CLOSING GESTURES IN OPENING IDEAS: STRATEGIES FOR BEGINNING AND ENDING IN CLASSICAL INSTRUMENTAL MUSIC

by

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ABSTRACT

This paper studies the formal ambiguity that arises when a closing gesture occupies a beginning location in the instrumental works of Haydn, Mozart, and Beethoven. Accordingly, I am interested in those formal areas within a piece that are concerned with the functions of either "beginning" or "ending."

I first present a systematic survey of the theoretical principles underlying the formal functions of beginning and ending in this style. I then show some specific examples of typical cadences and of initial units that imitate them. Next, I focus on the "main theme," observing how the function of "beginning" is performed by a "closing initial idea" and then, how the main theme's cadences express their proper function. Finally, I study what happens in other locations such as the return of the main theme, the cadence closing the form, and post-cadential material.

Résumé

Ce mémoire étudie l ambiguité qui se manifeste dans la forme musicale lorsqu'une section débute par une formule de clôture, dans les oeuvre de Haydn, Mozart et Beethoven. Par conséquent, il s agit d'étudier les portions de la forme où il est question des fonctions de "commencement" et de "conclusion."

Le texte débute par une étude systématique des principes théoriques qui, dans ce style, sous-tendent les fonctions de commencement et de conclusion. Suivent des exemples spécifiques illustrant des cadences typiques ainsi que l'utilisation de ces mêmes formules en début de mouvement. En troisième lieu, l'étude se tourne vers le "thème principal" afin de démontrer de quelle façon la fonction de commencement est remplie par une "figure de clôture initiale" et ensuite, de quelle façon les cadences du theme principal expriment leur fonction prescrite. Le dernier volet du memoire étudie ce qui se produit à d'autre endroits tels le retour du theme, la cadence qui conclut la forme, et le matériel qui suit cette cadence.

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I would like to express my gratitude to two people without whose help this thesis would not have been possible. First of all, I am deeply indebted to my thesis supervisor, William E. Caplin, for his support and guidance, not only during our many hours of work on this paper, but also throughout my years of graduate study at McGill University. His ability to communicate both his knowledge of and his enthusiasm for music theory has profoundly affected my thinking about the organization of classical music. Secondly, I must thank my dear husband, Rouben Ishayek, who created a loving environment in which I was able to preoccupy myself with this thesis.

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INTRODUCTION

According to Arnold Schoenberg, "the form of a composition is achieved because (1) a body exists, and because (2) the members exercise different functions and are created for these functions."(1) In other words, form in a musical composition can be understood as the division of a piece into distinct units each of which has the power to express a particular and unique formal function within the composition as a whole.

The most basic formal functions in many styles of music are those of beginning, middle, and end.(2) In the music of Haydn, Mozart, and Beethoven, these simple formal functions can usually be understood at several structural levels of a piece. Any given formal unit, whether a motive, a theme, a large section (such as an exposition), or an entire piece, can normally be perceived as having a beginning, a middle, and an end. One way of defining these three basic formal functions would be simply to identify the first, next, and last events at a particular structural level. The basic formal functions of a classical theme, for example, could be characterized in terms of their relative position within the complete theme.(3)

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1. Arnold Schoenberg, Style and Idea: Selected Writings of Arnold Schoenberg, trans. Leo Black, ed. Leonard Stein (London: Faber and Faber, 1975), p. 257.

2. Formal functions in a particular style are usually more sophisticated. In Viennese classical music, for example, some additional formal functions include introduction, transition, codetta, and coda.

3. For now, the term "theme" can signify a particular structural level such as, for example, the opening main theme of a sonata-form. Its boundaries can usually be identified as follows: the harmony for its opening melodic-motivic component begins with a root-position tonic while a cadential formula defines its end.

Formal Function: Location or Profile

A clear example of a theme that divides neatly into three units, which correspond to a beginning, middle, and end, can be seen in Mozart's Piano Sonata in F, K. 332, I (Ex. Int.1). This twelve-measure opening theme can be heard as three four-measure units whose boundaries are articulated by changes in texture. The first unit is made up of a two-part texture, a melody above an Alberti bass. The silence in measure 4 helps the melody to come to rest at this point. Our impression that the first unit ends in measure 4 is confirmed on the downbeat of measure 5 when a different texture, a three-part chord, announces the arrival of something new. The texture in this middle unit is more complex. It consists of the initial chord, a solo passage, and finally, imitation.(4) Since the opening unit established four measures as a norm, we are prepared to accept the long melodic note in measure 8 as a resting point for this unit. The three-part chord in measure 9, like that in measure 5, announces a new unit. Again, the texture in the final unit is clearly different from the preceding material. In measure 12, a rest in all voices sets these twelve measures off from the next musical event.

But is relative position within a given unit enough to define the three basic formal functions of beginning, middle, and end? If Schoenberg is correct, then each of the four-measure units in this twelve-measure theme was "created" for its function; each unit is made up of a particular arrangement of musical elements, a musical "profile," that can express its own particular formal function. Moreover, the formal function of such profiles is so obvious that it remains evident even when heard out of context. As the musical phenomenologist Judy Lochhead has observed, "A passage may project qualities associated with beginning times, middle times, or closing

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4. Notice how skillfully the number of voices is controlled in these four measures: the initial three-part chordal texture is replaced by a single line, a two-part imitation, and finally (in m. 8), a return to three parts, now in a contrapuntal setting.

times, i.e., it may gesture these qualities just as a mime may gesture sadness, pain, etc."(5)

In Mozart's theme, it is not position alone that accounts for our impression that the musical profiles of each unit are appropriate for their particular temporal position within the theme as a whole. A sense of beginning is expressed by the first unit: it announces the tonality and sets up processes that will require resolution. The middle unit resolves some of these processes, continues others, and sets up new ones. And the last unit resolves most of the previous processes to the extent that the expression of closure in measure 12 seems stronger than that in measures 4 or 8.

The melody in the first unit opens up the musical space with a contour that is "characteristic" in the sense that it is unique to this piece. The opening idea is given a solid harmonic support: a tonic prolongational progression in which subdominant and dominant harmonies are undermined by a stable tonic pedal. This beginning demands continuation: the melody ends on the most active tone, the leading tone, the harmony is in the oxymoronic situation of stating dominant harmony above a tonic pedal, and the rhythm of the accompaniment presses onward toward a resting point that has not yet arrived.

Measure 5 is clearly the onset of a new formal unit. In addition to the change of texture and style (from "singing" to "learned"),(6) a new melody is introduced, a melody whose construction is very different from the opening idea in the first four measures. The melody in the middle four-measure unit seems ready to come to a satisfactory but premature rest on the tonic at its third measure (m. 7). Only the force of the energetic imitation pushes it on to span a four-measure unit, branching into two parts that, like the end of the melody in measure 4, require resolution. Continuation is also

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5. Judy Lochhead, "The Temporal in Beethoven's Opus 135: When are Ends Beginnings?" In Theory Only, 4/7 (1979), 4.

6. Leonard G. Ratner, Classic Music: Expression, Form, and Style (New York: Schirmer, 1980), p. 222.

necessary harmonically due to the absence of a cadential progression, a progression that would confirm that the initial chord is, indeed, the home key tonic of the piece.

Another process is continued by this middle unit, that of further opening the musical space of this theme. This time, a descending motion has the effect of exposing what now seems like the true bass register for this theme; the opening Alberti "bass" is revealed to belong to inner voices. (How this middle unit resolves some processes set up by the opening will be discussed later.)

Although from a formal point of view, measures 9-10 could conceivably be considered a continuation of "middle" function, measure 12 closes not only its own four-measure unit but the entire theme as well. Melodically, the leading tone is not left hanging in the final measure of a musical idea (as in mm. 4 and 8); its position as the last pitch in the penultimate measure of a unit allows it to resolve <u>within</u> the boundaries of its own formal unit. Harmonically, measures 11-12 contain a perfect authentic cadence, a musical formula that is the standard signal for thematic closure in this style. And rhythmically, although a rest in all voices can only separate musical events without defining structural levels, the rest in measure 12 emphasizes and confirms the completion of the melodic and harmonic processes.

Up to now, I have pretended that this twelve-measure theme divides neatly into three four-measure units. It is obvious, however, that the actual boundaries are not so clear-cut. In fact, there is a strong connection joining both measures 4-5 and 8-9. Measure 4 ends with dominant harmony supporting a prominent leading tone in the melody; the first beat of measure 5 resolves both the leading tone and the dominant harmony in a chordal texture appropriate for the final tonic of a cadence (as in m. 12). Measures 8-9 are connected not only by the resolution of the leading tone, but by the contrapuntal imitation that aggressively straddles the middle and final four-measure units. In addition, the first pitch in the upper line of measure 9 continues a melodic process initiated in the previous unit:

its beginning on scale step $\hat{3}$ continues the ascending line set up in measures 7-8.

In contrast, the ending at measure 12 is much more convincing than those in measures 4 or 8 since it is the only one so far that does not reach out to a future musical event to complete some process, but rather, expresses a strong sense of closure within its own boundaries. The careful use of register contributes to the effect of satisfactory closure here. In measures 4-5, the resolution of $\hat{7}$ occured an octave higher than the opening pitch, so that there was no sense of melodic "cadencing" (from the Latin "cadere" meaning "to fall"). Also, the bass register there was not entirely convincing. In measures 8-9, the bass register was more appropriate for keyboard music in this style, but melodic resolution to the tonic was hidden in an inner voice. In measure 12, where thematic closure seems strongest, both the bass and the melody settle down in their proper registers.

In summary, Mozart's theme exemplifies two important principles regarding formal function. First, closure of formal units is relative; that is, whereas some formal boundaries are not always perfectly distinct, others are much more definite. Secondly and most important for this paper, the formal functions of beginning, middle, and end in the Viennese classical style do not arise solely due to the temporal location of a particular formal unit relative to others of the same structural level. The profiles of these formal functions are the summation of processes that are appropriate to their location.

A Structural Anomaly: Beginning with an Ending

The form of most classical themes sounds logical because the profile of the first unit creates the impression of a beginning, while that of the last expresses thematic closure. Some pieces, however, begin with an interesting structural anomaly--the initial idea

resembles a cadential formula.(7) Such a formal unit is thus functionally ambiguous; the beginning "sounds" like an end. This structural anomaly prompts us to ask a number of questions: What exactly has just "ended?" How will the piece "get going" in the face of the inertia of a closing profile? How are we to understand the real end of the theme (or even of the piece)? Have we actually heard the end (metaphorically) within the initial measures of the piece, or can we expect a more convincing end to follow? But how will we recognize the end of the piece, since it seems that closing profiles may not always be trusted?

This structural anomaly has received some attention in recent theoretical literature.(8) The standard approach is to choose a particular piece, demonstrate how its initial unit resembles a closing gesture, and then study the effects of such a "beginning" on the rest of the form. The Trio in Mozart's Symphony, K. 551, iii is one such piece (Ex. Int.2); both Ratner and Jonathan D. Kramer offer valuable insights regarding its "cadential" beginning.(9) Other similar discussions include those by Kramer on the first movement of

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7. The initial unit of a piece may be the start of either the main theme or the introduction. Although this formal distinction is crucial to understanding music in this style, I will temporarily postpone discussing the initial unit's correct formal function until Chapter Four, the appropriate point to raise this issue.

8. Leonard B. Meyer's term for a cadential formula in a beginning location is "contextual discrepancy," in Explaining Music: Essays and Explorations (Chicago: Univ. of Chicago Press, 1973), p. 196. Lochhead also discusses this topic; according to her, a "closing" idea that begins a piece is an example of an event that "possesses gestural qualities which are absolute and recognizable irrespective of context" ("The Temporal," p. 7).

9. Ratner, Classic Music, p. 39; Jonathan D. Kramer, The Time of Music (New York: Schirmer, 1988), pp. 144-48. See also, Thomas Clifton, Music as Heard: A Study in Applied Phenomenology (New Haven: Yale Univ. Press, 1983), p. 268; John D. White, The Analysis of Music (Englewood Cliffs, New Jersey: Prentice-Hall, 1976), pp. 119-20; and Eugene Narmour, Beyond Schenkerism: The Need for Alternatives in Music Analysis (Chicago: Univ. of Chicago Press, 1977), p. 134.

Beethoven's String Quartet, Op. 135,(10) by Janet Levy on the first movement of Haydn's String Quartet, Op. 50, No. 1,(11) and by Meyer on Beethoven's Piano Sonata, Op. 81a.(12)

In contrast to the above studies that deal with one particular piece, the subject of this structural anomaly comes up occasionally during discussions of other musical topics. I offer three pieces as examples. The humorous closing gesture in the first movement of Haydn's String Quartet, Op. 33/5 is mentioned in separate discussions by Rosen, Steven E. Paul, and Sigmund Levarie.(13) The "cadential" opening of Haydn's Symphony no. 97 is included in Meyer's discussion on archetypal schemata.(14) Finally, the "cadential character" of the opening of the second movement of Mozart's Piano Concerto, K. 459 is brought to our attention by William E. Caplin in his description of the main theme of this piece.(15)

I share the above authors' interest in the formal ambiguity that arises when a closing idea appears at the beginning of an instrumental work. Rather than either focusing on any single piece, or considering this issue peripheral to another topic, I intend to look at various

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10. Kramer, Time of Music, pp. 150-63. See also, Lochhead, "The Temporal" for a discussion of Kramer's ideas on this composition.

11. Janet M. Levy, "Gesture, Form and Syntax in Haydn's Music," in Haydn Studies: Proceedings of the International Haydn Conference, Washington, D.C., 1975, ed. J. P. Larsen, H. Serwer, and J. Webster (New York: Norton, 1981), pp. 355-62.

12. Meyer, Explaining Music, pp. 242-67.

13. Charles Rosen, The Classical Style: Haydn, Mozart, Beethoven (New York: Norton, 1972), p. 78; Steven E. Paul, "Comedy, Wit, and Humor in Haydn's Instrumental Music," in Haydn Studies: Proceedings of the International Haydn Conference, Washington, D.C., 1975, ed. J. P. Larsen, H. Serwer, and J. Webster (New York: Norton, 1981), p. 455; Siegmund Levarie, "Once More: The Slow Introduction to Beethoven's First Symphony," The Music Review, 40 (1979), p. 168.

14. Meyer, Explaining Music, pp. 212-13.

15. William E. Caplin, "A Theory of Formal Function," 1985, Ch. 4, p. 10.

strategies used by Haydn, Mozart, and Beethoven in setting up and then dealing with this somewhat unusual formal situation.(16) My interest lies in discovering the type of material featured in those locations of a piece where the formal functions of "beginning" or "ending" should be clearly expressed. In Chapter One, I will present some typical perfect authentic cadences. I will then show some initial units that imitate these closing gestures to varying degrees; in this paper, such initial units are termed closing initial ideas. In Chapter Two, I will study the main themes of pieces that begin with a closing initial idea. In particular, I will first show how the function of "beginning" is actually achieved in such pieces; I will then compare the genuine cadential idea in these themes to the closing initial idea. In Chapter Three, I will look at some short, complete pieces to see how beginning with a closing initial idea can affect the piece as a whole. In Chapter Four, I will turn to pieces in full-movement forms. There, I will resume my interest in those locations of a piece past the first statement of the main theme whose formal function is normally either "beginning" or "ending." In this connection, I will consider three formal areas that can potentially be affected by a closing initial idea: (a) the return of the main theme in, for example, a sonata-form recapitulation, a rondo refrain, or a variation in a theme and variations movement, (b) the final cadence that closes the form, and (c) the post-cadential material following this final cadence, that is, the last few measures that actually end the piece. Finally, I will summarize some general consequences that may arise for a piece as a whole when a composer chooses to begin with a closing initial idea.

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16. I use the expression "somewhat" unusual since I found almost four hundred examples of instrumental works by Haydn, Mozart, and Beethoven in which the initial profiles had some elements of cadential closure. I excluded vocal works in this project so that the role of text would not be a factor in articulating either continuation or closure. I also ignored subordinate themes since they are necessarily tonally open, regardless of their initial profile. Like the above authors, however, I included Trios of Minuets.

CHAPTER ONE

"CLOSING IDEAS" IN CADENCES AND IN INITIAL UNITS

The beginnings of themes in the classical style(1) are normally differentiated from their endings (i.e., cadences) by the use of "characteristic" vs. "conventional" material. The characteristic opening idea is the musical material by which a theme (or a composition) is recognized. Cadences, on the other hand, tend to be made up of stereotypical formulas, conventional clichés that are interchangeable from piece to piece.

In this chapter, I want to examine the nature of these different ideas in greater detail, beginning first by isolating and defining four musical elements--melody, rhythm, harmony, and texture--that combine to create either characteristic or conventional ideas.(2) My discussion of these elements will be based, to a large extent, on generally accepted views. The generalities that I propose, however, are not to be taken as definitely proven. In some sense, I am offering hypotheses that seem to work pragmatically as I observe how these various dimensions appear in

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1. Since this thesis is concerned with the classical style as exemplified by the instrumental music of Haydn, Mozart, and Beethoven, I will no longer qualify subsequent statements with: "in the classical style."

2. I am well aware of the impossibility of what I have just proposed, i.e., that I will separate music into distinct elements, since, "as a rule, melody, rhythm, harmony, and so forth are perceived together as a single unitary process" (Leonard B. Meyer, Emotion and Meaning in Music [Chicago: Univ. of Chicago Press, 1967], p. 126). Yet I follow a long tradition of analysts who first deny the feasibility of such a separation, and then immediately proceed to try it, justifying the resulting distortion of the musical idea by hoping to explain musical issues that are otherwise difficult to grasp. See David Epstein, Beyond Orpheus: Studies in Musical Structure (Cambridge: The MIT Press, 1988), pp. 12 and 111; Kramer, Time of Music, p. 8; and Jan LaRue, Guidelines for Style Analysis (New York: Norton, 1970), pp. 1-2, 113, and 224.

typical opening and closing contexts. Following this theoretical discussion, I will present some additional musical examples, first, of common cadential profiles and then, of beginnings that seem to imitate them, these being what I term "closing initial ideas."

Musical Parameters: Melody, Rhythm, Harmony, and Texture

a. Melody

This paper is concerned with two aspects of melody--scale degree function and pitch contour. The latter will involve such issues as the direction of line (ascending, descending, or stationary), the size of leaps, the ratio of conjunct to disjunct motion, the range, and the register.

The melody of a characteristic, opening idea usually embellishes one of the active notes in the tonic triad, namely, the third or fifth scale degree. This note is often approached by ascent from a lower note in the tonic triad.(3) The simplest ascending melodic progression is, of course, a scale. But a scalar passage would not normally be considered a "characteristic" melodic idea in any style. Rather, a characteristic opening idea's unique melodic profile is due to "diverse intervallic content (combinations of leaps, steps, and directional changes)," (4) as in Example 1.1.(5) In contrast, the melody of a closing idea directs itself toward the tonic scale degree, usually in a descending direction. "Conventional" melodic progression is often scalar (Ex. 1.2), but sometimes arpeggiated (Ex. 1.3). One particular ornament, the "cadential trill" on the second scale degree, is another melodic convention for a closing idea (Ex. 1.4).

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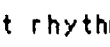
3. This ascent is related to, but not necessarily the same as, Heinrich Schenker's "Anstieg," the "initial ascent" to the first tone of the fundamental line. See Free Composition, trans. and ed. Ernst Oster (New York: Longman, 1979), p. 45.

4. Caplin, Formal Function, Ch. 3, p. 6.

5. For the sake of practicality, I have simplified some of my examples by eliminating redundant orchestral parts.

b. Rhythm

Turning to the rhythmic component of opening and closing ideas, one quickly discovers that theorists do not agree regarding many aspects of this parameter, including the very definition of the term "rhythm" itself.(6) The three aspects of rhythm that are relevant to this paper are elementary to the point of being axiomatic within all rhythmic theories. The first concerns the various durations of pitch attacks that produce distinct rhythmic patterns such as:  . The second aspect is "meter," the phenomenon of strong and weak beats within a measure. The third aspect arises from the fact that the measures within a formal unit usually form a binary grouping.

Durational patterning can play an important role in differentiating between characteristic and conventional ideas, since patterns of discrete durations are more easily remembered than pure melodic contours.(7) It seems logical, then, that a rhythmic pattern that can define the individuality of a theme must differ from a standardized conventional formula that may serve for the cadence in any number of classical themes. Consequently, one might assume a characteristic rhythmic pattern to consist of diverse durational values, whereas a series of uniform durational values would make up a conventional pattern.(8) An examination of the literature questions this assumption, however, as I will show below.

As regards meter, theorists agree that, within the framework of strong and weak beats in a measure, the strongest sense of formal ending

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6. For summaries of several definitions of rhythm and its various aspects, see Kramer, Time of Music, Ch. 4; Joel Lester, The Rhythms of Tonal Music (Carbondale and Edwardsville: Southern Illinois University Press, 1986), pp. 4-6; and Margaret Mary Barela, "Motion in Musical Time and Rhythm," College Music Symposium, 19/1 (1979), 78-92.

7. Any ear training class in dictation will bear this out.

8. Caplin proposes such an idea in Formal Function, Ch. 3, p. 6.

requires the cadential goal note to fall on a strong beat.(9) For the purposes of this thesis, however, a cadence that ends on a relatively weak beat is fully capable of articulating a structural ending, despite its less assertive nature.

A common notion embracing both duration and meter is that a clear sense of ending is created by the following rhythmic configuration: several relatively short notes leading to a longer final note, which falls on a strong beat and is followed by a rest. Associating this rhythmic configuration with a cadence is problematic on two counts. In the first place, musical motion may not necessarily stop at the cadential goal, but may continue briefly beyond it (Ex. 1.5).(10) Motion may even continue without any break between the cadential goal and the next formal unit (Ex. 1.6). Secondly, the rhythmic configuration outlined above may be found at the end of either an opening or a closing idea, or even in the middle of a theme (see the bracketed figures in Ex. 1.7). In other words, this rhythmic configuration can set a formal unit off from subsequent material, but it does not necessarily identify that unit's formal function within a theme.

The final point regarding the parameter of rhythm concerns the fact that formal units are often made up of two measures that combine into phrases or themes spanning an even number of measures. Thus, the goal note in the cadential unit of a standard theme normally arrives in an even-numbered measure.(11) Exceptions to this rule may be accompanied by interesting compositional techniques, as I will later discuss.

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9. An early version of this rule appears in Jean-Philippe Rameau's Treatise on Harmony, 1722; trans. Phillip Gossett (New York: Dover, 1971), p. 273: "All conclusions of a strain in which a tonic note is preceded by its dominant are called perfect cadences. This tonic note should always occur on the first beat of a measure, if the conclusion is to be felt."

10. Some "closing ideas," whether initial or cadential, include one or more pitches that trail after the goal tonic but are nevertheless considered part of the formal unit. I shall term such post-tonic pitches "tags."

11. When I compare the "closing initial idea" of the piece with the main theme's cadence (in Chapter Two below), I will discuss some cases in which a goal tonic falls in an uneven measure.

c. Harmony

Harmony is the musical element that first comes to mind when we speak of a cadential formula. For example, a definition of the perfect authentic cadence usually begins by naming the chords involved, the order in which they appear, and their position.(12) Thus, the harmonic content of a complete perfect authentic cadence includes an initial tonic (often in first inversion), a pre-dominant (usually built above scale step $\hat{4}$ in the bass, the most common chords being II6 or IV), a dominant (or V7) chord in root position, and finally, the cadential goal--a final root-position tonic supporting $\hat{1}$ in the structural melody. While the last two chords, V-I, must appear in this formula, the presence of the other harmonies is less constrained. "Incomplete cadential progressions" omit one or both of these chords, usually, the initial tonic; authentic cadences with no pre-dominant are rare.(13)

Like theme endings, which are associated with specific conventional progressions ("cadential" progressions), beginnings and middles of themes also tend to be harmonized by particular types of conventional progressions of the harmonies. Thus, the appropriate harmony for the opening of a theme is a progression that can be termed "tonic prolongational."(14) "Middles" may feature either a continuation of the opening tonic prolongation or a sequential progression.

The element of harmony poses an interesting problem as regards the notion that "characteristic," opening ideas should be different from

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12. The definition continues with a "melodic" fact--that the structural soprano of the last two chords is either scale steps $\hat{2}$-$\hat{1}$ or $\hat{7}$-$\hat{8}$. And the definition ends with rhythmic issues, such as the necessity for a cadential six-four to fall on a strong beat, or the possibility that the final tonic may arrive on a weak beat.

13. Caplin, Formal Function, Ch. 2, pp. 9-14. In this paper, I will not be dealing with the "half cadence" as a vehicle of thematic closure.

14. The tonic harmony is "perceived in the listener's imagination to be sustained through time despite the presence of an intervening chord (or chords) of different harmonic meaning" (Caplin, Formal Function, Ch. 2, p. 5).

"conventional" cadences. Whereas harmony is crucial in giving cadences their conventional profile, harmony plays a different role in an opening idea: whatever is characteristic about a typical opening idea usually has little to do with its harmonic support, since many different "characteristic" melodies may be harmonized by a conventional prolongational progression. Unlike melody and rhythm then, harmony is rarely a "characteristic" element in an opening idea.

Strangely enough, the harmonic component of an opening idea is "characteristic" only when it is not typical stylistically. Whereas prolongational, sequential, and cadential progressions are normally associated with the thematic functions of beginning, middle, and ending respectively, part of the richness of this music arises from the possibility of a different combination of harmonic progression and formal location. For example, an initial idea (the start of either a main theme or an introduction) may sometimes be harmonized by a sequential or even a cadential progression. In such cases, the element of harmony contributes a "characteristic" feature to these "beginnings." Here again, however, a variety of opening ideas may be harmonized by a particular sequential progression, so that it is not the progression per se that renders the idea unique. As for an opening idea harmonized by a cadential progression, if the melody also imitates a cadential contour, we then have a clear example of the formal anomaly that is the subject of this paper: a closing profile occupying the position of an opening idea.

d. Texture

The fourth musical element to play a role in distinguishing between initial and closing ideas is texture. I will take advantage of Janet Levy's remarks on the conventionalized sign value of two particular textures:(15) (1) the "conventionally figured and regularly measured

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15. Janet M. Levy, "Texture as a Sign in Classic and Early Romantic Music," Journal of the American Musicological Society, 35 (1982), 488.

accompaniment pattern, such as an Alberti bass," and (2) the solo passage (including unisons or octave doublings). According to Levy, both these textures are typical of "beginnings."(16)

Levy states that "the sense of 'true beginning' (of the musical discourse) is often conveyed by the establishment of an accompaniment pattern after a less stable or less natural texture (for this repertory)."(17) Her observations will help me demonstrate, later in this paper, how texture can help to contribute to an expression of "beginning" when a piece starts with a closing initial idea.

As regards the solo texture, such passages are also usually understood "as openers, not closers of action."(18) Aside from Levy's interesting observations on the reason for the association of this particular texture and with the formal location of "beginning," another cause for this association arises from an analytical problem regarding the harmonic implications of a solo line. This texture lacks the two independent voices necessary to ensure a manifest statement of the minimum requirements for a perfect authentic cadence: a $\hat{7}$-$\hat{8}$ or $\hat{2}$-$\hat{1}$ soprano above a $\hat{5}$-$\hat{1}$ bass. This texture is thus inappropriate as a thematic ending, but it is perfectly useful in a thematic beginning, one that will be harmonized by a prolongational progression, where any number of bass or soprano lines are possible.(19)

In summary, the profile of a "beginning" can be described as exhibiting an "opening" melody that embellishes one of the tonic triad's active tones, a pitch often approached by ascent. Diverse intervallic content and rhythmic patterns, a tonic prolongational harmonic support, and no restrictions on texture combine to form a unique musical profile,

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16. Levy adds that, unlike the solo texture, the unison or doubled octaves texture may also appear in codettas ("Texture," p. 519).

17. Ibid., p. 491.

18. Ibid., p. 501.

19. A solo line can sometimes express a cadential idea, as I shall show in Chapter Two: in such cases, the location of this line in the "ending unit" of a theme forces us to understand the formal function of the line as "cadential" despite its unconventional profile.

the "characteristic" opening idea by which one recognizes the piece. A cadential idea, in contrast, is normally described as exhibiting a stereotypical profile. A texture of two or more independent parts presents the essential harmonic components of an authentic cadential progression. The final $\hat{1}$ in the melody, usually approached by a descending stepwise line, falls on a strong beat and is often a relatively long note. This profile has little or no characteristic features that would distinguish it from cadential ideas in other pieces of this period. As I mentioned above in connection with rhythmic durational patterns, a survey of the musical literature shows that this description of a cadential profile is somewhat limited. While such simple profiles do occur, other more interesting profiles occur as well, as I will discuss in the following section.

Perfect Authentic Cadences in the Classical Style

We have just examined the textbook definition of a cadence. In this section I will begin by presenting examples of simple cadential profiles that fit the above definition. I will then discuss cadences that differ from this simple profile in two respects: their melody is more complex and their harmonic progression need not be complete.

Examples 1.2, 1.8 and 1.9 illustrate simple cadential profiles.(20) One may, perhaps, object to the use of Mozart's "Musical Joke" in this connection, since he may be poking fun at this hackneyed formula. No one, however, can doubt the serious character in the Beethoven work. One explanation for the simplicity of such cadential melodies lies in the fact that the single melodic goal, the tonic, encouraged the development of a limited number of stereotypical closing figures.(21) In contrast, opening ideas are freer as to their last pitch, thus allowing for a greater number of opening melodic contours.

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20. Example 1.9 illustrates the "galante cadence"; see C. L. Cudworth, "Cadence Galante: The Story of a Cliché," The Monthly Musical Record, 79 (1949), 176-78.

21. LaRue, Guidelines, p. 85.

A quick survey of cadences shows that, despite an invariant melodic goal, Haydn, Mozart, and Beethoven succeeded in composing quite a variety of cadential melodies that are every bit as beautiful as their opening melodies. For one such case (Ex. 1.10), let us return to the cadence that closes Mozart's theme discussed in the Introduction (Ex. Int.1). The melodic goal is, necessarily, the tonic. The last three bass pitches, the standard $\hat{4}$-$\hat{5}$-$\hat{1}$, support a ii6 chord followed by root-position dominant and tonic chords. In measure 10, the function of initial tonic is performed by both I6 and the tonic substitute, vi.

Now notice the cadential melody. The descent in measure 10 reaches the tonic prematurely, but the vi chord prevents harmonic closure here. In order to accommodate the cadential pre-dominant, dominant and final tonic harmonies, the melody must move from, and then return to, the tonic. Scale step $\hat{2}$ in measure 11 resolving to $\hat{1}$ in measure 12 would satisfy this requirement. This strategy, however, would not satisfy Mozart's aesthetic sensibilities. His "solution"--a leap from $\hat{2}$ up to a tone of figuration (a chordal skip) followed by a tritone leap down to the leading tone below the goal tonic--results in a melody whose contour is as graceful and interesting as the "characteristic" melody at the opening (see again Ex. Int.1, mm. 1-4).

This passage is a good illustration of how the perfect authentic cadence is handled in Viennese classical music. While the harmony and the final melodic goal are tightly prescribed, the melody enjoys a certain amount of freedom as it progresses towards its goal. Each individual pitch in the cadential melody need not have structural significance; that is, each pitch need not be harmonized by a different cadential chord (as is the case in the simple cadences shown in Exs. 1.2 and 1.8). Rather, some pitches may embellish a more structural pitch. This ornamentation of structural pitches allows for an assortment of interesting cadential melodic contours.(22)

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22. Of course, "opening" ideas can feature the embellishment of structural tones as well. The structural archetypes for opening ideas are more varied, however, since their melodic goals are not prescribed.

Another cadential melody with ornamental pitches is shown in Example 1.11a. Like the melody in Example 1.2, this excerpt includes a stepwise descent from $\hat{5}$ to $\hat{1}$. Unlike the earlier case, however, the descent here occurs over the last two chords in the cadential progression (V-I); the pre-dominant harmonic function supporting $\hat{2}$ spans the preceding four measures (Ex. 1.11b).

At this point, I would like to interrupt my discussion of cadential ornamentation in order to introduce my terminological and annotational method for referring to various cadential melodies. The following system will identify pitch contours and will distinguish between structural and ornamental pitches. Each harmony in the standard cadential progression supports a "structural" pitch. For the purposes of my system, and somewhat in line with Schenkerian theory as well, the cadential six-four chord can perform this function also. Thus, the cadence in Example 1.2 will be designated as a 54321-cadence, while that in Example 1.8 is an 84321-cadence: note that each scale step that approaches the final tonic is supported by its own harmony in a standard cadential progression. The cadence in Example 1.11, however, is a 22(35432)1-cadence. Scale step $\hat{2}$ is harmonized by both pre-dominant and dominant chords; it is also ornamented (prolonged) by the scale steps in parentheses. The final melodic goal, $\hat{1}$, sits above the expected harmonic goal, the tonic.

Within my labeling system, an underlined pitch will refer to a scale step below the lowest tonic. This distinguishes between, say, a melodic line that ascends to an upper tonic (a 578-line), and one that leaps from the dominant to the leading tone below a lower tonic (a 5$\underline{7}$1-line). Example 1.10, then, contains a 12(4)$\underline{7}$1-cadence. In this case, while both $\hat{2}$ and $\hat{4}$ in measure 11 are supported by an implied ii6 chord, $\hat{2}$ is the structural pitch that progresses to the tonic, while $\hat{4}$ is a chordal skip.

This system ignores Schenkerian prolongational concepts concerning implied pitches so that, for example, when a cadential melody circles the tonic, such as the 12(4)$\underline{7}$1-line in Example 1.10, the dip to $\underline{\hat{7}}$ will not be ignored or minimized by being considered a motion to an inner voice below an implied $\hat{2}$ that is still in effect. The need to identify

a distinct $\underline{\hat{7}}\hat{1}$ (or $\hat{7}\hat{8}$) cadential gesture will be justified by many examples to be presented below.

Let us now return to the discussion of cadential ornamentation. Example 1.12 shows how a structural 321-line can be ornamented by arpeggiation. Although a deceptive cadence at measure 61 prevents the line from closing harmonically, the melody in the perfect authentic cadence that follows is similarly ornamented.

Examples 1.13 and 1.14 each feature a common cadential figure. In order to avoid a cumbersome numerical formula for the familiar figure in Example 1.13, I will designate this double neighbour around $\hat{2}$ as "DN2."(23) In Example 1.14, the figure above the cadential dominant and tonic chords is 1(3)21.(24)

The two melodies in Example 1.14 illustrate an important point for this paper: melodic leaps in the cadential melody (a descending leap of a sixth in m. 7 and the octave leap in m. 19) are entirely stylistic. Therefore the notion that cadences are normally scalar (see pp. 10 and 16 above) must be challenged.

One final observation regarding cadential melodies remains to be offered. Although the term "cadence" originates from the Latin "cadere" (meaning "to fall"), some closing melodic lines do indeed ascend. Perhaps Schenkerian analytic techniques would come up with a different interpretation for the cadential melodies in Examples 1.15 and 1.16, but for the purposes of this paper, I consider these cadences to be structural 5678-lines.(25)

Just as descending melodic lines may be either structural or ornamental, ascending lines may be similarly categorized. The cadence

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23. According to my own system, I would have to call this cadence a "1(3)2(123)1" above 1-V7-1.

