 44–47), dominates the X section, and is the subject of the DP effect following the reprise of a two-measure interruption (mm. 42–43 repeated in 46–47). The exposition’s one-measure appoggiatura chain (m. 38) expands to two at the start of X (mm. 40–41) and then to three in mm. 43–45 and mm. 52–55. Moreover, the ultimate two measures of the exposition (right hand part) are combined in mm. 43 and 47 and imitated in mm. 48–49 and 50–51 (left hand). Measures 52–55 are the most agitated in X as the chain, momentarily fragmented, suddenly skips up a sixth rather than continuing its step-wise descent. With the inner voice leaping to a tritone, creating an augmented-sixth chord in B minor (m. 52), the AFR is attained in mm. 53–55. Having
reached this mark, X now recalls elements from the anadiplosis subject: the dyadic chain in the right hand followed by the trochaic rhythm, which, in three-fold succession, prepares the subdominant recapitulation of 3S in m. 58.

EXAMPLE 2-5 Mozart, Keyboard Sonata K. 311/i, mm. 1–61
EXAMPLE 2-5 (continued)
EXAMPLE 2-5 (continued)

Clearly, this anadiplosis is unlike the type found in K. 545 and K. 576, which also involves two-measure subjects. In those examples, the subject is not preceded by an exposition-closing gesture as is the one in K. 311. Though the latter’s two measures could fall under the K-module proper, they might best be thought of as a *K-module extension*. This designation preserves the idea of post-cadential rhetoric that distinguishes this afterthought effect, which is even more enhanced in cases of anadiplosis. Like K. 332/i, this movement abounds in topics and styles, including symphonic (mm. 1–6), *buffa* (mm. 7–10), toccata (mm. 11–15), song (mm. 17–23 and mm. 28–35), and even string-quartet voicing (mm. 24–27). Yet unlike that of K. 332/i, the X section of K. 311/i, aside from the extension, does not directly engage any exposition material. Instead, the extension is so conceived that its descending, diatonic tetrachord recalls this gesture from various topical areas of the exposition, including motives from the symphonic (m. 2, ascending), the songs (m. 17 and m. 29) and the string quartet (m. 26). Consequently, this X section tacitly implicates thematic modules from the exposition. In this way, the afterthought, or tag, distills an essential element common to much of the thematic material of the exposition. This afterthought, it turns out, is not an unrelated one. Its incorporation into X as the subject of anadiplosis and the DP effect draws out the unifying motive underlying the disparate styles and manners of expression presented in the exposition.
The association between the tag and the exposition ideas is also manifest right through to the structural return (m. 58). Instead of beginning this section with P in the tonic, the recapitulation begins in IV and with the second singing-style idea, arguably the theme that most resembles the concluding tag. This theme (corresponding to m. 28 in the exposition) contains three successive allusions to the descending tetrachord, the last of which, a full tetrachord commencing at beat 2 of m. 60, replicates the exposition’s K extension at pitch (i.e., D to A), a correspondence actualized by dint of the subdominant recapitulation. Further correspondence is found in the singing theme’s concatenation of descents (mm. 58–60), recalling the X section. This correspondence suggests a motivation behind beginning the X section with this idea rather than P or, indeed, any of the other themes.16

While this X section only briefly diverts to other thematic material (mm. 42 and 46), other DP X sections feature more substantial digressions followed by a return to the anadiplosis subject, as though testing the observations of the above rhetoricians on this matter. Anadiplosis simpliciter introduces the X section of Beethoven’s Piano Sonata in F Major, op. 10/2/i (example 2-6). The gesture, descending octaves outlining the dominant, emerges as the DP subject for the first 10 measures of X, yielding to a new idea at m. 77. This new idea amounts to a parenthesis within X, as Beethoven returns to the anadiplosis motive in m. 95, picking up with the DP effect much as he left it in m. 76. While that measure left off on a first-inversion A chord—part of an A/D axis—m. 95 continues this dynamic on a new tonal plateau: B♭ and F. In fact, if the intervening measures were excised, the two surrounding passages would cohere. In this way, Beethoven answers to the above quotations: “he will turn from the subject and divert the thought . . . he will
bring himself back to the subject; he will repeat what he has said” and “dwelling on the point occurs when one remains rather long upon, and often returns to, the strongest topic on which the whole cause rests.”

EXAMPLE 2-6  Beethoven, Piano Sonata op. 10/2/i, mm. 60–124
EXAMPLE 2-6 (continued)
We might also infer tonal planning from the above quotations. Since writers of the period considered contrast of tonality as the generating element of sonata form (Irving 1997, 100), it follows that digression from a home key and return to that key is an essential part of sonata argument. That is, the composer is arguing for a certain tonality in addition to thematic material. That these two elements of sonata argument, tonality and
theme, are on occasion separable at the structural return is observed by these last two examples. As mentioned above, K. 311 begins the SR in the subdominant and establishes the tonic with the second theme in m. 79 (= m. 17). Beethoven’s op. 10/2/i concludes X with the PFR on V/vi followed by a silent downbeat and fermata (mm. 116–17). The next measure takes up Pa in the key of the submediant, the key prepared by the previous dominant. Ostensibly, the tonality that begins the STR—the structural *thematic* return—remains in X’s AFR: the modal degree. While there are numerous examples in Haydn of V/vi + fermata moving to tonic for the SR, Beethoven complicates this structural juncture by rhetorically engaging the recapitulation while maintaining the harmonic language and process of development, as mm. 128–40 unfold a fifths progression to B♭.

Theme and tonality, while both integral subjects of the sonata argument, need not be reconsidered in tandem at the SR. Whereas Mozart makes the tonic adjustment for the theme at m. 91, Beethoven allows his more radical, modal-degree iteration of Pa to stand. This implies a division of musical argumentation in the recapitulation: theme and tonic—or tonic substitute such as IV—are discrete elements that need not meet at a single point in the structure. Though that structure presupposes expectation of a tonally conventional juncture with the return of P in tonic, they are in fact at the disposal of the composer, who may take them up together or in succession. In this example, Beethoven is not making a case for syncretization. The disjunctive returns remind us that there are two distinct points of argument the form may dwell on and then return to.

*Sequential Dwelling on the Point*

As X sections often involve transitional activity en route to the tonic, sequential harmonic patterning is a common way of approaching the home key. This patterning
often takes shape around a single idea that had begun in the exposition, resulting in the DP effect. The examples we have seen thus far, apart from K. 550/i, all emerged from anadiplosis repetitions. This, however, represents a minority of DP cases. In many X sections, there are multiple instances of DP, with the most dramatic moments not commencing until after the PFR. Such is the case in the first movement of Mozart’s String Quartet in G, K. 387. Like K. 311, this movement’s exposition concludes with a two-measure afterthought. For in the quartet, this characterization is meant literally as Mozart appended the last two measures to the exposition after it was already completed (Finscher, 131, 152 [facs. 19]).

EXAMPLE 2-7a  Mozart, String Quartet K. 387/i, mm. 50–55

According to John Irving, K. 387/i’s X section is “one of the most expansive” of the six Haydn Quartets (27). As Irving notes, the X section is subdivided by the K module extension (mm. 54–55, example 2-7a). The extension, a murmuring, dotted motive capped off by a double trill, manages to raise the dynamics of the closing from a barely-audible pp to p. It presents little contrast to the concluding K module proper and is as formally supplemental as its cousin in K. 311.

The quartet’s X section, which comprises a robust 30% of the movement, features various repetition schemes that may be considered DP. The first opens X with the main theme in the dominant (m. 56) and is repeated at m. 61 (E minor) and m. 68 (C major).
Sequential repetitions of a new idea occur from mm. 70–80, leading to a cadence on the subdominant in m. 87. Cadential rhetoric is then undermined by the appearance of the K extension, now sounding in E minor and followed by a caesura (m. 89, example 2-7b). Though m. 80 passes through this modal harmony, the structural cadence of m. 89 signals the arrival of the area of furthest remove. What follows is a curious insertion of new sequential material that evokes the chromaticism and octave leaps of exposition passages. It bridges the area of furthest remove, from the extension’s E minor to the new theme’s cadence, a momentary inflection to vi within a prevailing D major (m. 98). The first-inversion, E-minor re-entry of the extension in the following measure has its trilled tail repeated five times in succession. Voiced in divided strings, this sequential-DP effect precipitates the dominant pedal in m. 104 and the tonic recapitulation in m. 108. The recurrence of the afterthought, arriving at m. 89, the virtual midpoint of the movement and the approximate golden ration of the X section (61%), is afforded unforeseen structural significance. As Ludwig Finscher observes, the exposition’s closing punctuation is engaged for similar grammatical function in mm. 88–89 and for sequential development 10 measures later (131). As the motive encloses the area of furthest remove (vi and v/vi) and introduces the standing-on-the-dominant, it also achieves harmonic notoriety.
EXAMPLE 2-7b  Mozart, String Quartet K. 387/i, mm. 85–113
The elevated status conferred upon this erstwhile murmur accords with Cicero’s remarks quoted at the head of this chapter regarding dwelling on the point and amplification of facts. Exposition-originating material in X may be likened to amplification or “proof” of facts that are presented in the initial stages of an argument. This conceit of sonata discourse likens the initial stages of an argument—the laying out of its facts—to the exposition. It accords with Aristotle’s and Quintilian’s two-part division of argumentation—statements of facts followed by verification—and with Forkel’s two-section organization of sonata form, which as John Irving points out is analogous to the structure of classical rhetoric. The analogy is expressed by Grétry in his *Mémoires, ou Essais sur la musique* (1797), “after resting on the dominant, who can keep one from taking up these same traits, carried out differently and varied in their direction, their melody and their harmony? It would be, if one may say so, like bringing
in proofs for what one has done first.\textsuperscript{19} The X sections of the first movements of K. 311 and K. 387 offer the “proof” of a small, almost forgotten factual detail. The amplification of that detail in X focuses the listener on significant thematic material that the exposition would regard as merely supplemental to the discourse. Indeed, each example fulfills Marco’s “musical task,” accounting for “material which at first seems extraneous” (see chapter 1, “A Musical Task”).

\textit{Dwelling on “Despair”}

As discussed in chapter 1, the X section of the first movement of Mozart’s K. 550 is monomotivic and involves sequencing that will be consequential in the recapitulation—it is a prime example of the DP effect. This effect, however, is not limited to the work’s opening movement. One finds it in the finale and even in the second movement, an Eb Andante. The finale’s 82-measure X section sequences the seven-note, arpeggiated P motive throughout. The most far-reaching sequence incorporates G\# dominant-seventh and C\# minor (mm. 175–81), a non-modal area of furthest remove that arrives six measures before the V/V punctuation (m. 187). This area truly warrants its description, as C\# and G\# are tritones away from tonic and dominant, respectively. This harmony persists after the V/V, where C\# minor yields to C\# major, initiating a descending fifths sequence that leads to the dominant in m. 201 and the recapitulation in m. 206. The recycling of the tritone after the V/V suggests a brief but significant harmonic DP. Rather than taking a more direct path to the dominant after the punctuation, the return to the previous harmony prolongs the tonal journey—and consequently, the motivic aspect of the effect as well. The first movement of the symphony also finds brief
repose on the V/V (m. 138) but enhances its DP effect by a prolonged dominant pedal, effectively lasting some 11 measures before the structural return (mm. 153–63).

While the first movement focuses on its opening motive, which reappears in the K module and the coda, both movements share a strong orientation around G minor and the minor mode in general. To describe their principal motives in the exposition and X as eliciting agitation, despair, discontent, and uneasiness would accord with certain period associations with the key of G minor. In her study of eighteenth- and early nineteenth-century key characteristics, Rita Steblin cites eighteenth-century critics Galeazzi (105) and Christian Friedrich Daniel Schubart (116) as associating this key with such emotions. To what extent was the choice of key a consideration of affect, which may have included theme types and their developmental processes?

If we grant that monomotivic X sections are more unusual than multi-modular ones in Mozart and other eighteenth-century composers, it would follow that symphonies containing two or three such movements are marked. From this perspective, a composer setting out to create a mood of agitation, despair, discontent, or the like, might choose G minor as the traditional tonal purveyor of such emotions and monomotivic X sections as a structural means to heighten them. Such a comprehensive strategy has precedent in the G Minor Symphony op. 6/6 of Johann Christian Bach (published 1770). This symphony, his only one known to be in minor, is most unusual in that all three of its movements are in minor (the slow middle movement is in C minor) with the fast, outer movements featuring DP X sections, the first of which is essentially monomotivic. X in the first movement sequences ascending arpeggios based on opening material (mm. 69–96), and the last movement X sequences a three-note motive notable for its wide leaps (mm. 38–
56). It is not simply the material itself that answers to the above critics’ descriptions, but the special treatment of the material, which creates a sense of inexhaustible repetition and thwarted progress that could evoke distraught or turbulent emotions.

**Digressions**

N in X often signifies an excursion into new modes of expression. This excursion represents a digression from the exposition’s argument and corresponds to Quintilian’s quotation from the beginning of the chapter in which he outlines three of the several techniques that lend brilliance to style. Consequently, his discussion of “dwelling on a single point,” “rapid summary,” and “digression” refer to *elocutio*, or rhetorical style, rather than to *dispositio*, or arrangement of ideas (Irving 1997, 137–39).20 In Book IV, chapter 3, however, Quintilian takes up digressions as elements of *dispositio*.21 Certainly a particular digression may be an element of style and of arrangement. This holds true in rhetoric as much as it does in a sonata form context where the digression is understood as N, or new material in X.22

As quoted above, Quintilian follows the *narratio*, or statement of facts, with their verification. Yet he points out that certain rhetoricians follow the statement of facts with digressions to “some pleasant and attractive topic with a view to securing the utmost amount of favour from their audience” (2:123). Here, Quintilian is speaking of forensic oratory, which generally involves arguing criminal matters before a judge or jury. The analogy is nonetheless apposite for certain sonata form movements, for example, the last movement of Beethoven’s F Minor Piano Sonata, op. 2/1. The tempestuous exposition, in the minor for its main sections, could be compared to an oration whose *narratio* deals with a violent subject, perhaps a heinous offence of some sort. After the facts of the
narrative have been laid out, the orator wishes to contrast this section with a turn to new subject matter, perhaps unrelated to the facts of the case, which appeals to the emotions. This appeal could be a depiction of the victim’s life before the commission of the crime. Accordingly, the X section’s A♭ “song without words” (the incipit is shown in chapter 1) is clearly a digression from the exposition’s material as it presents a “pleasant and attractive topic”; it is a “relief theme” withheld from the exposition. Quintilian entertains this type of digression in oratory, “digressions on points not involved by the question at issue arise when we . . . make any kind of emotional appeal or introduce any of those topics which add such charm and grace to oratory” (2:129).

The deferred deployment of the lyrical rises in significance as it introduces a new manner of pathos, the appeal to emotion, one of Aristotle’s three methods of rhetorical persuasion (along with ethos and logos). As the movement’s design is to isolate the events of the inner section, it is tempting to distinguish it by means of Aristotle’s rhetorical methods. Accordingly, if we follow Forkel’s division of sonata form and Grétry conceit, we might be inclined to contrast X’s pathos with the exposition’s logos, or appeal to reason, manifested here as the facts of the case presented as part of the exposition/narratio. What makes this reading plausible is the abrupt and relationally distinctive character of the music in X, which, as noted in chapter 1, is marked sempre piano e dolce. Clearly, it is an appeal made to an empathic sensibility. This drastic, emotional turn is analogous to an orator’s transition from logos to pathos. This does not suggest that the music in the exposition is not itself impassioned or that it cannot appeal to emotions, for surely it does. The analogy with methods of persuasion is useful in so far as it conveys the dynamic between the operative sensibilities. One could, quite correctly,
describe the contrast between the exposition and the X section as being one of musical topic. Yet a more fundamental model, one which accounts for the various tones and objectives of persuasive oratory, might well analogize this as musical *apostrophe*, or turning to another topic for effect (Vickers 1988, 492).

Quintilian praises certain digressions if they “fit in well with the rest of the speech and follow naturally on what has preceded,” while he criticizes those that are “thrust in like a wedge, parting what should naturally come together” (2:125). The distinction between the two holds for sonata form. Whereas Beethoven's op. 2/1/iv might plead guilty to this infraction, Mozart’s K. 332/i, as we have seen, begins its X section with a new theme that both recalls the exposition's minuet topics and resembles P. These sonatas’ new X-section themes, initiating part two of Forkel’s form, are located analogously to Quintilian's digressions found at the "conclusion of the statement and the beginning of the proof” (2:125). But Quintilian also anticipates those digressions, planned and unplanned, which “are inserted in the midst of matter which has no connection with them” (2:129–31).

An analog to this kind of digression is found in the X section of the first movement of Beethoven’s Piano Sonata in C Major, op. 2/3 (example 2-8). X begins with 1K in the remote key of bIII, replicating the exposition’s mm. 77–83; an example of delayed anadiplosis. Whereas the post-EEC fragmented motive culminates in a rousing exposition-closing gesture, the motive’s trilled tail in X is interrupted by a non sequitur: rapid, meandering Alberti-like arpeggiated figures in the right hand over sustained, rising chromatic outer voices in the left hand. This change in texture and style, evoking the fantasia, enters more abruptly than the passage from the F Minor Sonata, as that
digression marks entry into the anticipated X space. In this C Major Sonata, the digression occurs during X, cutting off the motive, and thus thwarting its further development.

Just as the new material in the F Minor Sonata introduces a new means of persuasion through *pathos*, we might look to this passage in the C Major Sonata as representing a turn to Aristotle’s *ethos*.²⁴ In this method, “the orator persuades by moral character when his speech is delivered in such a manner as to render him worthy of confidence” (17). While music generally does not speak specifically to moral character, it can reinforce the presence of the performer/composer—the musician—who can capture the attention, respect, and admiration of the audience. The fantasia style is well suited to foreground the active presence of the musician.²⁵

EXAMPLE 2-8  Beethoven, Piano Sonata op. 2/3/i, mm. 76–111
EXAMPLE 2-8 (continued)
The fantasia style, per Ratner, “is recognized by one or more of the following features: elaborate figuration, shifting harmonies, chromatic conjunct bass lines, full textures or disembodied melodic figures—in short, a sense of improvisation and loose structural links between figures and phrases” (1980, 24). Measures 97–109 answer to this description. Noteworthy is the harmonic dimension of this fantasia passage. The rising chromatic base underlies a tonal journey that migrates from the flat side to the sharp side, with the harmonic apogee, C# major, arriving at its mid-point in m. 102. This C# major, the raised tonic, is for Beethoven’s day about the most distant harmonic relationship from the home key. Its resolution to F# minor (m. 105), a tritone away from C, is the relative minor of A major (mm. 107–8): Ratner’s PFR for X and the penultimate plateau of the fantasia section (which elides with the next paragraph on V/V). This hot-zone of harmonic activity, concentrated over 13 measures, is not only bereft of exposition content, it is void of any defining thematic profile or phrasing. The chain of cadenza-like figurations, therefore, imbues the passage with a sense of improvisation, as if it were being composed in the very moment of its performance, a notion described by Rousseau in his dictionary entry for “fantaisie” (215).26

Decades before Beethoven, this manner of simultaneous composing and performing was associated with a particular quality of mind—even character. In 1746, Meinrad Spiess writes that “those fantasits, for example, an organist, violinist, etc., that know how to provide their listeners with a pleasant diversion by extempore or improvised fantasias, capriccios . . . must have sharp wit, be well-practiced virtuosi, with excellent ideas, rich and lavish invention. Great praise!” (Spiess, 163; trans. Ratner 1980, 314). In
his *Versuch über die wahre Art das Clavier zu spielen*, C. P. E. Bach similarly remarks that improvisation was a special talent in his day (430). In the eighteenth century, the fantasia style represented an attitude or disposition to music-making as much as it signified a set of musical effects. It furnished the listener with a series of musical cues that fortified the musician’s credentials and reputation as a genius. The fantasia style approximated the creative *ethos* of the musician.

According to this reading, the fantasia passage in this X section presents the *ethos* of the composer as master of harmony, figuration, and musical imagination. It also aligns this *ethos* with composers of the early eighteenth century who conjoined their periodic dance forms with fantasia passages, which represented digressions from the ordered minuet, sarabande, allemande, etc. (Ratner 1980, 233). Indeed, the association of the fantasia with past masters such as J. S. Bach, Handel, and Telemann contributes to the persuasiveness of this *ethos*.

The appeal to *ethos* presented in this digression accords with Quintilian’s example of digressions that occur in the midst of a speech but which are unrelated to the topic. They occur “when for example we strive to excite, admonish, appease, entreat or praise the judge” (2:129). In music performance, it is the audience who serves as the *ersatz* judge. This is the case regardless of who is part of the audience—critics, competition judges, or laypeople. The fantasia interlude in this sonata may be read as a direct appeal to the audience, signifying Beethoven’s early efforts to brandish his own credentials as a composer and performer. For these measures, he directs the sonata to step outside of X’s exposition/narratio rendition; and by dint of the fantasia style, he engages a new manner of rhetorical appeal. The improvisatory nature of the fantasia is further reflected in the
passage from Quintilian, who continues the passage quoted above by saying “such passages are innumerable. Some will have been carefully prepared beforehand, while others will be produced to suit the occasion or the necessity of the moment” (2:129–31). The fantasia style in Beethoven’s op. 2/3/i may be characterized as music of the composed improvisation. And, as we shall see in the next chapter, its inclusion at this juncture in X is consequential to the interpretation of the movement.

NOTES TO CHAPTER 2

1. Translated in Quintilian, 3:363–69, the Loeb edition, corresponding to 9.1.25–36 in the original Latin. In this study, the Latin citations will follow the translation citations.

2. Irving (1997) discusses “dwelling on the point” in relation to theme and variation technique (137) and episodic forms (146). Elaine Sisman discusses this concept in relation to the former along with a related idea from RH, “dwelling on the topic” (1993a, 36ff.)

3. While this specific comparison of rhetoric to eighteenth-century musical form could not have occurred to Quintilian, a more general relationship between the two arts certainly did. In Book 1 of his Institutio Oratoria he holds that it is necessary for the orator to be acquainted with rhythm and melody. In so far as the latter is concerned, special mention is made of the “arrangement of words” and “inflections of the voice” (Quintilian 1:171 [1.10.22]).

4. Vickers provides the following example of anadiplosis from Shakespeare’s Sonnet 29: Wishing me like to one more rich in hope, Featur’d like him, like him with friends possess’d.

5. The example also appears in Bartel, 182.

6. This passage from Mattheson (1954, 143) is translated in Bartel (258) and in Mattheson 1958, 203–04. Mattheson lists the following figures: “epanalepsis, epistrophe, anadiplosis, paronomasia, polyptoton, antanaclasis, ploce, etc.” Mattheson does not elaborate on the source of this observation.

7. I define the anadiplosis effect as distinct from anadiplosis. The former is specific to the transitional area between the exposition and the X section. The latter refers to any instance of anadiplosis, including the anadiplosis effect.
8. To demonstrate repetitions within the same formal unit, Jonas adduces mm. 21–28 of Beethoven’s Piano Sonata in G, op. 49/2/i (especially m. 24). To demonstrate repetitions that initiate new sections, he adduces the start of the trio of Brahms’s Clarinet Sonata, op. 120/1/iii. The anadiplosis effect, which, as defined, introduces the X section, is closely related to Jonas’s linkage technique in the Brahms example.

9. Vickers 1988, 494. Vickers provides the following example of epanalepsis from Shakespeare’s Sonnet 105: “Kind is my love today, tomorrow kind.” Mattheson includes this figure of repetition with those that the ancient Greek orators appear to have borrowed from music (see note above).

10. The musical syntax may admit other rhetorical figures of repetition. Indeed, the entire development section may be regarded as anaphora, “where the same word is repeated at the beginning of a sequence of clauses or sentences” (Vickers 1988, 491). Vickers on this page provides the following example from Shakespeare’s Sonnet 91:

Some glory in their birth, some in their skill,
Some in their wealth, some in their body’s force. . .
Accordingly, the first phrase in X is from mm. 29–32 and the second phrase is from mm. 33–41. Each begins with the K motive.

11. Among the varieties of musical repetition that this passage could answer to include synonymia (an altered or modified repetition of a musical idea) as described by Johann Nikolaus Forkel (Bartel, 405–8).

12. In a footnote, Grube gives the following example of near-anadiplosis from Herodotus: “of mountains in numbers the greatest, and in greatness the highest.” The footnote refers to Demetrius’s (attributed author of On Style) example of anadiplosis, also from Herodotus: “The serpents of the caucuses are large, large and numerous.” Demetrius remarks that the “repetition of ‘large’ gives weight to the style” (Demetrius, 78n66, 78).

13. Interpretive choices, like dynamics and articulation can also have a role in making the figure more forceful.

14. Refutation (Widerlegungen) and dissection of themes (Zergliederungen) are among the rhetorically inspired elements in Forkel’s division of musical form. Irving lists both in his own correspondence between rhetorical elements and sonata form, categorizing them as part of the development (1997, 104–5). The exposition is associated with the rhetorical narratio (121–26).

15. The ranz des vaches motive also appears in the following works: Leopold Mozart’s Sinfonia pastorale, Eisen G3/iii (1750s), “con un corno pastoritio”; Haydn’s Symphony 6/i, Le matin (1761); Dittersdorf’s Symphony in D Minor, Grave d1/i (1773–79); Michael Haydn’s Symphony in Eb, MH 340/ii; P. 17 (1783) and Pastorello in C, MH 91; “Nun beut die Flur das frische Grun” from Haydn’s Die Schöpfung (1798); “Der munt’re Hirt” from Haydn’s Die Jahreszeiten (1801); Beethoven’s Piano Sonata in D, op. 28/ii/30–31,
38, “Pastoral” (1801); Beethoven’s Symphony 6/v, op. 68, Pastoral (1808); Anton Reicha’s Symphony 3 in F/ii (1808); Rossini’s Overture to Guillaume Tell, third movement (1829); “Scène aux champs” from Berlioz’s Symphonie fantastique (1830); “Es gibt ein Reich” from Richard Strauss’s Ariadne auf Naxos (1916).