24. A more complete profile for the cadence in Ex. 1.14a, which takes into account its initial tonic (I6) and pre-dominant (ii6), is 32(46)1(3)21. The "2(46)1" component is another common cadential figure preceding the final "21."

25. The possibility of a rising Urlinie is proposed by David Neumeyer, in "The Ascending Urlinie," Journal of Music Theory, 31 (1987), 275-303.

in Example 1.17 contains a 12(56)71-line; the 5671 upward spring to the tonic contains both structural and ornamental pitches. In Example 1.18, Mozart writes two familiar ornamental melodies above a cadential six-four: a (56)71 in measures 58-59 and a "DN2" in measures 61-62.

Before closing the discussion on the cadential profile, I would like to focus on its harmonic component. In particular, I am referring to the possibility of omitting pre-dominant harmony within the cadential progression. As I observed above, and as most of the previous examples in this chapter confirm, cadences usually include pre-dominant harmony. Sometimes, however, the composer forces us to understand that even a simple I-V-I progression must be considered cadential. Example 1.14 shows two 1(3)21 cadences. Whereas the harmony for the first is made up of a complete cadential progression, the second cadence (the one that actually closes the theme in the home key) lacks pre-dominant harmony; thus, this second cadence could, out of its formal context, be perceived as tonic prolongational. When this theme returns at the very end of the entire piece, the brief cadential formula, originally found in measures 19-20, functions as the final structural cadence of the piece, thus confirming that the I-V-I progression is truly cadential (and not prolongational). Occasionally then, we must fall back on "locational" context for the correct analysis of a particular harmonic progression.

The above examples show that, although theorists describe the perfect authentic cadence as a formula, the profile of the cadence is in no way restricted to a single rigid mold. In the first place, cadential melodies range from contours that contain the barest essentials (a structural melodic line) to an ornamented melodic contour that could very well be called "characteristic." Second, although the harmony of the cadence usually includes a complete cadential progression (initial tonic, pre-dominant, dominant, and final tonic), an incomplete progression in the appropriate formal location can also express structural closure. Thus, the minimum requirements for a cadential profile are a V-I progression supporting a melody whose goal is $\hat{1}$.

This profile can even suggest a sense of cadential closure in a non-cadential context. Furthermore, a "weaker" version of this profile,

(that is, one that lacks some "required" elements) can also create a correspondingly weaker but nevertheless distinct illusion of closure. Both strong and weak closing profiles can be found at the beginning of some instrumental pieces by Haydn, Mozart, and Beethoven.

"Closing Initial Ideas"

I will now present some initial units that mimic a cadential profile. These "closing initial ideas" are indicated in the score with a bracket and the letters "c.i.i." In choosing my examples, I relied on the fleeting impression of closure created by the idea before subsequent material clarifies its formal function. I remind the reader that my "closing initial ideas" may represent the start of either the introduction or the main theme. At the beginning of either, however, a closing initial idea is a structural anomaly.

Taken out of context, the passage in Example 1.19a might be perceived as a cadential formal unit. The downbeat of measure 4 marks the end of a complete cadential progression that supports a typical cadential melody, a 32(46)1$\underline{7}$1-line similar to the 32(46)1 component in Example 1.19b. Yet this is the beginning of the piece whose first cadence is shown in Example 1.11.

Examples 1.20 to 1.22 show additional cases of such closing initial ideas which, like the one just discussed, are fully cadential in their profiles. In Examples 1.21 and 1.22, a "tag" follows the goal tonic.(26) In an appropriate formal location, however, this melodic extension in itself would not deny the possibility of a cadence; as mentioned above, cadences do not necessarily interrupt the musical flow.

Initial units harmonized by complete cadential progressions (such as those in Exs. 1.19 to 1.22) are very rare, thus showing that classical composers essentially maintain the distinction between "beginning" and "ending" profiles. There are initial units, however, whose profiles are still strongly suggestive of cadential closure, although they lack certain cadential elements; these closing initial

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26. The term "tag" was defined above in footnote 10. I will discuss the "tags" in closing initial ideas in Chapter Two.

ideas may have interesting implications for compositional strategy regarding closure later in the piece and are thus worthy of careful consideration.

Most often, the discrepancy between a standard cadential profile and a closing initial idea is due to a single element: harmony. Example 1.23 is a good illustration of how a closing gesture can occur at a "beginning": there is something not quite right about the "cadential" profile, and the culprit here is clearly the element of harmony. In this excerpt, the familiar structural ascent to the tonic above the beginning of a cadential progression gives the impression of a cadential idea whose harmonic goal has been evaded by the I6 chord at measure 4.

In the following examples of closing initial ideas, the harmonic requirements may be weak or even missing, and thus, the cadential profile is expressed by melody and rhythm. My intention is to present six "families" of closing initial ideas whose melodies resemble the cadential figures already discussed above (in Exs. 1.8 to 1.18). In other words, the melodic-rhythmic figures in the following examples seem equally at home in both "beginning" and "ending" units.

My first family of melodic profiles is the figure that I have termed "DN2" (Exs. 1.13 and 1.18b). This figure serves not only as a cadential melody but also as a "characteristic" beginnning in quite a number of pieces in a variety of genres (Exs. 1.24 and 1.25).(27)

Another family of such versatile profiles is the 1321-line.(28) Review the cadences in Example 1.14 and then compare them with the

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27. Other pieces that begin with "DN2" include Haydn's Symphony No. 85 in Bb, ii, his Baryton Trio in G, XI:125, iii, and Piano Sonatas XVI:36, ii and XVI:39, i. Mozart features this figure in his Violin Sonata No. 39 in C, K. 404, i, his Piano Concerto in B-flat, K. 595, ii, and the Andante in F for a little mechanical organ, K. 616. In Beethoven's Rondo in Three Duets for Clarinet and Bassoon WoO27/2 in F, this figure opens the transition section (mm. 27-28).

28. In assigning numbers to describe melodic contours within the context of cadences, it proved useful to use parentheses to differentiate between structural pitches (those supported by a cadential harmony) and ornamental pitches. In the context of "closing initial

initial figures in Examples 1.26 and 1.27.(29) Variants of this closing figure eliminate the characteristic rhythm of the long initial tonic (Exs. 1.28 and 1.29). Related to this group is a 321-line, either structural (Ex. 1.30), or ornamented (Ex. 1.31). In this family I will also include versions of the figure that are preceded by $\hat{5}$ (Exs. 1.32 and 1.26 after the first closing figure).

My third family of profiles is the 54321-line. We have seen that cadences with such lines may be either structural (Ex. 1.2) or ornamented (Ex. 1.11). Similarly, a closing initial idea can take the form of a bare 54321-line (Exs. 1.33 and 1.34), or a line that is ornamented (Exs. 1.35 and 1.36). Example 1.36 shows how such an ornamented line seems perfectly appropriate in either a "beginning" or an "ending" location, as examples from two completely different works reveal. In another piece (Ex. 1.37), Mozart combines 54321 with 24$\underline{7}$1 creating a "closing idea" closely related to his cadential melody in Example 1.10.(30) Example 1.38 shows a related version of this line; Beethoven allows a curt closing idea to plunge from $\hat{5}$ directly to $\hat{1}$. Although this latter melodic contour is very jagged, I have shown cases above where large leaps occur in cadential melodies.

As we saw in Examples 1.15 to 1.18 above, cadential melodies may ascend, and the resulting 5678-line may be either structural or ornamental. The following closing initial ideas include such ascending

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ideas," the melodic figures are of interest regardless of their harmonic support. Accordingly, I will generally omit the parentheses when referring to the melodic contour of a "closing initial idea." Thus, a family of "closing initial ideas" displaying a 1321-line may be harmonized in a variety of ways, as my examples will soon show.

29. The closing initial idea in Example 1.26 contains two closing melodic figures. I will discuss the second one presently.

30. The question of what is this tag's final boundary (Ex. 1.37) will be discussed in Chapter Two.

melodic lines (Exs. 1.39 to 1.41).(31) Compare the 5678 figure of the beginning in Example 1.39a with the melody of the cadence in Example 1.39b for a striking family resemblance. In contrast to the example just mentioned, the ascending beginnings in Examples 1.40 and 1.41 may not seem particularly cadential. Although the melodic goal of the initial units in these examples is clearly $\hat{1}$, each of these beginnings lacks enough elements to express a clear sense of cadential closure. I am including them here nevertheless in order to show (in later chapters) that, even in pieces with such a "weak" closing initial idea, the genuine cadential closure that occurs later in the piece may be handled in an unusual way. Continuing with the family of ascending lines in Examples 1.42 and 1.43, we find Haydn and Beethoven beginning a piece with the smallest combination of pitches that can refer to a cadential melody: 78 or 878.(32)

The fifth family of closing initial ideas is made up of melodic contours that represent, in miniature, a complete melodic process: the melody opens, often by climbing to $\hat{5}$; then it closes (Exs. 1.44 to 1.48). In Example 1.44, Haydn begins with a common opening gesture, an ascending tonic triad; closure takes the form of a 54321-line. In the next example, Beethoven uses the same melodic contour but extends it, by prolonging the goal tonic with a $\underline{5}1$ "tag" (Ex. 1.45). In Example 1.46 by Mozart, the ascending triad is followed by a drop to the leading tone before the line settles down on the tonic. In Examples 1.47 and 1.48, the ascent to $\hat{5}$ is followed by a descending arpeggiated dominant chord resolving on the tonic.

My last family includes those pieces that begin with more than one closing initial idea; we have already seen such a case in Example 1.26 above. I present two more examples below (Exs. 1.49 and 1.50). The

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31. Ex. 1.41 may be considered problematic since it begins with a confusion of key. This type of "beginning," one of Beethoven's favourite pranks, can also be found in the "cadential" opening of his First Symphony and in Ex. 1.50 below. I will deal with the tonality of these closing initial ideas in Chapter Two.

32. In Chapter Two, I will show that even a single tonic chord can refer to a perfect authentic cadence.

first closing idea in Example 1.49, a 12321-line, is a miniature opening-plus-closing profile; the second is the familiar ascent to the tonic. The closing initial idea in Example 1.50 contains three closing figures: an ascent to the "tonic,"[33] a 1321, and a 54321.

In summary, I have defined in this chapter the theoretical principles that underlie the formal functions of thematic opening and closure in the instrumental music of Haydn, Mozart, and Beethoven. I then presented some typical perfect authentic cadences in order to define more specifically the cadential profile. Finally, I showed examples of pieces whose initial units imitate these cadential formulas. In this chapter I have purposefully emphasized the degree of similarity that my closing initial ideas have to real cadences. My next step is to show how (or to what degree) these initial profiles differ from genuine cadential formulas, that is, how these beginnings perform the formal function appropriate to their location in the piece.

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33. This initial ascent to the "tonic," is much less clear than those in Exs. 1.40 and 1.41 for two reasons. First, a drum-bass pattern at the start of a piece is usually an accompanimental figure (as in Ex. 1.38). Initially then, these chords in Ex. 1.50 do not sound like a closing idea since we are not even aware of a melodic line until the end of measure 2.

Secondly, once we perceive a melodic ascent, the problem arises of a confusion of key: the opening chord, which initially sounds like a stable tonic triad with $\hat{3}$ in the soprano, must be reinterpreted as a pre-dominant supporting $\hat{6}$. The "tonic" (G in m. 3) acquires stability mainly due the unambiguous closing figures, 1321 and 54321, that follow. In spite of an unconvincing debut however, the melodic contour of an ascent to a cadential tonic will be an important feature of cadential ideas in the rest of this piece.

CHAPTER TWO

BEGINNING WITH A "CLOSING IDEA": THE MAIN THEME

In this chapter, I will study the main themes of some pieces that begin with a closing initial idea. Since these pieces start with an idea that is somewhat inappropriate to the onset of either a main theme or an introduction, I will explain how the function of beginning actually is made manifest, either in the closing initial idea itself or in subsequent material. I will next be concerned with the general form of the main theme: I will define some basic theme types and consider the consequences of starting each of these types with a closing initial idea. Finally, I will compare the closing initial idea to the cadence(s) within the main theme. Of particular interest is the cadential unit that marks the structural end of the main theme. In addition to the final cadence, I will examine internal cadential ideas, such as evaded and deceptive cadences and the cadence in the antecedent phrase of a period.

The Expression of "Beginning" in Closing Initial Ideas

In Chapter One, I showed some initial units whose profiles were similar to typical cadences. I will now emphasize the differences between these closing initial ideas and true cadences. In this section, I will give a detailed account of how harmonic or melodic components of a closing initial idea may contain elements capable of expressing the formal function appropriate to its location, that of "beginning." Even in the absence of such "opening" elements in a closing initial idea, a clear expression of the correct formal function is ultimately achieved by the idea's location within a broader formal context, as I shall show below.

I will start with the element that usually distinguishes most of these beginnings from actual cadential ideas: harmony. Some closing initial ideas, namely those whose texture is a solo line, lack any

manifest harmonic support whatsoever. As we know from Chapter One, a solo texture does not provide the essential materials (either a conventional bass line or an appropriate melody) for a standard perfect authentic cadence. Thus, even with a melodic line such as that in Example 2.1, the closing initial idea can be construed as a "beginning."

Most closing initial ideas, however, do contain an explicit harmonic content, but this content is tonic prolongational and not genuinely cadential. An unambiguous tonic prolongational progression may take the form of tonic harmony that lasts throughout the unit (Ex. 2.2), a tonic pedal below changing harmonies (Ex. 2.3), or a passing or neighbour dominant chord between two tonic chords (Exs. 2.4 and 2.5 respectively). In such cases, the lack of a cadential progression supporting a "closing" melodic figure prohibits the notion that this is a genuine cadence and allows the listener all the more to accept the functional expression of beginning.

In Examples 2.6 to 2.8, context plays an important role in our perceiving the harmonic progression of the closing initial idea to be prolongational rather than cadential. Although we know, for example, that a I–V–I progression can occasionally be used for a cadence (Ex. 1.14b), these harmonies can also be perceived as related to the neighbour-dominant type of tonic prolongation, especially when they appear in an initial location, one normally associated with a prolongational progression (Ex. 2.6). Similarly, the progression I–V–vi could occur at a deceptive cadence, but we can also hear this as a variant of the neighbour progression I–V–I (Ex. 2.7). Along the same lines, the progression in Example 2.8 would constitute an evaded cadence if it appeared in a cadential idea (due to the inverted positions of the final dominant and tonic chords). The prolongational aspect of this progression is clear, however, when it is located in a "beginning" position within the theme.

An opening melodic profile that Beethoven seems to favor is an ascending approach to a tonic whose status as the tonic of the home key is doubtful. Whether the harmony is prolongational (Exs. 2.9 below and 1.50 above) or even, possibly, cadential (his Symphony No. 1 begins with

V7-I in IV), we cannot consider beginnings with an ambiguous tonality to express a particularly strong sense of closure.

Whereas the closing initial ideas in the above examples all lack an unequivocal harmonic formula for a genuine cadence, the harmonic component in Examples 2.10 to 2.13 is very cadential. Examples 2.10 and 2.11 begin very much like the Trio in Mozart's Symphony no. 41 in C, K. 551, iii (Ex. Int.2 in the Introduction); such beginnings could easily represent the last two chords in a perfect authentic cadence. In Examples 2.12 and 2.13 (and also 1.21 and 1.22), the profile of the initial idea is convincingly cadential due to its harmonic support--a complete perfect authentic cadential progression. I will save my explanation of their "opening" elements until I discuss alternate ways of expressing the function of "beginning" in such a strongly closing initial idea.

Let us now turn to the melodic aspect of the closing initial idea. I have claimed that melody (together with an appropriate rhythm) is most responsible for the expression of closure in a closing initial idea. In cases such as a structural 54321-line, the melody is entirely closing in nature. Some melodic profiles, however, may contain elements that function to open up the theme in spite of the local melodic closure that has earned these examples inclusion in this paper. One way in which to understand how certain elements of the closing melodic idea have the potential for creating an opening is by considering their implicative meanings.(1) Meyer notes that, "once begun, a linear conjunct motion implies continuation to a point of relative stability."(2) Since a beginning often features an ascent to the active pitches within the stability of tonic harmony (that is, to $\hat{3}$ or $\hat{5}$), an initial unit that implies such an ascent is expressing its appropriate formal function of "beginning" despite its "closed" melody.

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1. In Explaining Music, Meyer defines an implicative relationship as "one in which an event--be it a motive, a phrase, and so on--is patterned in such a way that reasonable inferences can be made both about its connections with preceding events and about how the event itself might be continued and perhaps reach closure and stability" (p. 110).

2. Ibid., p. 131.

Example 2.14 presents a simple instance of an implicative linear pattern.(3) The first melodic idea, a double neighbour circling $\hat{1}$, is not only fully closed but also relatively stationary. What seems to be mere ornamentation, however, is actually the initiation of an opening process: the first two pitches ($\hat{1}$ and $\hat{2}$), imply an ascent to $\hat{3}$ (and possibly beyond). The immediate realization of this ascent in measure 3 confirms and emphasizes the capacity of the melody in this closing idea to open up the musical space and, thus, to express the formal function appropriate to its location within the theme.

A slightly more complex pattern of implicative relations can be seen in Example 2.15. Since the melody begins on $\hat{3}$, two different implicative linear patterns from this pitch may arise: a descending line toward eventual closure (on $\hat{1}$) and, since the piece has just begun, an ascent from $\hat{3}$. The compound melodic line in measure 1 sets up both implicative patterns; and both patterns are realized in measure 2. Despite the cadential effect of the ornamented 321-line, then, the F#-G strand implies an ascending continuation appropriate for a "beginning."

Implied melodic motion may be triadic as well as conjunct.(4) In Examples 2.16 and 2.17, motion from $\hat{1}$ up to $\hat{3}$ in the initial idea implies an ascent to $\hat{5}$; the prominent arrival of this scale degree in the next unit is dramatically emphasized by multiple repetitions (repeated pitches in Ex. 2.16 and octave leaps in Ex. 2.17).

I would now like to discuss another melodic element in a closing initial idea that can contribute to opening up the piece, namely, the "tag." As I explained in Chapter One, a "tag" comprises one or more pitches that follow the goal tonic of a closing idea but are nevertheless included in the formal unit of that idea. Tags can offset the initial expression of closure in three ways. In the first place, tags maintain musical motion past the goal tonic. (This situation resembles some cadential melodies that do not stop at their goal pitch, as in Exs. 1.5

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3. I have adopted a simple version of Meyer's graphs to show the implicative patterns in Exs. 2.14 and 2.15.

4. Meyer, Explaining Music, p. 157.

and 1.6.) Secondly, some tags play an important role neglected by the melody of the closing initial idea: they open the musical space by stopping on an active scale degree, a pitch that is often the realization of an implication set up by preceding pitches in the closing initial idea (Ex. 2.15). Finally, some tags perform the formal function of "beginning" by introducing material that will subsequently be developed, either within the main theme or later in the piece. A simple version of this technique can be seen in Example 2.18; the single-pitch tag climbs higher with each repetition of the initial figure (in mm. 2 and 3).

Even without implicative patterns or tags within the melody of the closing initial idea, this formal unit clearly expresses its appropriate formal function of "beginning" due to its location in the piece; context alone generates the implication that more music is expected. In the first place, no real composition is as brief as any of the closing initial ideas in my examples. Secondly, and more pertinent to this paper, a closing initial idea implies more music "not because a pattern suggests continuation to an internal goal, but rather because an event is felt to have a potential function which has not been satisfactorily actualized."(5) In other words, we wonder whether a closing idea at the beginning of a piece will turn up in a location more appropriate to its profile, that is, in an "ending" unit. And in fact, many closing initial ideas are brought back in a location where they can legitimately express the closing elements in their profile, a technique I will discuss later in this paper.

In summary, some initial formal units express a sense of thematic closure, while at the same time generating other processes that do perform the function appropriate to their location within the piece, that of "beginning." In some initial units, the necessary harmonic requirements for a genuine cadence are lacking. In others, certain elements of the melody initiate "opening" processes. In all cases, context alone creates a sense of beginning, since no listener is fooled

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5. Meyer, Explaining Music, p. 196.

into believing that these closing initial ideas mark the end of a theme or that no music will follow these initial measures.

The "Opening" Role of the Second Formal Unit

Up to this time, I have focused primarily on the closing initial idea. I would now like to study the formal unit that follows this idea. Of interest here is how musical motion gets underway after a beginning that has partially neglected its form-functional duties. I will distinguish between continuations that repeat the closing initial idea and those that introduce contrasting material.(6)

a. Repetition

Repetition, according to Caplin, can fall into three main categories: exact, statement-response, and sequential.

> These categories are based upon the harmonic context in which the repetition occurs. Thus an exact repetition of an idea maintains the same fundamental harmony of its original version. Statement-response repetition features a "dominant" version of the idea juxtaposed with the original "tonic" version. Sequential repetition involves transposing a complete idea to another scale degree, thereby initiating a sequential harmonic progression.(7)

Both statement-response and sequential repetition open the piece melodically and harmonically by shifting an idea whose goal is the tonic to a pitch that is an active scale degree. Example 2.19 shows a simple type of statement-response repetition, an idea supported by tonic harmony paired with a repetition in "dominant" form. (The register shift in this particular repetition also contributes to the expression of opening by widening considerably the musical space.)

An example of sequential repetition can be seen in Example 2.20. We understand that this closing initial idea represents the beginning of the

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6. Repetitions are indicated in the score by a "%" above a bracket; "Ctr." refers to contrasting material.

7. Caplin, Formal Functions, Ch. 3, p. 8.

main theme because the two chords in measure 1 are set off by a double bar line and because the closing initial idea is immediately treated to sequential repetition, a possible type of opening construction for main themes. There is another way of hearing the first five measures of this piece, however, a way that both minimizes the introductory nature of the first two chords and highlights the closing nature of the closing initial idea. Measures 1-5 combine to form a short but complete unit comprising a one-measure (skeletal) opening idea, a measure of suspenseful silence, a two-measure closing idea, and another measure of silence. A closer look at these five measures shows that a melodic motion from $\hat{1}$ to $\hat{5}$ in the first two chords is followed by an empty bar that creates uncertainty regarding the next musical event. Measures 3-4 "explain" the first two measures as follows: an ornamented repetition of the opening $\hat{1}$-$\hat{5}$ gesture is "answered" by a closing line that returns from $\hat{5}$ back to $\hat{1}$. Unlike the surprising silence in measure 2, the silence in measure 5 sets a closed unit off from succeeding material, confirming the expression of closure in the second two-measure unit (that is, in the closing initial idea). Only the sequential repetition of this "second" unit allows the listener to perceive a new formal group--a "basic idea" (mm. 3-4) together with its repetition (mm. 6-8).(8) Thus, the closing initial idea is now a "first" unit (a "basic idea") while, at the same time, the first two chords, excluded from this new grouping structure, are relegated to the function of introduction.

The third type of repetition, exact repetition, does not necessarily mean a literal repetition. Since the element of harmony primarily defines the category, the melodic component may be slightly varied. The simplest way to open the musical space with exact repetition is to repeat the melody either in a different register (Ex. 2.21), or as a melodic sequence a third higher (Ex. 2.22).

In contrast to the examples above, which illustrate how opening is achieved by repetition, the next three examples (Exs. 2.23 to 2.25) show

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8. In a main theme, the "basic idea" is the first, two-measure unit; a "basic idea" presents "the fundamental melodic material of the theme" (Caplin, Formal Functions, Ch. 1, p. 2).

how repetition can seem to emphasize the closing elements in an initial unit. In Example 2.23a, the closing initial idea is followed by a rhythmically-diminuted repetition (mm. 4-6), one that resembles a typical codetta-like profile, as Example 2.23b illustrates.

A change in texture, when combined with repetition, can also help to highlight the expression of closure within the first few measures of a piece. In Example 2.24, Haydn does not repeat the closing initial idea in its entirety; ignoring the "opening" ascending triad, he repeats only the closing figure. Moreover, a change in texture helps to articulate closure in measure 3: after the arrival of the melodic goal tonic, a rest in all voices stops the musical motion abruptly, a texture similar to the end of the codetta in Example 2.23b and the codetta-like "beginning" in Example 2.23a.

In Example 2.25a, the repetition of the closing initial idea (mm. 3-4) features one simple change: the tag that provided continuity from the first unit to the second has been eliminated.(9) When the goal tonic appears in measure 4, a new texture, an Alberti bass, begins. As I mentioned in Chapter One, an Alberti bass is a type of accompaniment pattern often associated with "the sense of a 'true beginning' (of the musical discourse). . . after a less stable texture."(10) Thus, the accompaniment that begins in measure 4 contributes to the sense of closure expressed by the initial idea and its repetition by "convey[ing] the sense that a new . . . segment--a melodic statement or presentation--has begun."(11)

The literal repetition of one specific type of initial unit creates a funny and fascinating version of a closing initial idea. Since what seems at first to be the final pitch in this type of unit is either scale degree $\hat{7}$ or $\hat{2}$, such a beginning would not express an inkling of closure within its own formal boundaries; when repeated, however, its first pitch

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9. The joint between the "tag's" last pitch and the onset of the repetition is camouflaged by the half-note "C" in m. 2, as my "incorrectly" notated half note shows in Ex. 2.25b.

10. Levy, "Texture," p. 491.

11. Ibid., p. 496.

is suddenly revealed to be the goal of this presumed final pitch which is then understood retrospectively to be the penultimate pitch. This situation might be seen as the musical version the comedic archetype described by Evan Esar: "Billy Rose entered a plane. Billy rose."(12) Example 2.26a illustrates what I shall call a "Billy Rose" opening.(13) The bass in measures 2-3 is typically cadential while the melody resembles a version of the ornamented cadential melody in Example 2.26b. In this example, the initial pitch of the repetition performs a double function: it acts as the goal for the previous unit as well as initiating another (elided) statement of the "Billy Rose" unit.(14) Such a beginning is like the spinning wheels of a car stuck in the snow: a flurry of activity with no forward motion, but strongly implying a future progression to a more satisfactory goal. Similar "Billy Rose" structures appear in Examples 2.27 to 2.30.

Although a "Billy Rose" construction suggests (fleeting) closure, the closure is problematic for rhythmic reasons. In Examples 2.26, and 2.27, the goal tonic of the closing initial idea falls in the third measure. Since most themes span an even number of measures, the downbeat of an odd measure is an awkward location for a typical cadential goal. Even if the goal tonic falls in measure 4, as it does in Examples 2.28 and 2.29, the phrase elision ensuing from a "Billy Rose" construction upsets the symmetrical binary groupings typical of this music by forcing the second goal tonic to arrive in measure 7, another uneven measure.

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12. Evan Esar, The Humor of Humor: The Art and Technique of Popular Comedy (New York: Horizon Press, 1952), p. 37. Quoted in Jane Perry-Camp's "A Laugh a Minuet: Humor in Late Eighteenth-Century Music," College Music Symposium, 19/2 (1979), p. 23; Perry-Camp is referring to the first movement in Mozart's Musical Joke, KV. 522, (my Ex. 2.28). This phenomenon is also discussed by Kramer (pp. 149-150), using the A Major Fugue from J. S. Bach's Well-Tempered Clavier, vol. 1 (1722); Kramer shows how the beginning--a lone tonic followed by rests--is later seen to perform the formal function of ending as well.

13. "Billy Rose" units are indicated by a bracket that ends with an arrow pointing to the goal tonic, a pitch that begins the repetition.

14. Ex. 2.26, m. 5, is another instance of an Alberti bass accompaniment signaling what Levy calls a "true beginning" ("Texture," p. 491).

"Billy Rose" repetitions, like the repetitions of all closing initial ideas, are, in fact, a forceful expression of opening. The repetition of a formal unit at the beginning of a piece signifies continuation, since we know that something new must follow. This is all the more true when the repetition involves a closing initial idea, a unit strongly implicative of continuation in its own right, since its potential as a cadential idea may be an important feature in the rest of the piece. In pieces that start with the repetition of a closing idea, much of the responsibility for opening the melodic and harmonic space must be postponed until the repetitions end. Ironically then, a powerful motivating force for musical mobility and continuation is generated by the repetition of an initial idea that expresses a strong sense of closure.

b. Contrasting Material

I will now turn to pieces in which the closing initial idea is immediately followed by contrasting material.(15) In this connection, I will discuss two types of formal construction. In the first type, the contrasting unit is understood to mark the actual onset of the main theme, the theme's "basic idea"; thus, the formal function of the preceding closing initial idea must be retrospectively construed as introductory (Exs. 2.31 and 2.32).(16) In the second formal type, the contrasting material does indeed function as the second unit in the main theme; in this case, the closing initial idea represents the "basic idea" of the theme (Exs. 2.33 to 2.35).

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15. "Contrast" is defined here as any idea that is not a repetition in the sense discussed above.

16. At this point, I remind the reader again that the closing initial idea may mark the start of either the introduction or the main theme. And again, I warn that in the discussion that follows, I must continue to be somewhat imprecise regarding the formal function of the closing initial idea. When I discuss full-movement forms in Chapter Four of this paper, we can finally observe how first, the repeat signs at the end of the exposition and then, the recapitulation of the main theme, distinguish between the main theme's "basic idea" and introductory material.

I will begin with those pieces in which the formal function of the closing initial idea seems introductory. In the second formal unit in Examples 2.31 and 2.32, drastic changes in melody, rhythm, and texture separate it from the preceding unit, creating the impression that this second unit represents the onset of the main theme while the initial unit serves as an introduction. The sense of opening in these themes is conveyed not only by the absence of closing elements in the contrasting, second formal unit, but also by the presence a textural sign of a "true beginning"--a conventional accompaniment pattern. In Example 2.32 moreover, a double barline between the first and second formal units is a notational device suggesting that the first unit is a brief introduction.

In the second type of construction featuring contrasting material, the main theme begins with a closing initial idea (as basic idea) and continues with a contrasting idea. In such themes, the contrasting material in the second formal unit quickly and efficiently makes up for the apparent inertia of the preceding basic idea, and provides the energy for the main theme (and the piece) to get finally underway. Although changes in texture and rhythm are, no doubt, interesting to consider, I have observed that the function of opening in a contrasting second formal unit is usually achieved by one (or both) of two very simple means: melody and harmony. First, the contrasting unit often introduces one or more pitches higher than the highest pitch in the initial unit (Exs. 2.33, m. 5, and 2.34, m. 3). Second, the contrasting unit ends with the sense of open harmony. The degree of opening may range from the absence of any cadential profile whatsoever (Ex. 2.33) to an inconclusive cadence such as a half cadence (Ex. 2.34) or, sometimes, an imperfect authentic cadence (Ex. 2.35).

To summarize, in pieces where the first unit expresses a weak sense of opening, this initiating function is always achieved by the second unit. Repetition at the beginning of a piece implies continuation, although the exact nature of the continuation is, as yet, unknown. Contrasting material widens the musical space and leaves the piece open both melodically and harmonically.

Closing Initial Ideas and the Main Theme's Cadence

We have just established that, by the end of the unit following the closing initial idea, the piece has unequivocably "begun." Despite the closing elements at the start of the piece, sufficient opening elements in the second formal unit provide a clear sense of musical mobility at this point.

We can now consider how the thematic unit so opened eventually achieves cadential closure. It is particularly interesting to see exactly what strategies are used by Haydn, Mozart, and Beethoven to distinguish between a true cadential idea and a "closing idea" located in an initial unit. Before looking at the cadences of some of the main themes discussed in previous examples, I will summarize the basic structure of four formal types used for main themes in this style: the "sentence," the "period," the "small ternary," and the "small binary."(17) I will then show the consequences of a closing initial idea on the cadential area of each of these theme types.

We have seen that an initial unit can be followed by either repetition or contrast; and the contrasting unit may or may not end with a cadence.(18) These two structural possibilities lie at the basis of the distinction between the sentence and the period. A model sentence is an eight-measure theme beginning with a two-measure basic idea that is immediately repeated; these four measures comprise the "presentation phrase." The remaining four-measure unit, the "continuation phrase," is free as regards motivic content, but must close with a cadence (Ex. 2.36, mm. 1-8). A model period is an eight-measure theme whose two-measure

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17. My description of these theme types is a highly simplified version of the detailed explication found in Caplin, Formal Functions.

18. Thematic cadences, in progressive order of increasing cadential "strength" are classified as follows: (a) the "half" cadence (whose harmonic goal is V); (b) the "imperfect authentic cadence" (the final tonic chord supports either $\hat{3}$ or $\hat{5}$ in the soprano), and (c) the "perfect authentic cadence" (the final tonic chord supports $\hat{1}$ in the soprano). Deceptive or evaded cadences are "internal" cadences, ones normally followed by an authentic cadence.

basic idea is followed by a contrasting idea ending with a weak cadence; these four measures comprise the "antecedent phrase."(19) The remaining four measures, the "consequent phrase," consist of a restatement of the "basic idea" (often varied) followed by a contrasting unit ending with a stronger cadence (Ex. 2.37, mm. 1-8).(20)

The model small ternary (Exs. 2.36 and 2.37) and small binary (Ex. 2.38) both begin with either a sentence, a period, or an unconventional theme type that ends with a cadence in the home key or in a closely related key. The three-part design of the small ternary consists of such a relatively closed thematic unit (Section A or "exposition") followed by a structurally open unit of contrasting organization (Section B or "contrasting middle"), and ending with a restatement of the original unit that must close in the home key (Section A' or "recapitulation"). The two-part design of the small binary arises from the absence of a recapitulation, that is, by not bringing back the initial idea of Part I within Part II of the form.

Since all four theme types include specific cadential areas, those themes that begin with a closing initial idea face the threat of a redundant expression of closure. Such themes must cope with the possibility of crowding too many closing ideas in such close proximity that the true functional cadence is unconvincing. Due to the different forms of each theme type, a closing initial idea will affect the cadential area of these forms in a different way.

I will begin with the shorter theme types--the sentence, and the period. In a sentence that does not feature literal repetition in its

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19. In some main themes, the contrasting unit does not end with a cadence (Ex. 2.33). I intend to categorize this type of theme, as well as those that do not fit into the four categories above, simply as "unconventional." Those main themes that resemble a sentence or a period without adhering strictly to the model will be called a "loose sentence" or a "loose period."

20. Cadential weight is defined irrespective of tonality. Although the final goal harmony in both mm. 4 and 8 are represented by the same chord, D major, this chord in m. 8 represents the goal of a perfect authentic cadence, a cadence stronger than the half cadence ending in m. 4.

presentation phrase, the composer has enough time to begin opening processes (at m. 3) before a cadence is due (at m. 8); in the case of literal repetition, however, less time remains between the end of the repeated closing initial idea at the end of measure 4 and the cadential idea. The initial and cadential closing ideas are even more proximate in the consequent phrase of a period, especially if the recurrence of the closing initial idea is the same as that of the antecedent phrase; in such cases, initial and cadential "closing ideas" sit side by side in measures 5-6 and 7-8. Some themes are "hybrids" of the sentence and period forms; that is, their formal units include combinations of sentence and period phrase structure.(21) As such, the relationship between their initial and cadential closing ideas depends on the extent to which the theme as a whole resembles either of the two standard theme types.

Both the small ternary and small binary forms contain two important cadential areas: the end of the first thematic unit (Section A and Part I respectively), and the end of the larger form as a whole. In a small ternary, the recapitulation poses a great threat of overexposing the expression of closure, especially when Section A consists of a period; such cases could present, at most, six appearances of closing ideas: four in the closing initial ideas (i.e., at the beginning of the antecedent and the consequent in both the A and A′ Sections) and two authentic cadences (at the end of the A and A′ sections). The small binary, on the other hand, never brings back the closing initial idea in the home key; this form is thus free of the danger of redundant closure.(22)

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21. See Caplin, Formal Functions, Ch. 5, pp. 1-8 for a description of various "hybrid" theme types.

22. Many complete short pieces resemble in their overall form a small ternary or a small binary; thus, the last cadence for the theme type also serves as the final cadence for the composition as a whole. In this chapter, I am interested only in those cadences that mark the end of the main theme within a larger composition; I will save my discussion of final structural cadences for Chapter Three. For these short pieces then, only the cadence at the end of the first thematic unit will be mentioned below.

At this point, I would like to return to a concept introduced in Chapter One--the "strong" or "weak" version of a cadential profile. In that discussion, relative strength in closing profiles referred to the distinction between the capacity of an initial idea to express a "weaker" sense of closure since it lacks some "required" elements for genuine cadential closure. I would now like to expand this concept to include relative strength between cadences within the same theme. A theme with more than one cadence should normally feature the "strongest" cadential profile in its final thematic cadence. For example, Part I of a small binary, or the A section of a small ternary, may end with an inconclusive cadence (such as a half cadence, an imperfect authentic cadence, or one in a closely-related key). If, however, this location contains a perfect authentic cadence, its profile should, in some sense, be "weaker" than the cadence that closes the theme in order for the strongest expression of closure to occur at the end of the theme. Needless to say, an unambiguous expression of cadential closure also requires that any perfect authentic cadence within a theme should display a profile "stronger" than that of a closing initial idea that precedes it.

In most themes, relative strength in closing profiles is appropriate to a given unit's location within the theme. Such is usually the case even when there is a definite motivic relationship between initial and cadential ideas within a theme. In some themes, however, the normal progression of relative strength in closing profiles is upset, as I shall soon show. Accordingly, my discussion on the relative strength of closing profiles within a main theme is divided into two main categories. The first category includes those themes in which the expression of closure in any given formal unit is perfectly appropriate to its location within the theme. In this category, cadences may be divided into two groups: (a) those that avoid an expression of closure in any way similar to that in the closing initial idea; and (b) those that, on the one hand, borrow and display some of the closing elements in the initial idea, but on the other hand, maintain a definite distinction between their own (cadential) profile and that of the initial unit. The second category includes those themes that, for a variety of reasons, feature a problematic expression of cadential closure. This second category

contains three groups: (a) conventional cadential profiles, like those in the first category, which, however, express an unconvincing sense of cadential closure due to contextual problems, (b) "weak" cadential profiles, and finally, (c) missing cadential profiles.

I Strong Cadential Profiles

In this section I will first discuss the two types of conventional cadences mentioned above: those that avoid redundancy by featuring material different from that in the closing initial idea, and those that deliberately copy motivic ideas from the closing initial idea. At the end of this section, I will show how, even in the case of themes whose closing initial idea features a very strong cadential profile, this profile is, nevertheless, a weaker version than that of the thematic cadence.

a. Cadences that contrast with the closing initial idea

A composer can avoid referring to the closing initial idea in the cadential area by two simple means: by directing the cadential goal to a pitch other than the home key tonic, or by introducing a different cadential melody. The easiest way to avoid redundancy in closing ideas is to choose any cadence other than a perfect authentic cadence in the home key. For example, the first section of a small ternary or a small binary may end with a perfect authentic cadence in the dominant region (Exs. 2.37, m. 8, and 2.38, m. 6). A cadence that remains in the home key, but still avoids the melodic goal of the closing initial idea, is a half cadence, such as the one that ends Part I of the small binary in Example 2.39.

In themes that include both a closing initial idea and a perfect authentic cadence in the home key, the approach to the second goal tonic can sound fresh and interesting if the register of this second tonic is different from that of the goal tonic within the initial idea. This strategy can be especially effective in the case of a period whose consequent phrase brings back the closing initial idea intact, thus threatening to juxtapose two closing melodic figures within the phrase.

An illustration of the strategy of register change can be seen in Example 2.40.(23) The antecedent phrase in this main theme ends with a half cadence (m. 8). The melodic goal of this cadence, scale degree $\hat{7}$, is approached (and prolonged) by a conventional scalar descent leading to a register below the goal tonic of the closing initial idea (m. 4). The melodic goal of the half cadence, then, promises eventual closure on the specific tonic a semitone above it (and an octave below the goal tonic of the initial idea). Notice, however, that the scalar approach to this goal, found in the antecedent phrase, is missing in the consequent phrase. This gives the impression that the melodic line, after climbing purposefully from $\hat{2}$ to $\hat{6}$, plummmets abruptly to the lower tonic, as if suddenly remembering not to duplicate the register or the ascending profile of the closing initial idea.

Whereas the cadential goal tonic can move to a lower register to avoid duplicating that of the goal tonic in the initial idea, as in the preceding example, a similar effect is possible by lifting the cadential goal tonic to a register above that of the initial goal tonic. An interesting case occurs in Example 2.36. In the A section of this small ternary, the ornamented 321-line in the closing initial idea is stated three times (mm. 1-6); a fourth approach to this tonic is avoided by cadencing in the dominant key. For the cadence closing the A′ section, this cadential option is not available, since the theme must eventually end on the home key tonic. Haydn's solution to closing on a tonic other than the overworked goal of the closing initial idea is to direct the melody in Section A′ to a higher tonic. The melodic line ascending to this goal features a development of material that, initially, did not seem particularly significant: the upbeat preceding the repetition of the initial idea (m. 2). In measure 16, this ascending stepwise figure becomes the model for a melodic sequence that arrives on a prominent $\hat{5}$ in measure 18. The brief compound line that follows, $\hat{5}\underline{\hat{6}\hat{6}}\underline{\hat{7}}$ (mm. 18-21), suggests that the cadence may, after all, close in the register of the closing initial idea. At this point however, the characteristic rhythm

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23. Although this period spans sixteen notated measures, its quick tempo makes it sound like a unit of eight "hypermeasures."

and stepwise motion of the original upbeat figure carries the line directly to the upper tonic, and safely away from the register of the goal tonic in the closing initial idea. Note that the registral uncertainty created by the descending leaps makes the ultimate closure an octave higher all the more striking.

Whether the goal tonic of a thematic cadence is higher or lower than that of the closing initial idea, the differentiation between "beginning" and "ending" melodic goals by register provides a great deal of interest for the careful listener. A closing idea in the main theme that occupies the register of final closure for the piece is, retrospectively, understood to feature a "stronger" closing profile than a closing idea in a register that does not close such an important structural level. During the rest of the piece, then, the listener must now keep track not only of pitch classes, but also of pitches within a specific register to determine which register is the one that, ultimately, functions to close the piece as a whole.

There are, of course, many main themes in which the goal tonics of both the initial idea and the cadential idea share the same register. To avoid potential melodic redundancy, the composer can use the obvious technique of substituting a different, but familiar, "closing" figure in the cadence. Example 2.41a shows the closing initial idea, essentially a 5$\underline{7}$(2)1, of a small binary in which both Parts I and II close with cadences featuring the different figure, 1(3)21 (Ex. 2.41b shows the cadence of Part II). In Example 2.42, another cadential formula, 2(65)$\underline{7}$1 (mm. 7-8), contrasts with the 3(5)4(3)21-line in the closing initial idea. The consequent phrase of a period is a particularly convenient location for such a strategy. In Examples 2.43 and 2.44a, a cadential $\underline{(56)7}$1-line contrasts with the melody in each of these themes' closing initial idea.(24)

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24. Ex. 2.44 shows an interesting development of a "tag." Ex. 2.44a is an excerpt from the A′ Section of a small ternary; thus, the cadence follows a varied restatement of the closing initial idea. Whereas this restatement widens the final interval in the "tag," the cadential melody incorporates a reference to the "tag's" original triadic shape (Ex. 2.44b). Thus, a unit that first $\underline{\text{followed}}$ a goal tonic now $\underline{\text{precedes}}$ the closing melodic figure, $\underline{(56)7}$1, that ends the theme.

Example 2.37 shows how a variety of compositional techniques can cooperate to differentiate between the thematic cadences and a closing initial idea. As mentioned above, the A section of this small ternary is in the form of a period. In addition to the standard number of cadential ideas necessitated by such a form, the closing initial idea in this theme comprises two closing figures (Ex. 1.26), both of which can potentially recur in the consequent phrase and, twice more, in the recapitulation. The threat of such a glut of closing ideas is handled in the following way. In the A section, the tonic as a cadential goal is avoided by a half cadence in the antecedent phrase (m. 4) and a perfect authentic cadence in V in the consequent (m. 8); this latter cadence emphasizes its expression of cadential closure with a conventional signal: the cadential trill (m. 7). In the recapitulation, Haydn avoids a tiresome double recurrence of the closing initial idea by restructuring the form of the original period that appeared in Section A: the two phrases of this eight-measure period are replaced by an expanded eight-measure consequent phrase. Thus, a substantial amount of music separates the cadence (mm. 21-22) closing the A′ section from the closing initial idea that appears at its begining (m. 15). In addition, this cadential melody is different from both closing figures in the closing initial idea.

b. "Twin" melodies in cadential and initial ideas

In contrast to the examples above, in which the closing melodies of the initial and cadential units are different, the next group of examples feature what seems like a curious game on the part of the composer: some salient feature of the main theme's cadential melody is related to the closing initial idea. This "twin" relationship will be demonstrated in Examples 2.45 to 2.52.

In some themes, initial and cadential goal tonics of "twin" melodies occupy different registers. As I mentioned above, the use of register to differentiate between initial and cadential goals in a main theme may be an important factor later in the piece, since one wonders which closing idea in the main theme occupies the register that will eventually close the piece as a whole. In the case of "twin" closing ideas, this issue is all the more interesting since register now becomes an important factor

in contributing to the "strength" of closing profiles that may be otherwise quite similar. Although the "twin" closing ideas in Example 2.45 are not identical, the melodic figure in the cadence clearly refers to that in the closing initial idea that precedes it: the descending triadic figure, 42$\underline{7}$ (mm. 1-2 and 27-28), leads to the onset of the final tonic chord in both initial and cadential ideas. We will see, in Chapter Four, the role of register in the "final" cadence and the post-cadential material of this piece.

The resemblance between closing ideas may be much stronger than in the preceding example, such that registral difference may be an important means of distinguishing between these almost identical "twins." Example 2.46 shows a closing initial idea (mm. 1-2) together with its "twin," the cadence that closes the A section of a small ternary (mm. 9-10.) A second "twin" cadence, in the A′ section of this theme, lies an octave higher than both the preceding closing ideas (mm. 31-32). Since the "strongest" closing profile in a main theme should be that of its last cadence, we may expect that closure at the end of the piece will occur in the higher register; we will return to this piece in Chapter Four.

In Example 2.46, the "twin" closing ideas in the same register included an internal cadence (mm. 9-10), that is, a cadence that does not close the theme as a whole. In many other themes with "twin" closing ideas, the last thematic cadence can share the register of the initial idea. Example 2.47 provides a clear illustration. Another theme (Ex. 2.48) shows how an initial "DN2" can be modified to function as either a half cadence (mm. 7-8) or a conclusive cadence (mm. 35-36).

"Twin" closing ideas can occur even in the period form, which seems an unlikely theme type for such a construction since its consequent phrase normally consists of a basic idea immediately followed by a strong cadential idea. With adjustments in the consequent phrase, however, even the period form can be framed by "twin" closing ideas, as the next two examples show. In a theme by Mozart (Ex. 2.49), the cadential idea (mm. 7-8) presents a varied, but familiar, version of the closing initial idea's 1(3)21-line. The consequent phrase is "adjusted" by sequencing the melody of the closing initial idea above a new harmonic support (mm.

5-6), thus avoiding the juxtaposition of two (rhythmically-different) 1321-lines.

In a small ternary by Haydn (Ex. 2.50), the A section consists of a period whose cadential ideas (mm. 6 and 12) are both very different from the closing initial idea that precedes them. In contrast, the A′ section of this theme features a single phrase that is framed by "twin" closing ideas (mm. 21-22 and 29-30). But unlike a standard four-measure consequent phrase made up of a two-measure basic idea and a two-measure cadential idea, the single phrase of this A′ section has been expanded, such that intervening material separates the basic idea from the cadential idea. We have already seen an A′ section that features a similarly-adjusted period in Example 2.37. In that case, the adjustment in the A′ section seemed an apparent effort to avoid the double recurrence of the closing initial idea that the two phrases of the period form normally require. Whereas Example 2.37 avoids any further duplication of its initial melody, the theme in Example 2.50 highlights the capacity of its initial melody to express cadential ideas by "twinning" it twice: first, in the half cadence at the end of the B section (mm. 18-20) and then, in the last cadence (mm. 28-30).

Another piece, this one in small binary form, also contains "twin" closing ideas framing the main theme; the initial idea and last cadence of this theme are shown in Example 2.51. The cadence that closes Part I of this theme has already been mentioned in connection with avoiding the duplication of closing melodies (Ex. 2.42). Like Example 2.50 just discussed, then, this binary theme first avoids and then returns to materials of the closing initial idea, making the last "twin" cadential profile all the more unexpected.

Sometimes an accompaniment pattern, rather than a melodic idea, can create a sense of "twinning," as Example 2.52 shows. Although the tonic chord in measure 3 is the goal of a cadential progression, we know that this chord initiates the onset of a "Billy Rose" repetition of the closing initial idea (Ex. 2.26). The brief but distinct accompaniment pattern associated with this chord returns, however, with the genuine cadential goal in measure 12. The pairing of the cadential goal tonic with this accompaniment pattern reinforces our suspicion that the "Billy

Rose" tonic in measure 3 (and perhaps even the very first chord in m. 1) was very cadence-like indeed.

As I have mentioned, in (almost) all the above themes with either "twin" or different initial and cadential melodies, the complete profile of the initial idea is clearly weaker than that of the cadential idea. And the element responsible for this difference is, at this point in the paper, predictable: harmony. Most obvious are the beginnings that lack the minimum harmonic requirement for a perfect authentic cadence, a V-I progression. Thus, in Example 2.50, the tonic pedal (mm. 1-2) prohibits us from hearing a truly cadential idea in spite of the "twin" closing melodies. Example 2.49 also lacks the necessary requirements for a conclusive cadence.

In connection with the use of harmony to define the formal function of a particular unit, Example 2.47 shows how a piece can define its own rules regarding the relative strength of closing gestures. Although the closing initial idea (mm. 1-2) contains all the elements necessary for a cadence, including essentially the same melody as that in the cadence that follows it, its bass line seems incomplete when compared with the bass line of this cadence (mm. 9-10). Thus, in retrospect, the harmony supporting the closing initial idea is understood as prolongational rather than truly cadential.

In other themes with "twin" closing ideas, even those whose initial ideas are harmonized by a complete cadential progression, closing profiles are distinguished by a different, but equally simple, device: the cadential area is longer than the closing initial idea. An enlarged cadential area is normally due to a harmonic progression that is expanded relative to the one in the closing initial idea. Such is the case in Example 2.51, where the cadential progression in the last cadence spans one measure more than that in the closing initial idea. The particular type of expansion in this final progression is interesting to observe. The expansion is mainly due to the dominant harmony; whereas in the initial unit, this harmonic function occupied the value of half a beat (m. 2), this harmony in the cadence stretches across an entire measure (m. 15). This latter, more spacious dominant, together with the final tonic, performs an important role: it supports the entire "twin" melody

that first appeared above a complete, but briefer, cadential progression in the initial unit. Thus, in the last cadential progression, the initial tonic and pre-dominant chords must be shifted back one measure to accommodate the expanded dominant harmony.

For a theme that is not framed by "twin" closing ideas, but whose closing initial idea features a very strong version of a cadential profile, the device of expanding the harmonic progression of the last thematic cadence effectively creates an even stronger expression of closure in the appropriate formal location of the theme. A good illustration can be seen in Example 2.53, where, in the true cadential area, pre-dominant harmony expands considerably relative to its duration in the initial unit.

The cadential area of a theme may also be enlarged by being extended with additional formal units. In Example 2.52, measures 2-3 contain what initially seems like a competent closing profile, until we compare it to the genuine cadential idea that closes this theme (mm. 9-12). Not only does the cadential progression (mm. 11-12) span a greater number of beats than does the initial progression, but this cadential progression represents only part of the complete cadential area, a unit embracing measures 9-12. The first two measures (mm. 9-10) end in a deceptive cadence, which necessitates an extension to the cadential area, namely, the addition of the final two measures that do achieve thematic closure. The greater length of the complete cadential idea enhances its teleological character and places greater emphasis on the cadential goal when it finally arrives, making the resolution to the final tonic more satisfying. Once we hear the true cadential idea for this theme, the profile in the closing initial unit retrospectively seems relatively "weak," and thus appropriate for its location within the form.

Delaying the cadential goal can also be achieved by extending pre-cadential material, thus deferring the onset of the cadential idea. For instance, the "loose sentence" shown in Example 2.47 begins in standard fashion with a closing initial idea and its repetition. An extension in the continuation phrase, however, shifts the expected cadential goal from m. 8 to m. 10, thus making its arrival more of an "event."

II Problematic Cadential Ideas

This section focuses on three types of "problematic" cadential ideas. In the first type, a perfectly conventional cadential profile occurs in a context in which the expression of cadential function is weakened. The second type of cadential profile is so "weak" that, taken as an isolated unit, it might not even be recognized as a cadential idea. In the last category, the very existence of a cadential idea within the boundaries of the main theme is doubtful.

a. Conventional But Unconvincing Cadences

Up to this point, cadential ideas in themes that began with a closing initial idea have conformed to the stylistic norms and have been clearly distinct in their function. In addition, the degree of "strength" in the expression of closure was appropriate to the formal location of each closing idea. I will now discuss some main themes whose cadential ideas contain irregularities of various kinds. Although a standard cadential profile appears in the appropriate formal location in the next three examples, the cadential profile fails in each case to express its cadential function in an unambiguous fashion.

Example 2.38 shows a small binary theme with two conclusive cadences (mm. 6 and 11), both of which feature a "stronger" closing profile than that of the closing initial idea due to the complete cadential progressions in the cadences as compared with the I-V-I progression in the closing initial idea. In this piece, however, the profile of the second cadence (mm. 10-11) is not as "strong" as its first (interior) cadence. A comparison of the two parts of this small binary shows that, whereas Part I is six measures long, and includes a cadential area that occupies its two last measures, the cadence in Part II is shorter, ending somewhat abruptly in the odd-numbered fifth measure of this part (m. 11). A return of the closing initial idea in the following measure 12 might suggest that the entire theme will begin again. But the immediate reappearance of measure 7 when Part II is repeated (according to the repetition signs) clarifies the formal function of measure 12: it is a codetta that maintains symmetry between the uneven "halves" of the small

binary after the listless, awkwardly-placed cadence in measure 11. A speculative explanation for the shorter second part in this binary might be the following. In composing a Theme and Variations movement, Haydn wanted a binary theme featuring two specific elements: an equal number of measures in its two parts, and a short codetta that would refer to his unusual closing initial idea. In order to preserve the symmetry between the parts of the form, then, the cadential unit in the second part is shortened to allow for the codetta, a codetta that plays an important role during the course of this piece, as I shall show in Chapter Four.

In the next theme, Example 2.54, the expression of cadential function is ambiguous because the cadential idea occurs in a unit that is a sequential repetition of a previous unit. This eight-measure theme resembles a period: its "antecedent phrase" (mm. 1-4) ends with a cadence whose goal is the dominant; the "consequent phrase" (mm. 5-8), in contrast, ends with a perfect authentic cadentic in the home key. But close examination reveals that the "antecedent" and "consequent" phrases actually relate more to each other as a model followed by a sequential repetition. Thus, although the cadence in measure 8 is functional within its own unit, it has limited cadential scope because it is part of another process that is noncadential.(25) As a general rule, repetition at the beginning of a piece expresses the sense of opening, one which implies further continuation and eventual cadential closure. Thus, although this eight-measure unit ends with a conclusive cadence in the home key, the cadential gesture in measures 7-8 is not entirely convincing because of its membership within a sequence. We will see, in Chapter Three, how later in this piece, a cadential profile, one that is very similar to measures 7-8, is organized such that it does indeed express an unambiguous sense of closure.

A third theme illustrates that even the minimum requirements for a cadential profile are not always sufficient to express a truly convincing sense of cadential closure. The form of the main theme in Example 2.55 is unconventional. A three-measure closing initial idea is followed by

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25. Caplin discusses "limited cadential scope" in Formal Functions, Ch. 5, pp. 16-17.

contrasting material (mm. 4-6) that does not end with a cadence. A restatement of the initial unit in measure 7 (like that in the consequent phrase of a period) implies the imminent arrival of a cadential idea, possibly one that will also span three measures in order to preserve symmetry between the units. In measures 9-10, however, a short two-beat figure, rhythmically derived from the contrasting unit, brings what must be called the cadential idea. This perfunctory V-I progression almost seems more like a codetta confirming the closure expressed by the immediately preceding closing initial idea. Thus, the expression of cadential closure at the end of this theme seems to lack the proper degree of conviction about its formal function.

b. "Weak" cadential profiles

All of the cadences discussed in the three previous sections possess at least the minimum requirements for a cadential profile. Even in the last category, where the expression of cadential closure was in some way problematic, the "problem" did not so much involve the cadential profile itself, but rather more the context in which it occurred. In contrast, the cadential area in some themes features a profile that, like the profile of most closing initial ideas, lacks some of the required elements for standard cadential closure. The "weakness" in the cadential profile may be due to texture, a missing or inappropriate bass line, or evaded cadential ideas that never lead to a conclusive cadence.

In the following three themes by Beethoven (Exs. 2.56 to 2.58), the cadential ideas display an unusual texture for their location--doubled octaves. In Example 2.56, mm. 17-18, the last two pitches in the "cadence," C and F, are stated in all four parts. Example 2.57 ends in the dominant key with a "perfect authentic cadence" written in blatant parallel motion. Similarly, we recognize the "half cadence" in Example 2.58, m. 13, despite its double octave texture. In all three cases, the doubled melodic line displays the pitch content of a cadential bass line; the lack of a closing soprano part may, perhaps, be an attempt to avoid a reference to the melody in the closing initial idea in each of these themes (see Ex. 1.50 for the beginning of the main theme whose cadence appears in Ex. 2.58).

Whereas the preceding cadences lack an independent soprano, the cadence in the next theme is missing a requisite bass line. Example 2.59 shows the "main theme" in the A section of a small ternary. This theme is loosely sentential in form--an initial unit (mm. 1-2), an abbreviated repetition (m. 3), and a continuation (mm. 4-5) that ends with the familiar cadential 5678-line (m. 6). Whereas the "presentation phrase" (mm. 1-3) features three voices, including a bass that appropriately suppresses the closing nature of the initial idea, the continuation phrase lacks the bass voice. In the absence of a cadential bass line, then, the remaining soprano-alto texture must suffice to represent a cadential profile since, as I will show in Chapter Three, no clearer cadence occurs in the A section of this piece. In this theme, then, there is no distinction in "strength" between the profiles of the closing initial and the cadential ideas.

In the next main theme (Ex. 2.60), both texture and an "incorrect" bass line co-operate to weaken the many cadential profiles that the melody produces. This theme contains three definite cadential moments (mm. 8, 22, and 32). The first closing melodic figure (mm. 7-8), a distant relation of a "DN2," sits atop an immobile tonic pedal. Next, a 1(3)21 figure (mm. 21-22) is actually part of a standard cadential profile; unfortunately, the profile is that of a deceptive cadence, and thus the theme must continue. Another two-measure idea closing with a 5678-line is tossed about in an imitative texture that precludes closure by maintaining mobility (mm. 28-31). The melody continues trying to close, this time with an arpeggiated approach to a goal tonic (mm. 31-32). Notice that the texture in these measures is similar to that in measures 3-4, where the repetition of the closing initial idea expresses, on the one hand, a relatively strong sense of closure but, on the other hand, a definite indication of opening due to its location near the very beginning of the piece (as I discussed on p. 33 of this chapter). Despite this problematic texture in measures 31-32, we must consider that the tonic at the beginning of measure 32 represents the goal of the last cadential idea for this main theme, since the next major formal section, the transition, follows immediately. Although the melody in this theme supplies us with a thesaurus of closing figures, an elementary harmony

textbook would have a difficult time finding here an illustration of a standard conclusive cadence.

Like the preceding theme, which features distinct but "incorrect" cadential profiles, the cadence in the next theme (Ex. 2.61, mm. 15-18) also differs from simple textbook examples. The cadential idea begins in standard fashion with an initial tonic and pre-dominant harmonies that lead to a cadential six-four; above this last chord, the melody begins a common 1(3)21 figure. On the downbeat of measure 19, then, we have the right to expect $\hat{1}$ in the melody supported by a tonic chord, or at least a tonic substitute above $\hat{6}$ in the bass (such as, e.g., vi). Whereas the bass voice votes for a deceptive progression at this point, the other voices do not co-operate. They each repeat their last pitch with the result that the chord on the downbeat of measure 19 is an improbable third inversion of vii7. This chord combines with the next one (another "incorrect" chord following dominant harmony) to form a configuration that refers back to the two-chord introduction. (Are we to hear the entire main theme again?) Since what follows next is the transition, measures 15-18 must end up representing the cadential idea for this main theme.

In this theme, the cadential idea is striking not merely because of the continuation of dominant harmony following the resolution of the cadential six-four chord, but because of two other factors in measures 18-19. First of all, the chord on the downbeat of measure 19 is an unexpected event mainly due to the melodic material that precedes it: the beginning of a standard cadential closing figure, 1(3)2)1, a figure whose first three pitches normally guarantee the predictability of its last pitch. The listener, lulled in the security of a familiar cliché that promises conventional cadential closure, is thus completely unprepared for the events in measure 19. Secondly, the reference in measures 18-19 to the two-chord introduction adds a truly ambiguous element to the expression of either opening or closure in the cadence at this point. As I explained above (pp. 31-32), the first five measures of this theme comprise a relatively closed unit. Therefore, although the cadential six-four with its familiar melodic figure did not close as expected, perhaps the two chords in measure 19 will bring a return of

measures 1-5, such that the main theme will close with a "twin" of the first five measures. Although the cadential idea that ends in measure 19 is open, then, the reference to the two-chord introduction nevertheless manages to suggest that closure may be imminent. Thus, Beethoven takes advantage of a well-known cadential cliché to compose a truly remarkable cadential idea.

c. Missing Cadential Ideas

In the excerpts above (Exs. 2.56 to 2.61), it was easy enough to locate one or more cadential units within the main theme, despite the "weaker profile" of the cadential idea. In contrast, the location of a cadential idea within the boundaries of some main themes may be difficult to identify. For instance, the first cadential goal in Example 2.62, the half cadence at m. 11, does not occur within the main theme at all; it closes a section that comprises both the main theme and the transition in a seemingly indivisible unit. In other words, by the time we understand that measure 11 marks the goal of a cadence on the dominant, the subordinate theme is about to begin. In this sonata, then, we can either infer that the exposition lacks a transition, or that the main theme lacks a cadence, a very unusual construction for Mozart, but perhaps, a tactic used here to avoid too many "closing" ideas early in a piece.

The last two examples in this chapter present thematic material so unconventional in terms of model theme types that only a very loose sense of the term "cadence" (or even "theme") can be applied. Both excerpts are constructed of repeated units of closing ideas, so that the expression of cadential closure, or even the location of a genuine cadential unit is, at best, disguised. Example 2.63 begins with a six-measure unit whose striking "closing" character has been discussed above (Ex. 2.23). This idea seems introductory in nature since it is followed by a drum-bass accompaniment (m. 7) that introduces and accompanies a melodic idea suggesting the beginning of a main theme (mm. 9-16). This melodic idea, however, is a four-measure closed melody (mm. 9-12) which, at its repetition, drops to the bass voice below the same drum-bass accompaniment (mm. 13-16). It is clear, when the codetta-like beginning returns at measure 17, that this "main theme" is far from

standard. The construction of this theme--a series of repeated closing ideas--strongly implies continuity, as I explained earlier in this chapter. But no clear cadential idea is stated in any of this material. There is, however, an intimate relationship between the codetta-like "introduction" and the brief melodic idea, as we shall see in Chapter Four.

Example 2.64 is another "theme" featuring a series of repeated units. It begins with a four-measure drum-bass introduction leading to a two-measure closing initial idea, which is echoed an octave higher. Far from resembling a standard theme type, even a most unconventional one, this material almost sounds like a six-measure theme in which the soprano voice is missing at its beginnning but "shows up" just in time to state (and repeat) the cadential idea! The material that follows the excerpt in this example is no less unconventional; in a sudden shift to the subdominant key, the next twelve measures present an expanded and elaborated "hocket-like" version of the first "non-theme." Up to measure 20, then, no theme-like unit occurs; consequently, no genuine cadential unit occurs. A contrasting unit comes next but, to continue exploring this piece is more appropriate for Chapter Four, where I will study pieces in their entirety. At that time, we will be interested to discover whether the two-measure "closing" idea is an initial idea preceded by an introduction or a genuine cadential idea preceded by an, as yet, unknown beginning.

Let me now summarize the points of this chapter. It is clear that most of the closing initial ideas illustrated in the examples still manage to express their appropriate formal function of beginning, especially when compared with the last thematic cadence. In all cases, the unit that follows the closing initial idea invariably gets the musical motion underway. The various theme types offer different opportunities either to avoid redundant expressions of closure or to revel in the formal ambiguity created by so many closing ideas. In most cases of closing profiles, the degree of "strength" is entirely appropriate to the formal location within the theme. In some main themes, however, the cadences are problematic, either due to the strength

of the last cadence's profile relative to interior cadences or even, relative to the "weakest" versions of closing initial ideas shown in this paper. Finally, some pieces begin with material so unconventional that beginning and ending units in the area normally occupied by a main theme must be identified solely in terms of their location within this area; that is, context alone defines such beginning or ending units. Now it is time to look beyond the boundaries of the main theme in order to determine whether starting with a "closing initial idea" has any effect on material later in the piece.

CHAPTER THREE

THE "CLOSING INITIAL IDEA" IN SHORT PIECES

In the previous chapter, we saw that some main themes can be in small ternary or small binary form. I mentioned, then, that some entire short pieces may be structured like these forms as well. In this chapter, I will first study such short pieces, and then use a Minuet and Trio movement to show how either the Minuet or the Trio, independently, illustrate compositional strategies typical of a short piece, while the complete movement as a whole (i.e., the Minuet plus Trio) displays processes typical of a longer piece.

The Small Ternary or Small Binary as a Short Piece

The discussion in Chapter Two on the small ternary and small binary form as a main theme type provides a good introduction to compositional strategies found in complete pieces made up entirely of these forms. As I observed in the previous chapter, main themes featuring a closing initial idea may present additional closing ideas in their cadential areas and in the initial unit of the A' section of the small ternary. Also, cadential ideas may avoid or borrow salient closing features of the initial idea. The same holds true for complete pieces in these forms with one important difference concerning the final cadence that closes the form. In the case of a main theme, one may expect that an inconclusive cadence or a "weak" cadential profile at the end of a main theme will be compensated for by the "strong" profile of a conclusive cadence at the structural end of the piece; thus, the rest of the piece remains an interesting object of study in order to see how that stronger closure will occur in the final cadence. In contrast, the final cadence of a complete piece in one of the above forms must express a sense of closure appropriate to its important "ending" location. Accordingly,

one can rightly expect an unequivocal conventional formula here, possibly followed by post-cadential material. But perhaps, by this point in the paper, it is no longer astonishing to find exceptions to this stylistic rule, as examples below will illustrate.

At the risk of redundancy, I will list and then discuss five locations that may feature a closing idea in the short pieces that I will discuss in this chapter. In order of their location in a piece, they are: (1) the initial idea, (2) interior cadential areas within the piece; that is, cadences preceding and excluding the final cadence (the one that closes the form), (3) the return of the initial idea, (4) the final cadence, and (5) post-cadential material at the very end of the piece.

For an unambiguous expression of the formal functions of beginning and ending, the degree of strength in the profiles of each of these five closing ideas must be appropriate to the location of that profile within the piece. Most importantly, a clear expression of cadential closure requires the final cadence of the piece to feature the "strongest" cadential profile. Thus, preceding cadences may range from those in closely-related keys to inconclusive cadences in the home key; interior conclusive cadences in the home key should be "weaker" in some respect than the final cadence. The clear sense of cadential closure expressed by the final cadence must not be challenged or undermined by an earlier appearing closing initial idea that features a "stronger" cadential profile. The last type of closing idea, the codetta, is not restricted as to the strength of its profile because its location immediately following a structural cadence is sufficiently clear to define its post-cadential function; far from confusing the expression of formal function, a codetta emphasizes and confirms the sense of closure expressed by the cadence preceding it.

Now that I have outlined the locations of the various closing ideas within a complete piece and the degrees of strength or weakness appropriate to their respective locations, I will observe to what degree Haydn, Mozart, and Beethoven respect the stylistic norms regarding the closing ideas that appear in their pieces. My discussion will be organized in the following manner. I will begin with the most

conventional pieces. Whether the final cadence of such pieces is derived from the closing initial idea or introduces a new closing figure, this cadence undoubtedly features the strongest cadential profile in the piece. The next group of pieces feature some irregularity as regards the relative strength of their constituent closing ideas. In some pieces, the cadences are more "cadential-like" than the closing initial idea that precedes them, but the profile of the final cadence is not stronger than that of an interior cadence. In one other piece, the profiles of the cadences are not particularly stronger than that of the closing initial idea.

a. The Final Structural Cadence: Conventional Closure

Most main themes in small ternary or small binary form, such as those in my first category in Chapter Two, end with a cadence that expresses a stronger sense of closure than either any preceding cadences or the closing initial idea. In a complete composition in one of these forms, this is normally the case as well. The pieces I will discuss in this section illustrate a variety of compositional techniques that contribute to the "stronger" profile of their respective final cadence.

In many pieces, the final cadence clearly expresses the most convincing sense of closure due to the element of harmony: this cadence is the only closing idea in the piece that is harmonized by a complete cadential progression in the home key. In pieces that begin with a closing initial idea, however, the composer may nevertheless call attention to the strength of the final cadence relative to that of the initial unit by other means. One simple way is the use of a cadential cliché that in this repertoire never appears as an initial unit: the "galante" cadence.(1) Thus, the appearance of this cadence in measures 19-20 of Haydn's Piano Sonata in C, XVI:1, III (Ex. 3.1) fully confirms its appropriate formal function, since this formula would never be used within a closing initial idea.

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1. See Chapter One, Ex. 1.9. The cadential trill (Ex. 1.4) is another cliché that is never used at the beginning of a piece.