Daniel Heartz (1995, 270) refers to the motive in Haydn’s Le matin as having links to the Tuba pastoralis, a melody used by Bohemian composers in their Christmas compositions. Elsewhere (526), he compares a passage from Mozart’s Bastien und Bastienne that “conveys the cow-calling motif” to the motive in Haydn’s Le matin (see also, Sisman 2013, 29n38).

16. Beginning the SR with this theme also reveals a larger structural cohesion in the work. As it is the last substantial theme of the exposition and the first of the recapitulation, it encloses the X section, thereby creating an ABA structure, or palindromic structure. In this respect, the often-used moniker “mirror” recapitulation is warranted. However, as the next group to be recapitulated is the first song theme (m. 79 = m. 17), which then proceeds with thematic material as ordered in the exposition—until m. 99 for the first theme—the term is ultimately misleading. The tonic takes hold at m. 79, and the material that had begun the SR is now in D major for the first time. The term “reverse” recapitulation is similarly imprecise.

HD (262n11) regard the recapitulation as beginning at m. 79. Rosen, who holds to the “reverse” recapitulation description (1988, 322-23) similarly orders the recapitulation with the second group, presumably at m. 79 (97), though he later specifies that the recapitulation begins just before this group (286).

17. Aristotle Rhetoric, 3.13.1: “A speech has two parts. It is necessary to state the subject and then to prove it” (425). Quintilian: “In the natural order of things the statement of fact is followed by the verification.” (Ordine ipso narrationem sequitur confirmatio.) The sentence that follows translates as, “for it is necessary to prove the points we have stated with the proof in view” (2:122–23).


19. “Après un repos à la dominante du ton, qui empêche de reprendre ces mêmes traits différemment amenés et variés dans leurs tours, dans leurs mélodies et dans leur harmonie, ce seroit, pour ainsi dire, apporter les preuves des propositions qu’on a faites d’abord” (Grétry, 357). The English translation quoted is from Beghin, 171.

20. Dispositio and elocutio are among the five cannons of classical oration, which also include inventio (invention or discovery), memoria (memory), and pronuntiatio (delivery). In this list, dispositio and elocutio generally follow inventio.
21. In general, classic rhetoric divides *dispositio* into six categories: *exordium* (introduction), *narratio* (narration or statement of facts), *propositio* (proposition) [according to Quintilian], *confirmatio* (confirmation), *refutatio* (refutation), and *peroratio* (conclusion). Differences pertaining to the category that Quintilian calls *propositio* are found in Cicero’s *De Inventione* and in *Rhetorica Ad Herennium* (Irving 1997, 193n45).

22. Irving (1997, 118) likens digressions to the exposition’s S module. A liability of this reading is its non-conformance with Forkel’s “rhetorically inspired” two-part division of sonata form (Irving 1997, 104). If part 2 of sonata form “proves” part one, then it would follow that the so-called digression in part one—the S module—is an element to be proved in part 2. However, proof is generally not sought for digressions in oratory (as per the examples in Quintilian 4.3, they are not even provable propositions). Therefore, assuming S appears in part 2, it is an element subject to proof and not a digression. If, however, S were viewed as part of *narratio*, part one of the form, it would follow that its proof is required in part 2.

23. In *Rhetoric* 1.2, Aristotle distinguishes two types of *pisteis*, or methods of persuasion: “atechnic” (inartistic) and “entechnic” (artistic). The former is reserved for evident persuasive means, such as witnesses and contracts. The latter is rhetorical, requiring invention or “art” on the part of the speaker. There are three kinds of rhetorical appeals: *ethos, pathos*, and *logos*.

24. In this study, I distinguish between the terms ethos and *ethos*. The former, also used in chapter 1, refers to the character of the work or movement as discerned from its themes and other stylistic features. The latter refers to the Aristotelian notion of the speaker’s character (reputation, authoritativeness) as a means of rhetorical persuasion.

25. A similar argument is advanced by James Webster regarding Haydn’s “improvisatory gestures” in his keyboard music: “Such passages blur the usual distinction between the composer of the work, and the persona (or musical subject) in the work: the composer, who is usually at most a latent or potential presence, moves into the foreground of consciousness” (2007, 208). (In footnote 35 Webster cites Cone 1974 and Dahlhaus’s *Ludwig van Beethoven: Approaches to His Music*, chaps. 1–2.) Webster’s remarks resonate with my chapter 5 discussion of the concerto.

26. Commenting on Beethoven’s Fantasy op. 77, Elaine Sisman writes, “The principal agent of fantasy in op. 77, however, is its frequent changes of melody and texture, the very thing that makes the piece ‘sound improvisatory.’ We as listeners become privy to the composer/performer’s search for material, indeed the process of invention (*inventio*), the first stage in the view of the compositional process held in the eighteenth century, which clearly results from classical rhetoric” (1998, 71).
Chapter 3

X Section and Post-SR Space

The Fantasia and Beethoven’s op. 2/3/i

The spirit of improvisation returns in mm. 218–32 (example 3-1) of the first movement of Beethoven’s Piano Sonata in C Major, op. 2/3. The movement reintroduces the fantasia element 110 measures after its initial appearance in X and 80 measures after the structural return (m. 139). Enriching this stylistic recollection is the common material that precedes and follows its iteration. In X, 1K precedes the fantasia via the anadiplosis effect. In the recapitulation, the same motive precedes the fantasia and is analogous to the exposition’s 1K module (mm. 77–83 = mm. 211–17). In X and the recapitulation, the fantasia is followed by the Pa motive (mm. 109 and 233, respectively) and a new syncopated passage (mm. 115 and 237, respectively). Both fantasias begin in bVI of the Pa motive’s key: D major in X and C major in the recapitulation. While the first fantasia is a genuine digression from preceding material, the second functions more like a harmonic parenthesis, the recall of the previous style being inserted between the dominant reiteration of the trilled closing idea (m. 217) and the second tonic recall of Pa (m. 234). Indeed, the second fantasia passage coupled with this Pa recall and subsequent material (mm. 234–51) could be understood as an extended recapitulatory interpolation as it falls between events that have direct analogs in the exposition.
EXAMPLE 3-1 Beethoven, Piano Sonata op. 2/3/i, mm. 208–57
EXAMPLE 3-1 (continued)
The common sequence in these non-contiguous sections, fantasia→Pa→syncopation, suggests a relationship between X-section and post-SR events. The fantasia and syncopated passages betoken higher signification as their implementation is delayed, set apart from the exposition. It follows that new material in X sections is potentially more consequential to the ethos of the movement when it is recalled in post-SR space. As Bathia Churgin observes, this method “integrates the new material into the larger structure and expressive world of the movement” (1998, 334–35).

If we advance the rhetorical reading from the previous chapter, the recapitulation’s appeal to ethos is made after having cycled through the exposition’s material, save for the final K theme. This fantasia makes an even stronger appeal to ethos as it concludes with a true cadenza: an unbarred passage replete with a cadential six-four chord, fermatas, sixteenth-note figuration, and dominant trills resolving to tonic—an evocation of the soloist in a concerto. Here, the persona of the musician asserts itself into the larger structure and expressive world of the movement, emerging as a unifying element, even as it intrudes upon the discourse. In X and the recapitulation, improvised-like figuration derails 1K’s hypothetical motion to 2K, as modeled in the exposition. This reveals a fissure in the musical narrative, an inhibition in developmental and recapitulatory functions that stymies K-module progression. But the lapses in thematically directed activity can go on only for so long. Eventually the artist hits the reset button in yielding to the elemental beginnings of the movement in mm. 109 and 235.

The recall of this process during the recapitulation elevates the role of X-section activity in the formal conception of the movement. While this recapitulation is
noteworthy because it interpolates X-section events, many recalls of X section activity occur in a coda, which, according to HD, “begins once the recapitulation has reached the point at which the exposition’s closing materials, normally including a final cadence, have been revisited in full” (281). One supposes that Rosen (1988, 322) would agree with this, answering his own rhetorical question, “When is the coda not a coda? When it is part of the recapitulation.”

For the purposes of this chapter, the distinction between the recapitulation and coda may be subsumed by the larger issue of the relationship between the X section and events that occur or do not occur after the SR. Be they part of a coda or recapitulatory interpolation, the closing measures of a sonata form movement are often poignant utterances, revealing the composer’s final consideration of the preceding drama. According to the composer Kaija Saariaho, “the end of a work is always the last chance to discover its quintessence” (2016).

**Recapitulatory Interpolation of N in K. 448**

The example which Rosen adduces regarding his above observation is Mozart’s Sonata for Two Keyboards in D Major, K. 448 (K. 375a). The end-of-movement material in question, which precedes the corresponding final matter from the exposition (therefore not a coda according to HD), is N, the sole subject of the X section. The twenty-nine measure X section unfolds in a logical succession of three parts. The first part, mm. 81–98 (example 3-2a), concerns a five-note motive: a descending tetrachord that starts on the dominant of D (reminiscent of S’s tetrachord, m. 34ff) and forms a tritone with the raised fourth degree. The second part, mm. 98–105, varies and fragments the motive; and the third part, mm. 106–9, secures the structural dominant with new figuration and
contrasting dynamics. But it is the first part which resurfaces in the recapitulation, a surprising interpolation right after the trill in m. 174 (example 3-2b), its analog in the exposition having led to the K material (mm. 72–73, see example 3-2a). N at m. 175 emerges like an afterthought (“hold on, there’s one more thing”), interrupting the cadential trill and the presumptive recall of the K module. It asserts itself with a four-voiced D, as keyboard 1 applies grace notes, reminiscent of the exposition’s T and S modules. Rather than merely a transposed recurrence, the interpolation of N in the recapitulation features some of the most consequential reconfigurations of any pre-SR material in Mozart’s keyboard music. Its presentation, along with the recomposed K module that follows, not only lends dramatic flair to the concluding passages, it asserts that sonata form can convey the expressive and rhetorical power of a finale.

X’s forays into the dominant (mm. 81–95) yield to the left-hands’ unison statement of the motive in tonic minor (m. 90). This iteration offers two eighth-note gestures, the latter one containing a tritone (m. 92) and a further destabilizing chromatic descent in quarter-notes. When contrasted with the interpolation’s D-major iteration starting at m. 179, we find a resolution to X’s destabilizing maneuver at the analogous mm. 182–83 (= m. 92). Here, the second tail motive responds diatonically followed by a shift in register to the soprano range; this initiates a series of chord progressions that culminate in the movement’s ultimate rejoinder to N. Measure 185 ruptures this series as it marks the boldest gambit of the movement. The second-inversion vii° chord
EXAMPLE 3-2a  Mozart, Sonata for Two Keyboards, K. 448/i, mm. 69–98
EXAMPLE 3-2a (continued)

in keyboard 1 moves to first-inversion tonic in keyboard 2, commencing a chromatic ascent to the tonic’s apex. This departure in contour precipitates the full flowering of the
motive’s potential. The rejoinder in keyboard 2’s top voice, *mi sol fa re do* (m. 186), reimagines the initial five-note head motive, notably sans tritone. Moreover, it recognizes the totality of the N idea as a consequential theme, endowing it with tonic-driven, cadential power unrealized in the X section. We might call this action form-defining, as this PAC immediately precedes the re-composed K modules (m. 187). This provides the movement’s *essential structural closure* (ESC), which, according to HD, “represents the tonal goal of the entire sonata form, the tonal and cadential point toward which the trajectory of the whole movement had been driving. . . . It is only here where the movement’s tonic is fully called forth, stabilized as a reality as opposed to a mere potential” (20).

HD’s commitment to the ESC is fully warranted. And yet in this instance, its significance appears to be amplified owing to the role it plays in the development of X’s new theme. In this unusual N articulation of the ESC, we find a confluence of thematic and structural climaxes. Retrospectively, we may conclude that N has awaited this moment from its inception in X. Yet how readily would we accept this movement without the interpolated N? Would we ask, “why has Mozart not interpolated N at this juncture?” In fact, no compositional strategy could be more normative than advancing to K immediately following the dominant trill at m. 174. But N’s realization reveals an underlying goal which the entire structure strives for. The unexpected significance this theme commands is recognized by the privileged status the ESC confers on it. The occasion is cause for celebration, as evidenced by the completely recomposed 1K module (mm. 187–90); a jovial passage that crowns the ESC. This is a rare instance where consecutive post-SR thematic ideas do not appear in the exposition.
EXAMPLE 3-2b  Mozart, Sonata for Two Keyboards, K. 448, mm. 169–94
The *mi sol fa re do* passage in the recapitulatory interpolation of K. 448/i, representing the thematic culmination of X’s N, may bring to mind a strategy discussed earlier in Haydn’s Symphony 83/i in G Minor. In that work, the solution to the movement’s opening tritone, a diatonic rejoinder, is highlighted in the closing measures. But the four-note motive in question is also embedded less prominently in the X section, so that there is the sense that X directly participates in the discovery of this rejoinder. In this view, the closing measures simply rediscovers it. The dynamic in K. 448/i is different. Here, the recapitulatory interpolation presents a concluding motive to N that is absent from the X section. We may conclude that in the latter movement the problem is presented in X, and a solution offered in the recapitulatory interpolation of X.

**K. 481 and Lucis Creator**

Similar to K. 448/i in this regard is the first movement of Mozart’s Violin Sonata in Eb, K. 481. Here too, the structure admits an intersectional dialogue regarding a head motive first presented in X. This N idea, preceded by the T module, starts abruptly after bridge material from the exposition. It emerges in the violin at m. 105: a four-note motive in mostly dotted half-notes, *do re fa mi*, starting on Ab. The motive is familiar enough: the first four melodic notes are the head motive of the fugue subject in Mozart’s “Jupiter” Symphony, K. 551/iv; and, in fact, Mozart used this motive throughout his career (its origins may lie in the Latin hymn, *Lucis creator*).² X invests considerable rhetorical energy in this N motive (example 3-3a), sequencing it three times and, in the process, disrupting further development of exposition material. Upon closer inspection, however, the N motive may not be all that new. Measures 49–52 contain two black-note iterations, both in the violin, the first starting on C, the second on B♭ (example 3-3b). This small,
innocuous gesture from the exposition’s S module would seem like an unlikely source of intersectional correspondence. Yet, it is thrice rendered in X as the familiar motive.

This correspondence is subtle. For a robust correspondence, consider post-ESC events in the movement’s recapitulatory space.³ Interpolated between the two appearances of the recapitulated 2K module (mm. 219–29 and 245–52) is the recall of 2P

EXAMPLE 3-3a  Mozart, Violin Sonata K. 481/i, mm. 78–122
EXAMPLE 3-3a (continued)

EXAMPLE 3-3b  Mozart, Violin Sonata K. 481/i, mm. 43–59

(m. 229), omitted from the recapitulation proper, followed by the hymn motive, now starting on tonic, Eb (example 3-3c). The juxtaposition of two thematic units removed from the recapitulation proper emphasizes the role this interpolation plays in distant thematic recall. But the delayed recall of 2P also foregrounds the repeated-note pattern
(mm. 231–32 and 235–36) that it has in common with the preceding and subsequent K module (mm. 220–26 and 246–48). Further contact with the body of the movement is made when the hymn motive is extended, providing tonic closure via la sol ti do (mm. 242–45). Just as K. 448/i utilizes a recapitulatory interpolation to provide closure to an idea initiated in X, so too does K. 481/i.

EXAMPLE 3-3c  Mozart, Violin Sonata K. 481/i, mm. 219–52
Recalls in First-Movement Codas: Mozart’s K. 330, K. 458, and K. 590

Recalls in codas may affect the closing of the movement in various ways depending on their proximity to the terminal double bar. For example, in Mozart’s Keyboard Sonata in C, K. 330, the movement’s final six measures (example 3-4a) recall N from the opening of X (example 3-4b). As the final utterance of the movement, the N theme is accorded greater salience than it would have otherwise, and, arguably, greater salience than the K module, which occupies the analogous position in the exposition. While the K module may have been adequate to the expression sought in the exposition’s conclusion, the entire movement, ultimately, is not content to conclude with K or with material new to the movement. Rather, the coda reconsiders the role the N theme plays as both a stabilizing and destabilizing element in X. Whereas the start of X extends an established dominant, the coda extends the tonic from the concluding K module via the structural elision at m. 145, where the reintroduction of the theme is analogous to the opening of X (m. 59). While the X-section’s N theme features a destabilizing descending bass, destabilization in the coda is expressed in the metrically dissonant penultimate
measure (m. 149). These two appearances of N present a kind of parallelism in this way, functionally prolonging the harmony while infusing the phrase with a hint of discord—a wistful conclusion to the first episode of the sonata cycle.

The dominant is also prolonged by N in Mozart’s String Quartet in B♭, K. 458/i (“The Hunt”). Here the X section opens with a 16-measure period of regular four-measure phrase rhythm (mm. 91–106), void of any developmental function as it relates to the exposition (example 3-5a). What follows, however, may arguably be classified as

EXAMPLE 3-4a  Mozart, Keyboard Sonata K. 330/i, mm. 141–50

EXAMPLE 3-4b  Mozart, Keyboard Sonata K. 330/i, mm. 50–68
developmental, as a new sixteenth-note motive emerges in F minor, akin to an exposition motive starting at m. 42 (mm. 106–25). Its minor-mode inflections, antiphonal textures, and disruption of regular phrase rhythm suggest a change of narrative direction. If the topical field of this quartet is indeed illustrative of the hunt, as its sobriquet suggests, then these marked events in X invite hermeneutical interpretation. More lyrical than the thematic modules, N also contrasts with the exposition’s rigorous pacing: the hunt is on from the get-go in the Allegro vivace assai, and there is no moment of repose until the end of the exposition. Like N in Beethoven’s Piano Sonata op. 2/1/iv, another closed, periodic structure, the N theme in the “Hunt” Quartet is a veritable song without words. If it represents a serene moment of pastoral bliss in the course of the hunt (in the apposite key of F major), then the turbulent F minor passage could signify disruption from this irenic daydream; perhaps a sighting! The sixteenth-note motive may be likened to the hounds hot on the trail of game. At first, the motive appears only in the violin (mm. 106–13). The texture thickens as various voice pairings share the motive in alternation: second violin and viola with the first violin (m. 114), cello and viola with the violins (m. 118), and cello and first violin with the inner voices (m. 120). The motive’s most dramatic
back-and-forth involves the cello and first violin, while the inner voices support harmonic action in longer note values (mm. 121–25).

The perpetual interplay thus far represents only the first part of X’s motivic melee, the culmination of which is the dominant of Eb in m. 125, preceded by the

EXAMPLE 3-5a  Mozart, String Quartet K. 458/i, mm. 86–138
EXAMPLE 3-5a (continued)

palindromic area of furthest remove (mm. 118–22).\(^5\) It is at this juncture that another
sixteenth-note motivic figure enters, one that had originated in the exposition (mm. 42–
70). The manner of its discursive treatment in that section is revisited here (mm. 126–33).
The several antiphonal, stretto entries in X are consistent with the style applied to the
preceding motive, of which it bears a close resemblance. With the juxtaposition of these
two motivic groups, X posits a dynamic that carries narrative overtones. If we advance
the hunting idea, the hounds, represented by this N motive, pursue the game, represented
by the exposition motive. The motives’ interactive complex of entrances suggests the
scampering, darting movements of the animals. There is a distinct division between the
two groups, neither one treading on the musical turf of the other. The harmonic threshold
that separates the two motives, coming just after the area of furthest remove, is the
motion to \(E_b\), the tonic’s subdominant (m. 126). The motive from the exposition
is soon accompanied by an independent melodic line in dotted quarter notes, which coincides with the structural dominant (mm. 130–34). The line’s lyrical contour and longer note-values suggest a human element: the presence of the hunters. While previous measures articulated a similar gesture in the inner voices (mm. 121–25), this new melody now assumes the range above that given to the exposition motive (in the viola and cello), cadencing on the dominant. It is plausible, therefore, to regard this passage as signifying the hunters’ advance and eventual conquest of their prey.
Whichever way we interpret these motives—should we wish to interpret them—we must, once again, look to the coda for their final consideration. The coda (mm. 230–79) is virtually the same length as the X section and revisits the main thematic ideas from the exposition, including the two motives discussed above. While the motives are juxtaposed in the X section, the coda separates them, presenting the exposition motive in mm. 256–67, around the middle of the section. But it is the X motive which is accorded the greater salience here, as it is privileged with the final word in the movement (mm. 274–78, example 3-5b). In the coda, the motive’s initial whole-step presents the figure in major rather than minor, as it is in X. The modal alteration is appropriate since the motive’s two final statements are furnished with new lieto fine rejoinders that close the movement (mm. 275 and 277). Just as in the first movements of K. 448 and K. 481, the X-originating motive undergoes late-stage transformation.

EXAMPLE 3-5b  Mozart, String Quartet K. 458/i, mm. 269–79

![Example Image](image-url)
Another example of an N-inspired, final-thought effect occurs in Mozart’s String Quartet in F, K. 590 (see exx. 3-6a and b). The movement-closing gesture, piano staccatissimo leaps (mm. 188–98), also marks the opening of the X section following Pa-based linking material that had appeared earlier in the movement (mm. 74–93). In the very final measures, Mozart presents this leaping gesture as bare octaves in the cello and then in the first violin. This represents the final phase of the progressive liquidation of an X-originating dialog. A final thought that colors the entire movement, the staccatissimo articulation and wide leaps impart a sense of detachment, fragmentation, and the breakdown of musical continuity. The final measure in fact does not offer any affirming dominant-tonic resolution or cadential action that might signal a conclusive thought. The movement ends with the sudden silencing of a solitary voice, like the snuffing out of a candle.

_Interstitial Space_

This unexpected, inconclusive ending is drawn from a subtle manipulation of the X section. While we have seen in chapter 2 that endings may be reconstituted as beginnings using the close recurrence of anadiplosis, here we engage with a more remote recall suggesting that middles may be reconstituted as endings. This kind of recurrence should not be confused with the sort that embodies a form-defining recapitulatory function. Rather, K. 590/i presents a correspondence between the movement’s _interstitial spaces_, that is, areas of musical activity that link the exposition to the X section and the recapitulation to the coda.⁷ Accordingly, the recall of X material in K. 590/i consists not only of the N theme (mm. 188–98 = 76–93) but of this linking material (mm. 184–
EXAMPLE 3-6a  Mozart, String Quartet K. 590/i, mm. 70–93
EXAMPLE 3-6a (continued)

87 = 73–75). Interstitial material, filling the seams in the form, tends to blur the division between sections. Often, the presence of interstitial space linking the exposition to the X section implies the presence of interstitial space linking the recapitulation to the coda. This is because in such cases the exposition does not propose a cadence to act as a section-terminating punctuation; there is no period that concludes one musical thought before the next one begins. Instead, the cadential arrival—and there may be more than one—is part of a seamless musical continuity into the X section. Consequently, when the recapitulation advances to the concluding part of the K module, it has no prescription for a definitive, strongly-articulated conclusion—indeed, it may have no prescription for any kind of conclusion at all. Without the crutch of an expositional model to follow, the recapitulation needs to supply a conclusion of its own making. This conclusion takes the shape of a coda, which, in like cases, is precipitated by its interstitial space.

Interstitial spaces should be regarded as introductory parts of the sections that follow them—the X section or the coda. The question of where the exposition or recapitulation ends and where the interstitial space begins is always best left to the analysis of individual movements, which may yield more than one plausible answer. In the present example, K. 590/i, we might look for an analogous move that signals correspondence. Such a move would be the chromatic inflections to C# in m. 73 and F#
EXAMPLE 3-6b  Mozart, String Quartet K. 590/i, mm. 179–98
in m. 184. Both inflections disrupt the stabilization of their respective (local) tonics and introduce a new phase of sonata activity, marked by the N theme. At the same time, we might look to mm. 69 (not shown) and 180 as the defining cadential points of the exposition, of which their following three measures act as local tonic extensions. Are these extensions candidates for interstitial space? Each provides a plausible conclusion to its section, and yet this seems to be the very effect that interstitial space is charged with undermining. Consequently, we must locate interstitial space the moment such plausible conclusions are negated—in this case, the chromatic inflections. Interstitial space, therefore, marks the introductory phase of the X section and the coda.

Post-SR recall of X in K. 590/i, then, entails more than just the N theme, as was the case in previous examples. Here, we have recall on the structural level: the transition from exposition to X is replayed as the transition from recapitulation to coda. The parallelism is reminiscent of the exposition-recapitulation dynamic. Indeed, the interplay between statement and tonally adjusted restatement, an organizing principle in all sonata forms, is underscored when interstitial space factors into the movement’s conclusion. For in such procedures, the sonata recalls trans-sectional blocks of material as organized in their initial manifestation. The manipulation and re-composition of the recalled blocks generates the conclusion to the movement, a significant—perhaps defining—gesture towards the movement’s ethos. It is a significant and distinguishing feature of the movement’s closing phase—and of its underlying ethos—that the material draws from the X section and not the exposition or recapitulation. This represents a repurposing of the X section, a marked application of the most indeterminate section of the form.
Simple and Complex Conclusions

In reviewing this quartet movement’s conclusion, by which I mean its final measures, we find a confluence of structural and thematic recalls leading to an X-inspired conclusion. Such movements are distinguished from those where the conclusion draws directly from the K module. Among the movements discussed in this study, we find such K-based conclusions in Mozart’s Keyboard Sonata in F, K. 332/i and in D, K. 311/i. These kinds of conclusions may seem simple compared to those that are X-inspired, as in K. 590/i. If this is true, then it is because the X-inspired ones do not utilize the exposition’s conclusion (as noted above, no concluding gesture may be present) and instead feature corresponding interstitial spaces. This complicates the compositional and formal process of providing an ending to the movement.