The Trio in Haydn's String Quartet in F, Op. 74/2, iii (Ex. 3.2) also follows the norms but is interesting because of the role of instrumentation in shaping the cadential profiles. The second violin begins the structural melody, one that is trapped in the revolving door of a "Billy Rose" unit until measure 48. But the first violin, which previously provided a countermelody, usurps the structural melody at measure 50 and directs it to a cadence that closes in the dominant key. In the A' section, the first violin seems determined, again, to head towards the dominant by sounding a G-natural in measure 64. An immediate return to the home key (via Gb in m. 65) and the subsequent closing melody above a complete cadential progression (mm. 65-67) achieves competent closure as regards the strength of closing profiles within the piece as a whole. But this ending is apparently unsatisfactory in one respect: although the second violin begins the structural melody of the A section and, in measure 49, arrives on a prominent scale step $\hat{5}$, from which a descent to a cadential tonic would be appropriate, the cadential melodic line in the A section is stolen by the first violin. When the same event threatens to recur in measures 63-65 of the A' section, however, the second violin seizes the opportunity to express the "stronger" closure of a cadential idea rather than the "weaker" closure of the "Billy Rose" idea. In the last two measures of the piece, the second violin's melody leapfrogs above that of the first violin, and triumphantly provides the soprano line for the final cadential profile.

In some pieces, a final cadence featuring the "incomplete" I-V-I cadential progression may, despite its incompleteness, remain unrivalled as the strongest expression of cadential closure within its piece. This progression at the end of Haydn's Baryton Trio in C, XI:82, i (Ex. 3.3), expresses its proper formal function, but just barely, as we shall soon see. The A section ends with a weak expression of closure (mm. 9-10)--the codetta-like idea described in Chapter Two (Ex. 2.55). Surely, the final cadence will express its formal function in a more forceful manner. A slight extension in the A' section (m. 24) does place a somewhat greater focus on the final cadential idea. But this cadential idea arrives in the same codetta-like guise, with one small

change: in the bass, the final tonic falls to a lower register, rather than returning in neighbour motion as in measures 9-10. Haydn thus confirms Rameau's contention that, in a final cadence, it is preferable, and even more natural, to descend to the tonic by a fifth.(2) Thus, the expression of closure in the final cadence is at least slightly stronger than that in the A section; both cadences, of course, are stronger in their closing profile than that of the closing initial idea.

The preceding example features the use of register in the bass voice to differentiate between strength in closing profiles. In Mozart's Cassation in D, KV. 100 (62a), III (Ex. 3.4), the register of the soprano line becomes an important factor in assessing the relative strength of closing profiles within a piece. The melody in the A section of this small ternary begins, in a relatively high register, with a "Billy Rose" construction that brings three prominent tonics within the first five measures of the eight-measure unit. Further statements of this pitch as a goal tonic are avoided by ending the A section with a cadence in the dominant key, and, in the B section (mm. 9-16), by gradually descending to a goal (m. 16) far beneath the thrice-stated goal tonic at the beginning of the piece. The A' section, as is usual for a recapitulation, restates the "Billy Rose" idea, but a problem arises in measure 21 when an adjustment (to remain in the home key) brings the repeated tonic back now for a fourth time (m. 23). If symmetry between the A and A' sections is to be maintained, the next measure (m. 24) must include yet a fifth statement of a tonic--this time as the final cadential goal. Mozart's solution to the problem of this potential oversaturation is to allow the melody to drop to a lower register for the final cadence. This sudden register shift may, initially, seem shocking or even illogical; but the end of the B section has prepared the attentive listener for the register of the final tonic. The necessity for an enormous leap to connect the last pitch in the B

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2. Although Rameau allows an ascending fourth to substitute for a descending fifth in a final cadence, his preference for the descending fifth in this location is clear: "Those whose voices are deep enough naturally descend a fifth at endings, while those who cannot do so ascend a fourth." Rameau, Treatise, p. 60.

section with the first pitch of the A' section (mm. 16-17) suggests that the melody in one of these sections lies in an awkward register. The register of the final cadence confirms that, despite the closing elements in the initial idea, its register is too high to express genuine closure in this piece. The B section introduces the correct register for such closure so that, at the appropriate time, we can recognize that the final cadence, which seems so disjunct from the immediately preceding material, represents the true expression of closure, not only because of its harmony, but also because of its register.

One strategy for maintaining the correct proportion of strength in closing ideas within a small ternary piece is to adjust the closing initial idea in the A' section such as to weaken or even eliminate its expression of closure. Another strategy is to strengthen the final cadence by expanding the cadential area. This latter strategy is all the more effective if the final cadence threatens to restate an interior cadence whose expression of closure is problematic. Both of these devices can be seen in Beethoven's Piano Sonata in A-flat, Op. 26, II (Ex. 3.5). As described in Chapter Two (Ex. 2.54), the A section of this small ternary comprises a four-measure model and its sequential repetition. This unit is then immediately followed by a written-out, varied repetition. Despite the presence of a standard cadential profile contained within the sequence, such extensive repetition of four-measure phrases at the beginning of a piece is highly implicative of some further continuation.

Although this continuation is not found within the A section, it does occur in the A' section. This section begins by weakening the sense of closure in both the closing initial idea and the problematic "cadence" that originally occured in mm. 7-8: the closing initial idea falls to the tenor (and eventually bass) voice below a new countermelody (mm. 44-46). In the repetition of these eight measures (mm. 52ff.), the melody regains the register where it previously participated in the (weak) cadential idea closing the A section. Were the melody to continue in the same way as in the A section, the phrase would end with the same weak cadential idea. The threat of closing this piece with

such a poor cadential idea is avoided by delaying the final cadence and thus, enlarging the final cadential area. The device of invertible counterpoint (beginning in m. 53) allows the preceding countermelody to provide the bass line for an evaded cadence (cf. mm. 51-52 in the soprano line and mm. 59-60 in the bass line). Two such evaded cadences (mm. 60 and 62) create uncertainty as to precisely when a final cadence can be expected. The arrival of this cadence in measure 64 is, thus, reassuring but abrupt. More music, a series of codettas, extends the cadential area even further, thus confirming that area's expression of closure.(3)

Whereas the small ternary form includes a recapitulation, so that proximity between initial and cadential closing ideas may create a potential for redundancy, the small binary, which does not contain a recapitulation, is thus free of this danger. Haydn's String Quartet in D, Op. 17/6, II (Ex. 3.6) features a binary theme whose form is unusual in that it promises a possible recapitulation. Starting with the simple closing idea 54321, an unconventional eight-measure theme in Part I ends with a half cadence (m. 8) followed by a post-cadential unit prolonging dominant harmony (mm. 8-12). Part II features two phrases, both of which begin with the first three pitches of the piece, $\hat{5}\hat{4}\hat{3}$. Whereas neither of these phrases begins with the complete closing initial idea, the definite reference to this material in the onset of each phrase suggests the possibility of a recapitulation. In order for the final cadence (mm. 19-22) to distinguish itself from this closing initial idea, the cadence features a different melodic contour, a longer cadential progression, and a goal tonic in a safe, new register, an octave higher than the goal tonic in the closing initial idea.

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3. Notice that, although the counterpoint in the codettas features two closing melodic figures that are highly conventional ($\hat{7}$-$\hat{8}$ in the soprano and $\hat{1}\hat{3}\hat{5}\hat{4}\hat{3}\hat{2}\hat{1}$ in the bass), the melodic cell $\hat{7}$-$\hat{8}$ is motivic; it ends both the closing initial idea (mm. 1-2) and the contrasting material that follows it (mm. 3-4). Thus the closing elements in the closing initial idea make their final appearance in a codetta. We will see many further examples of this technique in Chapter Four.

b. "Incorrect" Relative Strength of Cadential Profiles

In all of the preceding examples, the degree of strength in the closing profiles is appropriate to the location of the closing idea within the piece. Thus, the profiles of interior authentic cadences display a degree of strength somewhere between that of the weak closing initial idea and the strong final cadence. In the next group of pieces, this careful balance in strength between closing ideas is upset.

In some pieces, cadential ideas are appropriately "stronger" than their closing initial ideas but these cadences violate the second conventional rule of relative strength in the expression of closure: the final cadence is not "stronger" than a previous, internal cadence. Haydn's Baryton Trio in A, XI:86, iii, (Ex. 3.7), a small ternary, provides a simple illustration. The cadence ending the A section (mm. 8-10) features a stronger closing profile than that of the closing initial unit since the implied cadential harmony of the initial unit is made explicit by an appropriate bass line in the cadence. In the A' section, however, the final cadence of the piece (mm. 26-28) essentially duplicates the one that ended the A section. Thus, while the profile of the final cadence is stronger than that of the closing initial idea, this profile is not stronger than the cadential profile that precedes it in mm. 9-10. Since the only variable between these two cadential profiles, a grace note, has no effect on cadential weight, only our prior knowledge of typical forms in this style allows us to hear the final cadence as more conclusive than the earlier cadence.

In Beethoven's Piano Sonata in D, Op. 10/3, iii (Ex. 3.8), the profile of the final cadence is even weaker than that of an interior cadence. I will first describe the construction of this piece; then, I will focus on the closing ideas within the piece and discuss the relative strength of each of their profiles. The period in the A section begins with a four-measure closing initial idea whose melody includes, in its first two measures, a potential closing figure, a $\underline{5}321$-line. Cadential ideas in this section include a half cadence (m. 7) and a perfect authentic cadence in the home key (m. 15). The short B section (mm. 17-24) is followed by a recapitulation that develops the period in the A section in two ways: the consequent phrase is enlarged

to span eleven measures (mm. 33-43), and the perfect authentic cadence that closed the A section is replaced by an "imperfect" authentic cadence, a cadence in which scale degree $\hat{5}$ appears in the highest part above the goal tonic chord. Post-cadential material, a closing section, features an alternation of the two-measure fragment of the closing initial idea (the $\underline{5}321$-line) below a neighbour figure elaborating the cadential melodic goal, scale degree $\hat{5}$.

In this piece, four ideas compete to express closure: (a) the closing initial idea (mm. 1-4), (b) the $\underline{5}321$-fragment (mm. 1-2), (c) the cadential idea ending the A section (m. 15) and, (d) the final cadential idea (m. 43). The profiles of both of the initial units in this piece (i.e., the closing initial idea and the $\underline{5}321$-fragment) are appropriately "weak" in their expression of closure due to the tonic prolongational progression that spans the first four measures of the piece. Thus, neither of these closing ideas could challenge the ability of a conventional cadence to express a stronger sense of closure. Nevertheless, a redundant approach to the goal tonic in these closing ideas is avoided in the antecedent phrase by a half cadence, and in the consequent phrase, by first, a sequential return of the closing initial idea (mm. 9-12) and then, a descent to a new register for the cadential tonic (m. 16).

The A′ section begins by further weakening the sense of closure in the closing initial idea, as if to eliminate any possible confusion between this closing idea and the final cadence. Two new events in the A′ section "weaken" the profile of the closing initial idea: a trill on scale degree $\hat{5}$ (m. 25) above the closing initial idea, and an alteration of the melody of the closing initial idea, which, instead of coming to rest on its goal tonic (m. 27), now continues uninterruptedly past this pitch directly to the half cadence ending the antecedent phrase (m. 31). Since the altered version of the closing initial idea no longer closes at all, it would now seem that a conventional final cadence can easily express the stronger sense of closure required for the end of a piece. But the use of the trill on $\hat{5}$ to weaken the closing profile of the initial idea is a preview of the unusual role of $\hat{5}$ in the rest of the piece.

Normally, the cadential idea that closes the A′ section (m. 43), that is, the one that represents the structural end of the piece, should express the strongest sense of thematic closure. And indeed, one can present two reasons why the final cadence in this piece might be considered stronger than the one that closes the A section. In the first place, the consequent phrase in the A′ section (mm. 33-43) is expanded, increasing the focus on the cadential goal. Secondly, while the cadential harmony in the A section is simply I-V-I, the final cadence features a complete harmonic progression. Relative cadential strength, however, is also determined by the melodic goal, a fact that classifies the final cadence, which ends with $\hat{5}$ in the soprano, as "imperfect." Thus, while in many respects, the profile of the final cadence expresses an appropriately strong sense of closure, the melodic component of this cadence remains open. This gives the impression that Beethoven is continuing to avoid the goal tonic of the closing initial idea in the A′ section of the piece, just as he did in the A section (where, as we recall from my discussion above, each of the three closing ideas--the half cadence, the sequential return of the closing initial idea, and the cadential tonic in a lower register--were directed toward a pitch other than the goal tonic of the closing initial idea).

In a series of codettas that make up the post-cadential unit (mm. 44-54), an attempt is made to close on a tonic by means of the $\underline{5}321$-fragment in the left hand (mm. 44-45 and 48-49). The first statement is answered in the right hand, however, by neighbour motion around the final cadential goal, $\hat{5}$, in its previous (cadential) register (mm. 46-47). The second statement of this fragment is answered by an intensified insistence on highlighting the previous cadential goal: the simple neighbour figure develops into a chromatic double neighbour around $\hat{5}$ (mm. 50-51). A return to diatonicism (m. 52) apparently provides sufficient resolution to allow this piece to end, with the cadential goal, $\hat{5}$, still hovering above the final tonic triad. The dominant that weakened the expression of closure at the beginning of the A′ section, then, performs the same function at the structural end of the piece. Thus, the strongest cadential profile occurs at the end of the A section, while the final cadence and subsequent post-cadential

material leave the piece melodically open, a "closing" profile that is very weak indeed.

In Chapter Two we saw some main themes that lack a standard closing formula. As stated above, a crucial distinction between a main theme in small binary or small ternary form and a complete piece in one of these forms lies in the nature of the final cadence. Although a main theme's final cadence expresses closure for that structural level, it also implies continuation: the rest of the piece is still to come. In addition, whereas main themes in these forms normally close with a perfect authentic cadence, another option exists. In the main theme of a sonata form, for example, a unit that begins as the A' section of a small ternary can "wander off" to become the transition. The lack of cadential closure here is in no way problematic for the piece as a whole, since a conclusive cadence is expected only in the recapitulation at the end of the subordinate theme area. In a short piece, however, what first appears to be the A' section of a small ternary (or Part II of a small binary) is expected to continue behaving as such, namely, by closing in a standard manner. This is not, however, invariably the case, as the following example illustrates.

In the A section of Haydn's Baryton Trio in A, XI:35, II (Ex. 3.9), the cadential ideas are either unusual (m. 6, as discussed in connection with Ex. 2.59 above) or difficult to locate (m. 19?). Although the A section is drastically abridged, it preserves the (repeated) closing initial idea (mm. 40-42), leaving only five measures to express cadential closure. What follows, however, is a three-measure passage in octaves that ends with an ornamented cadential bass line (mm. 43-45). This passage must serve as the final cadential idea, since the last two measures are clearly codetta. In this piece, then, the distinction between beginning and ending formal units is, to a large extent, achieved by locational context, since the structural end is not marked by a standard cadential profile.

In summary, short pieces that begin with a closing initial idea display a variety of techniques in coping with this formal anomaly. In most pieces, the profile of the closing initial idea presents a very

weak expression of cadential closure when compared with the actual cadential ideas in the piece. In a few (unusual) pieces, the profiles of cadential ideas are so unconventional that the expression of "ending" cannot depend on the profile of the unit that occupies this location.

In Chapter Two we saw that, within a main theme, either the initial unit or the cadential areas could feature closing ideas. In a short piece, a closing idea may occur in yet another formal location, namely, in a codetta. Like cadences, codettas may restate salient closing features of the closing initial idea, a device that is very common in full-movement forms, as we shall see in Chapter Four.

The Minuet and Trio Movement

Before moving on to large forms, I would like to discuss a type of movement that lies somewhere between small and large forms and, in a sense, embodies elements of both, namely, the Minuet and Trio movement. Like a short piece, both the Minuet and the Trio are themselves structurally complete. In the movement as a whole, however, the Trio may continue processes initiated by the Minuet, much like the development of a musical idea over a substantial amount of time in a longer piece. In the Introduction to this thesis, I showed how first context, and then profile, contribute to the expression of the basic formal functions of beginning, middle, and end. In Haydn's String Trio in D, HV:15, iii (Ex. 3.10), a "game" initiated by the Minuet is continued by the Trio such that a single melodic profile, a 54321-line, manages to express each of the three basic formal functions.

The Minuet begins with a simple "opening" profile: a I–V progression supporting a 5432-line. This melody is a transparent example of an implicative line that points to $\hat{1}$; and the strongest realization of this pitch would be as a cadential goal. Thus, the tonics on the downbeat of measures 5 and 7 do not satisfactorily realize the initial implicative pattern. Furthermore, the first cadential area (mm. 9–10) prevents the completion of this pattern by featuring a half cadence whose goal recalls the opening nature of the initial unit: dominant harmony below $\hat{2}$, a $\hat{2}$ preceded by a melodic line similar to that

in the (opening) initial unit. The return of the implicative 5432-line in the A′ section (mm. 16-17) features a change of harmony to V of V that makes immediate continuation to $\hat{1}$ unlikely. But the beginning of a new cadential idea in measure 19 with its supporting harmonies, a typical I6 leading to a standard pre-dominant, renews our hope for the eventual completion of the 5432-line. The achievement of this cadential goal is delayed, however, first by repetitions of the preceding two-chord progression (mm. 20-21); when the melody finally reaches a tonic in measure 22, this pitch is undermined as a cadential goal by the evaded cadential progression. At last, however, what we have been waiting for takes place at measures 23-24: a cadence whose 54321-line realizes, with simplicity and elegance, the melodic implication of the "opening" idea. The "game" of completing an unfinished pattern is apparently over.

In the Minuet, the expression of the formal functions of "beginning" and "ending" is not only clear but is amplified by starting with a highly implicative opening idea that requires and receives a particular closing profile to complete it. With the onset of the Trio, however, the "game" is resumed. The Trio, which takes a binary form, begins with the melody that has just established its cadential character; at the beginning of the Trio, however, this 54321-line expresses the function of "opening" due to its solo texture. More important, the change of mode demands continuation: it is impossible to perceive this minor melody as a codetta to a minuet in a major key.

After performing the role of "beginning," the 54321-line is then given the opportunity to act as a "middle" by being treated to imitation in the cello part (m. 28). If Haydn had chosen this same 54321-line as an ending for Part I, that is, as the cadential melody, this might have risked sounding like an additional unit of imitation, a continuation of "middle" function. Haydn solves this problem by providing a cadence for Part I that unambiguously expresses its formal function while avoiding this figure (mm. 33-34): he writes a "galante" cadence in the context of a modulation to the relative major key.

In Part I of the Trio, then, the 54321-line is found in both "beginning" and "middle" units. This situation is highly implicative

for continuation since, as I mentioned in Chapter Two, a continuation is implied if a given musical idea "is felt to have a potential function which has not been satisfactorily actualized."(4) Thus, although change of mode and texture allow the 54321-line to function as "beginning" and "middle" units, this closing figure clearly belongs in an "ending" unit, that is, in a cadence. Although we know that the return of the Minuet will also bring a return of this profile in its appropriate location, we may wonder whether the Trio itself will realize the implications set up within its own boundaries.

Part II begins by developing the 54321-line in a way that eliminates potential closure: the contour is inverted, dominant harmony prevails, and imitation resumes. The last four measures, however, install the line where it belongs, namely, in the profile of the complete perfect authentic cadence that closes the Trio. Thus, this line appears in all three formal functions within the Trio. In addition, the juxtaposition of the Trio's cadence (featuring the 54321-line in its appropriate location) with the 5432-line at the return of the Minuet, emphasizes the incomplete and implicative contour of the Minuet's "opening" initial idea.

Before leaving this movement, I would like to discuss what may seem like an irregularity concerning its cadences. Although both the Minuet and the Trio close in a reasonably standard fashion, one might expect the cadence that ends the movement as a whole, that is, the Minuet's final cadence, to be the stronger of the two. A quick look at the last three chords in the Minuet's final cadence, an incomplete I-V-I progression spanning two measures (mm. 23-24), might give the impression that this cadence is weaker than the one ending the Trio (mm. 43-46), a complete cadential progression spanning four measures. In the Minuet, however, a closer examination of the material preceding the I-V-I progression reveals a relatively substantial cadential area. As I described just above in connection with the construction of the Minuet, the cadential progression begins in measure 19 with the appearance of an initial tonic and a pre-dominant chord. Including the repetition and

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4. Meyer, Explaining Music, p. 196.

evaded cadence that follows (mm. 19-22), these two cadential harmonies are sounded three times. In the final measures of the cadence, then, it would be redundant for these chords to appear yet once more. Thus, the I-V-I progression at the very end of the cadential idea is appropriate to close this enlarged cadential area. Moreover, the entire six-measure cadential area (mm. 19-25) is clearly stronger than the four-measure cadential area that closes the Trio.

CHAPTER FOUR

THE "CLOSING INITIAL IDEA" IN FULL-MOVEMENT FORMS

As we saw in the previous chapter, a composition that begins with an expression of closure in its initial idea may show consequences of such a beginning in the rest of the piece. In this final chapter, I will study pieces in full-movement forms such as theme and variations, sonata, rondo, and minuet (scherzo). I am particularly interested in three specific formal areas that appear after the main theme in order to see how these areas are influenced by a closing initial idea in such forms. The first formal area is any subsequent "return of the main theme." This may occur as a variation in a theme and variations, as a refrain in a rondo, as the beginning of a recapitulation in a sonata, or as a return of a minuet following a trio. The second formal area is the "final" cadence that effects structural closure for the form. Such a final cadence may occur, for instance, at the end of the subordinate theme area in a recapitulation, at the end of the last refrain in a rondo, or in the last variation in a theme and variations. The third formal area includes any post-cadential material that follows this "final" cadence. Such material may range from a closing section featuring short codettas to a substantial coda with its own cadence and codettas.

Formal structure in a large movement can differ from that of a shorter work in two ways that are relevant to this paper. First, unlike a shorter work in small binary form, all full-movement forms feature the return of the main theme's basic idea in one of the locations mentioned above. Hence, in a sonata, a rondo, or a theme and variations, the later recurrence of a closing initial idea, and even the material leading up to it, may be of interest. The second distinction between short pieces and those in full-movement forms concerns the final cadence closing the form. In contrast to short pieces, whose literal end often coincides with the goal tonic of the final cadence, a full-movement form rarely finishes

with this final cadence. Pieces in full-movement form usually include a closing section or even an extended coda with its own closing section. In this post-cadential area, closing figures abound, and their relationship to the closing initial idea of the piece is often intimate.

This chapter will be divided into two main sections. I will begin by discussing the three formal areas mentioned above: the return of the main theme, the final cadence, and post-cadential material. I will then look at seven complete movements from the point of view of trying to determine how a composition as a whole may react to the anomalous beginning of a closing initial idea.

I Formal Locations Concerned With "Beginning" and "Ending"

1. The Main Theme: First Statement and Recurrences

My discussion on the recurrence of main themes will cover two topics. First, I will focus on those themes whose return brings alterations to the closing initial idea. Next, I will discuss the cadence that closes restatements of the main theme. Here again, I will be interested in those cadences that differ from the one that closes the main theme at the very beginning of the piece.

a. Restatements of the Main Theme: Altering the Closing Initial Idea

Restatements of main themes, as I mentioned at the beginning of this chapter, may arise in the following formal locations: (a) the recapitulation of a sonata, (b) a refrain in a rondo, (c) a variation in a theme and variations movement, and (d) a minuet following a trio. In pieces where the main theme's basic idea features closing elements, restatements of the main theme may bring back its basic idea in an altered version.(1) One would expect that such alterations would weaken

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1. As I have mentioned in previous chapters, a closing initial idea may be either a brief introduction or the basic idea of a main theme. In the following discussion, the closing initial idea unambiguously performs the function of a basic idea, that is, the first unit of a main theme. Later in this chapter, I will show four pieces that begin with an introduction.

or eliminate the expression of closure in this unit, so that subsequent cadences (such as the one closing the main theme, or the "final" cadence closing the form as a whole) can express their own function unequivocally. And indeed, this is usually the case. In the discussion below, I will demonstrate various techniques that modify the profile of the closing initial idea such that its function as a basic idea, an idea that "opens" a theme, becomes more manifest. I will then show contrasting cases where, in an altered restatement of the closing initial idea, the expression of closure is further emphasized.

For practical purposes, the two closing gestures in a recapitulation that are relevant to this paper are the closing initial idea beginning the recapitulation and the "final" cadence closing the subordinate theme area.(2) As we know, a considerable amount of material separates the main theme's basic idea from the final cadence. For main themes that begin with a closing initial idea, this intervening material reduces the threat of overexposing the home-key tonic as a cadential goal. In some recapitulations, nevertheless, the closing initial idea returns in a version that weakens its original expression of closure. Compare, for instance, the closing initial idea in Haydn's Symphony No. 98 in B-flat, II, (Ex. 4.1a), which features a standard complete cadential bass line, to the return of this idea in the recapitulation (Ex. 4.1c), where the bass line features a flowing contrapuntal melody more appropriate to the opening function of a basic idea.

In an unusual case, (Ex. 4.2a), the closing initial idea in Mozart's Piano Sonata in C, K. 545, I, begins a piece whose form is generally considered to be a sonata. Although the term "recapitulation" refers to the return of the essential materials of the main theme <u>in the home key</u>, the closing initial idea in this piece returns in the subdominant key (Ex. 4.2b), an atypical strategy for a classical sonata recapitulation. Thus, the return of the closing initial idea in this piece cannot express closure, since it is no longer in the home key.

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2. Another potential closing area, the main theme's cadence in the recapitulation, will not come into play in the following discussion since, as I will later show, this cadence is often weakened or eliminated when the main theme returns in the recapitulation.

Weakening the sense of closure in the return of the closing initial idea can be accomplished not only by changing the bass line or the tonality but also by varying the melody. Example 4.3a shows the closing initial idea of Haydn's Piano Sonata in G, H. XVI:40, ii. Measures 1-2 feature two versions of a 321-line separated by a rest; thus, the basic idea of the main theme comprises two short, but distinct, closing ideas that together make up the complete closing initial idea. When this unit returns in measure 53, the rest, which originally helped to articulate the two brief closing figures, is filled in by a series of sixteenth notes. The absence of the rest, in itself, would not necessarily eliminate the capacity for the two brief figures in measures 1-2 to express a sense of closure; the sixteenth notes could have the effect of a "tag," merely providing musical motion between two distinct figures. The weakened ability of these 321-lines to express closure is due to the profile of the sixteenth notes: this profile brings, on a local level, an overabundance of tiny 321-lines, such that any individual 321-line in this context hardly stands out as an expression of closure. Thus, even without changing the location of the two goal tonics in the original closing initial idea, the ornamented melody weakens the sense of closure of the unit as a whole by saturating its profile with 321-lines.

This technique of bringing back the closing initial idea in an altered version featuring an oversaturation of its closing line can also be seen in Example 4.4. Mozart's Symphony No. 4 in D, K. 19, iii, begins with a single "Billy Rose" unit (Ex. 4.4a, mm. 1-3). In the recapitulation, however, the closing 4321-line is stated three times, thus creating strong implications for continuation towards an eventual genuine cadential idea (Ex. 4.4b).

As I mentioned above, a restatement of the main theme either brings back the basic idea essentially unchanged or, as in the examples above, with its closing elements removed. In contrast, the next example shows how the return of a main theme may stress the closing nature of its initial unit. Example 4.5a shows a "DN2-figure," the closing initial idea of a theme for which Haydn has written a short set of variations in his Piano Sonata in C-sharp minor, H. XVI:36, ii. The first variation (Ex. 4.5b, m. 34) begins with a typical ascending arpeggiation that

promises to "open" the melody. But in measures 35-36, we find that Haydn has replaced the "DN2-figure" with another closing melody, one found, for example, in a cadence by Mozart (Ex. 4.5c, mm. 9-10). Thus, Haydn varies his closing initial idea in an interesting way, by using another common closing figure.

b. Restatements of the Main Theme: Altering the Cadence

As mentioned above, main themes may return in a variety of locations, depending on the overall form of a piece. Thus, in the recapitulation of a sonata, a main theme's cadential idea occurs well before the "final" cadence closing the subordinate theme. In contrast, when a main theme returns as the last refrain in a rondo, or as the last variation in a theme and variations movement, this main theme's cadence also closes the complete form as a whole. Since I will look at such final cadences later in the chapter, I will limit my discussion in this section to those cadences of a main theme that precede such final cadences.

Some restated main themes alter their cadential idea in a similar manner as the altered restatements of closing initial ideas: a weakening of their closing elements avoids undermining the formal function of the final cadence. To be sure, weakening or eliminating the cadence in a restated main theme can happen no matter how the main theme begins; that is, such a procedure is not restricted to those main themes that begin with a closing initial idea. But pieces with such a beginning can reduce the threat of redundant expressions of closure by eliminating other closing ideas that might challenge the final cadence's ability to express a convincing sense of closure. Removing the main theme's cadence is a good strategy, then, for pieces in which restated main themes consistently bring back the closing initial idea. In restatements of such themes, the cadential area may be treated in a particular way that is clearly influenced by the relatively strong sense of closure already expressed earlier within the theme. The next two pieces exemplify this point.

Whereas an opening unit featuring a cadential profile is, nevertheless, understood as a formal "beginning," this cadential profile

can, later on in the piece, express its own suggested function. For instance, the main theme in the exposition of Mozart's Piano Sonata in C, K. 279, I, begins with a Billy Rose construction (Ex. 4.6a, mm. 1-3) and ends with an enlarged cadential area (mm. 9-12) that features a deceptive cadential progression (m. 10) followed by a two-measure cadence that adequately expresses closure for the theme. Now let us compare the return of the main theme in the recapitulation (Ex. 4.6b). We see that measures 58-62 bring back the two statements of the "Billy Rose" beginning, but subsequent material turns out to be the start of the transition section. The reason for these changes become apparent when we study the original closing initial idea, one that features a standard cadential profile (Ex. 4.6a, mm. 2-3). Since the original main theme's extended cadential idea is inappropriate in a recapitulation (such emphatic thematic closure is the duty of the "final" cadence ending the subordinate theme area), its elimination is aesthetically desirable. But Mozart wants a certain amount of closure to separate the main theme from the transition. Fortunately, this main theme features a closing initial idea that can later on act as a "substitute cadence." Thus, the cadential profile, which previously served as a closing initial idea, now marks the boundary between the end of the main theme area and the beginning of the transition. In this formal context, the cadential profile in measures 61-62 almost loses its "Billy Rose" character and begins to sound like a genuine cadential idea.

In the example just discussed, the end of the main theme is clearly set off from the transition by a cadential profile. In contrast, some restated main themes alter their cadential area in order to blur this formal boundary; that is, a unit that begins as a main theme continues uninterruptedly into the transition section, much like Mozart's unusual main theme in his Sonata in C, K. 545, I (Ex. 2.62). This construction is found in the recapitulation of Haydn's Symphony No. 98 in B-flat, II (Ex. 4.1 above). Whereas in the exposition, the main theme ends with an authentic cadence (Ex. 4.1b, m. 10) followed by a transition, the recapitulation in the analogous location features a half cadence (Ex.

4.1d, m. 58) that leads directly to the subordinate theme.(3) As I explained above, the closing initial idea in this piece was altered in the recapitulation by replacing its cadential bass line with one more appropriate to an "opening" unit. At the beginning of the recapitulation, then, two potential moments of "closure"--the closing initial idea and the main theme's cadence--are altered to save the expression of closure for the "final" cadence of the piece.

When a main theme is restated, the formal boundary between this theme and a transition section can easily be blurred if the original main theme is a small ternary. After the essential material of Sections A and B have been recapitulated, Section A' may "wander off," merging with the transition. Example 4.7 illustrates this procedure in a rondo movement. The complete main theme of Haydn's String Quartet in F, Op. 77/2, III (Ex. 2.36), begins with an A section (mm. 1-8) featuring three statements of an ornamented 321-line followed by a cadence directed toward a different goal pitch--an authentic cadence in the dominant key. Following a B section (mm. 9-12), the A' section (Ex. 4.7a, mm. 13-22) brings back two statements of the 321-line but avoids a similar melodic direction in its cadence by ascending to a higher tonic. After the first episode, the main theme returns unchanged until the middle of the A' section. Example 4.7b shows how, instead of beginning the sequence that would eventually bring the ascending cadence, the material at measure 56 shifts into a transition leading to the second episode. In Example 4.7c, a similar "wandering-off" in the A' section avoids the ascending cadence once more. The refrain returns for a third time, this time near the end of the movement; we shall soon see the cadential idea that Haydn chooses in order to cope with a theme that begins with such a persistent expression of closure.

In all the preceding examples of restated main themes featuring altered cadences, the cadential profile was either weakened or deleted entirely. My final example of an altered cadence illustrates a very

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3. Notice that, although a cadential six-four together with its resolution forms an entirely standard profile for a half cadence, the one ending in measure 58 is a subtle reference to the "tag," which extended the original authentic cadence onto the second beat of the measure.

different technique. The main theme of a rondo movement, Haydn's Symphony No. 84 in E-flat, IV, is shown in Example 4.8a. This theme is a small binary whose cadences first avoid (mm. 7-8) and then copy (mm. 15-16) melodic elements of the closing initial idea (see again Exs. 2.42 and 2.51). After the first episode, the refrain returns intact but continues in an interesting manner. Although the original main theme did not feature repeat signs at the end of its two parts, the end of Part II now is followed by an apparent written-out repetition of this section, that is, a repetition that begins with the material of measures 9-12. As Example 4.8b shows, Part II's original last four measures, which included the "twin" cadential idea, are replaced by an enlarged section that presents a greatly expanded cadential area, one featuring two variants of the closing initial 54321-line (mm. 233-36). Haydn is clearly interested in showing the versatility of the closing initial idea by repeating and developing that section of the binary theme that closes with it.

2. The Final Cadence

The preceding discussion illustrated how, in a full-movement form, a closing initial idea at the beginning of the piece can influence restatements of the main theme. Another area that may be affected by a closing initial idea is the "final" cadence ending the form, that is, the cadence that closes either the subordinate theme area in the recapitulation of a sonata, the last refrain in a rondo, the last variation in a theme and variations form, or the return of a minuet in a minuet and trio movement.

Regardless of the beginning of a piece, the final cadence usually conveys a clear expression of thematic closure by featuring a conclusive cadence--a perfect authentic cadence in the home key. In some pieces, however, a variety of reasons prevent the final cadence from performing its function in an unambiguous manner. In the following discussion, I will begin with final cadences that behave in an appropriate manner as regards their location. I will then look at some unusual cases.

a. Conventional Final Cadences

In some pieces, the strongest sense of closure is expressed by the final cadence for the simple reason that it features the only standard cadential formula within the piece. As an expression of thematic closure, for instance, the closing initial idea in Mozart's Piano Sonata in C, K. 545, I, (Ex. 4.9a) is no competition for the final cadence at the end of the subordinate theme (Ex. 4.9 b, mm. 66-71), one that confirms its already obvious function with a prominent cadential trill.

Like the piece above, the final cadence in Beethoven's Piano Sonata Op. 2/1, IV, (Ex. 4.10b) is the only conclusive one in the piece. Here, the cadence features an altered "twin" version of the closing initial idea. Whereas the 1Z1-line in the closing initial idea occurs first above a tonic pedal (Ex. 4.10a, mm. 1-2), and then in the bass voice (mm. 2-3), the 1Z1-line in the final cadence (Ex. 4.10b, mm. 167-69) sits above the last two chords of a complete cadential progression, marking the end of a longer closing melody. This "twin" of the closing initial idea thus highlights the difference between an idea with closing elements and one that can express genuine thematic closure.