Two opening movements from Beethoven’s op. 10 Piano Sonatas will illustrate the point. The exposition of no. 2 in F (example 2-6) concludes unambiguously in m. 65, and the X section, invoking the anadiplosis effect, clearly begins in the very next measure; thus, there is no interstitial space that conjoins or seamlessly transitions from one section to the next. Indeed, the double bar graphically marks the sectional division. The analogous material in the recapitulation closes the movement in much the same way; there is no coda. By contrast, the first movement of no. 3 in D (exx. 3-7a and b) features a large swath of interstitial space (mm. 113–28) created by the linking material following the dominant cadence in m. 113, which closes the white-note, hymn theme (m. 105). Measure 113, arguably, marks the end of the exposition proper. Experienced in performance, the linking material—a descending,
lyrical idea in quarter notes alternating in treble and bass—may strike the listener as another concluding module within K. But at no point does it land conclusively on the global dominant; there is no period to end the sentence. Instead, its dominant pedal dissolves, and the motive moves to the double-dominant minor where it breaks off suddenly at m. 123. This example of aposiopesis prepares the anadiplosis effect in the very next measure. The inflection to F♯ on the other side of the double bar points to D minor as the initial goal of the X section proper.
This interstitial space is effectively an invitation for a coda. Unlike no. 2 of the opus, there is no clearly punctuated conclusion to the exposition. The recapitulated final example 3-7b Beethoven, Piano Sonata op. 10/3/i, mm. 281–32

K material, the hymn theme, is charged with introducing movement-concluding activity, i.e., the coda. The hymn theme triggers this activity via a subtle harmonic alteration.
Whereas the exposition’s iteration presents the theme as a 4+4 unit, cadencing twice on the local tonic (A major), the recapitulation’s iteration presents the theme as a 4+4+4 unit (mm. 286–98), with only the initial four measures cadencing analogously (in D). The second four-measure grouping finds the leading tone C♯ moving not to tonic but to F♯ (m. 294), weakening the pretense to tonic closure. Indeed, this D chord is now rendered as the dominant of G, the movement’s subdominant, in which this phrase cadences (m. 298). The linking theme emerges in this key, now expanded to some 28 measures (mm. 298–326), and with it the coda comes to fruition.

The expanded linking theme now challenges its erstwhile interstitial status by dominating the 46-measure coda. Indeed, it is one of the several marked elements of this unusual work: a linking theme that figures so prominently in the coda. For this reason, the theme must be regarded not as introductory material to the coda, but as major component of the coda proper. For the interstitial space that prepares the coda, we must turn to the hymn theme. Securely fixed in the dominant key in the exposition, it now prepares the turn to the wistful subdominant. Whereas chromatic inflection was
instrumental in identifying interstitial space in K. 590/i, here we find that tonal alteration of a 2K theme (the hymn) marks the distinctive break with exposition correspondence and the onset of an eight-measure interstitial space.

The conclusions of these two first movements from op. 10 contrast starkly. That of no. 2 is thoroughly analogous to the close of the exposition, while that of no. 3 bears no such correspondence. The former movement maintains the climax within the bounds of formal sonata space, while the latter extends it into the coda, which HD describe as parageneric space (282). Quite readily then, these two conclusions wear the moniker simple and complex respectively. What makes one simple and the other complex is not that the latter has a coda, rather that whereas the former conforms to the general shape and character of its exposition, the latter reinterprets the interstitial space that had followed the exposition, culminating in a conclusion that could not have been anticipated by the earlier section. Complex conclusions (as with all codas) present the opportunity to explicitly draw connections between themes. In no. 3, this manifests deep in the coda when the linking theme, having established the tonic (m. 327), is juxtaposed with the descending motive from the movement’s opening which it resembles (mm. 327–332). With the connection between the once remote ideas now established, the coda crescendos to a dramatic fortissimo conclusion.

The complex conclusion to a movement—i.e., one that is not modeled after the exposition’s conclusion—is expressed differently in the opening movement of Mozart’s Symphony in C Major, K. 425 (“Linz,” not shown). Its exposition concludes clearly and convincingly via the elision-free PAC at m. 119, just before the double bar. Therefore, the following theme must be regarded as the start of the X section proper and not as
interstitial space. This ascending-step theme (the head of which is closely related to the idea at m. 87) reiterates a T-module fragment for development (m. 68 = m. 125) that cadences in A minor, the PFR (m. 128). The transposed recurrence of this figure is ephemeral; it exits the stage after one brief appearance. Instead, X focuses on the ascending theme, which moves through D minor, C major, (functioning as V/IV and V\(^7\)/IV), and finally F major. Of the three iterations of this figure, the first two, scored for first violins, fragment the motive in the winds (mm. 132 and 137), while the third, marked *forte* and additionally scored for second violins, produces the dominant-seventh outburst (mm. 140–41). This third member of the sequence warrants comparison with its analog in the coda (mm. 265–87), whose first ten measures correspond with X’s mm. 128–37. The coda departs from the X section when the strings answer the final wind fragmentation with a descending arpeggiation figure (mm. 275–77). This buoyant, jocular gesture and a final ascending theme herald the movement’s rousing final measures. This example of Mozartian complexity is unusual in that it eschews interstitial space. Its complexity arises despite the discrete X section and coda.\(^9\)

*\textit{N in the Recapitulation and Coda}\*

Some movements recall N in both the recapitulation and coda. Two examples, one by Mozart and one by Beethoven, demonstrate contrasting approaches. In Mozart’s K. 464/iv, X introduces two motives that help shape the movement’s ethos by their prominence in both the recapitulation and coda. The motives first appear in X’s mm. 95–100, in an antecedent-consequent relationship; the first descending (diatonically) and the second ascending, with only the latter prevailing
EXAMPLE 3-8a  Mozart, String Quartet K. 464/iv, mm. 94–105

EXAMPLE 3-8b  Mozart, String Quartet K. 464/iv, mm. 144–159
EXAMPLE 3-8b (continued)

EXAMPLE 3-8c  Mozart, String Quartet K. 464/iv, mm. 231–62
 EXAMPLE 3-8c (continued)

from mm. 100–105 (example 3-8a). The opening motive accompanied by the X motives hold in the recapitulation: mm. 147–51 alternate the X motives and mm. 152–59 concentrate exclusively on the ascending figure (example 3-8b). This ascending idea is also a main subject in the first part of the coda proper (mm. 233–48), which cadences on a first-inversion, dominant-seventh chord. The second part of the coda (mm. 249–62) twice recalls the descending figure, each time answering the principal motive’s chromatic descent (example 3-8c). In m. 251 the descending idea starts prominently on the high E and alights on the tonic a fifth below. In these measures, the recall finds the X motive set to simpler texture, highlighting the contrast between the two descending ideas: chromatic for the principal one, diatonic for the X-section one. After the PAC at m. 256, the ascending idea and the principal descending idea are set in light contrapuntal texture, the scoring not exceeding three voices save for the last two measures where the cello has the
barest accompaniment. The vertical arrangement of these motives highlights the contrary motion effect made possible by this configuration. Complexity in this example is serviced by the recalled entry of the X section just before the coda proper and enhanced by the movement-ending recall of the X motives. In this way, it combines aspects of the two quartets discussed above, K. 590/i and K. 458/i. With the former, it shares a complex conclusion and a hushed, motivically inspired final measure; with the latter, a concluding recall of a middle X-section motive. In all three of these movements, Mozart recalls X section ideas as a means of achieving formal synthesis, imbuing them with an enhanced sense of structural coherence.

In Beethoven’s String Quartet in F Major, op. 18/1/ii, structural coherence of another sort is found via the recall of N ideas in both the recapitulation and coda.\(^\text{10}\) The X section presents a new counter-motive to the main theme that is varied twice in the recapitulation. The variants return in the coda along with X’s counter-motive. The X section of this D-minor slow movement begins with near-anadiplosis (m. 46), as the first violin repeats pitch-for-pitch its sixteenth-note figure from the K module (m. 40). The next measure’s rejoinder (m. 47) is a cascade of descending sixteenth notes, marked by half-step inflections. When the movement’s opening motto in the bass returns in m. 48 (example 3-9a), now in G minor, the new thirty-second note counter-motive appears in the first violin before passing to the cello (m. 54). Altogether, the motive is invoked no fewer than 10 times over a nine-measure span (mm. 49–58). Its chromatic half steps infuse the texture with incessant agitation abetted by the forte and sforzando markings. The pianissimo of m. 54 arrives with the PFR (v/III), as the counter-motive migrates to
EXAMPLE 3-9a Beethoven, String Quartet op. 18/1/ii, mm. 48–69
the cello, the shriek now reduced to an anxious murmur. This murmur is sequenced over five pitches eventuating in a quarter-note chordal pattern marked by ebbing dynamics and virtual stasis of surface rhythm. This caesura effect over the four measures preceding the SR (m. 63) produces the movement’s most prolonged intra-measure silences, and the $\textit{ppp}$ at m. 62 represents the climax of such quiescence. The SR reinstates the movement’s opening $\textit{pianissimo}$, now with a new murmuring idea in the second violin. But only five measures into the recapitulation, the middle voices recall X’s counter-motive in sudden $\textit{forte}$ (m. 67)—a variant of the X motive in ascending and descending (m. 69) iterations.

In the coda (m. 95, example 3-9b), the variants cited above return in the upper voices in unexpected $\textit{forte}$, while the melodic line is now relegated to the cello (mm. 99, 101). The motives’ doubling and graduated change of register increasingly overwhelm the melody in the recapitulation and coda. In this way, the effect they impose surpasses that of their X-section predecessor. The journey this motive takes through post-exposition space concludes with its return to the first violin in mm. 102–4, where it is articulated three
EXAMPLE 3-9b  Beethoven, String Quartet op. 18/1/ii, mm. 94–110

times. These measures represent the final phase of the first part of the coda: the cessation on the sixth degree of D minor and the fortissimo on the downbeat of m. 105, the climactic structural dissonance of the movement. The three motive-caesura pairings that lead to this climax recall the chordal-caesura pairings preceding the SR. In the coda, we can imagine the motivic succession replacing, or substituting for, the chordal progression
leading to the recapitulation. In both passages, the harmonic goal is the same: tonic via the dominant. This reading is further evidence that the X-section motive plays a key role in how the sonata structure unfolds.

The manner and effect of the X-section recollections in this movement differ from the other examples we have looked at. Here, the recall is not directed towards a movement-ending gesture, nor is there recall of interstitial space (there being none). Rather, the recapitulation integrates an X-section gesture developed from the P module while maintaining fidelity to the exposition’s rotational scheme. As the accent on integration persists into the coda, there is the sense that this anguish-inducing motive progresses virally through post-exposition space. Accordingly, the idea first infects the movement near the start of the X section and then, analogously, near the start of the recapitulation and the coda. In each instance, the disruption is triggered by the lyrical P phrase, revealing its inclination for melodic disturbance. In the coda, this disturbance produces the primordial scream at m. 105, the most acute manifestation of the malady.\(^\text{11}\)

A more benign example of post-SR infection occurs in Mozart’s Symphony K. 504/iii, described in chapter 2. In this example, we found that the recapitulation appropriated the X section’s opening just 11 measures after the SR. The disruptive tutti outburst resonates in the recapitulation as a lingering effect of X-section development and thematic transformation.

**Delayed Development and Interpolated X Sections**

Chapter 1 had described the relationship between the X section and the exposition, maintaining that the X section is disposed to material in its exposition. For example, when the X section recalls Pa and only Pa, it is positively disposed to Pa. In
addition, the X section is negatively disposed to contrasting material in S, T, and K, as well as to N, if none is presented. A movement such as Mozart’s Symphony K. 550/i answers to this description. The opening motive is presented throughout the exposition and commands the developmental X section. A motive so highlighted might seem an obvious candidate for development in the X section. However, cases arise where marked motives or gestures—plausible candidates for development—are in fact subjected to such treatment not in the X section but in post-SR space. Just as X sections can function like expositions when introducing new material, so can parts of recapitulations function like X sections. Such movements have delayed developmental areas within their recapitulations. Therefore, if an X section declines—passes over—an idea for development, it does not follow that the movement has forgone all such opportunities since the recapitulation or coda may develop it. The delayed development of an idea may have a consequential impact on the ethos of the movement by intensifying the later stages of the drama.

We find an instance of delayed development in the first movement of the C Major String Quartet, op. 54/2, by Joseph Haydn. Our analysis (which requires access to a score for full comprehension) begins with an opening 12-measure phrase: 6 + 6 including the full measure of rest that ends each unit. This opening period, 1P, articulates an antecedent-consequent thematic grouping that cadences in tonic. This regularity is abruptly curtailed by the root-position bVI chord of m. 13, which reiterates the opening motto and proceeds with the P2 material, marked by three Ab major arpeggios (mm. 17, 19, 21). The module’s nine-measure organization contrasts with the regular phrase grouping of its predecessor. Its final Ab configuration in m. 21 leads to the tonic-
affirming 3P module—the last module before T—and a return to regular phrasing, 4 + 4. Retrospectively, the middle module is a transitional passage within P, bridging the outer tonic-cadencing P groups. Significantly, the F♯ inflection headlining the P3 group in m. 22 completes the augmented-sixth chord that precipitates cadential action.

The Ab inflection stands out as a particularly salient event in the exposition. Given its piquancy—its marked status—one might suspect it to play a significant role in a developmental X section. Does it? Only a generous reading would concede that X briefly alludes to it in its early stages via the less strident chromatic motion from the global V to V₇/IV (mm. 87–88). But even this gesture is best construed as a developmental recall of the V₇ chord at m. 7, whose analogous m. 88 also articulates a V₇ chord (now in V of F) by doubling the dissonant seventh in an inner voice. The analogous relationship also manifests in the dynamics, as the forte chord is preceded by material marked piano. This aside, m. 7, however crucial it is in the scheme of the exposition, has little bearing on the movement’s X-section. But as this example will illustrate, developmental activity in part 2 is often not confined to X.

The marked event of the exposition finds traction via the recapitulatory interpolation inserted at m. 178. The abrupt entrance of the interpolation is signaled by a series of pauses resulting in a disjunction of musical continuity. Disjunction also describes the descending leaps, recalling those from the S module (m. 168), which emerge as an obsessive idea in all voices (mm. 181–85). The sequence of leaps progresses diatonically until all voices alight on Ab (m. 185), the very pitch class that marked the root of the chord in m. 13 (and m. 138). While the cello holds the pitch as a pedal, the violin, reversing the downward trajectory, ascends by step to the high Eb
(m. 190). It is at this juncture that a harmonic sleight-of-hand diverts motion away from a possible augmented-sixth chord. As the cello’s A♭ moves to A♮, the second violin’s F moves to F#. The “last minute” side-stepping of the augmented-sixth chord does not gainsay the analogous function that A♭ supports in the exposition and recapitulation. Though it may have seemed exogenous in m. 13, the A♭ had in fact served as a promissory note, signaling motion to the cadential 6-4 chord in m. 23 and to a subdominant leaning inflection at the analogous point in the recapitulation (m. 147). In the interpolation, the A♭’s unharmonized exuberance points more forcefully and immediately towards its harmonic function. This exuberance is experienced as a pivotal moment in the narrative, as the A♭ of m. 185 unleashes a torrent of climactic activity. The new, ascending melodic trajectory precedes a bravura passage marked fortissimo, the only such dynamic marking in the movement (m. 193). The long-range, consequential impact of the A♭ comes to light only in the recapitulatory interpolation, a parenthesis which if excised would have resulted in the recapitulation’s closer correspondence with the exposition.\(^\text{12}\)

The interpolation is too broadly conceived to be considered purely developmental. While parts of it may answer to this description—the S module’s alla zoppa motifs in mm. 179–89, the P and T modules’ turn figure in mm. 197–201—other measures present new material, such as the climactic figuration in the violins in mm. 193–97. The designation interpolated X section reflects the variety of its musical procedures. This variety contrasts with two areas of exclusive developmental focus: the developmental X section and mm. 146ff. of the recapitulated T module, both of which are tonally in motion, sequential, and based on exposition and X-section material. The
designation also signals that the X-section proper has omitted a subject from its discourse whose development necessitates interrupting the recapitulation. This late-stage process underscores the structural and rhetorical significance of the material to be developed. In this example, the interpolation intervenes in the recapitulation of the module that had led to the EEC (cf. mm. 70–71 and mm. 177–78; the EEC is m. 73). Arriving late in the recapitulation, the interpolation leads to the structural dominant at m. 205, introducing the (yet to be) recapitulated P3 module which will produce the ESC at m. 213. Sonata space, this movement tells us, resists closure until the X-section interpolation articulates the long-range journey of the A♭, whose rhetorical impact will extend to the dominant harmony of m. 205.

Compensatory Strategies

The order of events in recapitulations is usually not exactly like that of their expositions. (Indeed, we have seen examples in this chapter where material originating in the X section may be inserted.) Generally, material from the exposition will be varied or reordered in the recapitulation’s rotation; in some cases, entire thematic modules will be omitted. A rationale for such omissions may be discerned by events in the X section and post-SR space that point to a compensatory relationship between them. In such relationships, a recapitulatory omission is compensated for by its featured inclusion in the X section. This type of compensatory strategy is predicated on the theory that significant thematic material from the exposition is generally recapitulated.

A compensatory strategy may hold in the first movement of Haydn’s String Quartet in G Major, op. 77/1. (Here too, a score is recommended.) The exposition features six modules (Pa, m. 1; Pb, m. 9; T, m. 14; S[P], m. 27; 2S, m. 39; 3S, m. 46; K,
m. 55), all of which are recalled in post-SR space except for the P-inspired 1S and the lyrical 2S. Given that the S module at m. 27 recalls the opening alla zoppa P idea, which had been recapitulated at m. 127, its omission from the recapitulation is not surprising—it may even be expected. But the absence of the lyrical idea may seem unusual. If part of the sonata project is to balance opposing musical elements, then the recapitulation should include material representative of such oppositions. It is curious that the most lyrical element of the exposition is absent from the final deliberations of the movement, thereby, presumably, denying the structure thematic and tonal balance. An investigation into the movement’s X section will yield plausible explanations for this omission.

The expansive 65-measure X section comprises 35% of the movement, longer than either the exposition or the recapitulation. It is positively disposed to all the modules except for K and T, each of which may find indirect representation in X by the ubiquitous triplets in its 3S and 2S recalls. As shown in table 3.1, virtually all the modules that appear in X, the “X modules,” are recalled within the section’s first 20 measures.

TABLE 3.1 Haydn, String Quartet in G Major, op. 77/1/i, X Section

<table>
<thead>
<tr>
<th>Measure</th>
<th>64</th>
<th>69</th>
<th>75</th>
<th>82</th>
<th>87</th>
<th>101</th>
<th>105</th>
<th>113</th>
<th>116</th>
<th>119</th>
<th>124–28</th>
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<tbody>
<tr>
<td>Module</td>
<td>Pa</td>
<td>3S</td>
<td>Pb</td>
<td>2S</td>
<td>S[P]</td>
<td>Pb</td>
<td>2S*</td>
<td>Pb→</td>
<td>2S</td>
<td>2S*</td>
<td>T/N</td>
</tr>
<tr>
<td>Harmony</td>
<td>IV→</td>
<td>vi→</td>
<td>V/vi→</td>
<td>vi→</td>
<td>I→</td>
<td>VII/V→</td>
<td>V/V→</td>
<td>v/V→</td>
<td>VI→</td>
<td>V/V</td>
<td>v→</td>
</tr>
</tbody>
</table>

*Theme is repeated

The module in question, the lyrical 2S at m. 82, is preceded in mm. 77–80 by the rhetorically charged high E (recalling m. 12), the extreme of the movement’s range, representing the middle of the area of furthest remove (mm. 69–84). While the E also represents the PFR, the 2S module that follows generates the motion to tonic (m. 87) via V/V and V. It is a pivotal moment in the first phase of X since it leads to the double return of tonic and the P-based S theme. Measure 87, however, which initiates an
intensification of the motivic dialogue between the first violin and cello (from the exposition’s mm. 14–18 and 27–31) is not the structural return. While some may find that the passage plays with our theoretical expectations by suggesting that the SR is at hand (irrespective of Haydn’s intent),\textsuperscript{15} the turn to D minor at m. 93 and the increased surface rhythm of mm. 99–100 dispel any such notion. Instead, a destabilizing passage in V of F# minor, the tritone from tonic, emerges (mm. 101–4). Highlighting this discord through concord, mm. 103–4 unveil unison C♯s, a texture unique in this movement, emphasized by the concluding dotted half-notes. While tritones are often purposed for their half-step motion up to the dominant, these C♯s (V of F♯ minor) may be regarded as V/vi (the PFR) in the local tonic of A major in m. 105. The bifocal relationship created by the V/vi is consequential to sustaining the X section. The C♯s could have plausibly moved up to D, the dominant of tonic. By avoiding the dominant via the bifocal relationship, Haydn delays the arrival of the SR. The most significant thematic vehicle he chooses to implement this delay strategy is the lyrical 2S (mm. 105 and 107).

Haydn casts this module in a starring role for the second phase of X. 2S is articulated no fewer than five times between m. 105 and the SR at m. 128. Its iterations participate in a miniature X section, or X section within the X section, featuring motion to and from the dominant of the local tonic, A (m. 108). In retrospect, we find the theme activating harmonic motion away from A major, now understood as the global V/V, moving to A minor followed by the global PFR in m. 108 (vi of tonic), which is part of the wider area of furthest remove (through m. 114). Like a fulcrum, this passage of Pb material sets in motion the return to the dominant via a descending fifths progression (A-D-G), revisiting the lyrical theme on the minor dominant (m. 116). Measure 119 presents
another gambit: the lyrical theme presented twice on the tonic, functionally understood as
the subdominant of the structural dominant, to which it resolves (m. 124).

After this intensive 2S activity in X, a plausible answer to our original question
may be apparent. 2S is omitted from post-SR space because to revisit it again would be
redundant. Moreover, as with S[P], its presentation in the tonic, brief as it is, obviates
tonal adjustment in the recapitulation.16 The concentration of lyrical elements in X,
especially in phase 2, compensates for its omission in the recapitulation. Or, alternatively
stated, the omission of this material in the recapitulation is compensated for by its
concentration in X. However we regard this compensatory strategy, it balances the
thematic opposition in part 2 of the form. And yet, as this study has consistently asserted,
movement-ending gestures may remind the listener of the movement’s character-defining
features. In this work, the lyrical idea plays no such role. Rather, post-SR space
concludes with a coda (m. 168) that is primarily concerned with P’s alla zoppa topic,
even recalling it in the penultimate measures. If this topic, marked here by syncopated
rhythms and acciaccaturas, suggests the low-comic style, then the chief character of this
work—its ethos—resonates with this archetype.

Collaborative Strategies and “Type 2” Sonatas

Some sonata movements from this period feature X sections and post-SR spaces
that work in harness towards a specific expression. In the first movement of Mozart’s
Symphony in D Major, K. 133, part 2 delays recall of P until all other pertinent material
has been recalled. (The opening 12 measures are presented in example 3-10a.) The
developmental X section (m. 79) begins with material from m. 14 and proceeds through
the exposition rotation until the S theme sounds in tonic at m. 126, the structural return.
Post-SR space adheres to the rotation until m. 160, where the P theme is recalled in two successive periods (mm. 161–69 and 169–77, see example 3-10b). The tonic PAC of m. 169 contrasts with the deceptive arrival on vi of its analog (m. 10), endowing the theme with more conclusive definition, while the strings-only scoring departs from the initial foray’s strings and horns (mm. 7–10). There is a reason for this subtle alteration of sonority. The piano, strings-only orchestration prepares the arrival of the following period. Marked *forte* and arrayed in full orchestral color, the idea’s final statement (mm. 169–77) is presented with jubilation and all due pageantry, as trumpet and horn fanfares coronate the arrival of the long-awaited return of the majestic P.17 This “grand apotheosis” in D major18 results from a collaboration between X and the recapitulation; a strategic handling of the return of P: its omission from X space and delay in post-SR space. It is an example of how a movement’s structure aids in the hermeneutics of ethos.

K. 133/i, composed in 1772, belongs to a category of sonata movement, more prominent in the middle of the century, that features the SR coinciding with S or late-stage T (SR-T/S) material, referred to by HD as a type 2 sonata (chapter 17). Following the SR-T/S, the rotational recall generally continues through the ESC and the K module.19 In such movements, the manner of Pa’s integration into part 2 is a significant factor in the movement’s relationship to this material. This integration is generally achieved by recalling Pa in one of three ways: only at the commencement of X, only after the SR-T/S (as in K. 133/i), or at the commencement of X and after the SR-T/S. In this way, we can describe the X section and post-SR space in a type 2 sonata as being positively or negatively disposed to Pa material.20 Most type 2 sonata movements will
EXAMPLE 3-10a  Mozart, Symphony K. 133/i, mm. 1–12

EXAMPLE 3-10b  Mozart, Symphony K. 133/i, 160–82
feature at least one positive disposition to Pa in part 2, either in X or after the SR-T/S. (In Mozart’s Symphonies K. 19/i and K. 81/iii, however, neither area recalls any P module—cases of a “double negative” disposition.) Table 3.2 provides examples of various kinds of Pa recalls in type 2 sonatas by Mozart.

**TABLE 3.2 Pa Recalls in Type 2 Sonatas by Mozart**

<table>
<thead>
<tr>
<th>X only</th>
<th>Post SR-T/S only</th>
<th>X and Post SR-T/S</th>
<th>None</th>
</tr>
</thead>
<tbody>
<tr>
<td>Symphony K. 16/i</td>
<td>Symphony K. 133/i</td>
<td>Symphony K. 22/i</td>
<td>Symphony K. 19/i</td>
</tr>
<tr>
<td>Symphony K. 43/i</td>
<td>Overture <em>Il ré pastore</em></td>
<td>Symphony K. 84/iii</td>
<td>Symphony K. 81/iii</td>
</tr>
<tr>
<td>Symphony K. 95/iv</td>
<td>Overture <em>La clemenza di Tito</em></td>
<td>Symphony K. 45b/i</td>
<td>Quartet from <em>Idomeneo</em> (no. 21)</td>
</tr>
<tr>
<td>Overture <em>Apollo et Hyacinthus</em></td>
<td>String Quartet K. 155/ii</td>
<td></td>
<td></td>
</tr>
<tr>
<td>“No, la morte” from <em>Idomeneo</em> (no. 27a)</td>
<td>Flute Quartet K. 285a/i</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Violin Sonata K. 306/i</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Keyboard Sonata K. 311/i</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>Keyboard Sonata K. 282/i*</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

*Recall labeled “coda” by Mozart

As we have seen above, the exclusive, late recall of Pa fortifies the conclusion of the work with dramatic import, conveying the sense of grand structural closure often associated with codas. Like a hero returning unexpectedly and in the nick of time, the late-stage Pa theme in K. 133/i emerges as a musical *deus ex machina*, delivering the ESC and with it the tonal and thematic resolution of the movement. A rare example of this structure from late-period Mozart, one that resonates with this interpretation, is the overture from *La clemenza di Tito*. In this reading, the late, part-two return of Pa (mm. 131–38)—the majestic series of C-major pronouncements—signifies the final scene where Tito, in a grand display of imperial munificence, pardons the conspirators. In this way, Mozart projects onto the overture’s form the dramatic denouement of the opera. The collaborative strategies here are manifest; sections of the overture collaborate between themselves (in the manner of K. 133/i) as they collaborate with the final scene,
ending in C major. This collaboration is advanced by the identical triplet flourishes that begin the former and end the latter. As Daniel Heartz observes, “the imperium and the title character who embodies that power sound forth most obviously with the pomp and ceremony of the beginning and ending” (1990, 339). The overture itself reflects this ethos by reserving Pa for its opening and closing passages.

With this dramatically charged overture, we experience an application of X-section hermeneutics not previously considered in this study. While we have used the term “ethos” somewhat loosely—and appropriately so—in describing the character and mood of instrumental music, we may sharpen its application when discussing opera overtures from the period. These overtures present sonata form movements whose X sections dialogue with their structures just as in other movements. What we add to this analytical cocktail, however, is the drama that follows. This provides an interpretive lens by which our analysis can inform our understanding of the opera and its relationship to the overture. But sonata forms, recalling LaRue (in my chapter 1), are also a kind of style, a means of expression that late-eighteenth century masters applied to texted music as well as non-texted music. Consequently, we find sonata forms in vocal music both sacred and profane. The variety of their X sections and the meanings we can infer from their textual interplay in operatic pieces is a subject for the next chapter.

NOTES TO CHAPTER 3

1. Indeed, HD (289) adduce this example in their section on *coda-rhetoric interpolation*.

2. In addition to K. 481 and K. 551, Mozart uses this motive in Symphonies K. 16, K. 45b, K. 319, and in Masses K. 192 (Credo), and K. 257 (Sanctus) (Zaslaw 1982, 111; Wollenberg 1975, 783). Joseph Haydn uses the motive in the last movement of Symphony 13 in D and in the slow introduction of Symphony 53 in Eb. Luigi Boccherini
uses it in the first-movement X section of his String Quartet in G Minor, op. 32/5. From earlier periods, it appears in Josquin’s Missa Pange Lingua (Crucifixus and Christe), Palestrina’s Pope Marcellus Mass (Credo), and, no doubt, in many other works.

3. The ESC is at m. 203. I use the term “recapitulatory space” (HD, 220) to refer to all events from the SR until the coda or the final bar, if a coda is absent. This includes the recapitulation and recapitulatory interpolations, which are not part of the recapitulation proper. Most properly understood, the recapitulation recalls material from the exposition. Consequently, N themes or material unrelated to the exposition cannot be recapitulated though they may appear in recapitulatory space as a recapitulatory interpolation. (Newly composed K modules may be recapitulated assuming they are related to their exposition analogs, i.e., K. 448/i.)

4. In X of K. 458/i, the closure of the period arrives through the tonic minor.

5. The palindrome is spelled: G (m. 117), D (m. 118), A (m. 120), D (m. 121), G (m. 122). Indeed, this palindrome is part of a larger near-palindrome that encompasses all of N: F (m. 106), G (m. 110), C (m. 114), G (m. 117), D (m. 118), A (m. 120), D (m. 121), G (m. 122), C (m. 123), F (m. 124).

6. This alteration, like the consequential one in X of Haydn’s Symphony 83/i (chapter 1), is presaged in X (m. 111).

7. The retransition to the recapitulation is not considered interstitial space. It exists squarely in the X section as it clearly precedes the structural return.

8. It follows that the simple-complex dichotomy is not binary. Movements are simple because they end like the exposition; they are complex because they recall interstitial space before the coda. Clearly, not all movements do one or the other.


10. This movement, as well as K. 464/iv, is mentioned in Churgin 1998.

11. According to Beethoven’s friend Karl Amenda, this movement was inspired by the tomb scene from Shakespeare’s Romeo and Juliet. As Lewis Lockwood points out, remarks possibly alluding to the tomb scene appear in Beethoven’s sketches for this movement (Lockwood, 164–65; Thayer, 261).

12. The recapitulation begins with the SR at m. 126, and concludes with the cadential 6-4 chord of m. 228. The concluding measures of the movement are the coda, drawn from 1P, mm. 3–4.
13. The P3 module also closes the tonic portion of the exposition (tonic PAC in m. 29). That Haydn delays the recapitulation of this module until this late juncture attests to its prominence as the movement’s tonic-closing gesture.

14. For compensatory functions, see Caplin, 186–91.

15. According to Mark Evan Bonds (1988, 316 table three), this movement features the so-called false recapitulation, dismissed by Peter Hoyt (1999) and Markus Neuwirth (2013, 282). For a nuanced discussion of the false recapitulation in general, see HD, 221ff.

16. HD (244; Hepokoski 2002, 139) present a meritorious objection to this view put forth by Charles Rosen, who presents other examples of tonic S themes in X (1988, 288).

17. HD (385 and n57) regard this P recall as a coda in a “type 2” sonata, described in chapter 17.

18. See Zaslaw 1988, 238; for 18th-century key associations see Steblin, chapter 4.

19. An exceptional case is Mozart’s Keyboard Sonata, K. 311/i, discussed in chapter 2.

20. While an X section in type 2 sonatas has dispositions towards its exposition’s material, in these kinds of sonatas it is more appropriate to refer to part 2’s dispositions to the P module since this is module that is treated with the most flexibility from work to work.

21. In this category of type 2 sonata, we might add the last movement of Haydn’s Symphony 44 in E Minor, and the first movements of Johann Stamitz’s Symphonies in D Major, D-3 and A Major, A-3.

22. Daniel Heartz (1990, 331) suggests that Mozart begins the recapitulation with second theme because he used the main theme so extensively in the X section. However, as we have seen in K. 550/i, even a monomotivic X section (which the overture’s is not) does not necessarily prevent Mozart from reprising its subject for the start of the recapitulation.

23. Part 2 of the overture from Mozart’s Il ré pastore (1775) resembles that of La clemenza di Tito. Both type 2 sonatas defer recalling Pa until the end, opening X with other P material. In the earlier opera, it is not until the final scene that the shepherd Aminta is crowned king of Sidon. The late recall of Pa in Il ré pastore (initiated by three tutti chords, also in C major) reflects the crowning moment in the opera’s finale.
Chapter 4

X Sections in *Idomeneo*, *Le nozze di Figaro*, and *Don Giovanni*

*Type 2 Sonatas in Idomeneo*

Where may the hermeneutics of form lead us when encountering type 2 sonatas with Pa recalls found exclusively in the X section or in the X section and recapitulation? Mozart’s *Idomeneo* provides an exemplar of each (see table 3.2), with the latter category represented by the celebrated act III quartet, “Andrò ramingo e solo” (no. 21), which finds each of the main characters confronting an impending fate. Idamante has been shunned by his father, King Idomeneo of Crete, who is sworn to sacrifice him to Neptune. Ilia, the captured Trojan princess, is in love with Idamante and is determined to be at his side, even if it means her untimely death. Elettra, the daughter of the Argive King Agamemnon, is hopelessly in love with Idamante, who is in love with Ilia. The Eb quartet’s form, like that of all the arias and ensembles to be considered in this chapter, is consistent with the instrumental movements we have considered. As such, the quartet features an exposition cadencing in a new key (m. 67), an X section (mm. 67–92), and a recapitulation marked by a structural return (mm. 92–166). As a type 2 structure, it presents an SR that engages an S module—2S on the dominant of tonic, at mm. 92–93.

The twice-recalled Pa idea in part two dramatizes the conflict of the character associated with the theme, namely Idamante. While the ensemble piece is concerned with the psychological state of each character, it is more Idamante’s number than it is anyone else’s. The quartet’s opening text, “Andrò ramingo e solo” (I go wandering alone), and its two other iterations, in the X section and recapitulation (mm. 153–58), belong to him, setting him apart from the other characters. The exposition’s tonic-cadencing P module,
which he alone commands (mm. 7–20), presents the longest stretch of uninterrupted text for any character. The two subsequent presentations of this music and text call for his solo entrances of four and five measures, respectively. The psychological isolation is reflected not only in his solo passages and his text, but in his relationship to the other characters on stage. All roads of turmoil, it would seem, lead to Idamante, for ultimately it is he who provokes the consternation of each.¹ In this way, Idamante is likened to the unstable nucleus of an atom, with the other characters orbiting him like charged particles. This instability is most acutely expressed in the X section, which features the most harmonically active part of the quartet. As the exposition cadences in the dominant minor (B♭ minor), Mozart initiates X with the note B♭ sounding the upbeat to a descending arpeggiation of minor thirds (mm. 67–71), outlining an E diminished-seventh chord (vii°/F minor). By ending the exposition in the dominant minor rather than the dominant major, Mozart sets the stage for a longer harmonic trajectory to the PFR. The result is a chromatically infused entrance for Idamante’s opening line, followed by an impassioned death-pledge from Ilia, which is marked by increased harmonic rhythm (mm. 72–77). Faster harmonic rhythm also marks the arrival of the V/vi, Idomeneo’s “Nettun spietato!” (pitiless Neptune, m. 81), and pervades the remainder of the X section, in which the texture features staggered entrances by each member of the quartet in a torrent of Sturm und Drang expression. In an opera that contrasts calm seas with stormy ones literally and metaphorically, the turbulent X section subsides with the resumption of the exposition’s rotation and the lyrical 2S idea on the dominant (mm. 92–93). The lovers, Idamante and Ilia, now united melodically, rhythmically, and textually, attempt to calm Idomeneo (“serena il ciglio irato”).
The form of the quartet also promotes Idamante as its central dramatic figure by recalling the P module and text at its conclusion (m. 153). The gesture satisfies the formal requirement of thematic, textual, and tonal closure as it dramatically articulates the ethos of the ensemble: Idamante’s psychological and physical isolation, expressly indicated by his lone exit from the stage. We may compare this aspect of “Andrò ramingo” to instrumental works that feature closing gestures recontextualized from their expositional or X-section iterations, underscoring the intertwined nature of drama and form for all musical genres in this style.

*Idomeneo* also provides an example of a type 2 sonata whose Pa module returns only at the start of the developmental X section. In act III’s D-major “No, la morte” (no. 27a), Idamante declares to the gods that he does not fear death if his country and loved ones can live in peace. The X section of this work is in two parts: the Larghetto in the dominant (mm. 58–77) and the return to the initial Allegro in common time that begins with the Pa module in the dominant (mm. 78–99). Consequently, this structure blends the type 2 sonata with those aria forms that have a slow middle section set off by a change of tempo and meter—what Charles Rosen calls a “central trio section” (1988, 58–59). While such arias are prominent in *Idomeneo*, in many operas of the period, arias that combine both elements are rarer. When they do occur, the composer may, as Mozart does here, set the text’s stanza 2 to the slow section—the N portion of X—and stanza 1 to the developmental portion of X (in the aria’s initial tempo and meter). We have seen related X-section constructions before: Beethoven’s Piano Sonata in F Minor, op. 2/1/iv begins X with a lyrical theme in the relative major and a new expressive marking, *sempre piano e dolce*. After tonal closure in
Alb. X turns to the development of the Pa theme. While the aria’s X-section partitioning is more rhetorically evident, both movements inform their X sections with the contrasting procedures. Unlike the Beethoven sonata and the other type 2 sonatas we have investigated, the aria dispenses with Pa altogether after its appearance in X. What insights into Idamante’s circumstance might be gleaned from this type 2 gambit? An answer to this question may lie in the unusual layout of part 2’s Allegro and its correspondence with the message of its text.

No, la morte io non pavento,
Se alla patria al genitore
Frutta, O numi! il vostro amore
E di pace il ben seren.

No, I do not fear death,
you gods, if your love bestows
the sweet calm of peace
on my country and my father.

Agli Elisi andrò contento,
E riposo avrà quest’alma
Se in lasciare la mia salma
Vita e pace avrà il mio ben.

I will go contentedly to the Elysian fields
and my soul will find rest
if, on leaving my body, my loved one
may have life and peace.

The developmental part of the aria’s X section highlights the exposition’s main thematic units. Measures 78–85 develop the Pa idea in V; and mm. 86–97, after extending the medial caesura, develop the Sa idea: the first four measures of the S module, marked by a descending and ascending eighth-note scalar unit in the violins, moving from B major (the local V/V and X’s PFR) to G major (IV of tonic). Measures 97–100 draw from the exposition’s mm. 43–44, linking Sa to the reprise of T and the SR (mm. 100–101). The T module then leads to the reprise of Sa and the ESC (m. 129) as its expositional analog leads to Sa and, save for an excised final S module (mm. 49–53), the EEC (m. 54). Consequently, the aria’s part 2 (which does not formally include the Larghetto) deviates from type 2 sonata norms in two significant ways. First, the Pa module moves directly to the medial caesura and the Sa module, bypassing all
intervening material including T. Second, the out-of-sequence presentation of T initiates a restatement of Sa even though the X section had articulated the theme just 14 measures prior. This results in an unusual post-SR anadiplosis effect, positioning Sa prominently in the aria’s thematic hierarchy.

The position of the violins’ Sa in this hierarchy is also enhanced by the expanded treatment it receives in the developmental X section. In the exposition and in the recapitulation, the passage is stated and restated as a four-measure idea and set to the text “Se alla patria, al genitore” (mm. 23–26, 35–38 in the exposition; mm. 111–14, 123–46 in the recapitulation). The X section broadens the musical and textual treatment of Sa by rendering it as an eight-measure unit that includes the next line of text: “frutta, o Numi, il vostro amore.” The five-measure B pedal in the oboes enters a measure before the module, initiating the AFR (mm. 88–92). The AFR and the development of Sa, anticipated by a 10-measure dominant pedal triggered at the Allegro’s return (m. 78), represent a large-scale tonal dislocation that delays the SR. As the thematic purveyor of this tonal dislocation, Sa plays a singular role in the harmonic and structural design of the aria. The significance of Sa(X) is also apparent through its relationship with post-SR events. Just as we observed a similarity between the beginning of the X section and that of the recapitulation in Mozart’s Symphony K. 504/iii (chapter 2), the aria’s recapitulation presents the medial caesura leading to Sa in the manner of its X-section analog (compare mm. 86–88 to mm. 108–10). These staccato- and trill-infused iterations develop the one-measure medial caesura of the exposition (m. 22).

Given the primacy afforded Sa, its accompanying text warrants special consideration. The text “Se alla patria, al genitore” conveys part of the first stanza’s
protasis, the “if” clause of a conditional statement, in which Idamante expresses that if his
countrymen and father can live in peace, then he does not fear death. By focusing on the
protasis, as opposed to its consequent, the apodosis (“no, la morte io non pavento”),
Mozart emphasizes Idamante’s patriotic and filial loyalties. (In this aria, the apodosis
precedes the protasis although of course it often follows it.) His nobility, therefore, is
expressed primarily through sentimental aspects of his character rather than through
heroic ones, as expressed in the apodosis. The contrast between the heroic “No, la morte
io non pavento” and the sentimental “Agli Elisi andrò contento” is reflected in the Pa and
Sa and modules, respectively. As is often the case in instrumental sonata forms, the P and
S modules present music of contrasting emotions. A. B. Marx describes the contrast as
follows:

In this pair of themes . . . the first theme is the one determined at the outset, that is,
with a primary freshness and energy—consequently that which is energetically,
emphatically, absolutely shaped . . . the dominating and determining feature. On the
other hand, the second theme . . . is the [idea] created afterward [Nachgeschaffne],
serving as a contrast, dependent on and determined by the former—consequently, and
according to its nature necessarily, the milder [idea], one more supple [schmiegsam]
than emphatically shaped, as if it were [gleichsam] the feminine to that preceding
masculine. In just this sense each of the two themes is different, and only with one
another [do they constitute something] higher, more perfect.³

While A. B. Marx’s masculine/feminine binary may not be appropriate for the aria, other
aspects of his description of the Hauptsatz and Seitensatz/Gegensatz are apposite.⁴

Marx’s description of the generic P, “determined at the outset . . . with a primary
freshness of energy,” applies to the aria’s Pa in the first violins: a surging, trilled motive
that ascends from D⁴ to D⁵, corresponding to Idamante’s defiant attitude towards death.
In Pb (mm. 5–11), which only appears in the exposition, the initial setting of the protasis
is accompanied in violins 1 and 2 by a more mollified idea of descending, staccato eighth
notes. This gesture is the basis for the next iteration of the protasis, the Sa theme, in which the Pb motive is coupled with an ascending, staccato eighth-note response—an antecedent-consequent relationship that mimics the “if… then” construction that marks each of the aria’s two stanzas. The Sa module aligns with Marx’s conceit of the second theme being milder and “more supple than emphatically shaped.” In the aria, this kind of expression is well suited to Idamante’s text, as it conveys his sentimental attachment to his people and his father.

Placing greatest emphasis on the Sa theme, this type 2-sonata aria privileges those aspects and qualities normally associated with S over those associated with P. While Mozart could have constructed a return to Pa and “no, la morte” after the SR, as he did in “Andrò ramingo,” his omission of this material following the SR allows Sa and its associated text to take center stage. As it is, the recapitulation articulates only the opening line via the unstable, sequential T module (mm. 101–8). Moreover, the structural and harmonic importance assigned to the Sa module in X elevates its dramatic and formal function. This aria, a character-defining moment arriving before the intended sacrifice, portrays Idamante as valuing love of country and family above heroic action.⁵

The aria’s stanza 2, the Larghetto portion of the X section, is also a conditional statement advancing similar sentiments as stanza 1, it matches its length and poetic meter. While Mozart created a sonata form structure from stanza 1, stanza 2 is a twenty-measure, two-part design. Tonally open (cadencing on V/V), it is void of an AFR (achieved in the developmental tempo 1). The aria’s X section, a da capo aria and type 2 sonata hybrid, allows for contrasting treatments of the two stanzas consistent with Idamante’s rhetorical approaches. Though both stanzas feature parallel construction in
which the apodosis precedes the protasis, the latter stanza shuns the heroic rhetoric, offering instead a calming, contented, even idyllic vision of the afterlife. The music for this stanza reflects the change of mood in its relaxed tempo, triple meter, conjunct vocal motion, and simplified construction. Like the S theme’s text and music, those of stanza 2 are less “energetically, emphatically, [and] absolutely shaped” just as they are “milder” and “more supple.” In this way, they resonate with Marx’s first and second theme dichotomy of sonata form expositions.

**X Sections and B Sections in Idomeneo**

The analogy between Marx’s “S” theme and stanza 2 holds in many ABA arias of the period, some of which feature B sections with contrasting tempos and meters. In such forms, the B section, which conventionally services stanza 2, is the de facto X section, providing new thematic material and a musical identity distinct from its A section. The designation “X section” is appropriate since B is in a contrasting key or is “somehow modulatory.” Unlike “No, la morte,” such ternary forms do not typically contain developmental X sections. Table 4.1 contrasts the ABA form of “Torna la pace” (*Idomeneo*, 30a) to the type 2 sonata with hybrid X section of “No, la morte.”
TABLE 4.1 Two Aria Forms from *Idomeneo*

4.1a ABA with contrasting tempo: “Torna la pace”

<table>
<thead>
<tr>
<th>Measure</th>
<th>1</th>
<th>23</th>
<th>56</th>
<th>94</th>
<th>108</th>
</tr>
</thead>
<tbody>
<tr>
<td>Section</td>
<td>A (Adagio $\frac{2}{2}$)</td>
<td>B (Allegretto $\frac{3}{8}$)</td>
<td>A (tempo I)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Stanza</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Key</td>
<td>I</td>
<td>$\rightarrow$ V</td>
<td>V(x)</td>
<td>I</td>
<td>(V)$\rightarrow$I</td>
</tr>
</tbody>
</table>

4.1b Type 2 sonata with hybrid X section: “No, la morte”

<table>
<thead>
<tr>
<th>Measure</th>
<th>1</th>
<th>15</th>
<th>58</th>
<th>78</th>
<th>100</th>
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</thead>
<tbody>
<tr>
<td>Section</td>
<td>Exposition (Allegro $\frac{4}{4}$)</td>
<td>X (Larghetto $\frac{3}{4}$)</td>
<td>X (tempo I)</td>
<td>Recapitulation</td>
<td></td>
</tr>
<tr>
<td>Modules</td>
<td>P</td>
<td>T, S, K</td>
<td>N</td>
<td>Pa, Sa</td>
<td>T, S</td>
</tr>
<tr>
<td>Stanza</td>
<td>1</td>
<td>1</td>
<td>2</td>
<td>1</td>
<td>1</td>
</tr>
<tr>
<td>Key</td>
<td>I</td>
<td>$\rightarrow$ V</td>
<td>V$\rightarrow$V/V</td>
<td>V$\rightarrow$</td>
<td>I</td>
</tr>
</tbody>
</table>

Stanzas 1 and 2 of “Torna la pace” are also akin to Marx’s description of P and S themes:

Torna la pace al core,  
torna lo spento ardore,  
fiorisce in me l’età.  
Peace returns to my heart,  
the lost ardor returns,  
the age flourishes in me.  

Tal la stagion di Flora  
l’albero annoso infiora,  
novo vigor gli dà.  
So does Flora’s season  
bring flowers to the age-old tree,  
and gives it new vigor.\(^7\)

As in “No, la morte,” stanza 2 departs from the rhetoric of stanza 1. In this penultimate number in the opera, Idomeneo, who sings of his restored peace in stanza 1, uses stanza 2 to associate his renewed spirit with the spring goddess’s revival of old trees. The turn away from the subjective—the “I”—in stanza 1, to the objective via the simile in stanza 2 is consistent with a common trope in the Metastasian two-stanza *opera seria* text.\(^8\) In such arias, stanza 2 brings about a change of perspective. It is often marked by the abstract, sententious, or general and is initiated by a literary device, such as a metaphor or apostrophe. Even when stanza 2 remains in the same first-person orientation as stanza 1, it is accompanied by a change of tone, as in “No, la morte.” Such B-section texts inflect the trajectory of the aria’s discourse, often dislocating it from the context of the A
section. This remoteness from the narrative creates a distancing effect like the harmonic distance of the PFR. And, since the rhetorical turns coincide with the middle section of the aria, there is good reason to ascribe X-section properties to them. This tonal/textual relationship is another way that the B section aligns with the telos of the X section.

We can, therefore, speak of X-section texts that coordinate with X-section musical procedures. In “Torna la pace,” for example, X space coordinates the AFR (mm. 72–78) with the third and final statement of stanza 2’s “novo vigor gli dà.” This AFR, concluding in vi of the aria’s tonic, B♭, presents the extremity of stanza 2: its final line and the final iteration of that line. The PFR of m. 78 yields to an intriguing departure from ABA protocol: the reprise of stanza 1 within B. Generically unusual as it is, it adheres to a certain formal X-section logic. That is, if such a reprise were to occur, it would make most sense for it to occur after the PFR, the point where the harmonic motion is directed to the tonic, the key of the A-section reprise. With the PFR in this example, Mozart signals the apogee of a tonal journey which, as though bound by Newtonian laws, necessitates the return-path to tonic. As the PFR is textual as well as tonal, the X-section must also negotiate a return to stanza 1. Normally, the two would coincide. Here, Mozart staggers their returns by fashioning a plenary statement of stanza 1 for the retransition, thereby dispensing with stanza 2 as prematurely as it reprises stanza 1. The result is the incorporation of stanza-1 poetic rhetoric into B-section musical rhetoric. That is, the B section’s flowing, triple-meter evocation of the goddess of spring articulates that part of the text that expresses subjectivity—the literal emotional state of a character, sans poetic inflection. Fortunately, the resulting collision of the two universes—stanza 1 and the B section—is by no means of violent, cosmic proportions.
Quite the opposite, in fact. The overlap of rhetorical domains, though it may go against eighteenth-century conventions, is accommodated seamlessly by the X section. This means that late eighteenth-century forms could harmoniously join that which custom had so sternly separated. In Mozart’s hands, such a design can seem not only in good taste, but inevitable.

While the purpose of this refashioning of custom need not serve any other end than art itself, the irony of conjoining stanza 1 to B is revealed in stanza 2’s text. Mozart, as the ersatz Flora, revitalizes the old da capo form, that “age-old tree” (l’albero annoso), by reprising stanza 1 in the X section’s retransition, formally the B section, thereby endowing the form with “new vigor” (novo vigor gli dá). Accordingly, each stanza in this passage serves a larger metaphorical purpose. Stanza 2 represents the composer’s revitalizing power, while stanza 1’s X-section reprise represents the expression of that power—that is, the way the composer brings about the revitalization referred to in stanza 2. Accordingly, Mozart manifests his omnipotence over musical form: he proclaims his revitalizing powers in one gesture and exercises them in the very next gesture. The irony is compounded when one considers that the X section itself developed, in part, from the da capo aria. The expansion of the B section to incorporate stanza 1 is a clear departure from the form’s tradition. As this X section surpasses the traditional ambit of the B section, it calls into question the entrenched assumptions about the form’s middle section. In this way, Mozart uses the X section to deconstruct the da capo form from which it had evolved.

The special significance accorded to stanza 2 in arias is expressed by Gluck in his preface to his opera Alceste, first published in 1769:
I did not think it my duty to pass quickly over the second section of an aria of which the words are perhaps the most impassioned and important, in order to repeat regularly four times over those of the first part, and to finish the aria where its sense may perhaps not end for the convenience of the singer who wishes to show that he can capriciously vary a passage in a number of guises; in short, I have sought to abolish all the abuses against which good sense and reason have long cried out in vain.\(^9\)

Gluck’s emphasis on stanza 2 implies that its musical treatment, the B section, also warrants special consideration. Several ternary (ABA) arias from \textit{Idomeneo} integrate their B sections in ways that resemble the integration of X sections in instrumental music. Compared to “Torna la pace” and “No la morte,” such B sections are closer to the instrumental X sections we have looked at in that they are all in the same tempo as their A sections. Consequently, they show greater continuity with their framing sections. Like instrumental movements, these arias’ X sections have dispositions to their expositions that answer to the various categories described in chapter 1.