Although the final cadence in the next group of pieces is not the only conclusive cadence in each piece, the profile of this final cadence clearly signals its function to convey a strong expression of thematic closure. One simple illustration can be seen in Haydn's Piano Sonata in C-sharp minor, XVI:36, II (Ex. 4.11). In this theme and variations movement, we have already seen (in Ex. 4.5a) that Haydn chooses a familiar cadential figure, a "DN2," for the closing initial idea. In the first variation, he substitutes another closing idea (as shown in Exs. 4.5b and 4.5c). For the final cadence, then, he must choose a cadential profile that will clearly signal the formal function of its location. For this purpose, he relies on a melodic configuration that never appears as an initial unit in this repertoire, namely, a "galante" cadence (Ex. 4.11).

Another cadential cliché that never appears as an initial unit is the cadential trill. In the final cadence of Mozart's Violin Sonata in F, K. 377, III (Ex. 4.12c), a comparison between three ideas--a closing initial idea, a trill on scale step $\hat{5}$, and a cadential trill on scale

step $\hat{2}$--proves the superior ability of the latter to participate in a profile that expresses thematic closure. Example 4.12a shows the original A section of the minuet. Following the trio, the minuet's return has been written out. The new A' section features a cadential area that is greatly enlarged when an evaded cadence (Ex. 4.12b, m. 156) replaces the original conclusive cadence (Ex. 4.12a, m. 48). During this expanded cadential area, a cadential six-four (m. 169) is prolonged with a trill on $\hat{5}$ above two consecutive statements of the closing initial idea (Ex. 4.12c, mm. 171-73). The resolution of the cadential six-four (m. 176), however, brings a trill on $\hat{2}$, a cadential cliché that leads to cadential closure. Thus, measures 171-73 are interesting for two reasons. First, they illustrate the difference between a trill on $\hat{5}$, which prevents closure, and a trill on $\hat{2}$, which is part of a cadential cliché. Second, the appearance of the closing initial idea in these measures, where closure is impossible, points out the "weakness" in its closing profile compared to a profile that includes a cadential trill.

In many pieces, of course, the profile of the final cadence may feature something other than either the "galante" cadence or the cadential trill. In the next example, the final cadence is not particularly noteworthy when considered as an isolated unit; however, the nature of the preceding material makes this cadence an interesting event. The final cadence in Beethoven's Symphony No. 1 in C, Op. 21, III (Ex. 4.13b), features a common cadential profile, in this case, a 65$\underline{7}$1-line (mm. 56-58). The interest in this cadence lies in the unit immediately preceding it: a new version of the closing initial idea (mm. 54-56; Ex. 4.13a shows its original profile). In the new version, the tonic pedal has been replaced by a progression that just misses being a complete cadential progression due to the inverted goal tonic chord. By juxtaposing this "almost cadential" closing initial idea with a standard cadential one, Beethoven demonstrates the power of the standard cadential formula to express an unequivocal sense of closure.

For the last example of a standard cadence that closes the form of the movement, I will show a case of "twinning". Examples 4.14a and 4.14b reproduce Example 2.45 above, where we saw that, in Haydn's Symphony No. 92 in G, II, different registers distinguish between a closing initial

idea and the main theme's cadence, which borrows the 42Z-line to approach the goal tonic. The final cadence, whose last few measures are shown in Example 4.24c, features a profile combining elements from both of these closing ideas. The final cadence brings back the melody in the closing initial idea, but places it above the last two chords in an expanded cadential progression. Like the main theme's cadential idea, however, the final cadence discards the original "tag" and lifts the melody to the higher register. When I discuss the post-cadential material following this "twin" cadence, we will finally be able to determine whether register plays a role in expressing relative degrees of closure throughout the work.

b. Problematic Final Cadences

Some pieces feature final cadences that do not express the particular function of closure for the form as a whole. The problem may arise due to a variety of reasons, as the following examples will show.

In a theme and variations form or a rondo, the listener can never be sure whether a particular return of the main theme (that is, as a variation or a refrain) will be the final one. This situation occurs in the next example; the final cadence expresses thematic closure, but in no way announces its unique function as the cadence closing the form. Example 4.15 shows the final cadence of Haydn's Piano Sonata in C, H. XVI:48, ii, a rondo whose main theme appears in Example 2.50. Since all refrains in this piece close with this cadence (one that is necessarily followed by an episode), there is no reason to hear the cadence in Example 4.15 as any more final than its previous counterparts.

In the next piece, the location of the final cadence features material so unusual as regards expressing cadential closure that, clearly, the composer has no intention of stating this formal function in a conventional manner. Let us return to Example 1.50 to recall the main theme of Beethoven's Piano Sonata in C, Op. 53, i, a main theme that features three closing initial ideas. Although the first, ascending figure does not express a particularly strong sense of closure (as I explained above), it is a preview of the unusual profiles that perform cadential functions in this piece. Example 4.16 shows the last three

measures of the cadence closing the subordinate theme area in the recapitulation. Thus, although the final cadence signals its function with a long cadential trill, the profile of this cadence is irregular for two reasons. First of all, the "cadential trill" elaborates scale step $\hat{7}$, not the usual $\hat{2}$ in the cadential cliché; thus, the elaborated pitch must ascend to the goal tonic. Secondly, the bass line has dropped out so that no standard cadential bass line appears in this cadential idea. Only a clear change in texture signalling the onset of the closing section allows us to hear the preceding profile as a conclusive cadence.

For my last illustration of a problem in a final cadence, I return to Haydn's String Quartet in F, Op. 77/2, III, a rondo whose main theme (a small ternary) is shown in Example 2.36. In two subsequent returns of the refrain, as I explained above (Ex. 4.7), the A′ section "wanders off" thus avoiding both goal tonics--that of the closing initial idea, and that in the higher register, the main theme's cadence. A third return of the refrain (Ex. 4.17b, m. 117) leads to the expectation that, perhaps, a conclusive cadence may finally be forthcoming. This expectation is encouraged since, unlike the previous incomplete A′ sections, which "wandered off" when they reached measure 17 of the theme (Ex. 4.13), this latest A′ section continues to measure 18 of the theme (Ex. 4.17b, m. 122). As we see, however, another "wandering off" at this point indicates an apparent aversion to duplicating the original ascending cadence closing the A′ section. In addition, the bass part in measure 122, which states a tonic pitch, never provides a cadential bass line. As the last few measures unfold, we see that the desire to avoid the upper goal tonic in the melody is extended to avoiding the lower one of the closing initial idea as well. Thus, after the first statement of the refrain, the A′ section never again closes with a conclusive cadence, and no coda performs this function either. Accordingly, the piece fades away with $\hat{3}$ hovering above a tonic pedal.

3. Post-Cadential Material

Schoenberg has observed that "it would be difficult to give any other reason for the addition of a coda than that the composer wants to

say something more."(4) The examples in this paper show that, following the final cadence, there is often "more to be said," since not all issues raised within the course of the piece have been adequately settled by this cadence. In this section of my paper, I will extend Schoenberg's comment on the coda to include codettas as well, since material following the final cadence may range from a brief codetta to a substantial coda section ending with its own codettas. Accordingly, the following discussion will cover two topics: (a) the cadence closing a coda and (b) codettas that follow either the final cadence or the coda cadence.

a. The Cadence Closing a Coda

Before I discuss these cadences, I would like to make a simple observation on closure in the construction of music. Although standard cadences are normally said to express a strong sense of closure, this closure affects a particular structural level only. As we know, cadences may close a theme, a section, or, sometimes a piece. In a full-movement form, however, it is often the case that the last few measure of the piece do not feature a cadence, but rather one or more codettas, brief closing ideas that follow a structural cadence; all the coda cadences in my examples below are followed by such codettas. Thus, when I refer (in this paper) to the ability of a coda cadence to express closure, I do not mean the closure that actually ends the piece, but rather, that which ends more specifically the coda.

In Chapter One, my description of typical cadences includes the observation that, whereas many cadences do conform to quite a strict formula, others may feature a melody that is just as distinctive as the characteristic melody found in a typical basic idea of a main theme. In fact, as we saw in Chapter Two, the main theme's cadence can easily feature a "twin" relationship with the closing initial idea. In contrast, I have found that the most conventional cadence in a given piece is usually the one at the end of the coda. Its profile is often that of a "textbook" cadence, one with no distinguishing features linking

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4. Arnold Schoenberg, Fundamentals of Musical Composition, ed. Gerald Strang and Leonard Stein (London: Faber and Faber, 1970), p. 185.

it specifically and uniquely with the particular piece it closes. Such cadential profiles are the end result of a process that Schoenberg terms "liquidation," a process that "consists in gradually eliminating characteristic features, until only uncharacteristic ones remain, which no longer demand a continuation."(5)

Despite their conventional profiles, however, these coda cadences may still refer, in some way, to preceding material. For instance, let us review the final cadence in the last refrain of the rondo in Haydn's Piano Sonata in C, XVI:48, II (Ex. 4.15, mm. 229-31). This final cadence, like earlier cadences (Ex. 2.50a, mm. 26-30), is a "twin" of the closing initial idea. All these "twin" closing ideas lead to more music, either to the main theme itself in the case of the closing initial idea, or to episodes in the case of the cadences. Like its "twins," then, the final cadence also leads to more material, this time, to a coda (Ex. 4.15, m. 231). The coda's cadence (Ex. 4.18b) features a 432171-line, a simplified version of the closing initial idea. As an isolated unit, however, this cadence would not readily be connected with the characteristic motivic material of this piece, that is, with the "twin" initial and cadential ideas. As such, it apparently expresses a stronger sense of cadential closure since it seems to have abandoned the specific motivic material that promises more music. When I discuss codettas, however, we shall see that this new cadence, while expressing a strong sense of closure for a particular structural level, is no more capable of ending the piece than were the cadences that preceded it.

In the next example of coda cadences, I present an illustration of a piece in which the only conventional conclusive cadence appears in the coda. Beethoven's Piano Sonata in C, Op. 53, I, begins with a figure (Ex. 4.19a) that, as I explained in connection with Example 1.50, does not express a particularly strong sense of closure due to its texture, its unstable tonality, and its noncadential harmony. The first hint that an ascending cadential melody is significant in this piece occurs when the first subordinate theme states its cadence (Ex. 4.19b), one in which not only the melody ascends, but even the cadential six-four resolves

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5. Schoenberg, Fundamentals, p. 58.

upward (m. 41). Another ascending melodic motion within a cadential idea occurs in the final cadence (closing the second subordinate theme, Ex. 4.16), where a trill on $\hat{7}$ resolves upward to the goal tonic. The coda cadence brings back the ascending cadential idea of the first subordinate theme (Ex. 4.19c). After two aborted attempts to reach a goal tonic (mm. 290 and 291-92), this ascending cadence does, after some hesitation (m. 294), finally achieve closure (m. 295), thus confirming that the weak expression of closure conveyed by the ascending figure at the beginning of the piece (Ex. 4.19a) was a harbinger of the only standard cadential idea in this piece.

b. Codettas

Whereas cadences express the closure of a particular structural level (such as the end of a theme or a coda), they rarely occur at the very end of a piece in a full-movement form. This location often features codettas, brief closing ideas that follow a structural cadence. A codetta prolongs the cadential goal tonic, both as a harmony and as a melodic pitch, thus confirming and reinforcing it. Codettas may occur in a variety of profiles. Some may feature a complete cadential progression, or just the final two chords (V-I supporting a $\hat{7}$-$\hat{8}$ soprano). Others may state only a closing melody, often in conventional arpeggiated patterns. Still others may feature repetitions of tonic harmony, either as a chord or even as a single pitch.

In this paper, I am primarily interested in the melodic-rhythmic figures found in these codettas. A good example of the potential variety of such figures is provided by the string section near the end of the Haydn's Symphony No. 84, iv (Ex. 4.20b). Five closing figures are labelled in my example (mm. 273-74, 278-79, 284-85; 288-90, and 291-92). The first three figures feature enough material to comprise a different, distinct motive. The fourth figure illustrates the beginning of a liquidation process that finds its fulfillment in the fifth figure, what Schoenberg calls a "residue."(6).

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6. Schoenberg, Fundamentals, p. 58.

In this movement, the process of liquidation occurs well before measure 289, since, as Example 4.20a shows, characteristic elements of the main theme's basic idea are not evident in any of the closing figures at the end of the piece. But the first three closing figures are not completely unrelated to the basic idea; they all feature a descent from $\hat{5}$ to $\hat{1}$. Thus, like typical coda cadences that are still connected, in some fundamental way, with previous events in the piece, codettas may also subtly refer to preceding material.

Unlike coda cadences, which usually feature the most conventional cadential profile in the piece, codettas often bring back characteristic elements of the basic idea. A common procedure is to state the basic idea near the close of the piece, as if remembering it for the last time before the piece finally ends with conventional figures such as $\hat{7}$-$\hat{8}$ or $\hat{1}$-$\hat{1}$-$\hat{1}$. For instance, Example 4.21b shows the closing section of Haydn's Symphony No. 92 in G, II. This closing section, like the one in the previous piece, begins with distinct motivic material (mm. 107-08) and ends with the same two closing figures, $\hat{7}$-$\hat{8}$ and $\hat{1}$-$\hat{1}$-$\hat{1}$ (mm. 110-11). But in this case, the first closing figure (a distinct motivic idea) is a clear reference to the closing initial idea (Ex. 4.21a). Moreover, the $\hat{7}$-$\hat{8}$ and $\hat{1}$-$\hat{1}$-$\hat{1}$ ideas, conventional as they are, still add information regarding previous issues in this piece. In Example 4.14, I observed that different registers weaken the "twin" relationship between the final cadence and the closing initial idea. The codettas in this piece perform two tasks. They tell us that (1) the higher register of the final cadence is the correct one to achieve closure for the piece and (2), the characteristic material of the "twin" closing ideas must be further liquidated. In this case, both $\hat{7}$-$\hat{8}$ and $\hat{1}$-$\hat{1}$-$\hat{1}$ are considered necessary to perform this function.

The figure $\hat{1}$-$\hat{1}$-$\hat{1}$ following more complete melodic ideas is clearly an effective way to bring a piece to a stop. The closing figure, $\hat{7}$-$\hat{8}$, can accomplish the same task. In Haydn's Piano Sonata in G, XVI:39, I (Ex. 4.22), for instance, Haydn would seem not to believe that repetitions of the closing initial "DN2" figure in various registers near the end of the piece can express a convincing sense of closure; this may be because the "DN2" figure is a "twin" of the closing initial idea of the piece (Ex.

4.22a, like that in Ex. 4.5). Thus the end of the piece is clearly signalled by the conventional $\hat{7}$-$\hat{8}$ figure (mm. 104-05). A similar construction closes Haydn's Piano Sonata in C, XVI:48, ii (Ex. 4.23b): despite a conventional coda cadence (Ex. 4.18) and repeated statements of the closing initial idea (Ex. 4.23a), only a $\hat{7}$-$\hat{8}$ figure seems to be able to put a stop to this piece.

As the preceding examples show, two standard figures, $\hat{7}$-$\hat{8}$ or $\hat{1}$-$\hat{1}$-$\hat{1}$ are often used to bring a piece to an end. The next piece ends with a variation of the repeated tonic figure; but the variation consists of replacing the last tonic by scale step $\hat{3}$. It seems difficult to imagine that a piece ending on $\hat{3}$ could sound more conclusive than if it had ended on $\hat{1}$, but the following example will suggest that this is the case. Mozart's Symphony No. 4 in D, K. 19, iii, begins with the codetta-like repeated tonic (Ex. 4.24a). The closing section for this piece introduces a new closing melody (Ex. 4.24b, m. 101-05) followed by the beginning of a $\hat{1}$-$\hat{1}$-$\hat{1}$ figure, a figure that would normally signal the end of a piece. But as we know, this "twin" of the closing initial idea has the "Billy Rose" power to evoke a repetition of the entire movement. Only another scale step above the tonic triad can "close" this piece, and $\hat{3}$ would seem to perform this function. In this piece, note that texture may contribute to the closing effect since the doubled octaves of the $\hat{1}$-$\hat{1}$-$\hat{1}$ idea are replaced by a full chord supporting the final soprano note, $\hat{3}$.

Another conventional codetta figure that can end a piece is a tonic triad arpeggiation such as the figure that closes Beethoven's Symphony No. 1 in C, Op. 21, iii (Ex. 4.25, mm. 78-79). A similar conventional arpeggiation figure appears at the end of his Piano Sonata in F minor, Op. 2/1, iv (Ex. 4.26b, mm. 195-96), but this figure almost functions as a characteristic element in the basic idea of this piece (Ex. 4.26a), a basic idea that, initially, featured a very different profile. The original basic idea consists of a 1Z1-line stated in piano chords above an arpeggiated accompaniment that echoes the 1Z1-line below forte chords. In this basic idea, the chordal texture seems at least as important as the 1Z1-line. In the closing section (Ex. 4.26b), however, the 1Z1-line appears only in the arpeggiated version while chords provide the

accompaniment. This codetta-like idea is stated in two registers in measures 189-91, and then, similarly, in measures 191-93. Although the next two-measure unit repeats the idea in the same register, the descending arpeggiation in measure 195 still suggests that, at the beginning of its third beat, the 1$\underline{7}$1-line may sound again, as it did in measures 190 and 192. Not even when the arpeggiation continues its descent do we guess that the piece is almost over, since the low F can also sing the 1$\underline{7}$1-line, as we recall from measure 2. The conclusion of this piece is announced only by the silence following the end of the arpeggiation, a silence emphasized by a fermata above the last rest.

In all the preceding examples, a conventional codetta figure (a $\hat{7}$-$\hat{8}$, a $\hat{1}$-$\hat{1}$-$\hat{1}$, or a tonic arpeggiation) marked the final event of the piece. The next five examples, all by Haydn, end with the final codetta featuring a "twin" of the closing initial idea. In Haydn's Piano Sonata in A, XVI:26, i, the original 54321-line (Ex. 4.27a) is adorned in a new texture (Ex. 4.27b) as it closes the piece. In contrast, the "twin" relationship in his String Quartet in G, Op. 33/5, i (Ex. 4.28), and his Symphony No. 57 in D, ii (Ex. 4.29), is much more obvious. In these three examples, one could reasonably state that the closing initial ideas have, at last, found their proper home, namely as final codettas for the piece. I must, however, show two counterexamples of "twinning" between an initial unit and the final "codetta" (Exs. 4.30 and 4.31). They each feature an "opening" unit which, nevertheless serves as the final event of the piece. This raises the question as to which is more important at the end of a piece: "twinning" or "closing."

II Seven Pieces

The previous discussion was concerned with those formal locations in a full-movement form that deal with the functions of either "opening" or "closing." This study of compositional techniques in a particular formal location necessitated the fragmentation of the musical works cited in the discussion. In contrast, I will now look at seven complete pieces. Here again, I am interested in the same formal locations (the return of the main theme, the final cadence, and post-cadential material) within each piece. My concern is to see how, in each of these locations, a particular piece that begins with a closing initial idea handles the expression of its basic formal functions.

First (as I promised in Chapters One and Two), I will study those pieces whose closing initial idea may be introductory in function, that is, those closing initial ideas that precede the basic idea of the main theme; these pieces include Haydn's String Quartet in D, Op. 50/6, I, Haydn's String Quartet in G, Op. 33/5, I, Beethoven's String Quartet in E minor, Op. 59/2, I, and Haydn's String Quartet in D, Op. 76/5, IV. The other three pieces--Beethoven's String Quartet in F minor, Op. 95, I, Haydn's Symphony No. 57 in D, II, and Beethoven's Bagatelle in A-flat, Op. 33, No. 7--display, in the formal locations listed above, a variety of interesting compositional strategies that (seem to) arise from the necessity to cope with a closing initial idea.

Before I begin my discussion of these pieces, I must address an issue that I have avoided in Chapters One and Two, namely, the distinction between a closing initial idea that precedes a main theme (an introduction) and one that begins a main theme (a basic idea). In most pieces, the material at the very beginning usually announces its formal function in an unambiguous manner since introductions normally lack the type of characteristic opening profile that suggests the onset of a genuine main theme. If, however, a composer is deliberately toying with the musical language, he may blur this distinction between introductions and main themes. For example, two famous pieces both begin with the following closing initial idea: a V7-I progression supporting a 7-8 soprano. This same "closing" profile "opens" both the introduction of

Beethoven s Symphony No. 1 and the main theme of the Trio in Mozart s Symphony no. 41 (Ex. Int.2 .

In pieces that begin with a unit whose formal function seems to be introductory, another issue arises: whether this unit acts as an introduction to the form as a whole, or just to the main theme itself. One particular stylistic norm can provide some guidelines in this respect. In a sonata, for example, an introduction to the exposition appears once only, at the beginning of the piece; thus, a repetition of the exposition does not normally include the introduction (Beethoven does not repeat the introduction in the movement mentioned above). Nor would we expect the end of the development section to state the introduction just before the recapitulation begins. In contrast, some main themes include a brief introductory unit that consistently precedes the basic idea of that theme. Thus, the return of the main theme, either in the repetition of the exposition or at the beginning of the recapitulation, should normally reveal whether an initial unit functions as an introduction to the piece as a whole, or to the main theme alone.

1. Haydn's String Quartet in D, Op. 50/6, I (Ex. 4.32)

a. Closing Initial Idea: Introduction

I will begin with this piece to illustrate these stylistic norms regarding introductions. The closing initial idea in this piece (Ex. 4.32a, mm. 1-4) is an introduction, preceding the basic idea of the main theme. The character of the initial unit is somewhat introductory due to its strong cadential profile that closes it off, and that differs so drastically from the "opening" profile of the next unit, the basic idea of the main theme (Ex. 4.32a, mm. 5-6). We shall see that beginning a piece with such a clear cadential profile becomes a signficant factor in the construction of the rest of the piece.

The return to measure 1 following measure 54 (Ex. 4.32b), as instructed by the repeat signs, provides two pieces of information regarding the structure of this piece. First, we understand the simple fact that the exposition is being repeated. Secondly, the inclusion of the closing initial idea in this repetition means that the unit functions

not as an introduction to the exposition but to the main theme and thus, we can expect to hear it again at the beginning of the recapitulation.

At the beginning of the development (Ex. 4.32b, mm. 55-58), however, an altered version of the closing initial idea "fools" the listener three times. The first measure of the development states the material from measure 1, making us wonder whether the exposition will be repeated yet again. But the downbeat of measure 56 replaces the original V6/5 chord with a new, dominant substitute, a vii7 of vi, indicating that the development section has begun. The first three measures of the new closing initial idea (mm. 55-57) suggest that this section will start off in the key of B-minor (vi). In measure 58, however, the profile of the closing initial idea undergoes a second alteration--a deceptive progression at the "cadential" goal reaches VI of vi or, more simply, IV in the home key. Thus, by altering the closing initial idea, Haydn provides a fascinating way to (1) begin in the home key, (2) allude to vi, and (3) arrive on IV, all within a single cadential progression.

Since this closing initial idea has proven so tonally malleable, the attentive listener can no longer assume either that the material in the first measure of this idea will invariably lead to a restatement of measure 2, or that the cadential goal in the fourth measure of the unit will necessarily repeat the local tonic on the fourth beat of the unit's second measure. Thus, when the melody from measure 1 returns in a higher register near the end of the development section (Ex. 4.32c, m. 112), we are are not surprised that the material of measure 2 has been once again altered: measure 113 refashions it into a melodic sequence of measure 112. When a second sequence follows, stating measure 1 materials now in their original register, the listener is still unsure whether or not the recapitulation has begun. Some evidence that measure 114 is indeed the beginning of the recapitulation is provided by the "correct" dominant chord in measure 115, since a V6/5 chord in this location within the unit has twice previously signalled the onset of the main theme. Since the goal of the cadential progression in this unit has been known to veer toward an unexpected harmony, confirmation that the recapitulation has truly begun is supplied by the goal tonic at the end of the cadential progression. In this piece, then, the main theme is preceded by its own

introduction, a closing initial idea featuring a very convincing cadential profile. But this introductory unit functions like a true cadence in one respect: its cadential progression establishes the various tonalities that signal the onset of three large sections in this piece--the repetition of the exposition, the development, and the recapitulation.

b. The Final Cadence

Since the closing initial idea of this piece features such a strong cadential profile, the final cadence must signal its own genuine cadential function if formal ambiguity is to be avoided. Haydn's solution is one we have seen before--the use of the cadential trill, a cadential cliché that never appears as an initial unit. Unlike the other cadential cliché, the "galante" cadence, whose final chord achieves closure, the cadential trill elaborates scale step $\hat{2}$, a pitch that promises closure but does not, itself, close. Thus, delaying its expected resolution can place greater weight on the cadential goal when it eventually does arrive. The final cadence in this movement illustrates this technique (Ex. 4.32d). In measure 139 of the recapitulation, a deceptive progression prevents harmonic closure, necessitating an extension that must, once more, attempt to close the subordinate theme area. This extension begins with the first measure of the closing initial idea, leading the listener to wonder whether, as in similar circumstances before (m. 55), a complete new section has just begun. In measure 148, however, another cadential trill promises, and this time leads to, the final cadence. Thus, despite other convincing closing ideas in this piece (the closing initial idea and, in the exposition, the main theme's cadence, as Ex. 2.53 shows), the final cadence performs its function unambiguously. The use of a cadential trill first to delay, and then to achieve, thematic closure creates an extended cadential area appropriate for the final cadence of this piece.

c. Post-Cadential Material

As I mentioned before in this chapter, coda cadences usually feature very conventional formulas. The cadence that closes the coda in this piece observes this norm, but only partially. In Schoenberg's terms,

this cadence manages to "say something more" about the previous expression of closure in the final cadential area, but still leaves something very important to be "said" by codettas.

We have just seen that the final cadence features the cadential trill, first in a cadential progression that resolves deceptively, and then, in a standard cadence. Example 4.32e shows how the cadential area in the coda retains the cadential trill as a safe way to express cadential closure in this piece. In the coda, however, events are rearranged so that this time, the cadential trill is not initially diverted from fulfilling its cadential promise. Although another deceptive progression interrupts the normal resolution of the cadential dominant chord (m. 157), the cadential trill in the coda appears only when the dominant is apparently ready to move to a conclusive cadential harmony (m. 160). This apparent desire to save a standard cadential profile only for the moment when the cadential goal will be reached is undermined, however, by another event in measure 160: the cadential trill sounds <u>below</u> the melody of the second violin. The resulting "imperfect" authentic cadence in measure 161 necessitates codettas to unscramble the two upper parts, and place scale step $\hat{1}$ in the higher voice. Notice, then, that despite the use of a conventional cadential trill, the profile of the coda cadence features a weaker version of closure (because it is "imperfect") than does that of the closing initial idea in this piece.

Since the coda cadence remained open melodically, the responsibility to achieve scale step $\hat{1}$ in the soprano is shifted to the closing section (Ex. 4.32e, mm. 161-64). Codettas, as I observed above, often bring back the closing initial idea. In this piece, the codettas refer to this unit in a subtle, but definite, manner. In rearranging the pitches of the final tonic chord to close melodically as well as harmonically, the codettas take the opportunity to refer to the disjunct melodic contour (6<u>Z</u>1) of the closing initial idea (Ex. 4.32a, mm. 3-4) before ending with the standard $\hat{1}$-$\hat{1}$-$\hat{1}$.

2. Haydn, String Quartet in G, Op. 33/5, I (Ex. 4.33)

a. Closing Initial Idea: Introduction

As I mentioned above, introductions either appear once, at the beginning of the piece, or else they consistently precede the basic idea of the main theme. The following piece presents an exception to this stylistic norm. The closing initial idea is separated from the next unit by repeat signs (Ex. 4.33a, m. 2). Although this notational device may not be apparent to a listener, it is clear that the repeated exposition begins on the upbeat to measure 3 with the main theme's basic idea, thus excluding the closing initial idea. In the development, then, we do not expect this brief introduction to precede the recapitulation of the main theme. But following a two-measure silence (Ex. 4.33b, mm. 180-81), which leaves us expecting the basic idea of the main theme, Haydn presents us instead with the closing initial idea from the very beginning of the piece. By reintroducing the closing initial idea at this point, a unit that, as we remember, shares a "twin" profile with both cadences in the main theme (Ex. 2.46), Haydn signals that this "introductory" unit may possibly appear in an unexpected location later on in the piece.

b. Altering the cadence in restatements of the main theme

I have shown in this chapter that in restatements of the main theme, its cadence is often eliminated. Such a technique may often be found when the main theme is in the form of a small ternary; in this theme type, the A′ section may "wander off," merging with the transition section (e.g., Ex. 4.7b). This strategy also occurs in the recapitulation of Haydn's Op. 33/5, I (Ex. 4.33). Example 2.46 above shows its complete main theme, one which begins with the introductory closing initial idea and which features "twin" cadences closing both the A and the A′ sections of the theme (mm. 10 and 32). Example 4.33c shows the end of the B section and the beginning of the A′ section in the exposition. In the recapitulation, the A′ section states only two measures of the original main theme before it "wanders off" (Ex. 4.33d, mm. 206-07).

As we have just seen above, the introduction recurs unexpectedly, at the recapitulation of the main theme. Since both cadences in the

original main theme duplicate this introduction, it is not surprising that, shortly after the A' section begins in the recapitulation, the rest of the main theme is abandoned, thus avoiding another statement of the oft-repeated closing initial idea. In the recapitulation of this sonata, then, the closing initial idea is, at first, conspicuous by its unexpected presence preceding the return of the main theme and then, conspicuous by its absence in the theme's incomplete A' section.

c. The Final Cadence

In this piece, the final cadence is not particularly noteworthy when considered as an isolated unit; however, the nature of the preceding material makes this cadence an interesting event. We already saw in Example 4.33d how the recapitulation deleted the cadence ending the main theme's A' section. Likewise, the subordinate theme area of the recapitulation is significantly altered. In the exposition, this section, which includes material from the beginning of the main theme (Exs. 4.33e, mm. 65-70), closed with a cadential trill (not shown). In the recapitulation, however, we may wonder whether the distinctive closing idea missing from the main theme will now return to close the subordinate theme area, especially since, for the first time in the piece, the basic idea of the main theme is not preceded by the closing initial idea (Ex. 4.33f, mm. 282-285). But in measures 288-90, the subordinate theme closes with a bland, conventional cadence. The effect of this nondescript final cadence is to leave us slightly uneasy as regards the fate of the strange closing initial idea that, on the one hand, reappears inappropriately in the recapitulation before the main theme (Ex. 4.33b), but, on the other hand, disappears as a cadential idea (Exs. 4.33d and 4.33f).

d. Codettas

As just mentioned, the final cadence leaves us wondering whether we have heard the last of the "characteristic" closing initial idea. A closing section now follows, featuring a conventional 54321-melody. At measure 294, however, our concentration on this simple melodic line is disturbed by what, at first, seems like a subordinate contrapuntal figure. Of course, this figure is the melody of the closing initial

idea. This idea next returns as an identical "twin" of measures 1-2 (mm. 301-02), and at the end of the piece, in a more codetta-like texture of doubled octaves, as a "closing final idea" (mm. 303-304).

3. Beethoven's String Quartet in E minor, Op. 59/2, I (Ex. 4.34)

a. Closing Initial Idea: Introduction

In the preceding piece, the introductory figure did not consistently precede the basic idea of the main theme. In contrast, Beethoven's String Quartet in E-minor, Op. 59/2, I, always states its two-chord introduction before the basic idea of the main theme (Exs. 4.34a, mm. 1-5, and 4.34b, m. 70). But unlike the introductory closing initial idea in the previous two pieces, Beethoven's introduction is an opening gesture, a gesture answered by a unit that closes the first five measures of the movement. This closing gesture is, as we recall from Example 2.20, a closing initial idea, an idea that, as I explained above, participates with the next unit in stating the "presentation phrase" of the main theme. At the beginning of the piece, then, both the closing initial idea and the two-chord introduction express contradictory formal functions. Whereas the two-chord figure acts as a "beginning" in measures 1-5, its function is soon seen to be "introductory" in measure 6, when the sequential repetition of the basic idea appears. Similarly, the closing initial idea first "closes" the five-measure unit, but then acts as a "beginning" of a presentation phrase. Perhaps the next location to expect this material, the beginning of the recapitulation will settle these ambiguities.

In Example 4.34c, which shows the end of the development and the beginning of the recapitulation, we see how Beethoven changes the environment of the two-chord introduction in a way that emphasizes the five-measure closed unit with which the piece begins. In measure 138, running sixteenth-note figures present an altered version of the two-chord "introduction" (mm. 136-39) and, without stopping, continue past the original version of this figure (m. 140) right through the formerly suspenseful, silent measure. These sixteenth notes stop only when a closing idea ends this very mobile seven-measure unit; the closing idea that ends the unit is, of course, the original closing initial idea.

Although what follows is the same sequential repetition, which managed to clarify formal functions in the exposition, a strong impression remains that the two-chord introduction can indeed represent the beginning (as in mm. 1-5), or even the "middle" (as in mm. 138-44), of a formal unit that ends with the silent measure (mm. 5 and 144) following the closing initial idea.

b. Final Cadence

In this piece, an event involving the closing initial idea prevents the final cadence from closing melodically (Ex. 4.34e). While the lower three instruments participate in an authentic cadence (mm. 204-05), the first violin keeps scale step $\hat{5}$ active: just as the goal tonic is achieved in the second violin, the first violin states an altered fragment of the closing initial idea (Ex. 4.34e, m. 205). Thus, the final cadence remains open melodically, passing the responsibility for closure onto the next unit, the post-cadential area.

c. Post-Cadential Material

I have observed above that the coda cadence is usually the most conventional cadence in the piece. Whereas the coda cadence in this movement by Beethoven features a melody that is not stylistically typical (Ex. 4.34f), this cadence nevertheless remains the most conventional one in the piece. We have seen the unusual cadential idea ending the main theme (Ex. 2.61) and the imperfect authentic cadence that serves as a final cadence (Ex. 4.34e). Thus, despite the precipitous leap in the melody of the coda cadence (Ex. 4.34f, m. 251), this location features the only conclusive cadence in the piece. The large leap in this cadence is not without significance as regards earlier events in the piece. Spanning the interval of a compound fifth, the same distance that, in measures 1-4, separates the high B (Ex. 4.34d, m. 1) and the goal E (m. 4), the unusual profile of this cadence is a subtle reference to the first closed unit in the piece.

The closing section (Ex. 4.34f) seems, at first, unremarkable: it brings back characteristic elements of the closing initial idea followed by the standard codetta figure, $\hat{1}$-$\hat{1}$-$\hat{1}$. But in this case, the $\hat{1}$-$\hat{1}$-$\hat{1}$ figure may refer to a prior event. I observed above (Ex. 4.34c) that the

recapitulation begins with a series of sixteenth notes that "fill in" the silent measure (m. 2) following the two-chord introduction. The final $\hat{1}$-$\hat{1}$-$\hat{1}$ figure in Example 4.34f performs the same function for measure 5 after the closing initial idea (Ex. 4.34d). Notice that, like the first closed unit of this piece, the closing section also spans five measures (mm. 252-56), thus confirming our initial impression that measure 5, and the closing initial idea, expressed a strong sense of "ending."