Arbace’s A-major “Se colà ne’ fati è scritto” (no. 22) finds the king’s trusted friend lamenting the impending doom that threatens Crete. The act III aria’s two stanzas reveal a subtle psychological progression which unfolds via a sonata form structure.

\begin{align*}
\text{Se colà ne’ fati è scritto,} & \quad \text{If thus it is written in our fate,} \\
\text{Creta, oh dei! s’è rea, or cada,} & \quad \text{if Crete is guilty, ye gods, let her now fall,} \\
\text{Paghì il fio del suo delitto,} & \quad \text{let her pay the penalty for her guilt,} \\
\text{Ma salvate il prence, il re.} & \quad \text{but save the prince, the king.} \\
\text{Deh d’un sol vi plachi il sangue,} & \quad \text{Let the blood of one alone appease you,} \\
\text{Ecco il mio, se il mio v’aggrada,} & \quad \text{here is mine, if mine will content you,} \\
\text{E il bel regno che gia langue,} & \quad \text{And have pity, just gods,} \\
\text{Giustì Dei! abbia mercé.} & \quad \text{on the fair kingdom already grieving.}
\end{align*}

In stanza 1, represented musically as exposition and recapitulation, Arbace is prepared to accept the fate of Crete so long as the prince and the king are saved. This contrasts with stanza 2, the X section, in which he invokes the predicate adjective “mine,” signaling his willingness to sacrifice himself to save the kingdom. In this stanza, Arbace no longer
accepts the fall of Crete, nor does he mention the prince or the king. The rhetorical turn in stanza 2 is so sharp that it might have belonged to another character. Gluck’s assertion about stanza 2 texts might suggest that in this aria Arbace’s deeper feelings are reserved for this stanza. That is, Arbace, the ageing adviser to the king, is more concerned about the kingdom than he lets on in stanza 1. Indeed, it would indicate that his primary concern, the cause he is willing to die for, is not the safety of Idamante or Idomeneo, but the well-being of the entire kingdom.

This latter idea is keenly expressed in the aria’s X section, which presents stanza 2 with new music in the dominant (m. 66). The words “e il bel regno,” the second half of stanza 2, introduce the aria’s first significant foray into minor (m. 75). Arbace’s plea for his people is colored by a darker tonal palette: the minor dominant (m. 75), leading to B minor (mm. 79–80), F♯ minor (the PFR, m. 82), and the inflected augmented-sixth chord (m. 83). This angst-ridden passage is also the most contrapuntal in the aria. The austere, strings-only scoring (also in the A section), walking bass, and learned, overlapped counterpoint perhaps come closest to the topical expression best suited to the éminence grise. If so, then this part of the aria finds an Arbace unmasked of the artifice presented in the opening stanza. In this reading, X represents that realm of the psyche most removed from the external world, musically expressed by the tonic and dominant harmonies of the form’s external sections. X, like stanza 2 in ternary treatments, is insular. When it invokes the minor mode and chromatic inflections, as it does here, we perceive a motivation obscured by convention, which manifests here as Arbace’s stanza-2 reference to a religious practice.
If X marks a transition to an interior world, does the recapitulation and the return to stanza 1 represent an affirmation tout court of a stanza-1 ethos? In fact, we may detect in the recapitulation traces of the minor mode from X.\textsuperscript{10} In mm. 117–21, A minor articulates “Creta o dei! s’è rea, or cada,” despite its major-mode analog in the exposition (mm. 33–37). The modal resonance we experience between these two sections suggests the intrusion of the “more impassioned and important” stanza 2 into the domain of stanza 1. This of course is accomplished through a purely musical mechanism, one unavailable in the traditional, literal da capo reprise of the A section. As the X section of this aria is set exclusively to new music, its disposition to the exposition is void. This is common for many ternary, two-stanza arias of the period, which in this way reflect the da capo tradition. Nevertheless, the X section, or B section, is in the same tempo and meter as the A section, thereby representing a departure from an aria such as “Torna la pace.”\textsuperscript{11}

A further departure from the da capo model is reflected in another dispositional type, that of the mixed variety. As described in chapter 1, in mixed dispositions the X section recalls exposition modules and introduces new material. We find an unusual mixed disposition in the X section of Ilia’s E-major “Zeffiretti lusinghieri” (no. 19). This X section begins with a new melody in E minor that borrows the scalar motive (mm. 66 and 68) from the opening ritornello and Ilia’s vocal line (mm. 5–7 and 23–26, respectively). Parallelisms mark her vocal opening and the opening of X. Tonal parallelism (E minor) articulates motivic parallelism that is motivated by rhetorical parallelism: the apostrophizing of the Zephyr breeze in stanza 1 and of the plants and flowers in stanza 2.
Zeffiretti lusinghieri,
Gently caressing Zephyrs
Deh volate al mio tesoro:
O fly to my beloved
E gli dite, ch’io l’adoro
and tell him that I adore him
Che mi serbi il cor fedel.
and keep his heart faithful.

E voi piante, e fior sinceri
And you plants, and tender flowers
Che ora innaffia il pianto amaro,
which my bitter tears water,
Dite a lui, che amor più raro
tell him that a love more rare
Mai vedeste sotto al ciel.
you never saw beneath the sky.

The infusion of minor for the X section is appropriate for the text’s “il pianto amaro,” an emotional discord unknown to stanza 1. The X section is sensitive to this mid-point of stanza 2, for the start of the final couplet coincides with the turn to G major, the relative major of E minor and the local PFR.

The X section’s disposition is unusual because the limited, scalar recall decorates a new, if expositionally related, theme. Consequently, X maintains a distinct identity while evoking the character of stanza 1. This observation not only accords with the above parallelisms, but with the similar opening rhythms of each section’s vocal part. The impression is that X represents the flip-side of a coin, another facet of a personality. The parallelisms present a single character with alternate sides.

While “Zeffiretti lusinghieri” resists easy dispositional categorization, Arbace’s C-major “Se il tuo duol” (no. 10a) readily answers to the mixed variety. Like the other X sections from this opera, this aria’s middle section, engaging stanza 2 (mm. 65–84), begins with a new theme, this one in the dominant (m. 65). What sets this aria apart from other ABA forms we have encountered (with and without tempo changes) is the material coinciding with the PFR at m. 78: the 2S module (m. 45), which is related to K (mm. 10–13 in the ritornello and mm. 58–60 in the exposition). The recall of this material at the PFR shows acute sensitivity to the formal implications of the two-stanza design. It is at
this point that the X section concludes its textual and musical treatment of stanza 2. The PFR, therefore, acts as a pivot away from stanza-2 material and a return to that of stanza-1 associated material. This is accomplished by recalling 2S as the re-transitional agent. Affirming Gluck’s preface, it does seem that Mozart rushes through the text of stanza 2. In this case, it may be warranted. Stanza 2 turns the rhetoric away from Arbace’s loyalty to Idomeneo and introduces a sententious tone that adds nothing to the story or character development. Mozart dispenses with it in 13 measures and provides a purely instrumental retransition (mm. 78–84).

Se il tuo duol, se il mio desio
Sen volassero del pari,
A ubbidirti qual son io,
Saria il duol pronto a fuggir.

If your grief and my desire
to serve you as I can
are of equal measure,
your grief will quickly vanish.

Quali al trono sian compagni,
Chi l’ambisce or veda e impari:
Stia lontan, o non si lagni,
Se non trova che martir.

He who is close to the throne
and aspires to it must watch and learn:
let him stay away or not complain
if he finds here nothing but suffering.

As the developmental recall of 2S does not participate in stanza-2 text setting, its inclusion in the X section seems like a formal placeholder, an expedient that leads to the return of stanza 1 and P. The developmental part of X, therefore, stands out as a supplemental rather than form-defining feature of the section. While it serves an important structural function, development of exposition material is not of primary concern to this X section. This is less the case in the famous aria discussed below, “Fuor del mar” (no. 12), in which Idomeneo grapples with his cruel fate.
Fuor del mar ho un mare in seno,  
Che dei primo è più funesto,  
E Nettuno ancora in questo  
Mai non cessa minacciar.

Fiero Nume! dimmi almeno:  
Se al naufragio è sì vicino  
Il mio cor, qual rio destino  
Or gli vieta il naufragar?

The X section begins with a repetition of the dotted chordal motif that concludes the exposition (mm. 81–83), an example of anadiplosis simpliciter common in many instrumental works from the period. The vocal entry engages the dotted quarter-note gesture from m. 17. Here, Idomeneo apostrophizes Neptune, whom he refers to in the third person in stanza 1. Dotted rhythms are prominent throughout X, presenting ideas and motifs not found in the exposition. One such dotted configuration follows immediately upon the first of two X-section caesuras (mm. 94–98), each of which concludes a line from the final couplet. These caesuras are rhetorical pauses, gestures intended to suspend the discourse, thereby enabling Idomeneo to fully confront his crisis. They alight on unresolved chords, the first on $V^7/V$, the second on a diminished-seventh chord. The unresolved chords befit the text, which concludes the stanza with an unanswerable question. The caesuras, then, are X-section punctuations; they are as warranted in the score as the question marks are in the libretto. The repetition of the final line (mm. 99–104) is in fact part of the AFR; the unanswerable question reaches the horizon of X’s harmonic progression. The arrival of $v/vi$ in m. 104 triggers an instrumental passage recalling the K unit (mm. 7–10 and 76–77) that serves as the retransition—much in the way the 2S unit does in “Se il tuo duol.” The voiceless
retransition in Idomeneo’s aria articulates the existential silence motivated by his apostrophized question to Neptune.

*X in “Tutte nel cor vi sento”*

So far in this chapter we have considered X sections from ABA forms. While these forms have obvious X-section candidates in the B section, other forms, such as ABAB, may not present clear X sections. In these binary forms, the first B section ends in the contrasting key, whereas the second concludes in the tonic key. In Elettra’s D-minor rage aria, “Tutte nel cor vi sento” (no. 4), transition back to the tonic is underway by the end of the A section recurrence, which cadences in the dominant of D minor. That recurring A section is notable for having started, shockingly, in C minor rather than D minor. The transition from the preceding B section, concluding in the relative major, is accomplished via a four-measure orchestral X section that culminates in a tutti outburst: a full-measure B diminished-seventh chord marked *forte* and punctuated by a section-closing fermata (mm. 73–76). The dissonant chord is the orchestra’s primordial scream—a harmonic shockwave that negates the motion to D minor, anticipated by the preceding F major at the PFR. The diminished chord prepares C minor, the key which begins the recapitulation. The severity of this event does more than alter the tonal direction of the aria; its reverberation is felt in the tonality of the following chorus (no. 5), also the key of C minor. In this way, Mozart tonally connects the furies of Elettra’s psychosis with the storm-ravaged sailors of the next number. The chord also represents her psychic dislocation and loosening grip on reality—an example of harmonic instability reflecting mental instability.
Aside from presenting this consequential diminished-seventh chord, the X section intensifies the *Sturm und Drang* textures presented in the aria’s first half through its rapid piano-forte alternations and chromatic half steps in the strings. This voiceless intensification is recalled in an elision with the aria’s conclusive D-minor cadence (m. 139), where it participates in an *attaca* introduction to the following choral number. The X-section texture, which, except for the bass line, originates in the aria’s opening ritornello (mm. 13–18), bleeds into the chorus. Participating in Mozart’s first mature *coup de théâtre*, this X section forms an integral element of dramatic continuity.

*Three X Sections from Le nozze di Figaro*

Emphasis on dramatic continuity is most evident in the operatic finales of Mozart’s Vienna years. In *Le nozze di Figaro*, the finales to acts II and IV present a series of contiguous ensembles in various sonata-like constructions, including the Andante in B♭ from the act II finale and the Andante in D from the act IV finale. The act I trio (no. 7) may also be considered from this vantage point. All three ensembles feature modular X sections that dramatize critical moments in the stage action. In this regard, they contrast with the above *Idomeneo* pieces, which depict the emotional states of characters: those *Idomeneo* structures are reflective, whereas the three from *Figaro* are more dramatically oriented. As a result, their respective X sections are charged with different textual and musical tasks, notably rhetorical contrast in *Idomeneo* and the furtherance of dramatic action in *Figaro*.

The B♭ Andante from *Figaro’s* act II finale is organized in three phases that correspond to sonata form. In the exposition (m. 605), Antonio reveals that he has documents he believes are Figaro’s, which the suspicious Count intercepts. In the X
section (m. 642), the Count questions the ignorant Figaro about the documents, but the Countess and Susanna relay their content to Figaro, who nimbly works his way out of the crisis. In the recapitulation (m. 672), the characters reflect on the preceding event. As the tonal action of these sections is consistent with sonata form, the X section starts in the dominant, the closing tonality of the exposition, and moves through various keys until returning to the dominant before the SR. Recalling chapter 1’s discussion of Ratner’s PFR, this X section divides the harmonic action into two phases, one that moves further away from tonic and another that returns to the tonic. X’s harmonic activity tracks its dramatic arc, which also divides into two phases: before Figaro learns the content of the documents and after. This X section, then, answers quite literally to the section’s generic description from chapter 1 by creating a miniature drama within the sonata structure.

Accordingly, the X section’s primary structural and harmonic goals, the PFR and the SR, have stage-action analogs in this miniature drama. The D-minor PFR at m. 651 represents the dramatic turning point of the Andante. In this passage, Figaro assimilates the content of the documents and feigns prior knowledge of them (“uh, che testa, uh, che testa”). This dissembling maneuver is the dramatic moment \textit{sine qua non} of the Andante. The improvised ruse culminates in the measures leading up to the SR (668–71), in which Figaro checkmates the Count by asserting that Cherubino’s commission is missing the seal (“é l’usanza di porvi il suggelo”). The next measure’s structural return reflects the decisiveness of Figaro’s triumph and the count’s defeat.

A further connection between harmonic and dramatic action may be observed by the section’s four harmonic pedals that sound in the winds and the horns. Each of the X section’s two main phases can be subdivided into two sub-phases, with each of these four
segments corresponding to a new harmonic pedal and dramatic intensification. The first of these pedals, C (mm. 645–49), coincides with the conveyance of the documents’ content and eventuates in the D pedal of the AFR (mm. 651–58). Connecting these pedals is an augmented-sixth chord (m. 650) that directs the harmony towards the PFR and the lowest pitch, D3, of X’s vocal line. This chromatically altered chord is a harmonic gateway to the critical event of the Andante, and its harmonic color matches Figaro’s colorful explanation. As the only harmony in X not tied to another measure, it maintains a distinctively transitional profile. This contrasts with the seamless motion that connects the second pedal to the third and the third to the fourth, which also coincide with significant dramatic moments.

The third pedal, B♭ (m. 659), arrives with Figaro’s “vi manca” (it’s missing). This assertion about the documents poses a potentially intractable complication for Figaro; he has no way of knowing if the documents are lacking anything (the libretto direction reads “imbrogliato”). Though there is no deus ex machina in the world of Le Nozze di Figaro, it seems that only some form of divine intervention could extricate Figaro from his falsehoods. The Countess provides that intervention by noting that the commission lacks the Count’s seal. When the fourth and final pedal arrives for the Count’s “Rispondi!” (G pedal, m. 663), Figaro feigns insecurity (the stage direction is “fingendo di pensare”). The pedal’s four measures indulge the Count’s arrogance (“Su via, ti confondi?”) and heighten Figaro’s anticipation of defeating the Count. The G descends by half steps to the dominant of B♭ (V6, m. 668), for Figaro’s coup de grace: “é l’usanza di porvi il suggelo” (it is customary to seal the commission).
While each pedal functions as the dominant of the initial harmonies, the second one, on D, stands out among the four. The pedal initiates the AFR with a V/vi PAC (m. 651) that launches an eight-measure phrase akin to the one that had started the Andante. Adding orchestral color, the flutes are joined by the oboes midway through these eight measures to articulate the move to vi (m. 655), the second part of the AFR. The middle of this pedal’s eight measures sets in motion an overall descending, stepwise bass line, from B♭3 to C3 (mm. 655–667), which encompasses a thirds progression leading to V⁶ (m. 668): G minor (m. 652), E♭ (m. 660), C minor (m. 664).

This X section conveys its drama through changes in harmony rather than through changes of melody. Though motivic development is stagnant, the repetitive, eighth-note figure is the substrate for harmonic action in a drama whose chain of dominant pedals maintains X’s “unrelenting tension” (Allanbrook 1984, 133). This monomotivic X section uses the same motive so prominent in much of the exposition and recapitulation. Its disposition to the exposition (an exposition which warrants the description “monothematic”) is unlike those monomotivic X sections of instrumental works, such as K. 550/i. This Andante’s X section has little exposition material to work with. Though the exposition demonstrates clear motion to the dominant (PAC at m. 633), there is no second theme proper. The passage starting at this cadence might have been an opportunity for thematic contrast, as the ensemble (excluding the Count) ousts Antonio from the stage. Yet no change of theme or even of motivic contour marks the event. This highlights a crucial difference between sonata forms of instrumental and stage-action varieties: dramatic considerations of the latter serve a purpose that may supersede the form’s normative procedures, in this case including an S theme proper. While this point
may seem evident, we might dwell on it for a moment if only to consider the important corollary it offers, namely the form’s capacity to accommodate music that may or may not carry a texted story. In both cases, the basic harmonic and formal structuring holds.

But why does Mozart blanket the Andante with primarily one kind of thematic expression? What are the dramatic considerations that warrant this approach? In presenting this imbroglio in a thematically unified environment, Mozart neutralizes any pretense to a thematic hierarchy among characters of various social rank: this number’s lone motive accompanies both the nobility and their servants. In an opera where virtually every moment dramatizes some aspect of class inequality, Mozart presents a profoundly musical act of social levelling. The Andante, more than any other section in the opera, correlates the Count’s fall with a musical metaphor for social equality.

This example may seem to argue in favor of a primarily tonal conception of sonata form over a thematic one. But this Andante is an outlier of sonata form design. In general, tonal contrast means thematic contrast, and operatic ensembles seize on this virtue as a means of sharply defining character and dramatic situations. One such ensemble is the Andante that opens the act IV finale, which conforms to the thematic layout of most instrumental sonata form movements. The exposition presents distinctive thematic areas, which may be categorized using the modular nomenclature: P, T, S, and K. In this Andante, the X section vocally introduces the Count, Susanna, and Figaro, thereby expanding the exposition’s duet between Cherubino and the Countess to a quintet. X begins with P’s gavotte theme in the dominant (mm. 21–25), analogous to the exposition’s initial measures. Further concordance follows in the subsequent harmonic activity. Just as the exposition introduces bVI of D after the dominant (m. 6), X
introduces its bVI of A after the dominant of A major (m. 26). In the exposition, the bVI moves to a D augmented-sixth chord that prepares the dominant PAC (m. 7). The X section also uses a D augmented-sixth chord that moves to the dominant (m. 30), but this one arrives via a thirds progression initiated by the F-major bVI and is followed by D minor and Bb major (mm. 28–29). This developmental space, therefore, reconsiders exposition activity harmonically and thematically as X’s interpolated thirds progression disrupts the harmonic and thematic concordance with the exposition—a concordance that is manifestly on display in the analogous move to bVI. We may read this thirds progression after the bVI as a structural reveal: X, like an extended index finger, directs us to a place in the exposition where interpolation is possible, an invisible seam detectable only retrospectively. Mozart opens this seam for dramatic purposes. As the X section leads the Andante from duet to quintet, the opened seam allows for harmonic expansion to accommodate the interactions of the larger ensemble.

But the augmented-sixth chord in X, which is articulated in successive measures (30–31), shows other traces of its exposition-section roots as well. In X, the chord supports Cherubino’s rhetorical question: “E perché far io non posso, quel che il Conte ognor farà?” (Why can’t I do what the Count is about to do?) In the exposition, the chord participates in the Countess’s fearful aside: “Ah se il Conte arriva adesso, qualche imbroglìo accaderà!” (If the Count arrives now, what a mess will ensue!) Therefore, each character of the Andante’s initial duet uses this chord to refer to the Count. It may seem appropriate, then, that the recapitulation finds this chord, analogously positioned in the exposition, not harmonizing the text of the Countess or Cherubino, but of their common referent, the Count (mm. 39–40). As though to underscore the surprise of this late-stage
alteration, Mozart quintuples the raised fourth of the chord (G♯, m. 39.4), which
dramatically services the unintentional slap the Count administers to Figaro (the slap is
intended for Cherubino).

The D augmented-sixth chords, the only augmented-sixth chords in the Andante,
unite these three principals in a curious and not so salubrious alliance. Consider this X-
section interaction (mm. 27–28):

<table>
<thead>
<tr>
<th>CONTESSA</th>
<th>COUNTESS</th>
</tr>
</thead>
<tbody>
<tr>
<td>Via partite, o chiamo gente!</td>
<td>Go away, or I’ll call out!</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CHERUBINO</th>
<th>CHERUBINO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dammi un baccio, o non fai niente.</td>
<td>Give me a kiss, or you’ll do nothing.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>SUSANNA, CONTE, FIGARO</th>
<th>SUSANNA, COUNT, FIGARO</th>
</tr>
</thead>
<tbody>
<tr>
<td>Alla voce è quegli il paggio.</td>
<td>By the voice, I know it’s the page.</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>CHERUBINO</th>
<th>CHERUBINO</th>
</tr>
</thead>
<tbody>
<tr>
<td>E perchè far io non posso, quel che il Conte ognor farà?</td>
<td>And why can’t I do what the Count is about to do?</td>
</tr>
</tbody>
</table>

The interaction between the Countess and Cherubino, without context, could easily be
construed as something more menacing, even an allusion to Mozart’s next opera, *Don
Giovanni* (the harmony moves to D minor, in fact). While this is a dark reading for an
opera buffa, Cherubino’s text that follows, which coincides with the augmented-sixth
chords, indicates that he aspires to the Count’s status as conjugal lord: a position of
abusive power. Cherubino’s aborted effort to kiss Susanna (though in fact it is the
Countess) is his final attempt, in this tale, to advance his prurient objectives. Irrespective
of this failure, Cherubino is harmonically linked to the Count in this movement by dint of
the augmented-sixth chord; its multiple G♯s in m. 39, the charged inflection a tritone
from tonic, depict the Count’s aggression intended towards his page. Ultimately, these D
augmented-sixth chords musically unify Cherubino, the Count, and the Countess, whose
fates, as we discern from Beaumarchais’s sequel, *La mère coupable*, are intertwined in a singular manner.\textsuperscript{16}

The conventional purpose of augmented-sixth chords is to underscore motion to V. In this X section, the arrival of the structural dominant at mm. 30–31 via the augmented-sixth chords indicates that the SR is in the offing (m. 34). One might expect that the SR should coincide with a rhetorical change. This is the case in the Andante from the act II finale, where the SR marks simultaneous vocal entries for an ensemble whose texts convey emotional states rather than action, as in its preceding X section. However, the recapitulation of the present Andante takes a more nuanced approach. Here, dramatic action (Cherubino kissing the Count, the Count slapping Figaro) and rhetorical change (the sententious “That’s the reward curiosity/tamperity has brought me/you”\textsuperscript{17}) both occupy the recapitulation. In another departure from the act II finale’s Andante, the SR does not introduce a new vocal part, but coincides with Cherubino’s “Sai ch’io fui dietro il sofa,” the second line of his couplet, which begins with the cadential first line, “Oh! ve, che smorfie!” The couplet straddles the threshold between two musical paragraphs: its first line, which may be translated as “Don’t give me that lying look,” concludes the X section (along with the Count and Figaro’s “Temerario!”), and the second line, “You know it was me behind the sofa,” begins the recapitulation. As Cherubino’s text is immediately followed by a quartet set to uniform text and rhythm (mm. 35–36), Mozart might have chosen this contrasting passage for the SR. Instead, Mozart assigns Cherubino the task of closing the X section and commencing the recapitulation. As master of the moment at this important juncture in the act IV finale, Cherubino thus wields authority over the design, in effect seizing a chance to play the Count in purely musical terms.
A more complex dynamic of musical structuring and textual considerations occurs in the opera’s act I trio in B♭, “Cosa sento” (no. 7). This intriguing X section, which, as Allanbrook points out, “is no way ‘developmental’” (1984, 91), invites multiple analytical approaches. One such approach starts with the recognition that the section conveys two types of discourse: action and narrativity (i.e., the narration of past action). These two levels of discourse are reflected in Table 4.2.

Table 4.2 Mozart, Le Nozze di Figaro, “Cosa sento,” X Section and SR

Accordingly, the first part of X is concerned with action: Susanna’s pretended faint and subsequent exchange with the Count and Basilio (mm. 62ff.). The second part of X is mostly concerned with the Count’s narration of a past event: his discovery of Cherubino hiding under a table covered by a tablecloth. When Susanna and Basilio inquire, the Count begins his narrative in recitative (mm. 121–38). But the initial tempo, Allegro assai, prepared by the AFR, V/vi→vi (mm. 127–30), picks up at m. 129, to coincide with the most dramatic part of the discovery. Noteworthy is Mozart’s coordination of this late-stage narration with the PFR and the resumption of the tempo. Recitative, whether preceding or interrupting an aria, has limitations. Here, such limitations yield to music and harmonic process that are proper to the trio’s form. The resumption of the tempo prepares the Count’s reenactment of lifting the tablecloth. At m. 138, he lifts Susanna’s dress and discovers Cherubino yet again. This narrated reveal occurs simultaneously with the real-time reveal. The gesture merges the X section’s two types of discourse—
action and narrativity—into one moment, a dramaturgical elision that concludes the latter as it re-engages the former. It also coincides with a harmonic event: the arrival of the structural dominant, articulated as a pedal in the violas, horns, and winds, which accompanies each character’s initial response to the reveal (mm. 138–46). The dominant pedal prepares the SR at m. 147, and the recapitulation is reserved expressly for the ensemble’s reactions: the Count’s indignation, Susanna’s fearfulness, and Basilio’s gloating. In conveying the characters’ reactions, the recapitulation is functionally equivalent, from a dramatic perspective, to the recapitulation from the act II finale’s Andante and the recapitulation’s closing passage from the act IV finale’s Andante.