4. Haydn's String Quartet in D, Op. 76/5, iv (Ex. 4.35)

a. Closing Initial Idea: Introduction or Basic Idea

This piece illustrates an unusual recurrence of an "introduction." Example 4.35a shows that this piece starts with the same V-I figure as the beginning of Beethoven's Symphony No. 1 and the Trio in Mozart's Symphony No. 41 mentioned above. In the first six measures of Haydn's piece, the repeated V-I figure seems introductory when compared with the material that follows it: a brief, but genuine, melodic idea accompanied by a conventional drum-bass figure (mm. 9-16). Since no repeat signs separate measures 1-6 from ensuing material, a repeated exposition would restate these six measures, thus identifying their function as introductory to the main theme. But this movement presents a rare case of an exposition that is not repeated. At the beginning of the development, then, the formal function of the closing initial idea remains a mystery, a mystery that might possibly be solved, however, by the recapitulation, since an introduction to the movement as a whole would not appear in this location.

Example 4.35b, which shows the end of the development and the beginning of the recapitulation, also shows how clever Haydn is at playing with the formal functions of his material. The development ends with the drum-bass figure (mm. 188-92) that, in the exposition, preceded and accompanied the brief melodic idea in measures 9-16. Since this accompaniment at the end of the development suggests the imminent arrival of that brief melodic idea, we can infer that the first six measures of the piece had acted as an introduction to the movement and that the brief melodic idea formed an unconventional main theme. But the actual material at the beginning of the recapitulation forces us to reject this

interpretation, for here, Haydn has combined together both the introductory idea and the brief melodic idea in a contrapuntal texture that eliminates the drum-bass accompaniment. Thus, the recapitulation tells us that both units equally represent "the main theme," an appropriately unconventional solution to such unconventional material.

b. The Final Cadence

Example 4.35c shows the final cadence closing the subordinate theme area in the recapitulation of this piece. Since this cadence features typical conventional melodic material (scalar and arpeggiated lines), we may assume that, although formal functions are not entirely clear in much of this piece, Haydn obviously wants one particular function to be unambiguous--that of the cadence closing the form. In this location, then, he writes a graceful, but very standard, cadential idea, one that easily performs its function despite the unconventional material that precedes it.

c. Post-Cadential Material

We have seen that, up to measure 242, the only location that clearly expresses its formal function in this movement is the final cadence. Since a substantial amount of material follows this final cadence, we may wonder whether formal functions in this post-cadential area will continue to be expressed in a conventional manner, or whether the closing initial idea of the piece will contribute to formal ambiguity as it did both at the beginning of the piece and in the recapitulation. We will see that, despite the lack of a standard main theme in this piece, the post-cadential area is typical stylistically: the coda cadence is perfectly conventional and the codettas, as I have explained earlier in this chapter, bring back the closing initial idea in a location more appropriate to its profile.

Although the coda cadence is made up of conventional material (Ex. 4.35e, mm. 272-81), it nevertheless seems to refer to previous events in the piece; its melody combines elements from two motivicly unrelated units--"main theme" material (Ex. 4.35d) and the final cadence (Ex. 4.35c). Like the final cadence, the melody in the coda cadence features an ascending line and a figure (labelled "x" in Exs. 4.35c, m. 239, and

4.35e, m. 278) that leads to an arpeggiated figure. At this point, however, the coda cadence refers to the "main theme" by closing with a simplified version of the 54321-line in Example 4.35d, measures 10-12 (Ex. 4.33e, mm. 280-81). Notice, however, the lack of any reference to the enigmatic "codetta-like" opening of this piece (Ex. 4.35a, mm. 1-6) in both the final cadence and the coda cadence.

The closing section features a return of the closing initial idea, a standard technique as we have seen before in this chapter. Here, however, this event requires the piece to end in an unusual way. The closing section begins with a new conventional melody (Ex. 4.35e, mm. 281-85), an arpeggiated line accompanied by what, in any other piece, would be considered an unremarkable repetition of V-I chords. But when the melody is abandoned in measure 285, we recognize that this accompaniment is a "twin" of the closing initial idea, which now tries to function as a codetta. Its profile, however, suggests the potential return of the brief melodic idea that originally followed it at the beginning of the piece (Ex. 4.35a). Haydn's solution to end this piece is to turn to another simple codetta figure, the $\hat{1}$-$\hat{1}$-$\hat{1}$, but with the following change: in the last two chords, the highest pitch is scale step $\hat{3}$. It would seem that, in Haydn's opinion, a melodic tonic cannot close a piece that begins with such a codetta-like initial idea.

5. Beethoven, String Quartet in F minor, Op. 95, I (Ex. 4.36)

a. The Return of the Main Theme

Unlike the four pieces just discussed, each of which featured a brief introductory unit before the onset of the main theme proper, the closing initial idea in this piece (and in the following two) functions as the basic idea of the main theme. Example 4.36a shows a main theme (mm. 1-18) that begins with a characteristic two-measure basic idea, a closing initial idea that is easy to recall; what follows is material that, due to its melodic and rhythmic activity, is much more difficult to memorize, even by an attentive listener. After the cadence (whose parallel motion has been discussed above in Ex. 2.56), a repetition of the distinct closing initial idea leads to the transition section (mm. 18ff.).

Although Beethoven has written a main theme much of which is "difficult" to recall, he supplies it with a characteristic basic idea that ends with a strong sense of closure, a strategy that will affect the beginning of the recapitulation. Here, the return of the main theme consists only of a statement of the closing initial idea (Ex. 4.36b, mm. 82-83) followed immediately by transition material (mm. 84ff.). One may even wonder whether the main theme has returned at all, since measures 82-83 could also be considered analogous to measure 18, the actual onset of the transition. In any event, the original eighteen-measure main theme is sufficiently recapitulated by a unit that functions both as the main theme's basic idea and as the beginning of the transition.

b. The Final Cadence

In this location, an event related to the beginning of the closing initial idea results in an authentic cadence that seems to be a "perfect authentic" one despite the presence of an "imperfect" element. The melody in this final cadence is stated in octaves by the two violins (Ex. 4.36c, mm. 120-22). At the cadential goal (m. 123), the first violin remains on scale step $\hat{5}$, so that the cadence is "imperfect authentic." But the second violin, in swooping down to begin a "Billy Rose" version of the closing initial idea's first figure, states a common cadential closing melody--a 6$\underline{5}$21-line (mm. 122-23), a line that shifts our attention from scale degree $\hat{5}$ to $\hat{1}$, as if the cadence is really perfect authentic beneath an "ornamental" $\hat{5}$. (And, in fact, while the bass waits patiently on the tonic, and the two inner parts move to appropriate pitches, the first violin does descend, over the next few measures, to the goal tonic in m. 127.) In this "almost perfect" authentic cadence, scale step $\hat{1}$ in an inner voice is given prominence by the second violin's motion to the closing initial idea.

c. Post-Cadential Material

As discussed above, the final cadence features a conflict between the second violin, whose melodic goal is scale step $\hat{1}$, and the first violin, that persists with $\hat{5}$. A similar conflict occurs at the end of the coda in this work (Ex. 4.36d). In measure 136, the second violin controls the highest part, progressing in a conventional manner towards a

tonic that functions as both the cadential goal and the beginning of the closing initial idea (m. 138). But just at the end of measure 137, the first violin covers the cadential melody (and the beginning of the closing initial idea) once again with $\hat{5}$. Thus, this piece is unusual in that the coda cadence is as unconventional as all previous cadences in the piece.

Unless this piece is to close with scale step $\hat{5}$ in the soprano, a closing section will be necessary (Ex. 4.36e). The codettas are similar to examples we have seen above: they feature a reference to the closing initial idea before ending with a standard codetta idea (such as $\hat{7}$-$\hat{8}$, $\hat{1}$-$\hat{1}$-$\hat{1}$, or a tonic arpeggiation). In this case, the penultimate codetta states a variation of the "$\hat{7}$-$\hat{8}$ above V-I" idea in which $\hat{2}$-$\hat{1}$ is found in the melody (mm. 148-51). In the last codetta (mm. 150-51), however, scale step $\hat{2}$ is diverted from settling on $\hat{1}$ until all the parts move to scale step $\hat{5}$; they all then proceed, in doubled octaves, to the goal tonic. This is the final emphatic act of a scale step that plays a prominent role in this piece: scale step $\hat{5}$. Most obviously, the final $\hat{5}$-$\hat{1}$ progression duplicates the main themes's cadence (Ex. 4.36a, mm. 17-18). Moreover, both the final and coda cadences are "imperfect authentic" due to the first violin's persistence in stating $\hat{5}$ above otherwise "perfect authentic" cadences (Exs. 4.36c and 4.36d). In fact, the importance of this pitch is announced at the very beginning of the piece (Ex. 4.36a mm. 3-5) where, as I explained in Example 2.17, the implication of the closing initial ideas's melody (motion from $\hat{1}$ to $\hat{3}$) is realized in a very dramatic fashion. But at that time, scale step $\hat{5}$ was followed by an event apparently unrelated to it: a sequential repetition of the closing initial idea in bII (Ex. 4 36a, mm. 6-7). In the last few measures of the piece (Ex. 4.36e, mm. 146-47), then, when the motion from $\hat{1}$ to $\hat{3}$ in the closing initial idea suggests, as it did at the very beginning of the piece, that $\hat{5}$ may appear again, this pitch is realized in an environment that resolves all previous issues. It now follows a diatonic scale step $\hat{2}$, and, unlike the final and coda cadences, it proceeds to a goal tonic that, at last, is able to express closure, in this case, the very end of the piece.

The closing initial idea in this piece cannot express a genuine sense of closure since it constantly appears in a "beginning" context, for example, as the basic idea of the main theme, as the onset of the transition, and as the beginning of the recapitulation. The melodic profile of this unit can, however, imply the scale step ($\hat{5}$) that first prevents closure (in the final and coda cadences) but ultimately participates in the most important closure, the one that ends the piece.

6. Haydn, Symphony No. 57 in D, II (Ex. 4.37)

a. Restatements of the Main Theme

A form that offers the possibility for any number of restatements of a main theme is, of course, a theme and variations. When a theme begins with a closing initial idea, it is aesthetically desirable that the subsequent variations weaken the closing elements in their initial unit; otherwise, each cadence ending a variation would be followed by another closing gesture--the closing initial idea at the beginning of the next variation--thus inhibiting continuity in the piece as a whole.

This theme and variations movement illustrates how these norms are followed through weakening the expression of closure in repeated statements of the closing initial idea. Haydn writes three variations (Exs. 4.37b, 4.37c, and 4.37d, mm. 37-38) that convert a "closing" gesture in the closing initial idea (Ex. 4.37a, m. 1) into an "opening" one; he replaces its simple 321-line in the closing initial idea with flowing arpeggiated figures that avoid the tonic as a goal pitch.

As I observed in Example 2.38, the small binary form of the theme features an interesting construction: the cadence closing Part II is followed by a codetta that is a "twin" of the closing initial idea. Although the beginning of each variation dutifully removes closing elements from the closing initial idea, this codetta returns at the end of each variation and is thus juxtaposed with a new varied version of itself (Ex. 4.37d shows the end of the second variation and the beginning of the third). In each variation, then, the codetta performs a strange, contradictory function. On the one hand, it confirms the closure of the cadence preceding it, a cadence now free from coping with an inappropriate expression of closure at the beginning of the variation

(since each variation opens up the melody of the initial idea). On the other hand, the codetta is a constant reminder of the original profile of the initial idea, a profile perfectly at home in an ending location.

b. The Final Cadence

I mentioned above that in a theme and variations or rondo form (Ex. 4.15), the listener can never be sure whether a particular return of the main theme (that is, as a variation or a refrain) will be the final one. Haydn's theme and variations movement illustrates a more complex version of this problem. We know that the theme and the first three variations all end with a codetta, a "twin" of the closing initial idea. Example 4.37e shows the codetta of the third variation and the beginning of what is essentially a return of the theme (although some variation, not shown in my excerpt, does occur in this return). As I explained in connection with Example 2.38, the final cadence of the theme is shorter, and in that sense, weaker than the internal cadence preceding it. Thus this relatively weak cadential profile closing the theme (Ex. 4.37a, m. 11) also seems to close the form (Ex. 4.37f, m. 62). But we have seen that this weak cadence has, up to this point, always been followed by the distinctive codetta, a curious construction that nevertheless strengthens the weak cadence by confirming its closure. This codetta is lacking after the final cadence, an omission that considerably weakens this cadence's expression of closure since the listener now wonders what has become of the codetta.

c. Post-Cadential Material

Since the final cadence features a relatively weak sense of closure, the post-cadential events in measures 63-67 (Ex. 4.37f) seem like an attempt to strengthen this final cadence by reinforcing it with a closing section, a cadential progression in which an initial tonic is emphasized by a V6/5 chord, one which points to its resolution to I. And, indeed, although the cadential profile of the end of this unit essentially duplicates the weaker one at the beginning of the piece (cf. Exs. 4.37a, mm. 10-11, and 4.37f, mm. 66-67), the enlarged cadential area does give this last cadence more weight. But we see, in the final measure of this piece, that Haydn still has "more to say." In view of the past

performance of this figure, whose presence always signalled more music, the effect of measure 68 is to leave the listener unsure whether, perhaps, another variation will follow. Only the beginning of the next movement truly confirms retrospectively that the basic idea of this theme has finally performed the closing function promised by its profile.

7. Beethoven's Bagatelle in A-flat, Op. 33, No. 7 (Ex. 4.38)

Because the form of this piece is unconventional, I have prepared a chart, labelling the units with unconventional labels. My chart shows that the piece can be divided into four parts (Parts A to D). Part A presents two major sections: Section 1, comprising Phrases 1.1 (mm. 1-8) and 1.2 (mm. 9-20), and Section 2 (mm. 21-36). Since Section 2 is irrelevant to my discussion in this paper, I will not describe its internal organization. Returning to Section 1, then, I have already described this material in connection with Example 2.64. To recall that discussion, Phrase 1.1 (Ex. 4.38a, mm. 1-8) features a drum-bass accompaniment pattern below a repeated closing initial idea whose formal function is unclear. In Phrase 1.2 (Ex. 4.38a, mm. 9-20), a "hocket-like" variation of Phrase 1.1 begins in the subdominant, but closes in the home key. This phrase is followed by Section 2. The end of Section 2 is followed by Part B, which brings a repetition of Sections 1 and 2.

As my chart shows, restatements in Part B of Section 1, whose phrases originally ended with repeat signs, now feature written-out repetitions that state altered versions of both the drum-bass accompaniment and the melodic idea (Ex. 4.38b). A neighbour figure ornaments both the accompaniment (mm. 45-48) and the closing initial idea (mm. 49-52); Phrase 1.2 material is similarly ornamented (Ex. 4.38c). In Part C, the third statement of Section 1, the closing initial idea returns with the same neighbour-figure ornament (Ex. 4.38d, mm. 105-108) that we saw in Part B (4.38b, 49-52), but the accompaniment that precedes it appears in a new version (Ex. 4.38d, mm. 101-04). Finally, at the end of Part C (Ex. 4.38e, m. 132), when we are expecting to hear Section 2 for the third time, still another version of the drum-bass is pounded out

with full chords (followed by material that I will discuss when I focus on final cadences).

a. Restatement of the Main Theme

As the preceding discussion shows, the restatements of Section ' bring ornamented versions of both the closing initial idea and its drum-bass accompaniment. But although each return brings a busier or louder version of the drum-bass pattern, these variations neither eliminate nor strengthen the expression of closure in the closing initial idea. And more importantly, these variations add no information to help us identify the formal function of that closing initial idea. It remains a closing figure that cannot express a convincing sense of closure despite its occupying a cadential location.

b. The Final Cadence

The end of Part C (Ex. 4.38e, m. 132), according to previous events in this piece, would be followed by another statement of Section 2. As we see by my chart, however, this material never returns. In its place comes a new version of the drum-bass figure, suggesting that Phrase 1.1 is about to be stated for the fourth time. But we are fooled again, since what follows is the "hocket-like" material from Phrase 1.2. Although this phrase continues essentially as it did at the beginning of the piece, its expression of closure is now weaker for harmonic reasons. Unlike its first appearance (Ex. 4.38a, mm. 9-20), which suggested a IV-V-I progression, its new harmonic vocabulary is limited to an alternation of I-V-I chords. Such a progression underlying this entire phrase prevents its ending unit (Ex. 4.38e, m. 150) from expressing a cadential idea any more convincing than the curious closing idea at the beginning of the piece.

c. Post-Cadential Material

Now that we are at the very end of the piece, we have to understand that the closing initial idea is not a cadential idea; it serves as the "characteristic" basic idea of the piece, since its expression of closure for any other structural level is, at best, poor. After having been stated four times in increasingly elaborated versions, it is varied for the last time (Ex. 4.38e, mm. 151-55), now featuring a melody that seems

to circle aimlessly above dominant harmony until a tonic finally arrives in measure 155. But the harmony at this point, a V-I progression, is no more cadential than either that of the "final cadence" (mm. 149-50) or even that of the original closing initial idea, both of which are supported by this same V-I progression. Thus, only a conventional codetta formula seems able to express a clear sense of closure in this piece. Notice, however, that the $\hat{7}$-$\hat{8}$ cliché can be considered a simplified reference to the closing initial idea, in this case, its 1$\underline{7}$(65)1-line (Ex. 4.38f).

CONCLUSION

In this paper, we have seen some "families" of melodic-rhythmic figures that appear quite regularly in the instrumental works of Haydn, Mozart, and Beethoven. These figures consist of closing melodies that normally appear in cadences or codettas. As I have shown, however, such figures may also occur as "opening" ideas, and I have introduced the term "closing initial ideas" to identify these cases.

For those pieces that begin with a closing initial idea, the formal functions of "beginning" and "ending" can still be clearly conveyed by two means. First, the appropriate use of harmony can easily avoid formal ambiguity by using a tonic prolongational progression for an "opening" unit and a cadential progression for a structural cadence. The second strategy, which is effective even if the closing initial idea features a cadential progression, involves the use of a cadential cliché that never appears in an "opening" unit, namely, the "galante" cadence or the cadential trill.

In contrast to those pieces whose formal functions are clear, I have shown several cases where cadential ideas are far from standard; thus, the role of context--the location of a particular unit within the piece as a whole--must help the listener to ascertain the correct formal function of "beginning" and "ending" units. But even in pieces where formal functions may seem somewhat ambiguous, a closing initial idea still performs some of the duties required of a "beginning" unit. Such duties include establishing the tonality of the piece, presenting the characteristic material by which the piece is recognized, and initiating the opening processes that will later require closure. Although the last duty is somewhat neglected by a closing initial idea, the first two are carried out as they would be by any typical opening unit.

Whether or not formal functions in a piece are clearly expressed, beginning with a closing initial idea creates a fascinating effect since

the attentive listener wonders, throughout the entire course of the piece, whether this closing profile will ever, eventually, be given the opportunity to express its proper function within the piece. And indeed, such a listener is often rewarded by the composer's use of the "twinning" technique, that is, the return of the closing initial idea in such "ending" units as either a cadence or a codetta.

The significance of a closing initial idea that reappears in a closing unit can be viewed in several ways. According to Schoenberg, "A piece of music resembles in some respects a photograph album, displaying under changing circumstances the life of its basic idea--its basic motive."(1) Thus, the first "page of the album" displays a closing idea placed in an "opening" location. The "last page" shows how this idea finally fulfills its destiny by appearing in a closing location within the piece.

Another explanation of the "twinning" technique involves the notion of the musical pun. As Rosen observes,

> The classical style is a style of reinterpretation. One of its glories is its ability to give an entirely new significance to a phrase by placing it in another context. This can be done without rewriting, without reharmonizing, and without transposition: the simplest, wittiest, and most superficial form of this is an opening phrase which becomes a closing phrase as in Haydn's Quartet op. 33 no. 5.(2)

Still another interpretation of some closing initial ideas is that they may, in a sense, represent the actual closure of the piece. In this connection, Kramer distinguishes between two kinds of time: "absolute" (moment-to-moment) time and "gestural" time.(3) An example of "gestural" time is our association of the formal function of "ending" with a standard cadential profile since this profile normally appears in a cadential unit, that is, in an "ending" location. But in cases where this profile occupies a "beginning" unit, a unit that, in absolute time,

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1. Schoenberg, Fundamentals, p. 58.

2. Rosen, Classical Style, p. 78. I have discussed this piece in Chapter Four, pp. 95-97.

3. Kramer, Time of Music, pp. 150-51.

marks the start of a theme, we understand that temporal events in such a piece have been presented out of order--the (gestural) end precedes, in absolute time, the beginning and middle of the piece.

Certainly, no individual explanation can adequately do justice to the many-sided aspects of formal function presented by pieces with such an anomalous beginning. Our best hope for enjoying these pieces is to recognize that Haydn, Mozart, and Beethoven were able to create a rich and well-understood musical language. Within the vocabulary of this language, some melodic figures are equally at home in beginning or ending units. Thus, with great skill, imagination, and wit, these composers could explore and experiment with the gestural meanings of such figures.

APPENDIX: LIST OF MUSICAL EXAMPLES

Examples for the Introduction

Examples for Chapter One

1.33 Haydn, Baryton Trio in A, H. XI:86, iii, mm. 1-2
1.34 Haydn, String Quartet in D, Op. 17/6, ii, mm. 1-2
1.35 Haydn, Baryton Trio in C, H. XI:82, iii, mm. 1-3
1.36 (a) Haydn, Piano Sonata in C, H. XVI:48, ii, mm. 1-2
(b) Mozart, Piano Sonata in C, K. 279, i, mm. 11-12
1.37 Mozart, Piano Sonata in F, K. 533, i, mm. 1-4
1.38 Beethoven, Bagatelle in A-flat, Op. 33, No. 7, mm. 1-8
1.39 (a) Haydn, String Quartet in G, Op. 33/5, i, mm. 1-2
(b) Haydn, String Quartet in F, Op. 50/5, i, mm. 5-8
1.40 Beethoven, Symphony No. 1 in C, Op. 21, iii, mm. 1-4
1.41 Beethoven, Piano Sonata in A-flat, Op. 26, ii, mm. 1-4
1.42 Haydn, String Quartet in D, Op. 76/5, iv, mm. 1-3
1.43 Beethoven, Piano Sonata in F Minor, Op. 2/1, iv, mm. 1-3
1.44 Haydn, Piano Sonata in A, H. XVI:26, i, mm. 1-2
1.45 Beethoven, Piano Concerto No. 3 in C Minor, Op. 37, i, mm. 1-4
1.46 Mozart, Piano Sonata in C, K. 545, i, mm. 1-2
1.47 Haydn, Baryton Trio in A, H. XI:35, ii, mm. 1-2
1.48 Beethoven, String Quartet in E Minor, Op. 59/2, i, mm. 1-4
1.49 Beethoven, String Quartet in F minor, Op. 95, i, mm. 1-2
1.50 Beethoven, Piano Sonata in C, Op. 53, i, mm. 1-4

Examples for Chapter Two

2.1 Beethoven, Piano Concerto No. 3 in C Minor, Op. 37, i, mm. 1-4
2.2 Haydn, Piano Sonata in D, H. XVI:24, i, m. 1
2.3 Mozart, Piano Concerto No. 27 in B-flat, K. 595, ii, mm. 1-2
2.4 Beethoven, Piano Sonata in D, Op. 10/3, iii, mm. 1-4
2.5 Beethoven, Two Sonatinas, K.H. Anh 5, mm. 1-2
2.6 Mozart, Violin Sonata in C, K. 404, i, mm. 1-2
2.7 Mozart, Violin Sonata in F, K. 377, iii, mm. 1-2
2.8 Mozart, Symphony in D, K. 120, iii, mm. 1-4
2.9 Beethoven, Piano Sonata in A-flat, Op. 26, ii, mm. 1-2
2.10 Haydn, String Quartet in G, Op. 33/5, i, mm. 1-2
2.11 Haydn, String Quartet in D, Op. 76/5, iv, mm. 1-2
2.12 Haydn, String Quartet in D, Op. 50/6, i, mm. 1-4
2.13 Haydn, Symphony No. 98 in B-flat, ii, mm. 1-2
2.14 Haydn, Symphony No. 98 in B-flat, ii, mm. 1-4
2.15 Haydn, Symphony No. 92 in G, ii, mm. 1-2
2.16 Haydn, Piano Sonata in G, H. XVI:40, ii, mm. 1-4
2.17 Beethoven, String Quartet in F Minor, Op. 95, i, mm. 1-5
2.18 Haydn, Piano Sonata in D, H. XVI:24, i, mm. 1-4
2.19 Beethoven, Piano Concerto No. 3 in C Minor, Op. 37, i, mm. 1-8
2.20 Beethoven, String Quartet in E Minor, Op. 59/2, i, mm. 1-8
2.21 Beethoven, Bagatelle in A-flat, Op. 33, No. 7, mm. 4-8
2.22 Haydn, Symphony No. 100 in G, ii, mm. 1-4
2.23 (a) Haydn, String Quartet in D, Op. 76/5, iv, mm. 1-6
(b) Haydn, Symphony No. 84 in E-flat, iv, mm. 288-92
2.24 Haydn, Baryton Trio in A, H. XI:35, ii, mm. 1-3
2.25 Mozart, Piano Sonata in F, K. 533, i, mm. 1-4
2.26 (a) Mozart, Piano Sonata in C, K. 279, i, mm. 1-5
(b) Haydn, Piano Sonata in G, H. XVI:39, i, mm. 60-62

2.27 Mozart, Symphony No. 4 in D, K. 19, III, mm. 1-4
2.28 Mozart, Divertimento in F, K. 522, I, mm. 1-7
2.29 Haydn, String Quartet in F, Op. 74/2, III, mm. 1-7
2.30 Haydn, Piano Sonata in C, H. XVI:1, III, mm. 1-3
2.31 Haydn, String Quartet in D, Op. 50/6, I, mm. 1-6
2.32 Haydn, String Quartet in G, Op. 33/5, I, mm. 1-5
2.33 Haydn, Baryton Trio in C, H. XI:82, III, mm. 1-6
2.34 Mozart, Violin Sonata in F, K. 377, III, mm. 1-4
2.35 Haydn, Symphony No. 17 in F, II, mm. 1-4
2.36 Haydn, String Quartet in F, Op. 77/2, III, mm. 1-22
2.37 Haydn, Piano Sonata in G, H. XVI:40, II, mm. 1-24
2.38 Haydn, Symphony No. 57 in D, II, mm. 1-12
2.39 Mozart, String Quartet in D, Op. 17/6, II, mm. 1-12
2.40 Mozart, Symphony in D, K. 120, III, mm. 1-16
2.41 Mozart, Piano Sonata in C, K.330, II, (a) mm. 1-2 (b) mm. 19-20
2.42 Haydn, Symphony No. 84 in E-flat, IV, mm. 1-8
2.43 Mozart, Piano Concerto No. 27 in B-flat, K. 595, II, mm. 1-8
2.44 Mozart, Piano Sonata in D, K.576, II, (a) mm. 13-16 (b) mm. 1-2
2.45 Haydn, Symphony No. 92 in G, II, (a) mm. 1-2 (b) mm. 27-28
2.46 Haydn, String Quartet in G, Op.33/5, I, mm. 1-32
2.47 Haydn, Baryton Trio in A, H. XI:86, III, mm. 1-10
2.48 Haydn, Symphony No. 100 in G, II, (a) mm. 1-2 (b) mm. 6-8 (c) mm. 34-36
2.49 Mozart, Violin Sonata in F, K. 377, III, mm. 1-8
2.50 Haydn, Piano Sonata in C, H. XVI:48, II, mm. 1-33
2.51 Haydn, Symphony No. 84 in E-flat, IV, (a) mm. 1-2 (b) mm. 13-16
2.52 Mozart, Piano Sonata in C, K. 279, I, (a) mm. 1-3 (b) mm. 9-12
2.53 Haydn, String Quartet in D, Op. 50/6, I, (a) mm. 1-4 (b) mm. 11-16
2.54 Beethoven, Piano Sonata in A-flat, Op. 26, II, mm. 1-8
2.55 Haydn, Baryton Trio in C, H. XI: 82, III, mm. 1-10
2.56 Beethoven, String Quartet in F Minor, Op. 95, I, mm. 15-18
2.57 Beethoven, Symphony No. 1 in C, Op. 21, III, mm. 1-8
2.58 Beethoven, Piano Sonata No. 21 in C, Op. 53, I, mm. 10-13
2.59 Haydn, Baryton Trio in A, XI:35, II, mm. 1-6
2.60 Mozart, Piano Sonata in F, K. 533, I, mm. 1-36
2.61 Beethoven, String Quartet in E Minor, Op. 59/2, I, mm. 17-23
2.62 Mozart, Piano Sonata in C, K. 545, I, mm. 1-13
2.63 Haydn, String Quartet in D, Op. 76/5, IV, mm. 1-17
2.64 Beethoven, Bagatelle in A-flat, Op. 33, No. 7, mm. 1-8

Examples for Chapter Three

3.1 Haydn, Piano Sonata in C, K. XVI: 1, III, Minuet, mm. 1-20
3.2 Haydn, String Quartet in F, Op. 74/2, III, Trio, mm. 42-67
3.3 Haydn, Baryton Trio in C, H. XI:82, I, Minuet, mm. 1-28
3.4 Mozart, Cassation in D, KV. 100 (62a), III, Minuet, mm. 1-24
3.5 Beethoven, Piano Sonata in Ab, Op.26,II, Scherzo, mm. 1-16 and 42-67
3.6 Haydn, String Quartet in D, Op. 17/6, II, Minuet, mm. 1-22
3.7 Haydn, Baryton Trio in A, H. XI:86, III, Minuet, mm. 1-15 and 26-28

3.8 Beethoven, Piano Sonata in D, Op.10/3, III, Minuet, mm. 1-54
3.9 Haydn, Baryton Trio in A, H. XI:35, II, mm. 1-23 and 36-47
3.10 Haydn, String Trio in D, H. IV:15, III

Examples for Chapter Four

4.1 Haydn, Symphony No. 98 in B-flat, II, (a) mm. 1-2 (b) mm. 8-10 (c) mm. 49-50 (d) mm. 56-58
4.2 Mozart, Piano Sonata in C, K. 545, I, (a) mm. 1-2 (b) mm. 41-43
4.3 Haydn, Piano Sonata in G, H. XVI:40, II, (a) mm. 1-2 (b) mm. 53-54
4.4 Mozart, Symphony No. 4 in D, K. 19, III, (a) mm. 1-8 (b) 51-56
4.5 Haydn, Piano Sonata in C-sharp minor, H. XVI:36, II, (a) mm. 1-2 (b) mm. 35-36 (c) Mozart, Piano Sonata in G, K. 283, I, mm. 8-10
4.6 Mozart, Piano Sonata in C, K. 279, I, (a) mm. 1-12 (b) mm. 58-63
4.7 Haydn, String Quartet in F, Op. 77/2, III, (a) mm. 13-22 (b) mm. 54-59 (c) mm. 88-93
4.8 Haydn, Symphony No. 84 in E-flat, IV, (a) mm. 1-16 (b) mm. 219-37
4.9 Mozart, Piano Sonata in C, K. 545, I, (a) mm. 1-2 (b) mm. 66-73
4.10 Beethoven, Piano Sonata in F minor, Op. 2/1, IV, (a) mm. 1-3 (b) mm. 165-69
4.11 Haydn, Piano Sonata in C-sharp minor, H. XVI:36, II, (a) mm. 1-2 (b) mm. 82-84
4.12 Mozart, Violin Sonata in F, K. 377, III, (a) mm. 41-48 (b) mm. 149-57 (c) mm. 168-83
4.13 Beethoven, Symphony No. 1 in C, Op. 21, III, (a) mm. 1-2 (b) mm. 51-58
4.14 Haydn, Symphony No. 92 in G, II, (a) mm. 1-2 (b) mm. 27-28 (c) mm. 97-99
4.15 Haydn, Piano Sonata in C, H. XVI:48, II, mm. 227-33
4.16 Beethoven, Piano Sonata in C, Op. 53, I, mm. 233-36
4.17 Haydn, String Quartet in F, Op. 77/2, III, (a) mm. 15-22 (b) mm. 117-29
4.18 Haydn, Piano Sonata in C, H. XVI:48, II, (a) mm. 1-2 (b) mm. 248-51
4.19 Beethoven, Piano Sonata in C, Op. 53, I, (a) mm. 1-3 (b) mm. 39-42 (c) mm. 288-95
4.20 Haydn, Symphony No. 84 in E-flat, IV, (a) mm. 1-2 (b) mm. 271-92
4.21 Haydn, Symphony No. 92 in G, II, (a) mm. 1-2 (b) mm. 107-11
4.22 Haydn, Piano Sonata in G, H. XVI:39, I, (a) mm. 1-2 (b) mm. 96-105
4.23 Haydn, Piano Sonata in C, H. XVI:48, II, (a) mm. 1-2 (b) mm. 255-63
4.24 Mozart, Symphony No. 4 in D, K. 19, III, (a) mm. 1-3 (b) mm. 100-06
4.25 Beethoven, Symphony No. 1 in C, Op. 21, III, mm. 76-79
4.26 Beethoven, Piano Sonata in F minor, Op. 2/1, IV, (a) mm. 1-3 (b) mm. 189-96
4.27 Haydn, Piano Sonata in A, H. XVI:26, I, (a) m. 1 (b) mm. 79-82
4.28 Haydn, String Quartet in G, Op. 33/5, I, (a) mm. 1-2 (b) mm. 297-305
4.29 Haydn, Symphony No. 57 in D, II, (a) m. 1 (b) mm. 65-68

4.30 Haydn, Symphony No. 35 in B-flat, IV, (a) mm. 1-2 (b) mm. 139-41
4.31 Haydn, String Quartet in G, Op. 17/5, I, (a) mm. 1-2
(b) mm. 128-35
4.32 Haydn, String Quartet in D, Op. 50/6, I, (a) mm. 1-6
(b) mm. 54-60 (c) mm. 112-17 (d) mm. 138-49 (e) mm. 155-64
4.33 Haydn, String Quartet in G, Op. 33/5, I, (a) mm. 1-7
(b) mm. 177-86 (c) mm. 20-28 (d) mm. 201-12 (e) mm. 62-70
(f) mm. 281-305
4.34 Beethoven, String Quartet in E minor, Op. 59/2, I, (a) mm. 1-8
(b) mm. 68-70 (c) mm. 138-44 (d) mm. 1-5 (e) mm. 202-05
(f) mm. 251-56
4.35 Haydn, String Quartet in D, Op. 76/5, IV, (a) mm. 1-17
(b) mm. 188-97 (c) 238-46 (d) mm. 10-12 (e) mm. 271-91
4.36 Beethoven, String Quartet in F minor, Op. 95, I, (a) mm. 1-21
(b) mm. 80-88 (c) mm. 119-27 (d) mm. 136-38 (e) mm. 145-51
4.37 Haydn, Symphony No. 57 in D, II, (a) mm. 1-2 (b) mm. 13-14
(c) mm. 25-26 (d) mm. 35-38 (e) mm. 51-53 (f) mm. 60-68
4.38 Beethoven, Bagatelle in A-flat, Op. 33, No. 7, (a) mm. 1-26
(b) mm. 45-52 (c) mm. 68-76 (d) mm. 101-08 (e) mm. 130-57

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CLOSING GESTURES IN OPENING IDEAS: STRATEGIES FOR BEGINNING AND ENDING IN CLASSICAL INSTRUMENTAL MUSIC