But the SR at m. 147 is not the only tonic-P recall. A well-prepared tonic arrival, set off from the previous measure, occurs at m. 101. This recall presents the Count’s musical persona more forcefully than analogous statements in the exposition or recapitulation. The X-section iteration is the only one to feature $f$ dynamics, and unlike its exposition analog, its melodic line starts on tonic and is in phase with the accompaniment (cf. mm. 5–6; Conner, 49).20 For some eighteenth-century theorists, including Christoph Koch, the X-section tonic P provides “a tonal anchor or point of reference to listeners” so that they may “recall the main idea of the piece.”21 Apropos to our discussion are the remarks made by Joseph Riepel in 1755, who compared tonality to the social structuring of a farmhouse, according the tonic the status of the Meyer, or overseer: “the Meyer or the main tone C often reappears in the middle, as if it has to give new commands all the time. In other words, it [the tonic] must disappear from neither the eyes nor the ears. Everything turns and twists around it, like the cat circling the hot broth. Through him one may immediately reach those under his power.”22 Riepel’s comparison of the role of the
tonic to the Meyer resonates with the Count’s tonic statement at m. 101, the most commanding recall in the trio. Here, the Count’s imperious banishment of Cherubino (“Parta, parta il damerino”) corresponds to the virtual midpoint of the X section and recalls his text, key, and motive from the opening measures’ “Cosa sento! Tosto andante e scacciate il seduttor.” (What am I hearing? Go at once and banish the seducer.)

The X-section tonic-P return participates in a psychological reversal, if not a musical one. While here the Count’s wrath is fixed squarely on Cherubino, it finds a new object in Susanna at the SR (m. 147). The Count’s fury starts in a simmering pp, a new dynamic for the trio that frames the recapitulation, as it will appear next in the final measures. The manner of this psychological reversal contrasts with the musical one that precedes it. The Count returns to tempo after the recitative with Basilio’s theme from mm. 16 and 85. In appropriating the music teacher’s theme (m. 129), the Count assumes a more delicate persona—distinct from his native P motive, which will surface soon enough at the SR. Mozart repurposes Basilio’s theme as a way of demonstrating the fluctuations of the Count’s emotional state. The musical reversal and the contrast of the two themes in proximity present a different kind of development. While the themes themselves are not developed in this X section, the Count who animates them is.

Other musical reversals and connections in the trio merit investigation. The passage starting at m. 116 balances the beginning of the X section rhetorically and harmonically. When Basilio and Susanna press the Count for his story with their repeated interrogatives (“come?”,” “che?”), the harmony responds with a cadence in the dominant (m. 121). An interrogative-cadential pairing also leads into the start of X space at mm. 62–63 when Susanna asks, affectedly, “Dove sono?”, while the PAC in V initiates X
at m. 65 with another interrogative, “Cosa veggio?” (What do I see?) The parallelism suggests a continuity or resetting of X space, for the same rhetorical convention that initiated X, now signals its continuity. Continuity of X is also discerned in the harmonic action at mm. 112–13. Though the chords spell V/vi→vi, they do not produce a SR. The X section must continue through the Count’s recitative to arrive at the SR-producing PFR (vi, m. 130, with the SR at m. 147 arriving via a thirds progression). Ironically, the same question that opened X space in the dominant, Susanna’s feigned “Cosa veggio?”, now draws the section to a close leading to the dominant. This time that question is posed by the Count with earnest surprise (m. 141)—reversal indeed!

The characters in “Cosa sento” seemingly dictate the structure of the X section. They set the form on a new trajectory by engaging in a narrative discourse that compels the X section to respond with recitative—another example of the form’s flexibility. Here again, the broadly conceived term “X section” is more appropriate than the more narrowly construed term “development section.” Recalling just one comment to this effect from chapter 1 (Rosen 1988, 162), it is the section where “anything was possible”—anything, including recitative.

The X-section recitative in “Cosa sento” ironically points to a historical development in eighteenth-century opera in which dramatic action would no longer fall under the exclusive domain of recitative. In discussing Don Giovanni’s “Ah taci, ingiusto core,” Joseph Kerman makes the following generalization: “to have replaced some of the neutral recitative used for action in baroque opera by a genuinely musical carrier was plainly advantageous: action could now be presented on the imaginative level of music” (68). “Cosa sento” substantiates Kerman’s remark if we regard the end of the recitative
and restoration of the tempo as initiating the Count’s reenactment, as Carolyn Abbate (64) and Wye Allanbrook (1984, 90) seem to do. But the score only indicates where the reveal is supposed to occur, and that is nine measures after the restored tempo. Nonetheless, Abbate and Allanbrook’s reading is plausible if reenactment means gestures leading into the actual reveal (“[The Count] uses the mincing rhythms to mimic his own stealthy tiptoeing towards Cherubino’s hiding place”, Allanbrook). Granting this point, we may find that the trio substantiates Kerman’s statement in a more ironic way: Mozart’s juxtaposition of the recitative with the a tempo passage articulates the historical process Kerman refers to: the replacement of “neutral recitative” by a “genuinely musical carrier.”

X in “Ah taci, ingiusto core” and its Canzonetta

The ensemble is also a vehicle for action in “Ah taci, ingiusto core” (no. 15), the A-major act II trio from Mozart’s Don Giovanni; and once again, the X section is the focal point of that action. This trio exemplifies that type of ensemble construction in which dramatic components correspond to the tonal layout of sonata form. In the tonic exposition, Don Giovanni, who is joined by Leporello impersonating him, engages Donna Elvira as she appears at her window. In the tonally remote X section, Giovanni serenades her and she tries to resist, while in the tonic recapitulation each of the characters responds to the events of the X section.

We have seen confluences of sonata and dramatic structuring previously, but a special, defining feature of this trio is the harmonic event that falls hard upon the dominant close of the exposition and the start of the X section. With the flute descending chromatically and the bass dropping by step, the dominant slides down to the lowered
mediant, C major, reflecting the first word of Giovanni’s invitation, “Discendi o gioja bella” (m. 36). Unlike the above X sections that are closely connected motivically and harmonically to their expositions, this X belongs to a different expressive realm than its exposition, presenting an abrupt and distant move to bIII for a serenade.\(^{23}\) The triadic texture in the second violins and Giovanni’s melodic line, each of which foreshadows the canzonetta of the next scene, also distance the X section from the exposition. Dramatically, the severe move away from the dominant symbolizes the intent of Giovanni’s serenade. For although this serenade is supposed to lure Elvira to the disguised Leporello, Giovanni will soon reprise the melody for her maid, whose simple station in life is reflected in the simple key signature of C major. In this way, the chromatic slippage to C major also signifies this lowering of social rank. Moreover, the trio’s key of A major is the key of Giovanni and Zerlina’s “ Là ci darem la mano,” the seduction duet *ne plus ultra* in all of opera. The move away from this key of seduction to the remote C major for X’s serenade—the trio’s seduction proper—calls into question Giovanni’s motives. The X-section seduction may be regarded as Giovanni’s dry-run for the canzonetta. In the trio’s X, the second violins stand in for the mandolin, which will recall their arpeggiated patterns in the canzonetta. Though Giovanni will transpose the serenade to a key that suits him for the canzonetta (D major), the remote bIII is as foreign to tonic as it is to Elvira, whose music throughout the opera is written in more complex keys.\(^{24}\)

Of course, Elvira being Elvira, she will respond to a serenade in any key—and Giovanni knows this. She comes down immediately after the trio, though not without spirited X-section defiance commencing on a C-major PAC at the mid-point of the X
section (m. 46). Her “No, non ti credo, o barbaro” (I don’t believe you, scoundrel!) marks an elision that cuts off Giovanni before he finishes the last word of his, “pentito, io sono gia” (I am truly sorry), effectively ending the serenade. Her disjunctive, syllabic vocal style, accompanied by angst-ridden string tremolos contrasts with the smoother contours of the serenade and exposition. The harmony, too, is new to the ensemble. Diminished-seventh chords resolving to A minor and D minor (mm. 47–49) intensify her brief duet with Giovanni, which yields to the structural dominant and the Leporello-styled comic relief in m. 50, “Se seguitate, io rido!” (If you continue, I’ll crack up!). Elvira is silent for the remaining four measures of the X section, and judging from her text in the recapitulation (SR at m. 54), it is in these measures that her fortitude wanes. 25 Although she does not sing in this passage, we might look to the series of chromatic fluctuations in the bass as a musical counterpart to her credulous heart.

The recall of X’s music in the canzonetta of the following scene is reminiscent of those instrumental movements that recall new X-section material in the recapitulation and coda (see chapter 3). While formally the canzonetta does not function as a recapitulation or coda to “Ah taci, ingiusto core,” it is linked to it by musical and extra-musical means, namely, the setting outside Elvira’s window and the performative act of serenading. The canzonetta presents a refined, more complete version of the X section’s serenade just as the recapitulation of Mozart’s Two-Keyboard Sonata in D, K. 448/i provides new, cadentially enhanced material to N (see chapter 3). In both examples, material is developed as part of a larger structural gesture that exceeds X-section perimeters.

This kind of intergeneric analogizing between X sections—operatic and instrumental—is naturally most useful when dealing with instrumental X sections that
approximate dramatic interactions found in operatic arias and ensembles, often through
the opposition of voices—a solo voice pitted against an ensemble, or small groups of
voices pitted against one another. And though we might well find such examples among
the symphonies, quartets, and sonatas discussed in these pages, a more historically
informed approach would recommend setting our sights on an instrumental genre that
emerged from vocal music, one which also manifestly affirms dramatic opposition of
voices. That genre is the concerto, and its X section is the subject of our next chapter.

NOTES TO CHAPTER 4

1. While Elettra may be seeking revenge on Ilia, the source of her angst is not the Trojan
princess per se, but Idamante’s love for her.

2. “Spiega il desio, le piume” from Mozart’s Ascanio in Alba (no. 19) features a type 2 X
section followed by a recapitulation and an interpolated slow section. For a detailed
discussion of Mozart’s aria forms see Webster 1991.

3. Translated in Hepokoski 1994, 494 from vol. 3 of Marx’s Die Lehre von der
musikalischen Komposition, 2nd ed., p. 221 (Leipzig, 1845).

4. The problematic masculine and feminine analogy to the P and S themes is discussed in

5. While the aria does develop Idamante’s character, it delays the intended sacrifice.
Perhaps for this reason Mozart wrote in his letter of 18 January 1781 that the aria was
“out of place there.” While this number is crossed out in the autograph score and not
included in the second printing of the libretto, it is included in the Munich score used for
the 1781 premiere (Rushton 1993, 38, 40–41).

6. Indeed, Tim Carter (2012, 236) writes of the B section of “compound-ternary” forms:
“Again, the comparison with sonata form is clear (stanza 2 acts as the ‘development’
section) although it is not always, if at all, appropriate.” Not appropriate if the theoretical
construct admits a strict application of the term “development” section. As development
is often not taking place in the B section, the term thus applied is a misnomer. For this
reason, the term “X section” is more appropriate than “development” section.

8. Carter 2012, 230. See also pages 235, 238–39, and 247 (for “Torna la pace”) in which he contrasts the texts of stanzas 1 and 2.

9. Translated in Einstein, 99. “Non ho credutto di dove scorrere rapidamente la seconda parte d’ un’ Aria quantunque forse la più appasionata, e importante per luogo di ripeter regolarmente quattro volte le parole della prima, e finir l’aria dove forse non finisce il senso, per dar comodo al Cantante di far vedere, che puo variare in tante guise capricciosamente un passagio; in somma ho cercato di sbandire tutti quegli abusi contro de’ quali da gran tempo esclamavano in vano il buon senso, e la ragione” (Gluck 1777).

10. In instrumental music, we have seen X-section excursions in the minor that are recalled in the recapitulation. See the discussion in chapter 2 regarding the first movements of Mozart’s Keyboard Sonatas K. 309, 311, 533, and 570 (Irving 1997, 135). Another example is the first movement of Haydn’s Piano Trio in A Major, Hob. XV:18. Here too the recall of the minor mode in the recapitulation involves the same thematic material as it does in the X section.

11. It should be noted that “Torna la pace,” like the other ABA forms in Idomeneo, also represents a departure from the strict da capo tradition: the A section is tonally open and its reprise is fully written out.

12. For the 1786 Vienna revival, the aria was replaced by no. 10b, “Non temer, amato bene,” a rondo for Idamante.

13. All measure numbers for “Fuor del mar” refer to the 1781 version, no. 12a. Examples of chordal anadiplosis include symphonic first movements by Haydn: 55, 67, 79 (see chapter 2), 85, and his String Quartet op. 77/i.

14. Mozart uses the ♭VI much in the way Haydn does in the op. 54/2/i String Quartet (chapter 3); a means of establishing the dominant via the augmented-sixth chord.

15. For analogies between Cherubino and Don Giovanni see Kierkegaard, 76 and 99.

16. It is tempting to read further into this character dynamic because of the fate that befalls the Count, the Countess, and Cherubino in the final stage play of Beaumarchais’s Figaro trilogy, La mère coupable. In this play, completed early in 1791 (the year of Mozart’s death), we learn that in the intervening years Chérubine, who has fallen in war, fathered a child with the Countess and that the Count suspects the child is from an adulterous relationship. While Mozart could not have known any of this while composing his Figaro, his harmonic linkage of these characters demonstrates how attuned he was to the implications of Beaumarchais’s dramatic conception. For another, likewise harmony-based interpretation of the relationship between Cherubino and the Countess, in the opera and in Beaumarchais’s sequel, see Richard Kramer, 168–70 and 170n10 (regarding
Beaumarchais’s sequel). Other aspects of the Cherubino-Count duality are discussed in Berger, 232–33.

17. FIGARO/SUSANNA: “Ah! Ci ho (ha) fatto un bel guadagno con la mia (sua) curiosità.” COUNT/COUNTESS: “Ah! Ci ha fatto un bel guadagno con la sua termità.”


19. Carolyn Abbate’s analysis is predicated on her assumption that the in tempo portion (starting at m. 129) coincides with the Count’s reenactment. But the score quite clearly directs this gesture to m. 138. The end of the recitative and the lifting of Susanna’s dress are discrete events, separated by some nine measures. Abbate writes, “Significantly, enactment and narrative retelling face each other here across an expanse of music that has changed with their confrontation, for as soon as the Count begins to reenact, he shifts from recitative and takes up, with the orchestra, music from the body of the trio” (64). Karol Berger misses a related point, writing, “[Mozart] set the Count's narrative as an accompanied recitative, thus sharply distinguishing it from the textures on either side of it” (231). In fact, only eight of the narrative’s 18 measures are in recitative.

20. Tim Carter refers to this as an example of the “false recapitulation” (1987, 101) because it brings back the first theme in tonic before the real recapitulation. The intended effect here, ostensibly, is to fool the listener into thinking that the recapitulation is underway. Since this effect has been called into question as a late nineteenth-century construct at odds with eighteenth-century theory (chapter 3, note 15), we might consider instead a more historically informed reading, one that attempts to enhance our understanding of Mozart’s dramatic conception. Pace Carter, there is nothing “false,” in his sense of the word, about this gesture. Rather than viewing it as a “favorite trick of classical composers” (101), we may recognize it as a masterstroke of tonal and dramatic structuring that foregrounds the Count’s musical persona at this mid-point of the X section. However we refer to the tonic recall (Hoyt might call it a “medial return”), to regard it as a Mozartian trick intended to fool the audience is not only ahistorical, but imputes a motive to Mozart that we have every reason to think runs contrary to his dramatic intention. While Carter justifiably claims that the trio features dramatic reversals, his attempt to link them to the false recapitulation as “part of a game of musical reversals” perpetuates a curious distortion of music analysis. Indeed, his assertion that this game “relies on our understanding of Classical procedures” (101) would be more warmly received if he would only demonstrate a more historically informed understanding of what those procedures are. Carter’s remarks concerning the false recapitulation—an effect perhaps once more widely subscribed to—were published 12 years before Peter Hoyt impeached its historical basis in his PhD dissertation, “The ‘False Recapitulation’ and the Conventions of Sonata Form” (1999). Ted Conner (2000) also claims m. 101 as a false recapitulation, though he does not explicitly write that composers intended to fool the audience with this effect. Conner muddies the waters even further by claiming m. 66 as a “false exposition” (45), the same measure that Carter (101),
Allanbrook (1984, 91), and this study mark as the start of the X section. (Carter locates it "just before the shift to V of G minor.") Andrew Steptoe (170) ends the exposition at m. 57, and Siegmund Levarie (58) begins the development with the subdominant (m. 70). Berger, for his part, only designates the recitative as a development section (220, 230). He avoids the term false recapitulation in his discussion, "when what at first sounds like a recapitulation—both the main key and the principal subject reappear in m. 101—but quickly reveals itself to be setting up the half cadence that precedes the central recitative" (235).

21. Neuwirth, 282. Other eighteenth- and early nineteenth-century writers who observed tonic-P statements before the SR include, Löhlein, Kirnberger, Gervasoni, and Reicha. See Hoyt 1999 (p. 301 for Riepel); Neuwirth, 282–85; and Brover-Lubovsky, 18–21.

22. From Jospeh Riepel's, Grundregeln zur Tonordnung insgemein (1755), quoted and translated in Neuwirth, 282. „[…] daß der Meyer oder Hauptton C. auch in der Mitte wieder oft vorkommt; gleichsam als wollte er immer neue Befehle oder Berichte ertheilen. Mit einem Wort, er muß weder aus den Augen noch aus den Ohren gelassen werden. Alles windet und wendet sich um ihn herum, als wie die Katze um den heissen Brey. Durch ihn kann man den Augenblick zu allen seinen Untergebenen gelangen […]”

23. Examples of Mozart’s bIII-starting X sections include the following first movements:
   Duo for Violin and Viola in B♭, K. 424; Piano Concerto in G, K. 453 (see chapter 5);
   Keyboard Sonata for Four Hands in F, K. 497; String Quartet in D, K. 499; Symphony in C, K. 551 (“Jupiter”); Keyboard Sonata in B♭, K. 570; Clarinet Quintet in A, K. 581;
   String Quintet in C, K. 593.

24. Donna Elvira’s music, like Donna Anna’s, involves more complex key signatures: A major for “Ah taci, ingiusto core,” E♭ major for “Mi tradi,” and “Ah chi me dice mai,” and D major for “Fuggi il traditor.” The simple characters often appear in simpler key signatures: C major for Zerlina’s “Vedrai carino,” and her duet with Leporello, “Per queste tue manine,” and F major for Masetto’s “Ho capito” and Zerlina’s “Batti, batti, o bel Masetto.”

25. “Dei, che cimento è questo! Non so s’io vado o resto! Ah proteggete voi la mia credulità.” (What a predicament this is! I don’t know what to do! Lord, protect my credulous heart.)
Chapter 5

X Sections in Mozart Piano Concertos

The Ethos of the Soloist

In chapter 1, I proposed that the ethos of a sonata form movement inheres in its thematic material and the manner of its presentation. The X section, through its dispositions to the material, may play a significant—even determinative—role in a movement’s ethos. In a concerto movement, however, especially one by Mozart, the ethos centers on the solo voice (the soloist or soloists)—its material and interaction with the orchestra. As the concerto’s X section presents the soloist’s disposition to thematic material, it also presents its disposition to the orchestra, which announces much of the thematic material in its opening ritornello.

In the first movements of Mozart’s concertos, the way the soloist commences the X section, as it normally does at the second solo entry (S2), signifies an important aspect of the movement’s character. The gesture is in some ways analogous to the soloist’s initial statement (S1), which follows the opening ritornello (R1). Each of these solo sections, S1 and S2, represents a fundamental choice: commence with previously heard ritornello material or proceed with something new (with or without orchestral accompaniment). If the former gambit represents a soloist who seeks concordance or consensus, the latter represents one who seeks contrast, independence, disputation, or even defiance. In this way, the two approaches answer to these divergent meanings of the Latin concertare, the derivation of the term “concerto.”¹ For S1, concordance with the ritornello generally entails the soloist’s recall of R1’s opening idea, while independence or disputation normally entails (1) the soloist opening with a new idea or (2) an
introductory solo that is followed by the initial ritornello idea. Mozart uses this latter method, for example, in the Piano Concertos in B♭ Major, K. 450 and C Minor, K. 491. In such instances, though the soloist’s capacity for disputation is diminished by recalling Pa from R1, its sense of independence from the ritornello is preserved by dint of the introductory solo. It represents a compromise between the two more extreme gambits, aligning itself with both definitions of the Latin *concertare*. For S2, concordance with the ritornello generally entails (1) recall of its opening idea or, especially in the piano concertos, (2) recall of R2’s closing idea, an example of anadiplosis.² The astonishing, pre-Vienna Piano Concerto in E♭ Major, K. 271, whose participation in the opening ritornello (m. 2) is unique in Mozart’s oeuvre, deviates from this generality by initiating S2 with a solo recall of the ritornello T module (m. 148 = m. 7). In general, S2 marks disputation of the ritornello by opening with a new theme. The Piano Concertos in C Major, K. 415 and 467 are examples where S1 and S2 each commences with a new idea (S1-N and S2-N). Occasionally, Mozart will use the S2-opening anadiplosis effect as a brief link into X space, which soon explores new material. This “compromise” solution contrasts with other S2 anadiplosis openings where the elaboration of appropriated K material extends further into the movement, as in the Piano Concertos in E♭ Major, K. 449 and D Major, K. 537. Table 5.1 summarizes these various strategies and provides examples.
TABLE 5.1 Examples of First-Movement Openings to S1 and S2

<table>
<thead>
<tr>
<th>S1</th>
<th>Concordance</th>
<th>Independence</th>
<th>“Compromise”</th>
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<td>R1 opening idea</td>
<td>Piano Concertos K. 488, 595</td>
<td>New theme Piano Concertos K. 413, 415, 466, 491</td>
<td>Introductory solo → R1 Piano Concerto K. 450, 467</td>
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<table>
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<tr>
<th>S2</th>
<th>Concordance</th>
<th>Independence</th>
<th>“Compromise”</th>
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Piano Concerto in F Major, K. 413/i

This discussion resonates with the notion of an X section’s independence, as detailed in chapter 1, in which X sections (in non-concerto movements) exhibit varying degrees of thematic independence from their expositions. Accordingly, the soloist that presents new material for its entries claims greater independence from the orchestra. These S1 and S2 gambits may be part of a more comprehensive X-section effort by the soloist to shun R1 (and R2) material. In this scenario, R1 and R2 recalled by the soloist may be limited or lacking all together. In the Piano Concerto in F Major, K. 413/i, X’s soloist virtually disregards the ritornello’s thematic offerings, opting for new thematic material or recycling its own independent material from S1. Perhaps the only device that thematically links the orchestra and the soloist for the X section are the trills that are part of R2’s cadential formula and S2’s new, opening theme (mm. 168–172ff.). While the gesture is not a precise application of anadiplosis, the motivation is clear enough: Mozart seeks a link between orchestral and soloistic sections.

Despite this linkage, the S2 opening at m. 172 announces the soloist’s independence in no uncertain terms. The new theme raises the curtain for the concerto’s
second act with a swift turn to the minor dominant, the first minor-mode entry in the
movement. After the phrase recurs in G minor (mm. 185–93), a consequent phrase
introduces the AFR, with the V/vi arriving f in m. 197. This X-section landmark
coincides with the soloist’s recall of its own S1 material, a flashy hand-crossing passage
highlighting the soloist’s virtuosity (m. 197 = m. 102). S2’s minor-mode iteration of this
theme is followed by a fragmented version that features additional hand-crossings whose
upper voice outlines sequential triads, marking a chromatic descent: Eb, D, Db, C
(m. 206–12). These measures (starting with m. 205) mark the sequential heart of the X
section, what William Caplin would call the “core” (141) and Konrad Küster the “central
sequence zone” (zentraler Sequenzbereich; Küster, 262–63). According to Caplin, the
core is “that part of the development in which the traditional aesthetic sense of a
‘working out’ of the material is most prominently expressed” (141).

Central to our consideration of Mozart’s concertos—indeed to all the works
covered in this study—is the material foregrounded in the X section’s core: how does the
working out of this material contribute to the work’s ethos? In K. 413, we find the core
focused on the soloist’s extension of the hand-crossing passage from S1. Its prominence
underscores the centrality of the solo voice not only by its virtuosity, but by the thematic
inspiration for that virtuosity, that is, the soloist’s own material from S1. For it is
certainly not the case that virtuosic passages in Mozart’s X sections all derive from the
soloist’s material in S1. Often, such passagework will be unrelated to thematic material
of the soloist or the ritornello. In other movements, which we shall examine in short
order, virtuosity derives from material that originates in the orchestra. This is to say that
the X section of the present movement is strongly disposed to the hand-crossing material
from S1. While X is also disposed to the new, opening theme in the dominant minor, that
idea is not presented as the section’s core or, to use HD’s terminology, the “central
action” (571).

But as was observed in chapter one, the disposition of an X section is as much
determined by its positive content as by its negative content. For Mozart concerto
movements, X-section material may originate from R1, S1, R2, or S2 itself, the latter
being analogous to a new theme in a non-concerto X section. As X’s soloist in K. 413/i
features only select solo material from S1 and new themes (from S2), it is positively
disposed to solo material and negatively disposed to ritornello material (notwithstanding
R2’s trill as a possible link to S2). Even after the sequential core, Mozart avoids ritornello
material. Instead, virtuosity flourishes through a rapid display of ascending thirds that
culminates in the structural dominant (mm. 213–18). These runs may or may not be heard
as answering to the descending passages from S1’s mm. 84–89, but they clearly do not
belong to an orchestral idiom. We may take a moment to observe that the orchestra itself
is at less than full strength for X’s duration, as Mozart omits the horns and oboes. The
spare coloring accords with the skeletal harmonic support in the strings (and bass-
doubling bassoon). In this X section, the orchestra is just along for the ride.³

The dominance of the soloist is also manifest at the section’s close (example 5-1a). In a series of descending octaves (mm. 220–24), the soloist manipulates the tempo
for expressive purposes, as the final descent relaxes the allegro to an adagio. This one-
measure temporal inflection, which to Mozart’s audience could have been construed as
an Eingang approaching the dominant (with some string
EXAMPLE 5-1a  Mozart, Piano Concerto K. 413/i, mm. 219–50
EXAMPLE 5-1a (continued)
accompaniment), expands the temporal space that would have otherwise been allotted the soloist. The gesture also suggests a vocal idiom: the inflection to minor, the augmented 6th, and the adagio could well accompany an aria’s wistful frisson or moment of nostalgic reflection. Here, as in “Cosa sento,” we find the X section the locus of temporal dislocation. (Remember, it’s the section where anything is possible!)

But the most nuanced and sophisticated technique Mozart uses to assert the primacy of the soloist over the orchestra involves the orchestral tag that precedes and overlaps with the soloist’s entry (mm. 232–36) that leads to the recapitulation at m. 247. This literal recall from mm. 53–57 (example 5-1b) interacts with the soloist’s entry for S1 in precisely the same way. Does this exact correspondence suggest that m. 232 is the actual SR? Alternatively, does this characteristic K idea close the X section just as it closes R1? If it does, do the two overlapping measures, 235–36, inhabit a formal androgynous zone, presenting characteristics of both sections? In addressing these questions, we should scrutinize the interaction between the orchestra and piano as they first appear in mm. 53–57. Here, the orchestra’s final K module, which closes R1, is preempted by the soloist, who enters before the module has a chance to cadence. The soloist is either too impatient to wait the two measures or is too egotistical to allow the ritornello to bow out gracefully before exiting the stage. The dynamic may be understood as the soloist stealing the limelight from the ritornello. To add insult to injury, the soloist does so by also stealing the ritornello’s “last line” as it enters with a motive taken from the ritornello, resulting in imitative entries of C in four octaves. (A similar transgression occurs in mm. 128–31 and mm. 307–12.) Towards the conclusion of R2 (mm. 171–72),
EXAMPLE 5-1b  Mozart, Piano Concerto K. 413/i, mm. 49–64
the soloist interjects the new idea that opens the X section. This \textit{minore} is a rhetorical objection that preempts the orchestra from even beginning its closing material. It is not until the end of the X section, when the piano alights on the dominant (m. 232), that the orchestra cuts in with the K theme, completing its R2 rotation only at this late juncture. But it does not do so without interference from the soloist. Their interaction in mm. 232–36 is a replay of mm. 53–57, except that here there is more at stake. For if the transition from R1 to S1 resembles only a scene change, then the transition from the X section to the recapitulation resembles the end of act II and the start of act III. At this critical moment in the drama, Mozart reassembles his players on the stage exactly as he had before, allowing the soloist once again to upstage the orchestra.

So upon further reflection, is the recalled K module part of the X section, the recapitulation, or a little of each? If one is pained to answer this question without an abundance of caveats and qualifications, then perhaps it is because it is the wrong question. Whatever answers we divine when pursuing our well-reasoned divisions of sonata forms, we might do right by the composer—by the work itself—to ask ourselves, “what is the composer telling us?” Here, it is not so much the orchestra’s K module that is being recapitulated, nor even the soloist’s entry, but the interaction between the two—the dramatic dynamic between the characters. To burden either one with SR label at the expense of the other may be to overlook a more fundamental expression of the movement’s ethos.

That ethos finds its ultimate expression in the movement’s very last measures where the K module is at last permitted to actualize its cadential function without interference from the soloist. This gesture, of course, has nothing to do with some change
of character in the solo voice—a late-in-coming act of magnanimity—and everything to do with the convention’s formal structuring, whose notation entails the soloist’s exiting the stage immediately after the cadenza (m. 365). In this way, and only in this way, can the egoism of the soloist be subdued—it must yield to the form’s supervening natural law.

The Opus 4 Concertos

K. 413, K. 414 in A Major, and K. 415 in C Major were Mozart’s first Viennese piano concertos. Composed between the fall of 1782 and early 1783, and published in 1785 as op. 4, they display X sections that share certain features not found in his other piano concertos. Just as K. 413’s X section relaxes the tempo and presents an Eingang-like passage before the structural dominant, K. 414 does so with pre-SR Eingang fermatas in mm. 194 and 195, after the descending glissando arrives at the V7. K. 415’s X section also uses an Eingang-signaling fermata before the SR (m. 199) and slows the tempo to adagio. These temporal and improvisatory gestures enhance the soloist’s independence from the orchestra.

As in the F-major concerto, K. 415 ambiguates its SR by recapitulating S1, which begins with a trilled motive exclusive to the soloist (first heard at m. 60). But the ethos the C-major concerto projects by this gesture is quite different than its coeval. At K. 415’s SR, the soloist and orchestra are treated as discrete entities, exemplifying a coolly unencumbered relationship compared to the analogous passage in K. 413. In the earlier concerto, the soloist competes with and subdues its rival, filching its material and treading over its cadential action. In the later one, the soloist and orchestra exhibit mutual indifference; the piano’s transition to the SR is made without a note of orchestral
accompaniment—a rarity in Mozart’s concertos. Nor is there thematic continuity between R2 and S2. For the latter (m. 160), the soloist engages X with a new display of legerdemain by pursuing a course topically remote from the first violins’ martial Pa motive in A minor (mm. 176–81). This is the only example of R1 recall in any op. 4 first-movement X section, and a special case in which thematic recall in X occurs only in the orchestra. This observation raises a crucial hermeneutical question in ways that only concerto X sections can.

The Hermeneutics of Recall: Homogeneous and Heterogeneous

In sonata form movements across all genres, thematic recall in recapitulations is form defining, whereas in X sections it is optional (indeed, even the X section itself is optional). As noted in chapter 1, the recall procedure may be evaluated as a binary: it is either present in X or it is not. While this binary also holds in concertos, for this genre we must also ask which agent is engaged in the recall: the soloist or the orchestra? Is the recall homogeneous, in which the material is recalled by the agent that originated it, or is it heterogeneous, in which the material is recalled by the agent that did not originate it? In K. 415/i the first violins’ recall of Pa is homogeneous, as the recalled material originated with the strings (mm. 1–6, example 5-2a). In X, the recalled martial Pa is the backdrop for the soloist’s sequential sixteenth-note flourishes, coinciding with Küster’s central sequence zone (m. 177; Küster, 263). The rhetorical gulf between the soloist and the orchestra is highlighted in mm. 176–80 (example 5-2b), where the two agents articulate very different thematic agendas simultaneously. The passage typifies Denis Forman’s remark about the concerto in general: “the perfect synthesis of the two
EXAMPLE 5-2a  Mozart, Piano Concerto K. 415/i, mm. 1–9

EXAMPLE 5-2b  Mozart, Piano Concerto K. 415/i, 173–88
EXAMPLE 5-2b (continued)
voices is not yet there, but instead there is an equally satisfactory but entirely different balance of contrast, the piano speaking in one voice and the orchestra in another” (167–68). Two different voices means two different attitudes, even psychologies. The contrast between them is sharply etched when we consider the implications of their dispositions. For the soloist, most of K. 415’ s X is new material marked by virtuosic, fantasia-like sequential activity that looks forward to the structural dominant and tonic: it is future oriented and goal directed. In contrast, the orchestra’s most significant contribution in X, the Pa recall (synecdochally represented by the first violins in mm. 176–81), marks the PFR and signifies a return to the old and familiar—the work’s first stirrings. When the soloist forges ahead with new, sequential fantasia figures starting in m. 182, it does so without the orchestra’s Pa motive, which falls away on the first beat of that measure. The recall, then, is a passing gesture with limited sequential capital. It is a fleeting moment of nostalgia, a remembrance of a personal history inaccessible to the soloist.7

Our hermeneutics lead us to this reading because we have focused on the homogeneous nature of the recall. But how differently we might view the X-section recall if it were heterogeneous, if the remembrance were uttered by the piano instead of the strings. This kind of X-section recall would certainly have the effect of aligning the soloist and orchestra more closely. Immediate recalls, of course, would unequivocally unify them in motivic expression. This constitutes the anadiplosis effect, the most common and consequential type of heterogeneous recall in Mozart concertos. Such recalls involve the soloist’s reiteration of a closing ritornello gesture from R2 to form a gateway to the X section. The Mozart piano concertos that feature immediate K module recurrence, the first movements of K. 246 in C Major, 450 in B♭ Major, 482 in E♭ Major,
488 in A Major, and 537 in D Major, utilize the repeated material to varying degrees before advancing to new material, often pianistic figuration. In all but K. 482, the material plays a role beyond the initial phase of the X section. Yet the function the effect serves in the E♭ concerto (mm. 212–22) is consequential to our understanding of the piano-orchestra dynamic throughout the movement (example 5-3). The two-measure ascending figure that closes R2 migrates from the strings to the winds for its final cadence, whereupon the soloist takes it up in sixteenth-notes, joined by the first violins’ eighth notes (mm. 214–17). Rather than affirming the dominant close of the orchestra, the soloist modally alters the figure, presenting it in B♭ minor, F minor, A♭, and eventually C minor, the key that launches its foray into a lengthier virtuosic passage.

The heterogeneous nature of the restatement is of added significance in that the soloist, until now, has abstained from restating any R1 material. The transition to the X section is the movement’s first act of thematic comingling between the soloist and the orchestra. As Simon Keefe observes, “the two parties in the solo exposition, it seems, are on different wavelengths” (54). The anadiplosis effect, therefore, instantiates a new dynamic between the soloist and the orchestra. Indeed, after the soloist enters with the motive, it interacts with the orchestra imitatively and systematically over the next several measures: with the strings in mm. 217–18, the winds in mm. 219–20, and the whole orchestra in mm. 221–22.
EXAMPLE 5-3  Mozart, Piano Concerto K. 482/i, mm. 212–23
Keefe finds in these initial X-section measures a “defining moment,” which “injects dynamic relational change into the process of piano/orchestra interaction” (56). The competitive relationship that prevails in the exposition (R1, S1, and R2) becomes a cooperative one in the recapitulation. His evidence for the former includes the soloist’s exclusive undertaking of the “crucial, initial phase of the first modulation to the dominant (bars 114–18), the return to the dominant (bars 149–51) following an interlude in Bb minor, and also the presentation of all new thematic material” (54). In the recapitulation, cooperative indicators include the omission of the Bb minor interlude (mm. 128–51), signifying that “the piano no longer diverts the music into the minor without, as it were, the orchestra’s consent,” and joint confirmation of tonic (mm. 329–30) before the secondary theme. Keefe (56) also points to three additional recapitulatory cooperative indicators: the piano-woodwind exchange in mm. 276–92 (from m. 13), the piano’s gesture preceding the lyrical theme in mm. 307–10 (previously only in the orchestra, mm. 46–49), and the piano/orchestra exchange of the lyrical theme itself in mm. 312–27 (previously only in the orchestra, mm. 51–58).

These latter two passages prepare the arrival of the pianist’s lyrical theme in m. 328 (from m. 152). Whereas R1’s lyrical idea is recapitulated as a piano/orchestra collaboration, the pianist’s lyrical idea is recapitulated much as it was originally presented, with the orchestra playing a supporting role. The preservation of this dynamic maintains a certain distance between the two participants. While the collaboration in mm. 312–27 is abetted by the soloist’s deceptive cadence in mm. 319–20, thereby inviting orchestral participation for the cadence, the replay of S1’s interaction for the soloist’s theme ensures that the two parties are still not on equal footing. Indeed, one way
of interpreting their interaction suggests the more predatory dynamic of a greedy soloist
who asserts, “what’s yours is mine, and what’s mine is mine.” Here, Mozart presents the
two ideas from the exposition side-by-side for the first time, creating an area within the
recapitulation that conjoins the offerings once separated. The question of which player
has the upper hand seems less important than the juxtaposition itself—two songs without
words, one originally orchestral, the other pianistic, converging for the most sustained
lyrical effusion in the movement. This reconciliation of the two themes may be a telos of
the recapitulation, facilitated by the movement’s commencing the X section via the
anadiplosis effect: its first foray into heterogeneous interaction.

The X section may also contribute to the lyrical effusion with its new, rising
theme for the soloist at mm. 248–49, reminiscent of the one in mm. 153–54 (both shown
below), as the first two measures of the former essentially transpose those of the latter.

Mozart chooses the subdominant for X’s lyrical infusion immediately after a sequential
stretch, starting in m. 222, in which the bass descends by step from B♭ in m. 234 to E♭ in
m. 246. The sequential area is replete with pianistic figurations, with its latter part (m. 238ff.) setting the soloist against ascending, alternating bassoons and clarinets. The new theme is a respite from X’s heavy sequential activity. Its triadic bass in the left hand and rising, melodic contour in the right are reminiscent of an earlier stage in the soloist’s Bildung. So too is the remembrance of the subdominant, as the theme in m. 153 outlines IV in B♭, the key of the theme and global dominant. The new theme at m. 248 in the wistful subdominant attests to the movement’s overall concentration on lyricism. Even in the X section, the urge towards vocal expression is never far removed and can seemingly emerge at any moment. But just like memories, melodies of such gossamer may also dissolve at any moment. This one does after only five measures, when it cadences on the dominant in m. 253 before the soloist continues with further passagework. The cadence is the X section’s initial bid for the structural dominant, signifying a concrete gesture towards structural and formal convention—a return to reality. The new theme, an ephemera, may be regarded as a reverie interpolated within an otherwise orderly if virtuosic concatenation of sequential events leading to the dominant. While the presence of the new theme does not forecast the recapitulation’s conjoining of the lyrical themes, retrospectively it hints that such real-world effusions may draw inspiration from life’s indefinable moments.

The Andante from K. 467

Another subdominant ephemera appears in the X section of the F-major Andante from the Piano Concerto in C Major, K. 467 (exx. 5-4a and 4b). Lasting but four measures (mm. 62–65), this new melody, like its K. 482 analog, is interpolated within a harmonic sequence—emerging from the previous measure’s dominant-prepared D minor
and followed by harmonic motion to G minor (mm. 67–68) en route to the global dominant (C major, m. 71). The tune presents a brief harmonic diversion from the proposed AFR of mm. 59–61, the first measure of which is a G augmented-sixth chord. While the new idea in K. 482 is prepared over two measures by its dominant (Eb), here the subdominant arrives via half-step motion to B♭, with the preceding eighth notes arriving on the last half-beat of m. 61. If the melody is a last-moment caprice, it is wholly consistent with the soloist’s idiom in this movement. The turn figure following the dotted quarter note in m. 62 and the trilled eighth note leading to the cadence in m. 65 suggest similar moments from the modulatory theme in the exposition (mm. 38 and 40, respectively, example 5-4a). The two themes are also connected by the cessation of triplets in the left hand, which otherwise characterize most of the movement. While we have seen many examples where an X section’s new material dialogues with post-SR space, this movement presents an exposition-X section correspondence based on themes that appear only in those sections. Their similarities and single iterations raise important questions about this Andante’s formal irregularities.10

One such irregularity is the lowered-median SR at m. 73. (This part of the discussion references example 5-4b.) How is this anomaly to be accounted for? If we trace X’s path to the global dominant, C, we find the X section outlines a kind of harmonic palindrome: C (m. 55, X elides with the EEC), Gm (m. 58), Dm (m. 61), Gm (m. 67), C (m. 71, as V of F). The widest gap in this progression is the six measures in between D minor, the supposed PFR, and G minor. This gap represents the new theme in the subdominant, B♭. The intervallic relationship between the PFR and this temporary tonic is a falling third, just like that of C and the lowered mediant, Ab. It seems that the
tonal segue that accommodates the new theme is being recalled for the SR. The corresponding, marked harmonic motions align the two thematic statements, an example of musical mimesis in which the new theme’s method of digression from orderly sequential harmony is taken up by the primary theme for its dramatic return. Either case represents avoidance of a regular harmonic goal. The former, a local complication, may be heard as a preparation for the latter, which represents something more consequential for the overall structure.

EXAMPLE 5-4a  Mozart, Piano Concerto K. 467/ii, mm. 37–42
EXAMPLE 5-4b  Mozart, Piano Concerto K. 467/ii, mm. 51–71
EXAMPLE 5-4b (continued)
Before embarking on a perilous search for the meaning of all this, we should emphasize the formal interconnectedness between the two events; an X section maneuver that resonates with the SR to such an extent as to warrant its articulation of an extremely unusual key for a recapitulation. What could account for this resonance? In Mozart and His Piano Concertos, C. M. Girdlestone identifies this movement as one of Mozart’s “dream” andantes, “inspired by a spirit of fairyland, too far removed from reality to know sorrow” (40). The spirit that Girdlestone refers to is captured by the return in bIII, described by HD as a “dream-like key” (279). The move distances the tonal design from the tonic, thereby confounding formal expectations, which, as noted in the discussion of K. 482, may be likened to a return to reality. Removal from such reality also manifests in the harmonically reinterpreted approach to the SR. When analyzed in Ab, mm. 71–73 present C as the V/vi, the point of furthest remove, moving to I, Ab. In this way, the
global dominant’s motion to the (hypothetical) tonic, F, is an illusion; the home it is expecting is not the home it finds. The same dynamic holds in X’s mm. 61–62: the Bb is prepared by its V/vi. The crucial difference between the two, of course, is that one is in the “anything is possible” X section while the other is at the stabilizing SR. This most critical phase of the sonata scheme retreats into the reverie of its X section rather than wake to the reality of a tonic return.13

Throughout the movement, soloist and orchestra participate variously in sustaining an incessant accompanimental pattern of triplets that only abates in the three measures leading to the SR (mm. 70–72). These measures mark the soloist’s greatest independence from the orchestra, with the strings dropping out entirely for the measure before the SR. In this poignant, “breathtaking moment” (Rosen 1998, 298), the soloist, supported by the winds, steers the harmony away from the tonic. The turn figures after beats 1 and 3 signify the whimsical, dreamy state of mind of the soloist, who seemingly ponders the return’s tonal direction. If this Andante is representative of a dream, then the dreamer—the soloist—is most active in these transitional measures where musical form follows the dreamer’s caprice.

But the identity of the dreamer is perhaps more specific than the “soloist” label indicates, for that dreamer may be regarded as Mozart himself. In poignant X-section moments such as the lead-in to the SR of this concerto movement or the soloist’s lyrical theme at m. 248 of K. 482, it is well to remember that Mozart was usually the soloist at the concertos’ premiers, presenting himself as musical protagonist.14 (This identification may be at its most evident in the cadenzas, where the soloist seemingly extemporizes at length without interference from the orchestra.) As we observed in the discussion of
Beethoven’s Piano Sonata in C major, op. 2/3/i (chaps. 2 and 3), improvisation describes the fantasia style, which Mozart employs in his concerto X sections. There, as in the Beethoven sonata, the fantasia style reinforces the presence of the musician as performer and composer.

**X-Section Fantasias in Mozart’s Piano Concertos**

Perhaps no other gesture announces the soloist’s independence more than the extensive fantasia-styled arpeggiated triplets that open the first-movement X section of the Piano Concerto in G Major, K. 453/i (example 5-5). Solo independence is evident from the very opening of the section, where the disruptive entry in B♭ (m. 184), arises as a deceptive cadence after the previous measure’s V/V. Here again, as in Don Giovanni’s serenade and several other examples cited in chapter 4 (note 23), we find the lowered mediant as a harmonic entry point for the X section. K. 453’s entry into X space from a tonally distant perspective initiates the X section’s task of returning the tonality to the home key. We might focus on this generality for a moment, if only to appreciate just how unusually our preceding example, the Andante from K. 467, approaches its tonal journey. In that F-major movement, the X section begins in the dominant, moves through several keys, and eventually recapitulates in the lowered mediant, in effect reversing the course taken by K. 453/i. The inverse relationship speaks to the manner either movement regards that tonal level. If the lowered mediant suggests dreaminess or fantasy, then the F-major Andante’s X section in its last moments perpetuates this state of mind by activating the lowered mediant. In the G major concerto, by contrast, X begins deceptively and suddenly in this dreamy key. It is prepared by the subdued strings who articulate V in the dominant key (m. 183). When the piano enters with the bVI of the prevailing dominant
key, the X section pursues a course animated by the fantasia’s arpeggiated triplets, where ascending and descending two-measure units guide us through various keys and sonorities previously unexplored.

EXAMPLE 5-5 Mozart, Piano Concerto K. 453/i, mm. 179–215

A critical phase in the piano’s array of triplets arrives with the turn to B♭ minor (m. 198), the parallel minor of X’s initial key. Here, the trajectory changes to a pattern of descending, one-measure units that is sustained through the PFR at m. 203 (V/vi). X’s parallel minor marks the most distant point to the flat side of the global tonic and maintains a half-step relationship to the V/vi. With this harmonic inflection point, X moves away from the fantasia figures and into a prolonged AFR: a sixteenth-note transitional passage that hovers between vi and its dominant (mm. 203–6).
EXAMPLE 5-5 (continued)
EXAMPLE 5-5 (continued)
EXAMPLE 5-5 (continued)
The transitional passage continues with the strings’ entrance at m. 207 on V/vi. Measures 207–10, moving from B to G in the bass, conclude a long-range descending bass line that began on the B♭ of m. 184. The section continues with the soloist recalling its secondary-theme turn figures from mm. 111–12 and 119–20. This material is the substance of the central sequence zone leading to the structural dominant at m. 219.

To summarize, in this X section, the soloist is portrayed in two contrasting states. In the first, it succumbs to imaginative, dream-like triplet figurations in fantasia style at it progresses from the remote lowered mediant to the V/vi for the midpoint of X. After the string ensemble’s transitional phrase, the soloist reenters with a turn motif from S, thereby returning to more familiar thematic and harmonic ground as X’s sequential action forges a path to the ineluctable SR.

Whereas in K. 453 the fantasia style dominates the first half of X, eventuating in the AFR, in the Piano Concerto in B♭ Major, K. 595, that style is withheld until well after the AFR (mm. 215–17), as it initiates the retransition to the SR (mm. 236–42). This X section presents a soloist that is fully engaged with exposition material, thereby presenting an ethos that at first pursues thematic interdependence over independence (example 5-6a). Following the orchestra’s X-section anadiplosis introduction (mm. 185.2–190), the soloist recalls the movement’s opening theme (also recalled for the entrance to S1). The key of this recall is B minor, about as remote from tonic as a tonality can be. But the alien tonal cloud quickly dissipates in a semitone move to C. When the soloist offers an ornamental version of the primary theme in E♭ minor (mm. 207–8), the bassoon responds in kind.
EXAMPLE 5-6a  Mozart, Piano Concerto K. 595/i, mm. 202–45
EXAMPLE 5-6a (continued)
EXAMPLE 5-6a (continued)
EXAMPLE 5-6a (continued)
This idea, maintained through m. 216, yields to a figure recalled from mm. 5–6 that is articulated in an array of orchestral colors (mm. 216–24). Through m. 224 we have an X section that derives virtually all its thematic material from the movement’s opening measures. As the soloist participates in much of this material and has already opened S1 with Pa, we find a soloist that, overall, has been less concerned with independence.

This changes in mm. 225–29 where new figuration for the soloist accompanies a span of stretto imitation between the first and second violins’ P variant. In this stirring passage, the soloist’s X-section presence is magnified. While previously the soloist’s right hand alone engaged in sixteenth-note figuration, here both hands collaborate in that effort. This is evidenced by the right hand’s leap of a perfect fourth on each measure’s third beat, echoed by the left hand as part of its arpeggiation. The passage depicts a soloist who finds a heretofore untapped independent expressiveness, one born of its own X-section explorations. In retrospect, we might detect a yearning for such expressiveness in S1’s mm. 106–19, where the soloist dwells on the minor dominant’s Neapolitan (Gb), starting at m. 113: an unusually vivid harmonic color that could symbolize the soloist’s searching or reaching for the unattainable. The repeated chord progressions in mm. 113–16 that articulate this harmony, and the strong-beat resolutions to dissonances (mm. 114, 116, 119) convey an unslaked longing that remains unfulfilled by the passage’s motion to C, a tritone distant from Gb (m. 120).

The significance of the new idea at m. 225 is also observed in its sequential trajectory. Until its arrival, the sequential action had been by falling fifth, initiated at the AFR: D (m. 216), G minor (m. 217), C minor (m. 219), F minor (mm. 221-22), B♭ (m. 223), Eb (m. 225). The new theme reverses this course, as the harmonies progress
EXAMPLE 5-6b Mozart, Piano Concerto K. 595/i, 112–22
by ascending fifth: E♭ to B♭ (m. 226), F (m. 227), C (m. 228), G minor (m. 229), D (m. 231), and eventually A (m. 238). This creates a virtual palindrome of harmonic motion initiated with the V/vi and moving to the center, or harmonic pivot, with the new piano texture in E♭. As the X section turns on this theme, it signals a significant phase in X. The material re-sequences the harmonic pathway, effectively sanctioning X to pursue the AFR, which it reaches in the D major (V/vi) of m. 231. Here, the soloist initiates a Pa variant that the winds answer with the Pa idea proper (m. 235). In the next measure, the soloist enters with the fantasia that will lead toward the SR.

The emergence of the fantasia style at this late juncture (m. 236), articulated through a series of arpeggiated, eighth-note triplets, presents a soloist who has coursed through an entire X section, withstanding its harmonic and thematic vicissitudes while negotiating various interactions with the orchestra. In this movement, X foregrounds a protagonist whose fantasia follows a period of self-discovery that leads to a celebratory display of a keyboard style it acquired in mm. 225–30. Whereas in K. 453 this style was essential to the development of the protagonist in X, here it arrives at the final stage of its journey, signifying achievement and mastery.

The Musical Personas in K. 466 and K. 491

In The Composer’s Voice, Edward Cone asserts that “the solo concerto is the obvious instrumental form in which recognition of the protagonist and sympathy for his point of view are prerequisite to a synoptic understanding of the composition” (123). Recognition and sympathy for the protagonist, another way of understanding ethos, is a task of special import for the analyses of X sections, with their accent on such elements as fantasia-style display, expressive interruption, and harmonic complication—elements
that often find their most memorable manifestations in the realm of minor tonality. With this in mind, let us turn to the unusual exposition and X-section concordance found in the opening movements of Mozart’s two minor-key piano concertos, K. 466 in D Minor and 491 in C Minor. In these movements, the soloist begins the X section by recalling its S1 entry (m. 77 in K. 466, m. 100 in K. 491, examples for the latter will follow).

EXAMPLE 5-7a  Mozart, Piano Concerto K. 466/i, mm. 76–82

In K. 466, the recall involves a three-fold statement of the intimate S1 opening: F major, G minor, and Eb major (mm. 192, 212, 220, respectively). Each mystery-laden iteration, bereft of orchestral accompaniment, reveals a different aspect of the contemplative soloist’s presence. In this sense, the X section is a significant expansion of the soloist’s introspective, meditative persona as expressed in S1’s opening. The modally rounded scheme of the recall—major, minor, major—suggests a vacillation between moods,
which is animated by interpolations of Pa’s turbulent triplet figures, syncopated in the bass (mm. 201–5 and mm. 215–19).