Volume II: Musical Examples

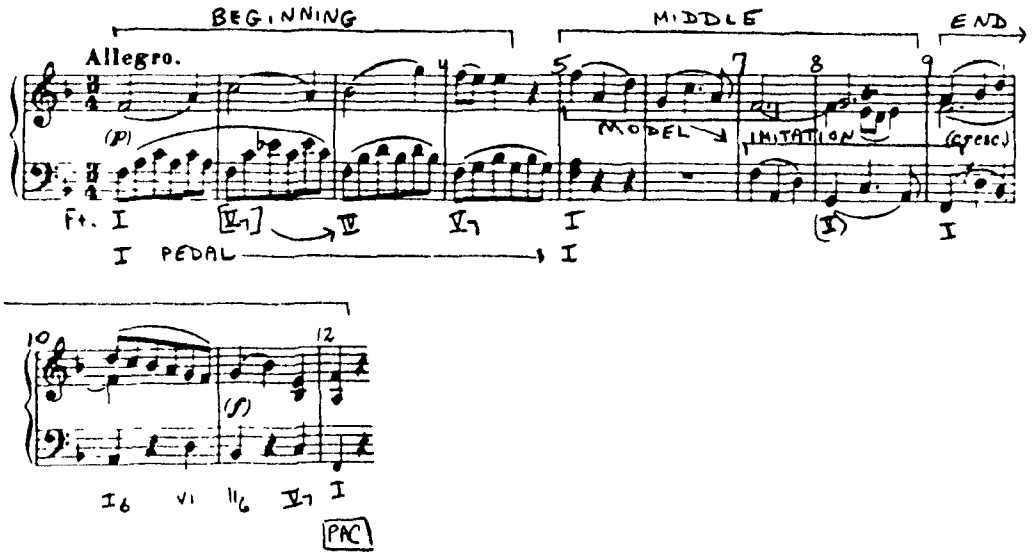
by

Norma Lillian Sherman-Ishayek

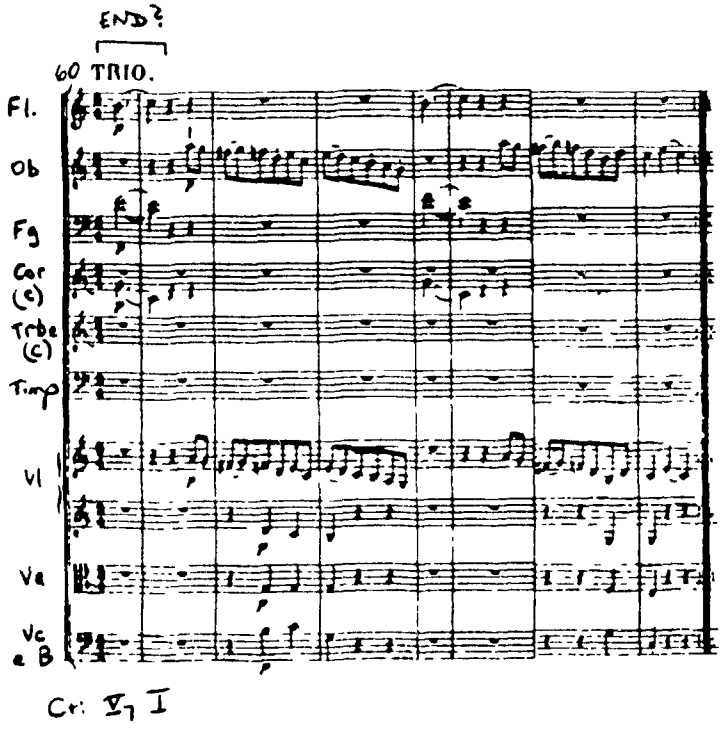
MUSICAL EXAMPLES

INTRODUCTION

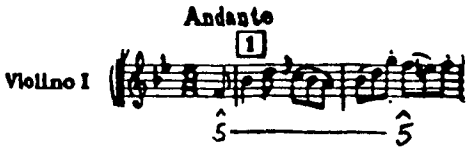
Example Int.1 Mozart, Piano Sonata in F, K. 332, i, mm. 1-12



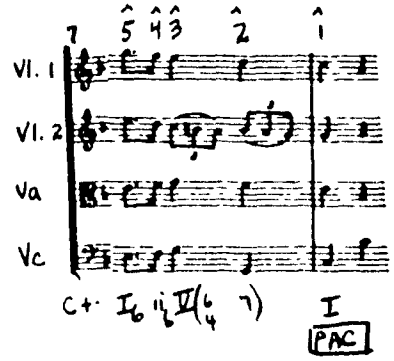
Example Int.2 Mozart, Symphony No. 41 in C, K. 551, iii, Trio, mm. 60-67



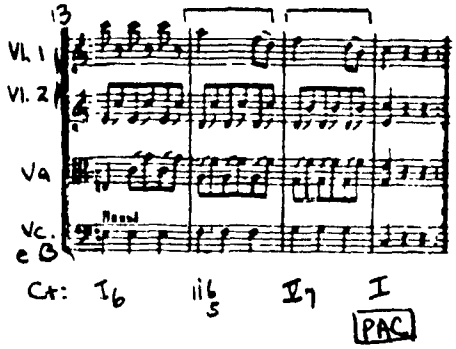
Example 1.1 Haydn,
Symphony No. 84 in E-flat,
ii, mm. 1-2



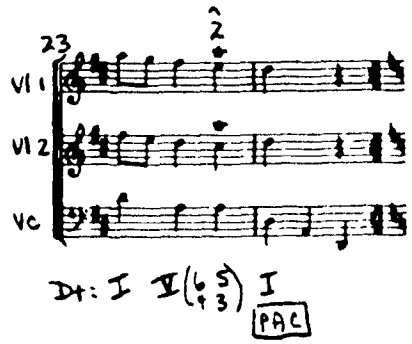
Example 1.2 Mozart,
Divertimento in F,
K. 522, ii, mm. 7-8



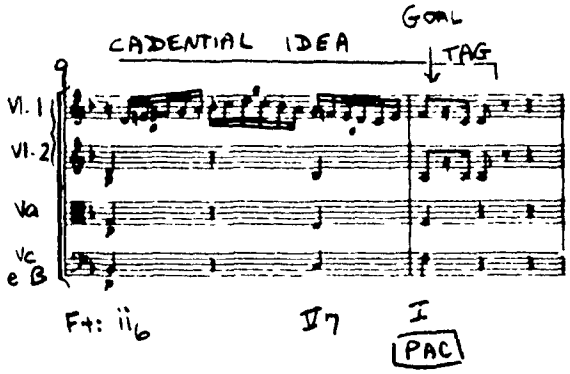
Example 1.3 Mozart,
Symphony No. 41 in C,
K. 551, iii, Minuet, mm. 13-16



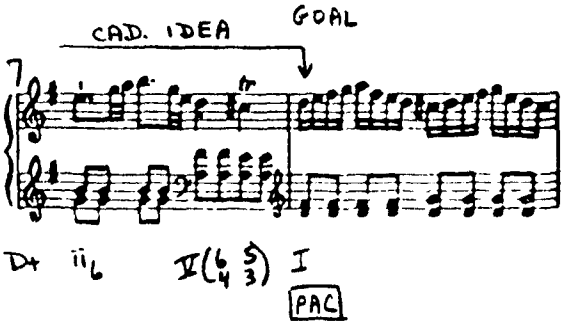
Example 1.4 Haydn,
String Trio in D,
H. HV:15, iii, mm. 23-24



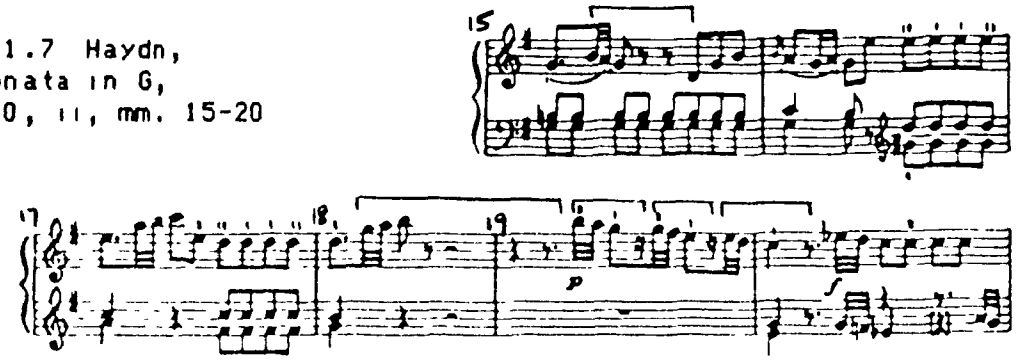
Example 1.5 Haydn,
Symphony No. 98 in B-flat,
ii, mm. 9-10



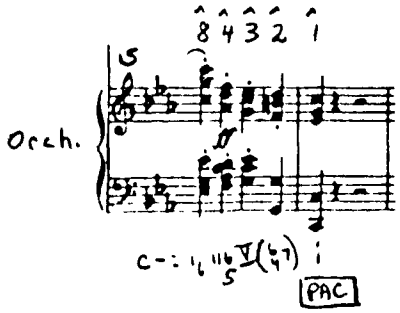
Example 1.6 Haydn,
Piano Sonata in G,
H. XVI:40, ii, mm. 7-8



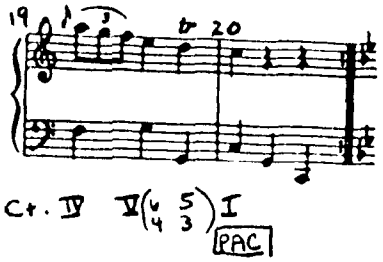
Example 1.7 Haydn,
Piano Sonata in G,
H. XVI:40, ii, mm. 15-20



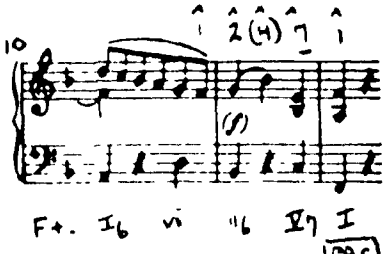
Example 1.8 Beethoven,
Piano Concerto No. 3 in C-minor,
Op. 37, i, mm. 15-16



Example 1.9 Haydn,
Piano Sonata in C,
XVI:1, iii, Minuet, mm. 19-20

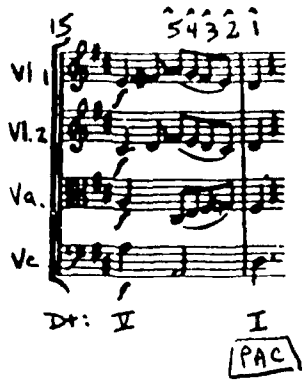


Example 1.10 Mozart,
Piano Sonata in F,
K. 332, i, mm. 10-12

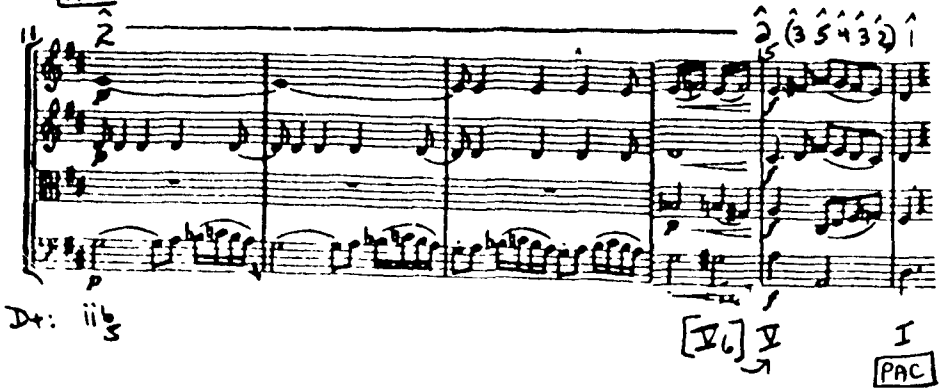


Example 1.11 Haydn
String Quartet in D,
Op. 50/6, i

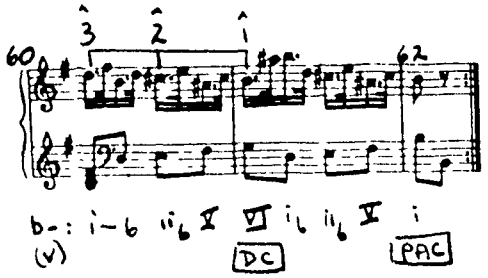
(a) mm. 15-16



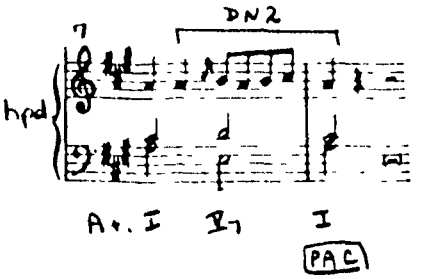
(b) mm. 11-16



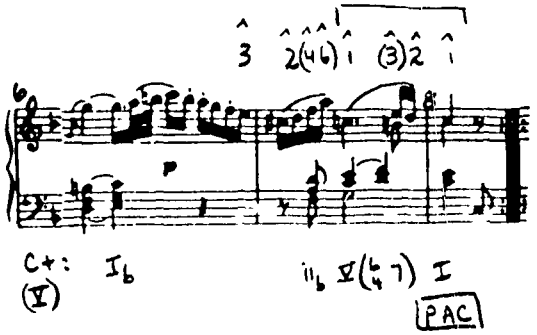
Example 1.12 Haydn,
Piano Sonata in G,
H. XVI:39, i, mm. 60-62



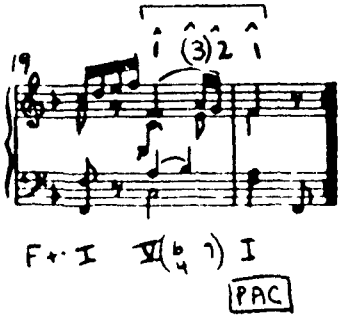
Example 1.13 Haydn,
Keyboard Trio in A,
H. XV:9, ii, mm. 7-8



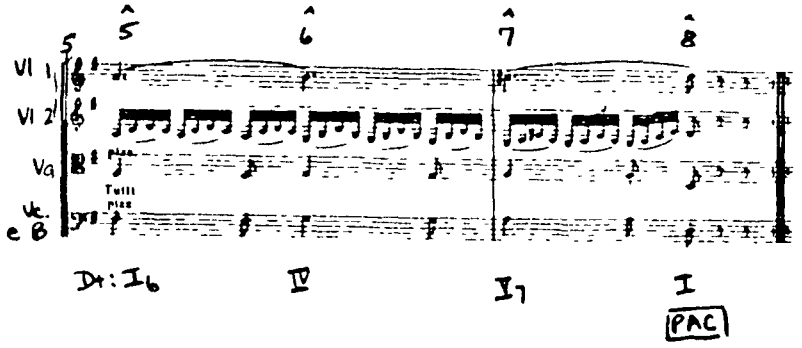
Example 1.14 Mozart, Piano Sonata in C, K. 330, ii,
(a) mm. 6-8



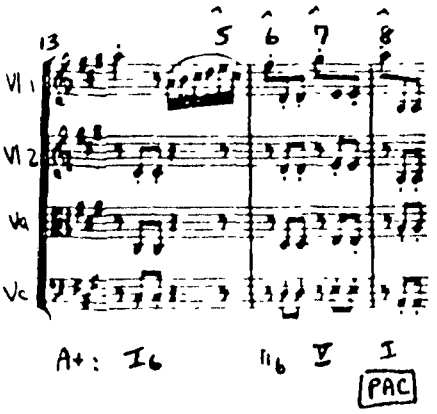
(b) mm. 19-20



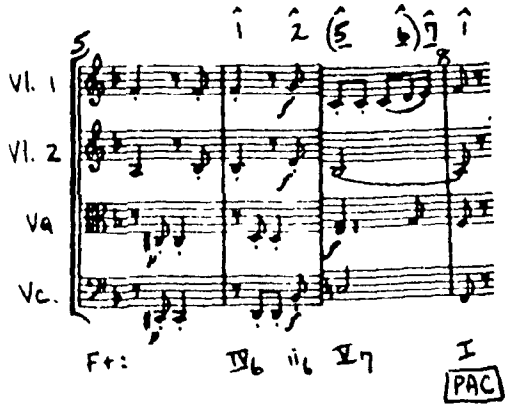
Example 1.15 Haydn,
Symphony No. 57 in D,
ii, mm. 5-6



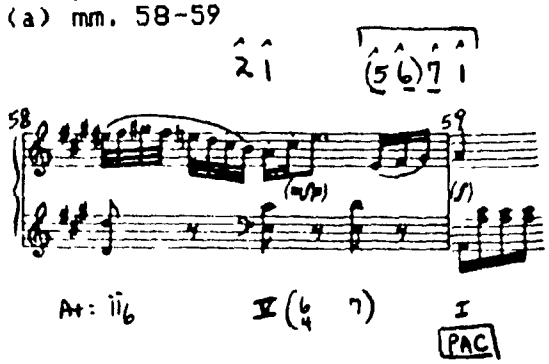
Example 1.16 Beethoven,
String Quartet in A,
Op. 18/5, i, mm. 13-15



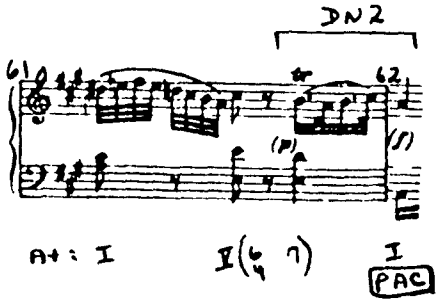
Example 1.17 Haydn, String Quartet in F, Op. 50/5, i, mm. 5-8



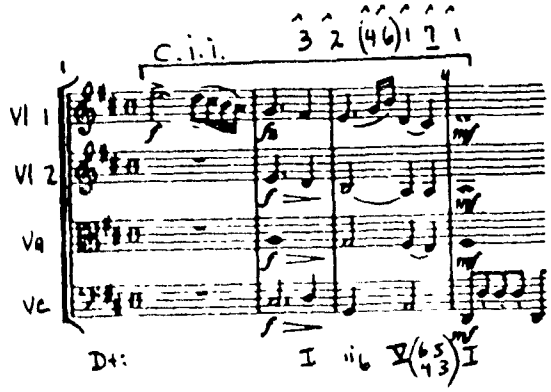
Example 1.18 Mozart, Piano Sonata in D, K. 576, ii,
(a) mm. 58-59



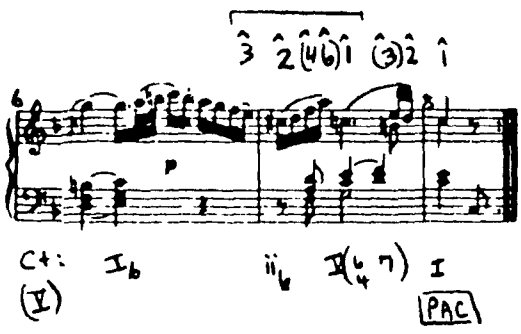
(b) mm. 61-62



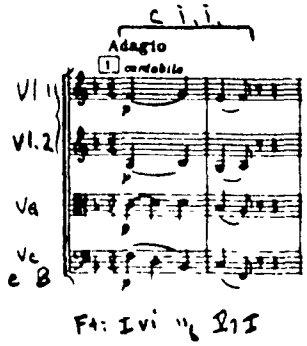
Example 1.19 (a) Haydn,
String Quartet in D,
Op. 50/6, i, mm. 1-4



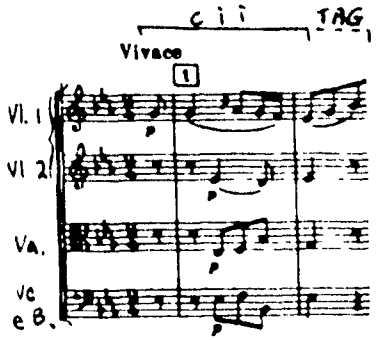
(b) Mozart,
Piano Sonata in C,
K. 330, ii, mm. 6-8



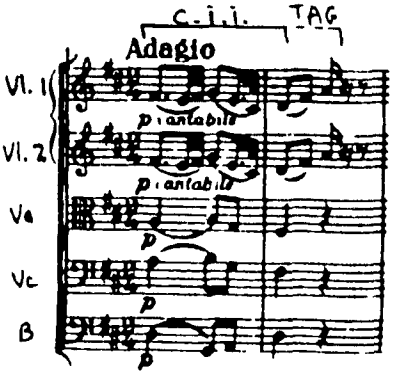
Example 1.20 Haydn,
Symphony No. 98 in B-flat,
II, mm. 1-2



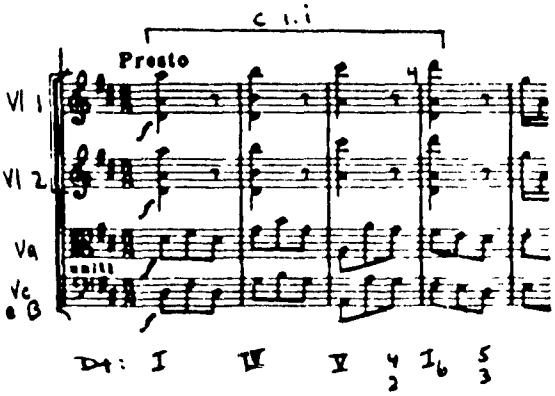
Example 1.21 Haydn,
Symphony No. 84 in E-flat,
IV, mm. 1-2



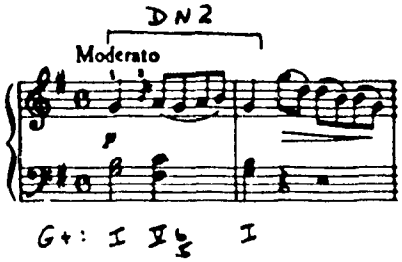
Example 1.22 Haydn,
Symphony No. 92 in G, II, mm. 1-2



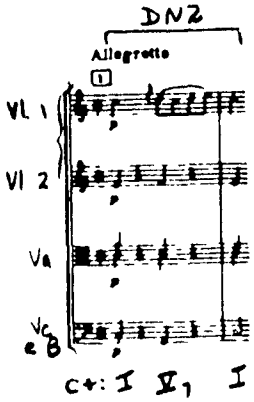
Example 1.23 Mozart,
Symphony in D, K. 120, III, mm. 1-4



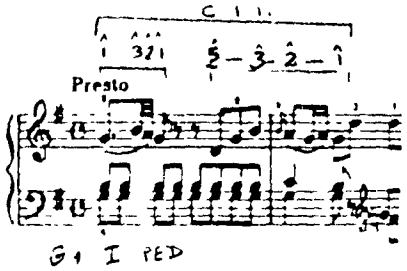
Example 1.24 Beethoven,
Two Sonatinas,
K. H. Anh. 5, mm. 1-2



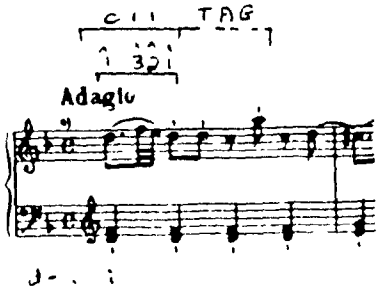
Example 1.25 Haydn,
Symphony No. 100 in G, II, mm. 1-2



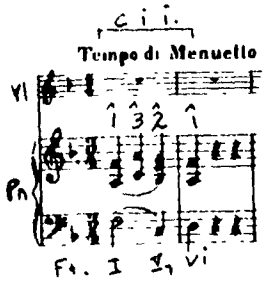
Example 1.26 Haydn,
Piano Sonata in G,
H.XVI:40, ii, mm. 1-2



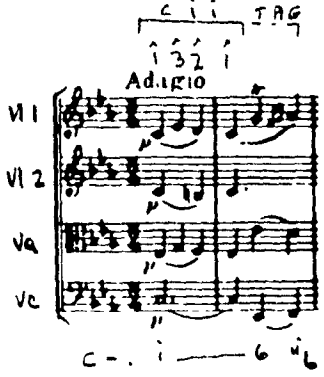
Example 1.27 Haydn,
Piano Sonata in D,
H. XVI:24, ii, m. 1



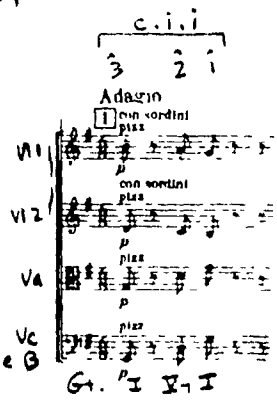
Example 1.28 Mozart,
Violin Sonata in F,
K. 377, iii, mm. 1-2



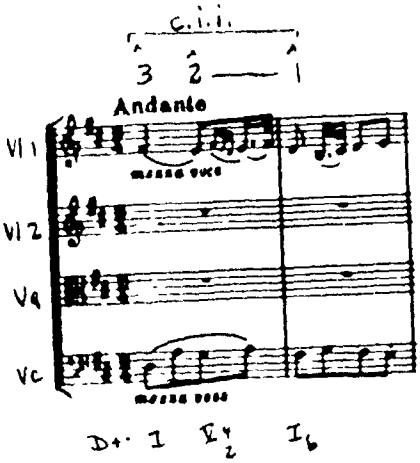
Example 1.29 Haydn,
String Quartet in C,
Op. 54/2, ii, mm. 1-2



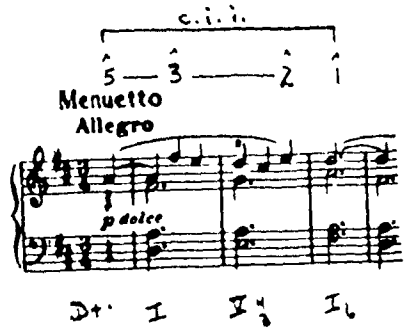
Example 1.30 Haydn,
Symphony No. 57 in D,
ii, m. 1



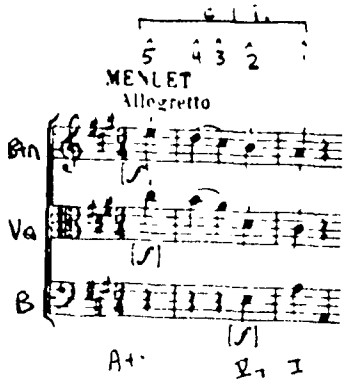
Example 1.31 Haydn,
String Quartet in F,
Op. 77/2, iii, mm. 1-2



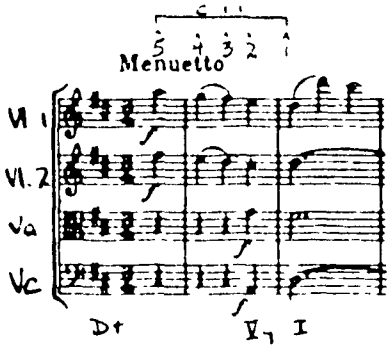
Example 1.32 Beethoven,
Piano Sonata in D,
Op. 10/3, iii, mm. 1-4



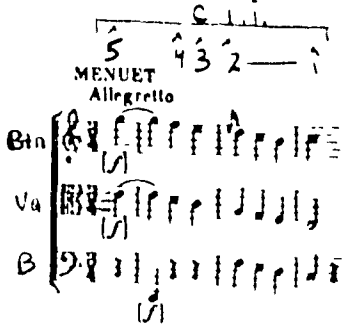
Example 1.33 Haydn, Baryton Trio in A, H. XI:86, III, mm. 1-2



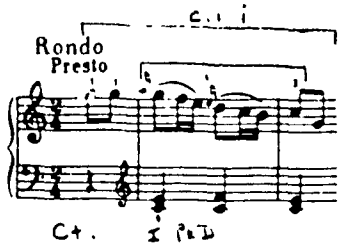
Example 1.34 Haydn, String Quartet in D, Op. 17/6, II, mm. 1-2



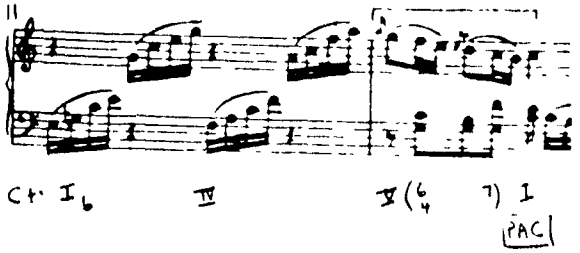
Example 1.35 Haydn Baryton Trio in C, H. XI:82, III, mm. 1-3



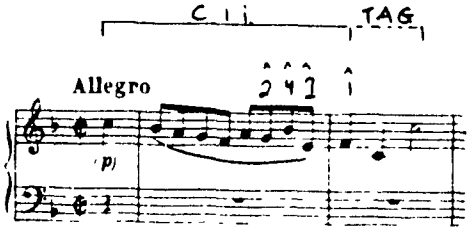
Example 1.36 (a) Haydn, Piano Sonata in C, H. XVI:48, II, mm. 1-2



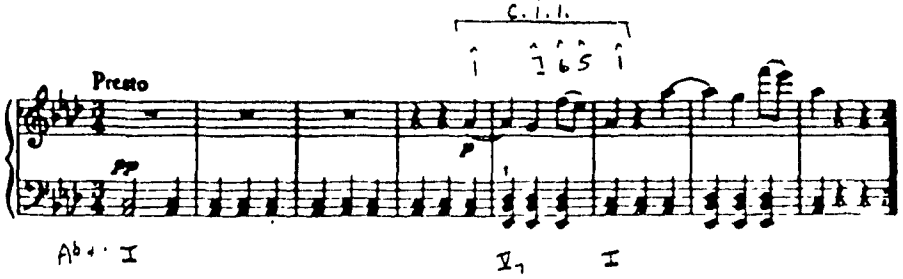
(b) Mozart, Piano Sonata in C, K. 279, I, mm. 11-12



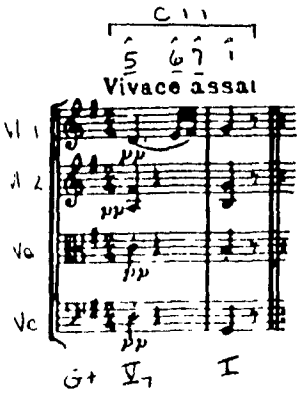
Example 1.37 Mozart, Piano Sonata in F, K. 533, I, mm. 1-4



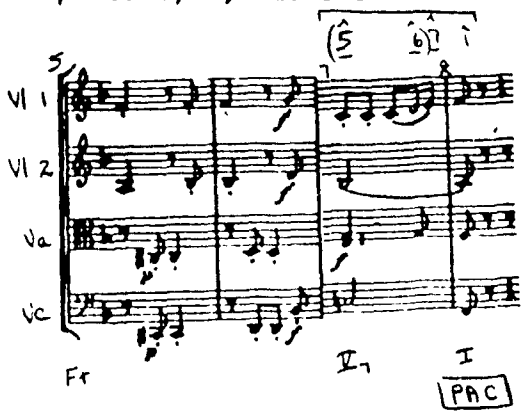
Example 1.38 Beethoven, Bagatelle in A-flat, Op. 33, No. 7, mm. 1-8



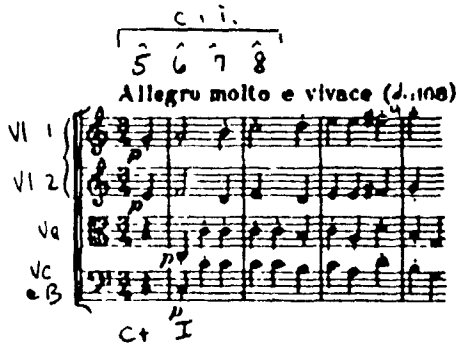
Example 1.39 (a) Haydn,
String Quartet in G,
Op. 33/5, i, mm. 1-2



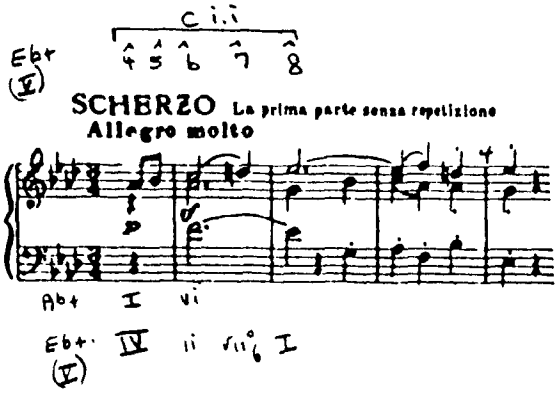
(b) Haydn,
String Quartet in F,
Op. 50/5, i, mm. 5-8



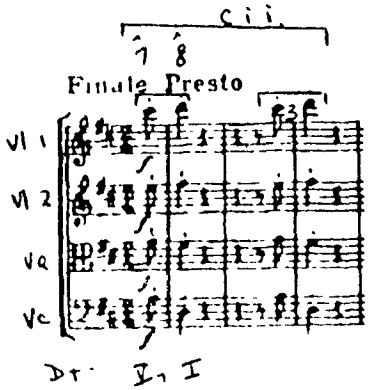
Example 1.40 Beethoven,
Symphony No. 1 in C,
Op. 21, iii, mm. 1-4



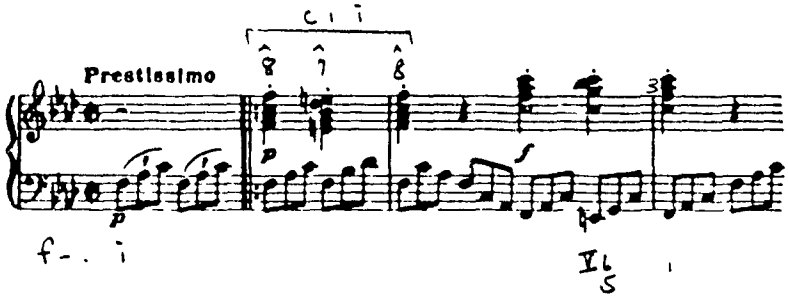
Example 1.41 Beethoven,
Piano Sonata in A-flat,
Op. 26, ii, mm. 1-4



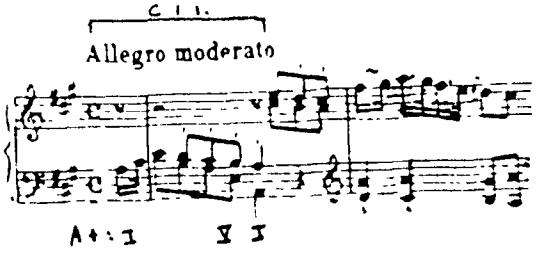
Example 1.42 Haydn,
String Quartet in D,
Op. 76/5, iv, mm. 1-3



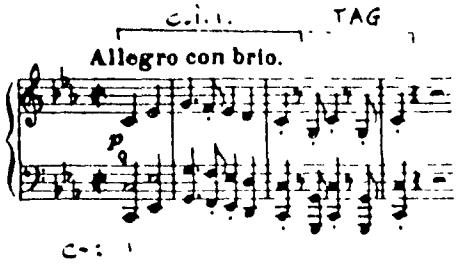
Example 1.43 Beethoven,
Piano Sonata in F minor,
Op. 2/1, iv, mm. 1-3



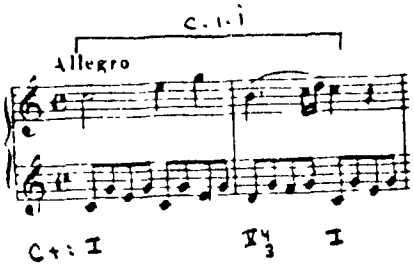
Example 1.44 Haydn,
Piano Sonata in A,
H. XVI:26, I, mm. 1-2