EXAMPLE 5-7b, Mozart, Piano Concerto K. 466/i, mm. 188–226
EXAMPLE 5-7b (continued)
These interpolations, so configured with the solo entrances, suggest an oppositional dynamic between the two entities. We might compare the interaction to that
of Orfeo and the Furies, as dramatized by Gluck in *Orfeo ed Euridice*. In the act II “Deh placatevi con me,” Orfeo, whose wistful expression resonates with X’s solo entries, refers to his antagonists by three different epithets, “Furie! Larve! Ombre sdegnose!” (“Furies! Phantoms! Angry shades!” mm. 114–18, 134–37, and 142–45). Their response to each, an unyielding “No!”, brings to mind the outbursts from the strings in the concerto passages. Two of these epithets sung by Orfeo (mm. 118 and 140) feature initial leaps, a minor seventh and an octave, respectively, comparable to the octave leaps that initiate the solo entries from the D-minor concerto. Moreover, figures that are unambiguously like the turbulent ones from the concerto appear in the ensemble’s string section immediately after the furies’ “No!” (See the continuo bass and orchestra-II violins, mm. 127–28. The figure also appears throughout the preceding chorus, mm. 65–87.)

Such correspondences aside, the soloist’s engagement with the Pa motive is a considerable concern to the X section, extending into and beyond the C-major PFR (V/III, m. 232), now in full string sonorities. The ominous stirrings surface at the V/iv (mm. 236–37) and the V/V (mm. 240–41), menacing the soloist right through to the structural dominant (m. 242). Except for the heterogeneous recall right before the SR (m. 254), where the soloist articulates the half-step motion from R1 (mm. 21–22), the motive is the only material recalled from the ritornello. Its focused disposition marks it as the primary antagonist in an X-section agon with the soloist.

The C-minor concerto also engages X by recalling the S1 opening: the soloist’s lament (mm. 283–300, example 5-8a), followed by the orchestra’s Pa statement. In this movement, the recall of Pa indicates a more extensive appropriation of S1 than in the D-minor movement.
EXAMPLE 5-8a  Mozart, Piano Concerto K. 491/i, mm. 277–99
This may give the impression that X will engage in a rotational development strategy. Instead, mm. 308–23 sequence a stepwise falling fifth idea (derived from the descent from Ab to E in mm. 5–6) while the soloist embarks on an extended display of passagework. The texture changes at m. 325, where the orchestra drops out and the soloist continues with its own figural descent in G minor, ending on the G dominant-seventh chord in m. 330 that marks the start of the central sequence zone (Küster, 262–63). Measures 330–42 arguably present the most dramatic orchestra-soloist interactions in any Mozart concerto (example 5-8b). Here, orchestral bursts of half-step vacillation counter the soloist’s fantasia flourishes four times. The half steps may be heard to recall the chromatically saturated mm. 4–8, rendered here:

![Music notation image]

The instability of the interjections highlights a significant source of tension in the movement: the half-step motion to F# on the downbeat of m. 4, which creates a tritone with the opening C. The distillation of this tension finds expression in the tutti’s semitone interjections, which beget a stylized response from the protagonist: tonally-in-motion outbursts that traverse close to four octaves in two-measure spans. After the sequence has reached the modal degree, the V/III PFR of m. 342, the soloist, joined by the bassoon, responds with a final flourish in which the sequential descent of a five-note figure in octaves features the restlessness of a pair of first-beat tritones (mm. 346–47, 348–49, 350–51, and on beat three of m. 353). These evocations of the movement’s opening tritone gambit suggest X-section resolutions on the second beat of these
measures (except in the case of m. 353). For example, the A♭ to B♭ motion at m. 347 is the diatonic solution to the tritone interval created by the previous measure’s Eb. With the correction of the tritone on the downbeat of m. 354 (F♯ to G), X secures the structural dominant.

EXAMPLE 5-8b  Mozart, Piano Concerto K. 491/i, mm. 329–56

As in K. 466, this X section avails itself of expositional material and minimizes (or omits) new melodic ideas. In this way, X remains in contact with the exposition throughout, sourcing its chromaticism as part of the central dramatic exchange. As the X sections are initiated by their S1 openings, thematic identification with the protagonist in the two movements is conjoined to a sense of independence from the orchestra in ways not reflected in table 5.1.
EXAMPLE 5-8b (continued)
EXAMPLE 5-8b (continued)
The singular voice of the soloist emerges as a form-defining feature of the work, stimulating the discourse at critical moments of the drama. There is a keen sense here that music—non-texted music—embodies character. This lends a personalization to these concertos that invites us to consider the protagonist as an interlocutor, a musical entity capable of discoursing with the listener. Personalization extends to the choice of modality. Mozart reserves his S1-S2 concordance for the minor mode, which, in his day, was far less frequent than the major. Minor-mode associations in the late eighteenth century were generally of the melancholy variety. In this vein, the French critic Bernard Germain Lacépède wrote in 1785, “when the musician seeks to portray a feeling in which there is a trace of sadness he will do well, if everything else is equal, to give preference to the minor mode. He will certainly be well advised never, or hardly ever, to use it for feelings of gaiety or any such affection that has no element of sadness in it.” The early nineteenth-century English composer William Crotch drew similar connections in 1831: “Pain and pleasure are awakened by the use of the minor and major keys, of their appropriate concords and discords, and of the chromatic and diatonic scales. The major key is more agreeable to the ear than the minor, and the diatonic scale and discords than the chromatic.” Crotch’s implied grouping of the minor mode with chromaticism resonates with the X sections of K. 466 and 491, as the chromatic half-step passages noted above—the heterogeneous recall in mm. 250–52 in K. 466 and the tutti interjections in K. 491—emerge as destabilizing elements. The minor mode and chromaticism are ethos-constructing features, which, when considered alongside the developmental nature of these X sections, present a protagonist who grapples with the elements presented earlier in the drama. In the D-minor concerto, a contemplative
protagonist is haunted by ominous murmurings in the bass, which intensify with the AFR’s plenary strings. In the C-minor concerto’s central sequence zone, the protagonist is besieged no fewer than four times by the orchestra, starting with m. 330’s *Sturmausbruch*, or storm outbreak, as described by Eva Badura-Skoda (23).

Such emotions and imagery are consistent with eighteenth-century notions of the sublime. According to Floyd Grave, “connections may be drawn between the choice of minor tonality as a site for instability, dissonance or affective extremes and an emerging aesthetic of the sublime, identified by Edmund Burke with the experience of delight coloured by terror or pain” (2008, 30). Burke’s notion of the sublime is expressed in his essay *A Philosophical Enquiry into the Origin of Our Ideas of the Sublime and Beautiful* (1757): “Whatever is fitted in any sort to excite the ideas of pain and danger, that is to say, whatever is in any sort terrible, or is conversant about terrible objects, or operates in a manner analogous to terror, is a source of the sublime; that is, it is productive of the strongest emotion which the mind is capable of feeling.”20

* * * *

Eighteenth-century critics like Burke located the sublime in nature. According to Burke, only nature may inspire the chief passion arising from the sublime—astonishment.21 Consequently, loud sounds could arouse such emotions, but these sounds would emerge from nature, not music. As Burke explains, “the noise of vast cataracts, raging storms, thunder or artillery awakes a great and awful sensation in the mind, though we can observe no nicety or artifice in those sorts of music.”22 But early nineteenth-century critics conceived of the sublime in ways that recognized music as a viable means for its expression. One of the first to do so was Christian Friedrich Michaelis, a follower
of Immanuel Kant, whose own conceptions of the sublime served as a framework for Michaelis. As a coda to this study, we shall investigate how Michaels’s notion of the musical sublime may find dynamic expression in the X section.

NOTES TO CHAPTER 5

1. The Latin concertare has two meanings, to dispute and to work together. The first known musical application of the term appears in a vocal work from Rome in 1519, “un concerto di voci in musica” (Hutchings, 2011).

2. Here, our chapter-2 distinction (note 7) between anadiplosis (X section and non-X section instances) and the anadiplosis effect (X section only) may be useful. As concertos lack clearly defined boundaries between expositions and X sections (such as double bars found in most non-concerto first movements) it is possible to interpret the onset of the soloist’s repetition of the K module as an addendum to the ritornello and not as commencing the X section. Consequently, such repetitions would more appropriately be described as anadiplosis rather than the anadiplosis effect, which entails entry into the X section. An example of this ambiguity is found in the Piano Concerto in Eb Major, K. 449/i, m. 182. Does the X section start with this measure, which aligns the start of X with the soloist, or does it start with the orchestra at m. 188? The distinction between anadiplosis and the anadiplosis effect is also useful when such repetitions appear elsewhere in the movement. For example, the Piano Concerto in A Major, K. 414/i presents an anadiplosis figure (but not the anadiplosis effect!) at the onset of the T module, mm. 84–90.

3. It should be noted that K. 413 and the three piano concertos Mozart composed subsequently (K. 414, 415, and 449) feature non-obbligato wind scoring.

4. For musical connections among the op. 4 concertos, see Derr 1996.

5. The Violin Concerto in G Major, K. 216/i, also features a fermata in the X section (m. 151).

6. Thematic agency is often more complex than a simple binary (solo or orchestra) presentation would allow; a theme that originates in one orchestral sonority may later be recalled in another. In concertos, however, the fundamental opposition between the soloist and the ensemble generally warrants such an approach.

7. In K. 413, the homogeneous recall is inverted, with the soloist in X’s m. 196ff. recalling its own material from S1’s m. 102. Here, the remembrance lies beyond the orchestra’s realm of experience.
8. Another candidate for heterogeneous recall is the Piano Concerto K. 449/i. It is debatable whether the trilled figure that bridges R2 to S2 (mm. 176–89) had not been recalled by the soloist at the start S1 (see also note 3). A comparable situation arises in the Piano Concerto in C Major, K. 503/i, where the soloist recalls the anadiplosis motive (mm. 228–30) previously articulated in S1 (m. 146ff). Not all anadiplosis effects in concertos are heterogeneous. The Piano Concerto K. 595/i in B♭ Major (mm. 182–90) and the Horn Concerto in Eb Major, K. 447/i (mm. 79–84), both use the anadiplosis effect orchestrally, without the soloist. The soloist continues with Pa recall in K. 595 (in B minor) and new material in K. 447.

9. The soloist’s independence from ritornello material in the solo exposition is unique in Mozart’s piano concertos, recalling the independence of the solo instruments in the Sinfonia Concertante for Violin and Viola, K. 364, also in Eb. According to Conrad Küster (1996, 110), the solo exposition’s independence from ritornello material in K. 364/i calls to mind a Parisian symphonie concertante convention that is likely to have influenced Mozart.

10. As Charles Rosen observes of this movement, “since there is clearly developmental material . . . and a recapitulation . . . we could describe the form logically as a sonata—but that’s not the way it sounds.” Rosen goes on to compare aspects of the structure to the da capo aria and to the rondo, highlighting the lowered mediant recapitulation. He also remarks, “if a description is to correspond to what is actually heard, this is not a sonata movement at all, in spite of our being able to fit it neatly into that category” (1998, 238–39).

11. Lowered mediant SRs are extremely rare. The only one that comes to mind is the finale of Schubert’s Ninth Symphony, D. 944. See HD’s discussion (279) of this movement and K. 467/ii.

12. Girdlestone finds these “dream” andantes in Mozart’s Salzburg years, especially the violin concertos, making special note of K. 216 in G major (39). Both works feature a similarly marked array of atmospheric string-accompaniment sounds, involving con sordino, pizzicato, and triplet subdivision of the basic pulse.

13. Even when the tonic does return in m. 88, it does so in the weakened first inversion, per its exposition analog at m. 17.

14. Joseph Kerman suggests the solo part in the piano concertos symbolizes Mozart: “In one Mozartean comedic fiction, Tamino sues and wins entrance to the social order by playing on a magic flute. In seventeen others, Amadeus plays the fortepiano” (1994, 162).

15. Other tritones found in the opening include G to D♭ (mm. 5–6) and F to B♭ (mm. 7–8).
16. In this way, X solves the tritone dilemma as it does in the first movement of Haydn’s Symphony 83 in G Minor, as discussed in chapter 1.

17. As Floyd Grave observes, “the Breitkopf Thematic Catalogue for 1781 lists eighty-four symphonies, a mere three of which are in minor, and for the same year, only seven out of some forty-five string quartets are in minor” (2008, 33).

18. From Lacépède’s *La poétique de la musique*, translated in Le Huray, 135.

19. From *Substance of Several Courses of Lectures on Music*, reproduced in Le Huray, 290.

20. From part 1, section 7, “Of the Sublime,” paragraph 111 in the online version cited.


23. Kant’s notion of the sublime includes the mathematical and the dynamic. Of the former he writes, “that is sublime in comparison with which all else is small” (Kant, 207). The dynamic sublime, like Burke’s notion expressed above, is aroused by fear of some phenomenon in nature. Kant’s influence on Michaelis is apparent in the latter’s *Über den Geist der Tonkunst mit Rücksicht auf Kants Kritik der ästhetischen Urtheilskraft* (1795). See Webster 1997, 61–64; Schwartz 1990, 325–29; and Parret 1998, 258–59.
Epilogue

X Section and the Sublime

*Michaelis’s Sublime in X of Haydn’s Sonata in Eb, Hob. XVI: 49/i*

Something odd happens at m. 52 in the opening Allegro of Haydn’s Piano Sonata in Eb, Hob. XVI: 49. We are deep into the K module (EEC at m. 42; see example) when amid a dyadic, syncopated harmonic progression, the music stops *ex abrupto* on VI of C-minor. The sustained silence, more than half a measure, not only breaks the continuity of the progression, ostensibly driving to the dominant, but impedes the melody’s descending line, set in contrary motion to the bass. Emerging from this silence is a hushed fourfold repetition of the dyad in the right hand, the final one sustained over one-and-a-half measures. The left hand, imitatively, enters with its own fourfold repetition of m. 52’s Ab, and the two hands repeat the action over the next couple of measures. With the final Ab’s chromatic slide to the dominant note F for the second-inversion dominant chord (m. 58), the exposition-concluding harmonic activity is restored. This brief passage, a mere six measures, engages two rhetorical concepts we have observed earlier individually, aposiopesis (breaking off) and apostrophe (turning to another topic for effect).¹ The incursion of these rhetorical tropes into this late stage of the exposition creates thematic discontinuity. They arrive quite incongruously, given the K module’s buoyant, jocular profile that includes arpeggiated hand crossings and thirty-second note flourishes (mm. 42–48), followed by the quick succession of dyads. In general, the post-EEC region of an exposition is thematically stable; but what we experience in this passage challenges the normative coherence that usually accompanies the end of an
exposition. This represents a marked moment in the story of the exposition, one we might expect to be taken up by the X section.

And in fact, about two-thirds of the way through X, m. 107, we find the same kind of grand pause. This time it arrives after an extensive sequential area (m. 84ff.), incorporating versions of the repeated-note motif, that culminates on V of F minor. What follows develops mm. 52–57, extending the passage’s harmonic and thematic scope.

EXAMPLE  Haydn, Piano Sonata Hob. XVI: 49/i, mm. 40–138
EXAMPLE (continued)

65

77

87
EXAMPLE (continued)

95

103

113
The fourfold repetitions dominate most of the discourse through to the structural dominant of mm. 126–27. While m. 107 represents the sixth degree of tonic, it is not the PFR. The emergent harmonies, starting at mm. 113–14, hardly presage the recapitulation. Instead, the next measure’s four-note motif in the lowered mediant (m. 116)—the most distant harmony from the movement’s tonic—sets in motion contrapuntal part-writing through m. 121. This evocation of the learned style recalls X’s opening (mm. 65–80), which develops the suspension-figure material from the exposition (mm. 13–22). Measures 117–21 present the most densely textured contrapuntal passage in the movement. Its brief interposition in the repeated-note rhetoric heightens the motif’s impact when it resumes following the second-inversion C-minor chord of m. 122. This chord and the motif itself, articulated as vii° of C minor, are the section’s AFR. The
dominant of m. 126, anticipated at mm. 115–16, maintains the motif as it recalls the movement’s opening sixteenth-note figure.

X’s mm. 107–20 answer to Michaelis’s notion of the sublime as described in an 1805 article for the *Berlinische musikalische Zeitung*.

The feeling of sublimity in music is aroused when the imagination is elevated to the plane of the limitless, the immeasurable, the unconquerable. This happens when such emotions are aroused as either completely prevent the integration of one’s impressions into a coherent whole, or when at any rate they make it very difficult. The objectification, the shaping of a coherent whole, is hampered in music in two principal ways. Firstly, by uniformity so great that it almost excludes variety: by the constant repetition of the same note or chord, for instance . . . by long pauses holding up the progress of the melodic line, or which impede the shaping of a melody, thus underlining the lack of variety. Secondly, by too much diversity, as when innumerable impressions succeed one another too rapidly and the mind being too abruptly hurled into the thundering torrent of sounds, or when (as in many polyphonic compositions involving many voices) the themes are developed together in so complex a manner that the imagination cannot easily and calmly integrate the diverse ideas into a coherent whole without strain. Thus in music, the sublime can only be that which seems too vast and significant, too strange and wonderful to be easily assimilated by it. Sublime notes, figuration, and harmonies stimulate the imagination, which must exert itself and expand beyond its normal bounds to grasp, integrate, and recall them. They offer it, not flowing melodies with gentle cadences, but something that appears intractable to rhythmic laws; they have no immediately pleasant effect on the personality and the imagination, but an almost violent one of frightful and terrifying aspect. To the extent that music can depict greatness exceeding the normal capacity of the imagination, thrilling the listener with horror and rapture, it can express the sublime.

Elevated words indeed, ones that resonate with the frightful emotions of the Burkean sublime if not their source in the natural world. And certainly mm. 107–24, bearing no resemblance to flowing melodies and gentle cadences, answer to their own expressive demands. They disregard any call for musical coherence, which prevails when musical elements contribute to an overall sense of logical or systematic structuring. For Michaelis, ruptures in this X’s coherence would ensue from the effective denial of variety through the various repetition of notes, the long pause at mm. 107–8, and other pauses
that hold up “the progress of the musical line . . . which impede the shaping of the melody.”

But we might focus our attention on those seven measures, 116–22, that bring together the repeated-note motif with the learned style. In this passage, Haydn gestures to the two principal ways that musical coherence is hampered, as statements of the repeated-note motif in mm. 116 and 122 bookend the learned style’s polyphonic combination of voices. While the latter does not abruptly hurl the mind into a “thundering torrent of sound” in the manner of the “Jupiter” Symphony’s finale, it does represent a kind of scaled-down version of the sublime, sufficient to offer a glimpse of its effect.\footnote{4} Accordingly, we may find that this modest polyphonic interpolation, when contrasted with the uniformity of its surrounding material, answers readily to Michaelis’s description, which according to Keith Chapin is applicable to both symphonies and keyboard fantasies.\footnote{5}

The incessant repetition of the motif starting at m. 108 admits no “immediately pleasant effect on the personality and the imagination, but a frightful one of almost terrifying aspect.” The discourse’s fixation on the monotonal idea over the next eight measures induces a horrifying prospect: “When shall this fearful slumber have an end?”\footnote{6} When the motif reaches the harmonic extreme of the lowered mediant, this X-section nightmare assumes an intensification suggestive of the uncanny as the G\flat chords dissolve into strands of black- and white-note suspension figures that will reconstitute themselves into diminished chords for the climactic AFR. This harmonic region articulates the motif in \textit{f} sonorities of “shattering intensity . . . as if it is poised over a bottomless chasm.”\footnote{7} This description of the sublime from Michaelis captures the vertiginous spectacle of an X
section staring into the abyss. Even as the contrapuntal episode subsides, the repeated-note motif reemerges seemingly unvanquished. The B diminished chords are atomized into their constituents: the abysmal B naturals in the left hand followed by the hushed F-minor dyads in the right (mm. 123–25). Where can this X section go from here?

The answer is deceptively simple: the dominant. Just a half-step from B natural, the dominant emerges as a new force to animate the motif. Thereafter, it is rendered comically, even mockingly as discordant whole-tone dyads interspersed with the movement’s opening harlequinade figure (mm. 126–29). In an instant, Haydn has upended the sublime, effectively neutering its intense complex of emotions. What have we just experienced if not some grand archetypal reversal?

X and the Inverted Sublime

A contemporary of Michaelis, the novelist and critic Jean Paul, might recognize in this passage “humor as the inverted sublime.” He writes in *Vorschule der Ästhetik* (1804),

humor as the inverted sublime annihilates not the individual but the finite through its contrast with the idea. It recognizes no individual foolishness, no fools, but only folly and a mad world. Unlike the common joker with his innuendos, humor does not elevate individual imbecility but lowers the great. It does so like parody, but with a different goal: to set the small beside the great. Humor raises the small like irony, but then sets the great beside the small. Humor thus annihilates both great and small, because before infinity everything is equal and nothing. The ethos of this movement inheres within the inverted sublime—an inversion derived from the interplay of topically distinct motives from the exposition’s opening and closing. Through its positive dispositions to the repeated-note motif and the harlequinade figure, X enforces a kind of thematic coherence that transcends the horizons of the exposition. This coherence envisions the dissolution of boundaries between music of disparate characters. The high and the low, the serious and the comic, the infinite and
finite, may commingle under the right conditions to yield the new paradigm Jean Paul describes.9

When sonata forms of the period pursue such lofty goals, they engage in a process of discovery as virtual testing grounds or laboratories. The first-movement X section of Haydn’s Eb sonata may be likened to a chemistry experiment in which elements from the exposition are synthesized to form a new compound. In the recapitulation, the results from X are confirmed when mm. 181–82 answer the motif with X-section inspired grace notes, a comic element notably absent from the exposition’s analog (mm. 55–56).

Where might we expect to find such an experiment, such enlightenment, even while we pursue the unknown? The answer is the X section, where anything is possible, even the inverted sublime!

NOTES TO EPILOGUE

1. Sisman discusses aposiopesis and apostrophe in tandem as they relate to the first movement of Mozart’s “Jupiter” Symphony, K. 551 (1993b, 49).

sehr erschweren. Das Objektiviren, das Bilden eines Ganzen wird nun in der Musik vorzüglich auf zweifache Art erschwert oder vereitelt. Erstens, durch zu große Einförmigkeit, welche die Mannichfaltigkeit beinahe ausschließt, z.B. . . . durch lange Pausen, welche den Fortgang der Modulation aufhalten, der Bildung einer Melodie widerstreben, und einen Mangel an Mannichfaltigkeit fühlbar machen. Zweitens, durch zu große Mannichfaltigkeit, indem entweder unendlich viel Eindrücke in zu geschwinder Zeit vorbeieilen, und das Gemüth in der rauschenden Fluth der Töne zu rasch fortgerissen wird, oder auch (wie in vielstimmigen fugirten Compositionen) die Melodies zu vielfach sich in einander harmonisch verwickeln, als daß die Einbildungskraft das Mannichfaltige leicht und ruhig zu einem Ganzen vereinigen und als ein Ganzes ohne Anstrengung übersehen könnte. Erhaben Kann also nur das in der Musik seyn, was das Fessungsvermögen der Imagination übersteigt, zu groß und bedeutend, zu fremd und wunderbar erscheint, als das sie leicht es sich aneignen könnte. Die erhabenen Töne, Figuren, und Akkorde, sind ihr angemessen; sie muß sich anstrengen und ungewöhnlich erweitern, um sie festzuhalten, zusammenzufassen und wieder zurückzurufen. Sie bieten ihr keine fließende, sich sanft schließende Melodie, sondern Etwas dar, was den rythmischen Regeln zu widerstreben scheint; sie wirken unmittelbar nicht angenehm, sondern fast gewaltsam auf Sinn und Einbildungskraft, erscheinen furchtbar und schrecklich. Inwiefern die Musik eine Größe darstellen kann, welche über die gewöhnliche Fassungskraft geht, das Gemüth tief erschüttert, mit Schauder und Entzücken, mit einem süßen Grauen erfüllt, insofern kann sie das Erhabene ausdrücken” (Michaelis 179–80).

3. In an 1801 essay, Michaelis elaborates on the arousal of the sublime from long pauses. “Where the fantasy or the sentiment [of the composer] seems to have reached the highest degree and finds no more expression, where the overfilled heart falls silent, this unexpected severance of the melody opens to the imagination a wide field. There [the imagination] elaborates the severed all the more freely, and there the listener feels the most sublime power of art. Great pauses in spirited works of music, whether between energetic chords or pathetic melodies, surprise [the listener] often in a sublime manner and arouse effects of astonishment and wonder.” (Translated in Chapin, 126, which includes the original German text in footnote 12.)

4. The Jupiter Symphony’s evocation of the sublime is discussed in Sisman 1993b.

5. See Chapin, 115. While Chapin relates his comment to Michaelis’s 1801 essay on the sublime (see note above), there is no reason to think that his assertion would not equally apply to the 1805 essay.

6. From Shakespeare’s Titus Andronicus, III, ii.

7. See Michaelis, 179. Translated in Le Huray, 203.

ihn keine einzelne Thorheit, keine Thoren, sondern nur Thorheit und eine tolle Welt, – er hebt – ungleich dem gemeinen Spaßmacher mit seinen Seitenhieben – keine einzelne Narrheit heraus, sondern er erniedrigt das große, aber ungleich der Parodie – um ihm das Kleine, und erhöhet das Kleine, aber ungleich der Ironie –, um ihm das Große an die Seite zu seßen und so beide zu vernichten, weil vor der Unendlichkeit alles gleich ist und Nichts” (Jean Paul, 166–67; part I, section 32).

9. Elsewhere in the discussion of the inverted sublime, Jean Paul mentions Haydn by name. “Something similar to the audacity of annihilating humor, an expression of scorn for the world, can be perceived in a good deal of music, like that of Haydn, which destroys entire tonal sequences by introducing an extraneous key and storms alternately between pianissimo and fortissimo, presto and andante” (Wheeler, 178). “Etwas der Keckheit der vernichtenden humors ähnliches, gleichsam einen Ausdruck der Welt Berachtung kann man bei mancher Musik, z.B., der Haydnschen vernehmen, welche ganze Tonreihen durch eine fremde vernichtet und zwischen Pianissimo und Fortissimo, Presto und Andante wechselnd stürmt” (Jean Paul, 175; part 1, section 33).


Glück, Christoph Willibald. 1777. Preface to Alceste. Vienna.
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