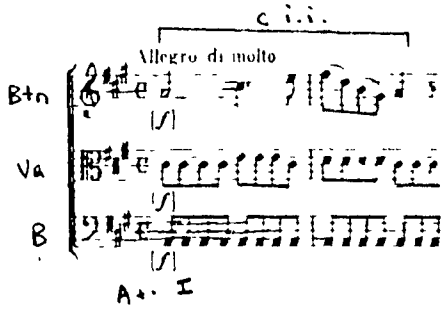
Example 1.45 Beethoven,
Piano Concerto No. 3 in C minor,
Op. 37, I, mm. 1-4



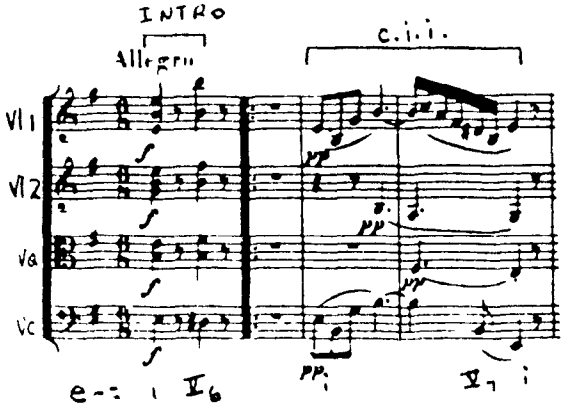
Example 1.46 Mozart,
Piano Sonata in C,
K. 545, I, mm. 1-2



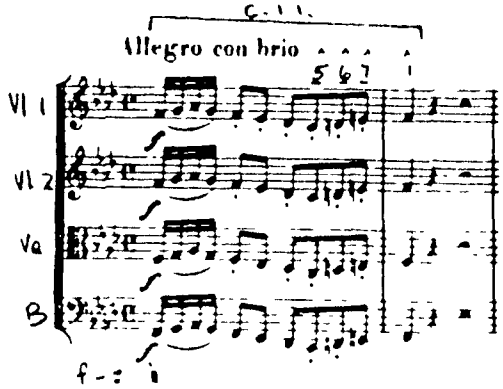
Example 1.47 Haydn,
Baryton Trio in A, H. XI:35, II, mm. 1-2



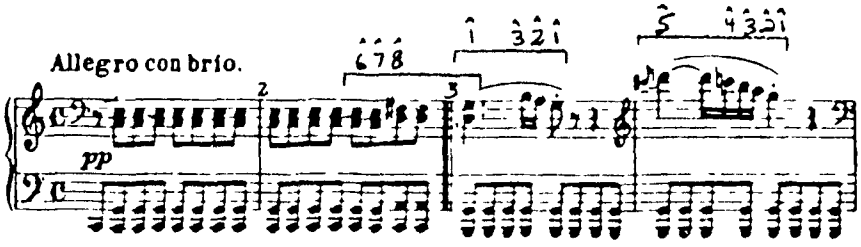
Example 1.48 Beethoven,
String Quartet in E minor,
Op. 59/2, I, mm. 1-4



Example 1.49 Beethoven,
String Quartet in F minor,
Op. 95, I, mm. 1-2

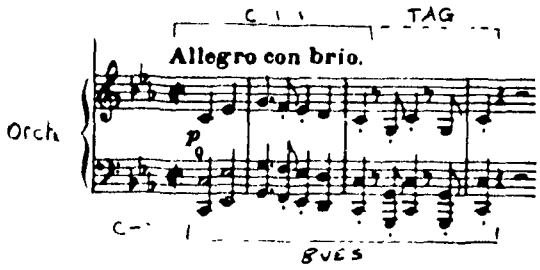


Example 1.50 Beethoven, Piano Sonata in C, Op. 53, I, mm. 1-4

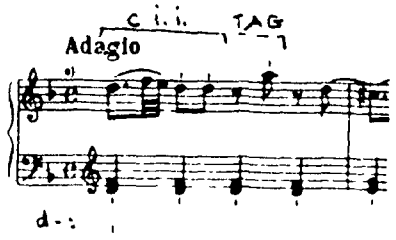


CHAPTER TWO

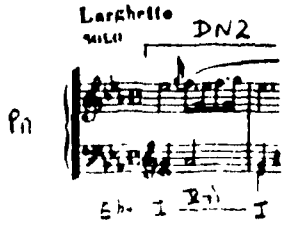
Example 2.1 Beethoven,
Piano Concerto No. 3 in C minor,
Op. 37, I, mm. 1-4



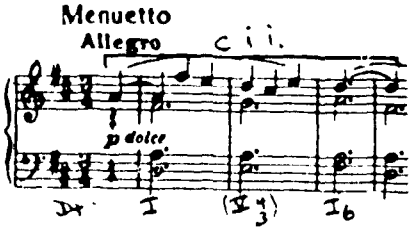
Example 2.2 Haydn,
Piano Sonata in D,
H. XVI:24, I, m. 1



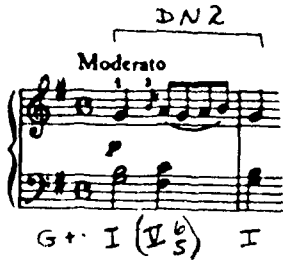
Example 2.3 Mozart,
Piano Concerto,
No. 27 in B-flat,
K. 595, II, mm. 1-2



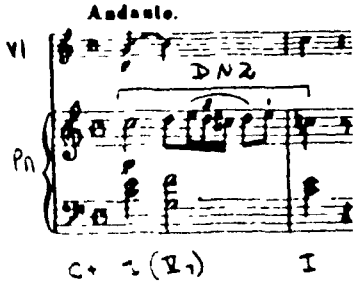
Example 2.4 Beethoven,
Piano Sonata in D,
Op. 10/3, III, mm. 1-4



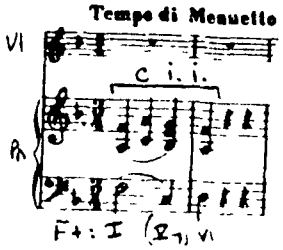
Example 2.5 Beethoven
Two Sonatinas,
K.H. Anh 5, mm. 1-2



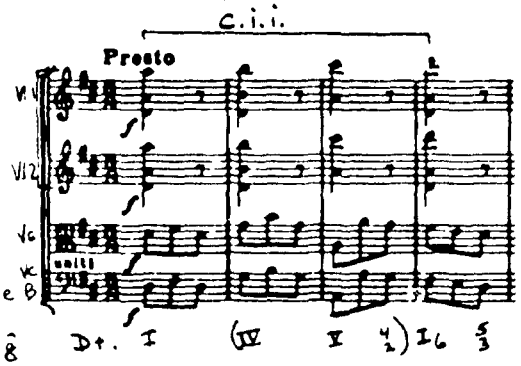
Example 2.6 Mozart,
Violin Sonata in C,
K. 404, I, mm. 1-2



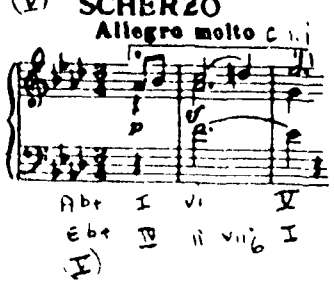
Example 2.7 Mozart,
Violin Sonata in F,
K. 377, III, mm. 1-2



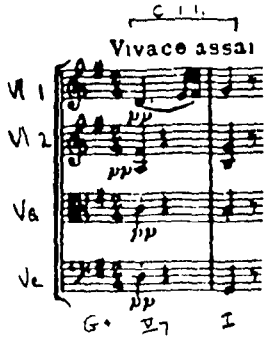
Example 2.8 Mozart,
Symphony in D,
K. 120, III, mm. 1-4



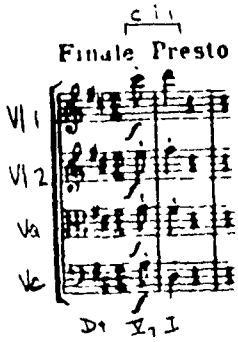
Example 2.9 Beethoven,
Piano Sonata in A-flat,
Op. 26, II, mm. 1-2



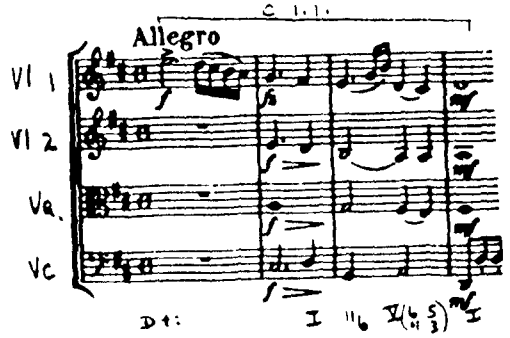
Example 2.10 Haydn, String Quartet in G, Op. 33/5, , mm. 1-2



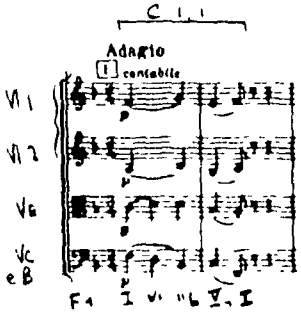
Example 2.11 Haydn, String Quartet in D, Op. 76/5, iv, mm. 1-2



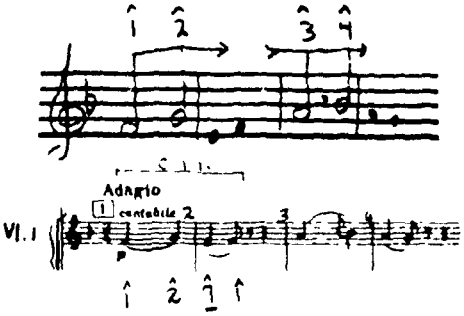
Example 2.12 Haydn, String Quartet in D Op. 50/6, i, mm. 1-4



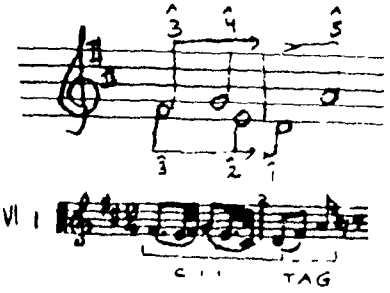
Example 2.13 Haydn, Symphony No. 98 in B-flat ii, mm. 1-2



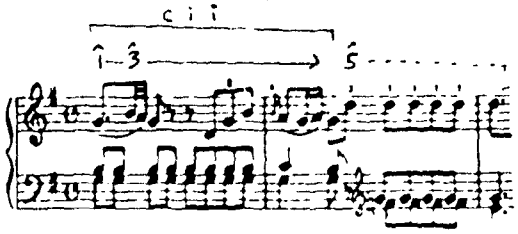
Example 2.14 Haydn, Symphony No. 98 in B-flat, ii, mm. 1-4



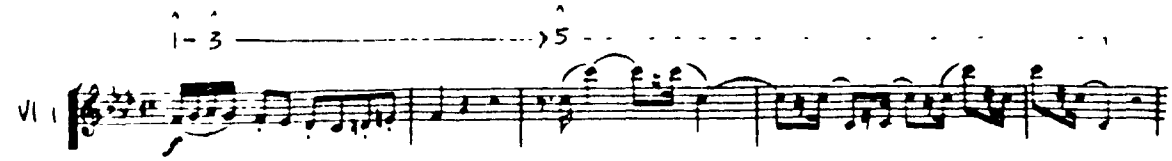
Example 2.15 Haydn, Symphony No. 92 in G, ii, mm. 1-2



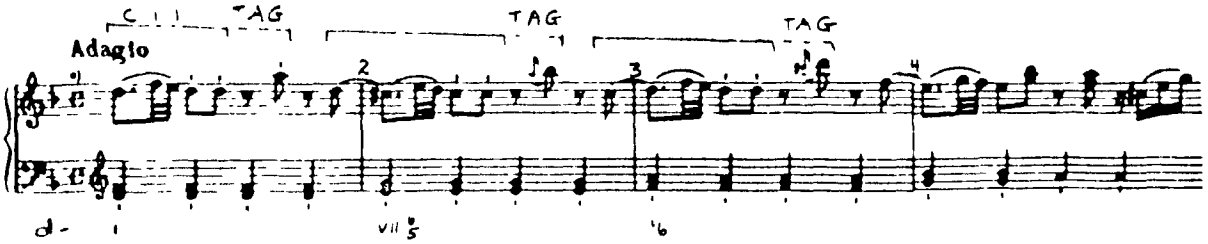
Example 2.16 Haydn, Piano Sonata in G, H. XVI:40, ii, mm. 1-4



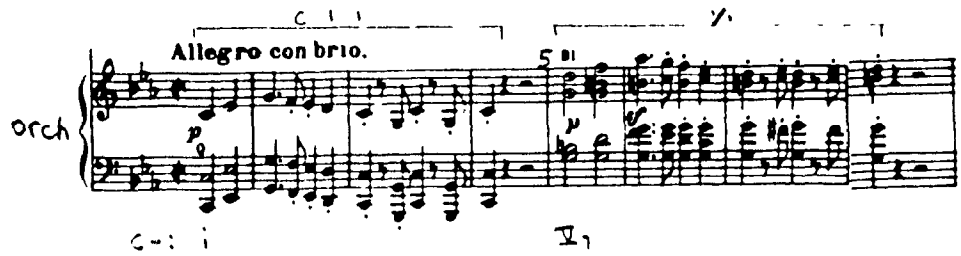
Example 2.17 Beethoven, String Quartet in F minor, Op. 95, i, mm. 1-5



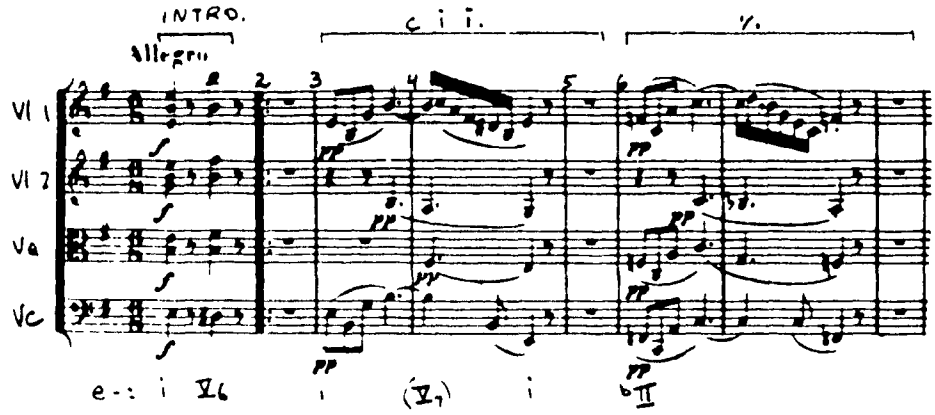
Example 2.18 Haydn, Piano Sonata in D, H. XVI:24, i, mm. 1-4



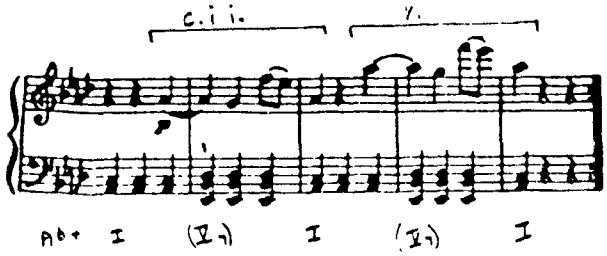
Example 2.19 Beethoven, Piano Concerto No. 3 in C minor, Op. 37, i, mm. 1-8



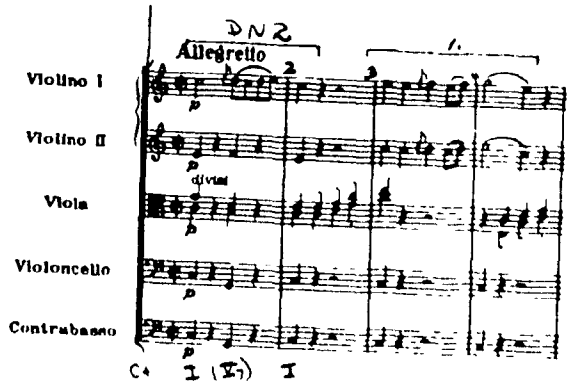
Example 2.20 Beethoven, String Quartet in E minor, Op. 59/2, i, mm. 1-8



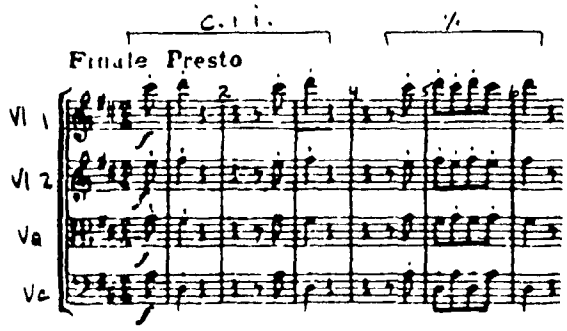
Example 2.21 Beethoven, Bagatelle in A-flat, Op. 33, No. 7, mm. 4-8



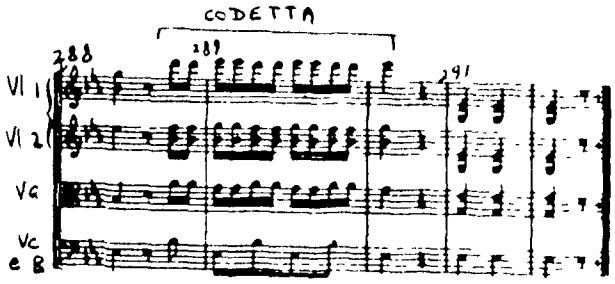
Example 2.22 Haydn, Symphony No. 100 in G, II, mm. 1-4



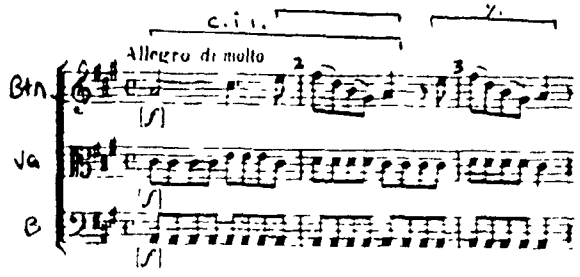
Example 2.23 (a) Haydn, String Quartet in D, Op. 76/5, IV, mm. 1-6



(b) Haydn, Symphony No. 84 in E-flat, IV, mm. 288-292

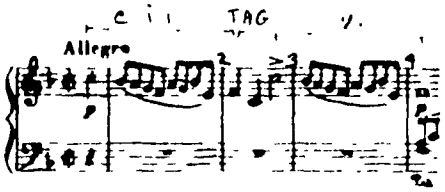


Example 2.24 Haydn, Baryton Trio in A, H. XI:35, II, mm. 1-3

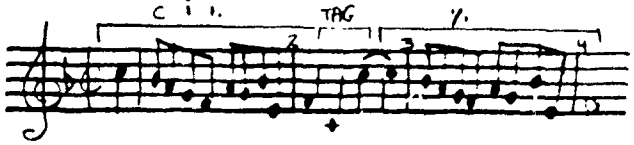


Example 2.25 Mozart, Piano Sonata in F, K. 533, I, mm. 1-4

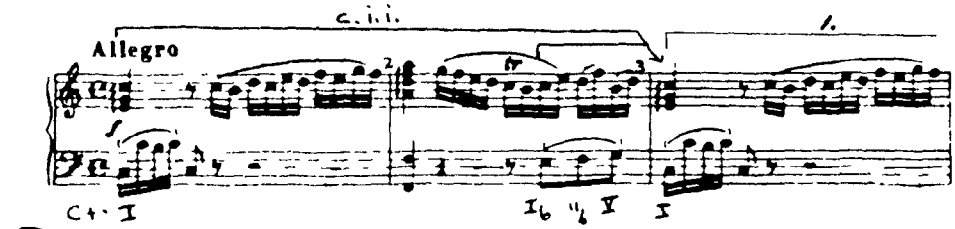
(a)

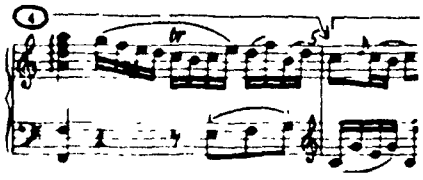


(b)

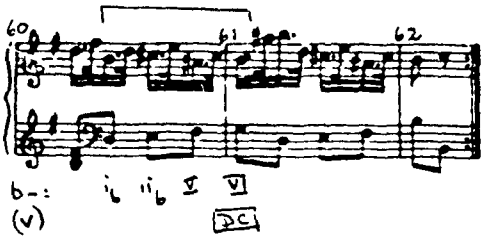


Example 2.26 (a) Mozart, Piano Sonata in C, K. 279, I, mm. 1-5

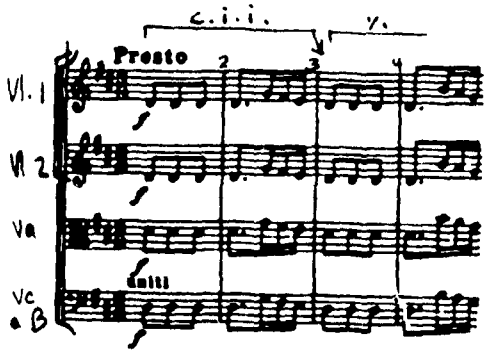




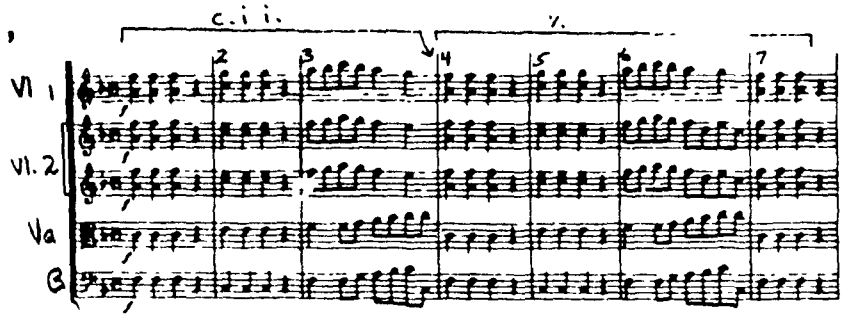
(b) Haydn, Piano Sonata in G, H. XVI: 39, I, mm. 60-62



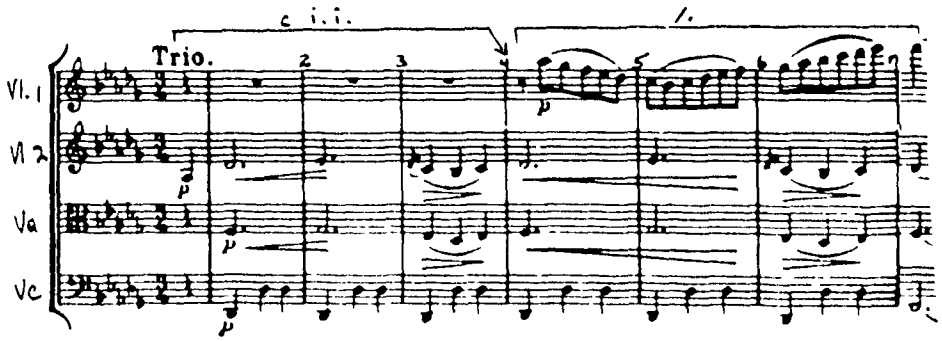
Example 2.27 Mozart, Symphony No. 4 in D, K. 19, III, mm. 1-4



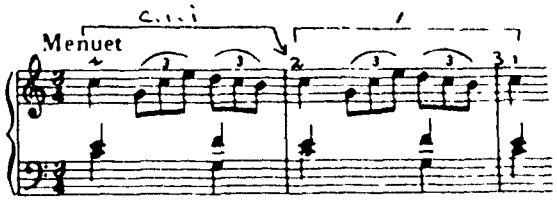
Example 2.28 Mozart, Divertimento in F, K. 522, I, mm. 1-7



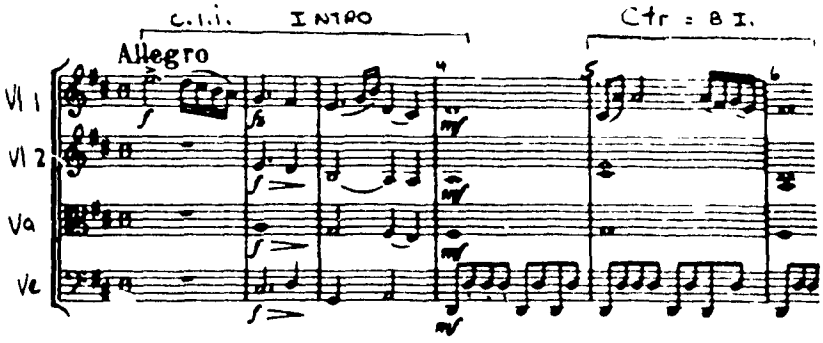
Example 2.29 Haydn, String Quartet in F, Op. Op. 74/2, iii, mm. 1-7



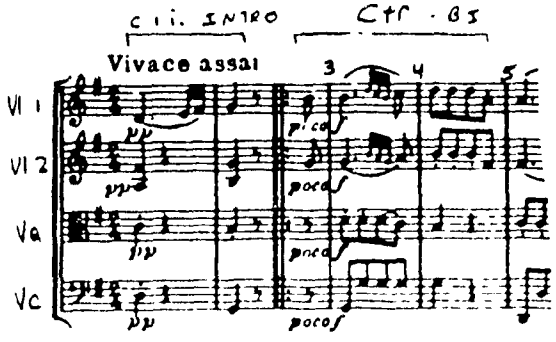
Example 2.30 Haydn, Piano Sonata in C, H. XVI: 1, iii, mm. 1-3



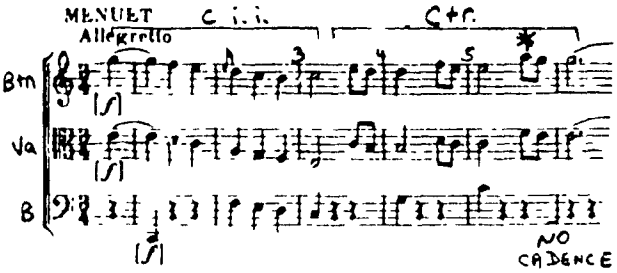
Example 2.31 Haydn, String Quartet in D, Op. 50/6, i, mm. 1-6



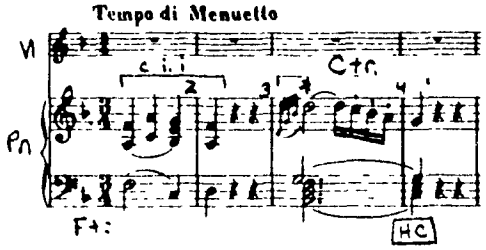
Example 2.32 Haydn, String Quartet in G, Op. 33/5, i, mm. 1-5



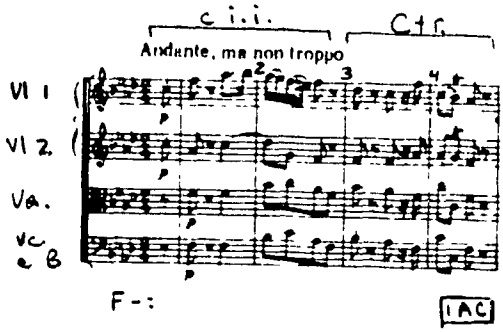
Example 2.33 Haydn,
Baryton Trio in C,
H. XI:82, iii, mm. 1-6



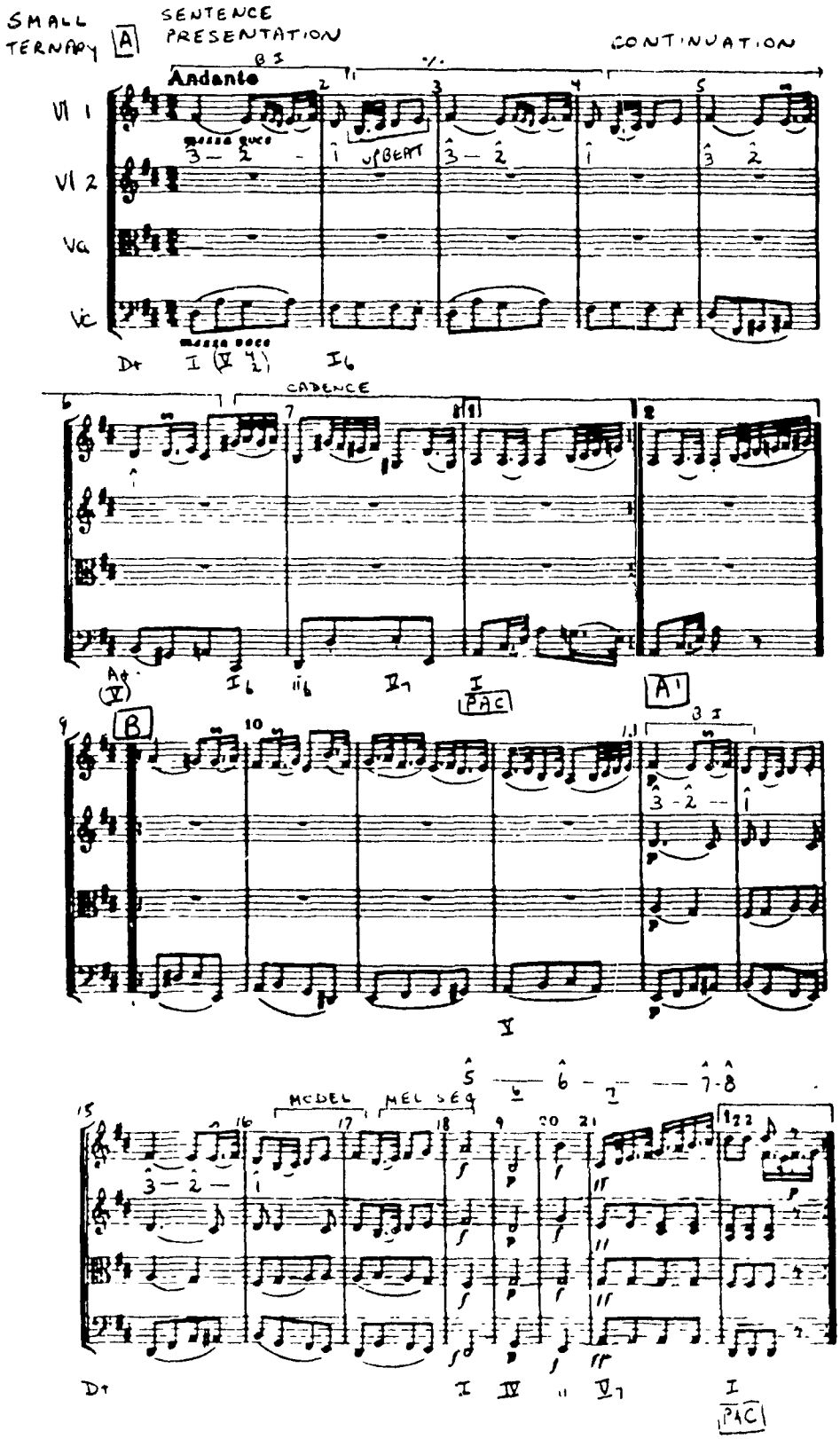
Example 2.34 Mozart,
Violin Sonata in F,
K. 377, iii, mm. 1-4



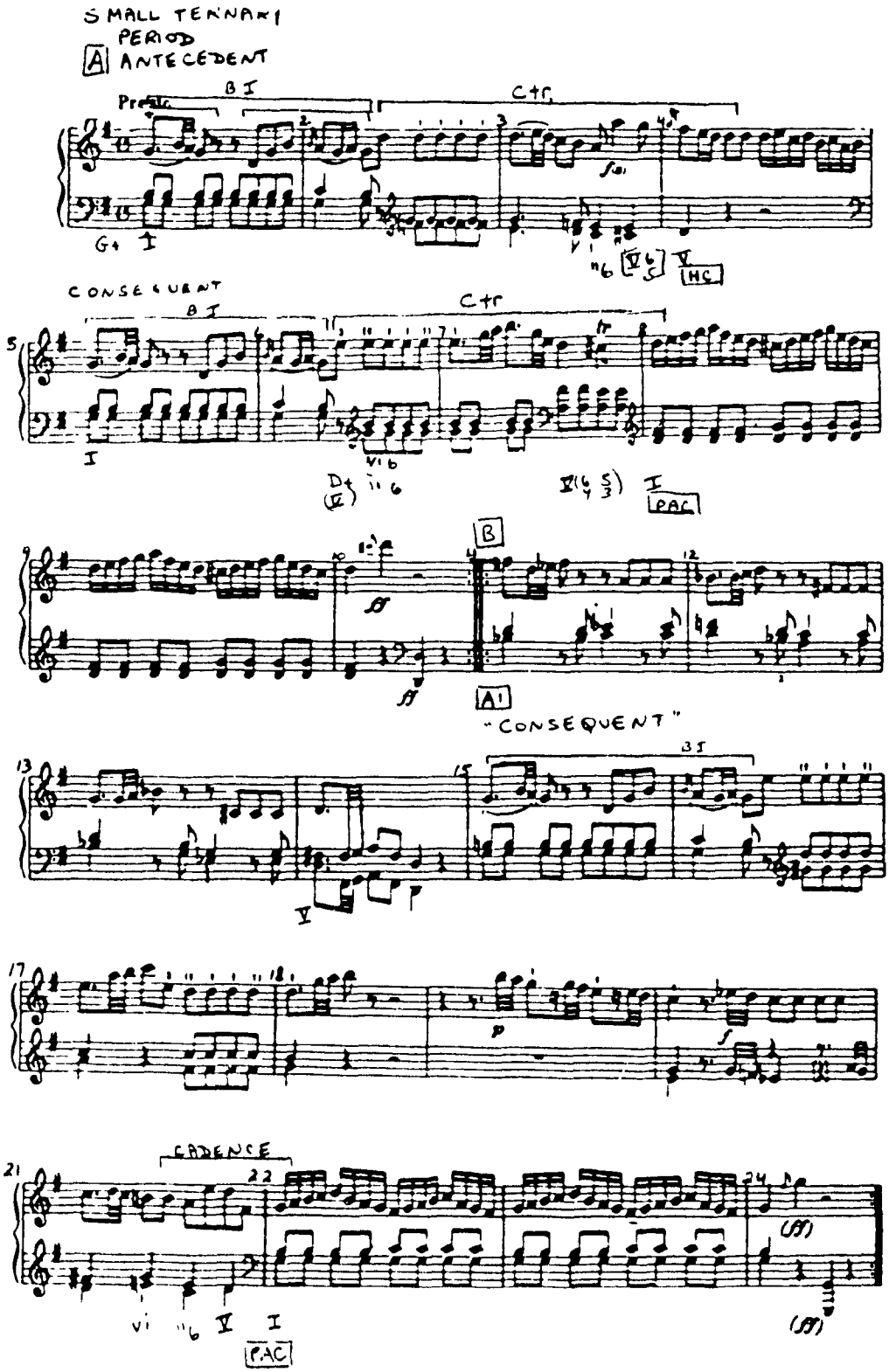
Example 2.35 Haydn,
Symphony No. 17 in F,
ii, mm. 1-4



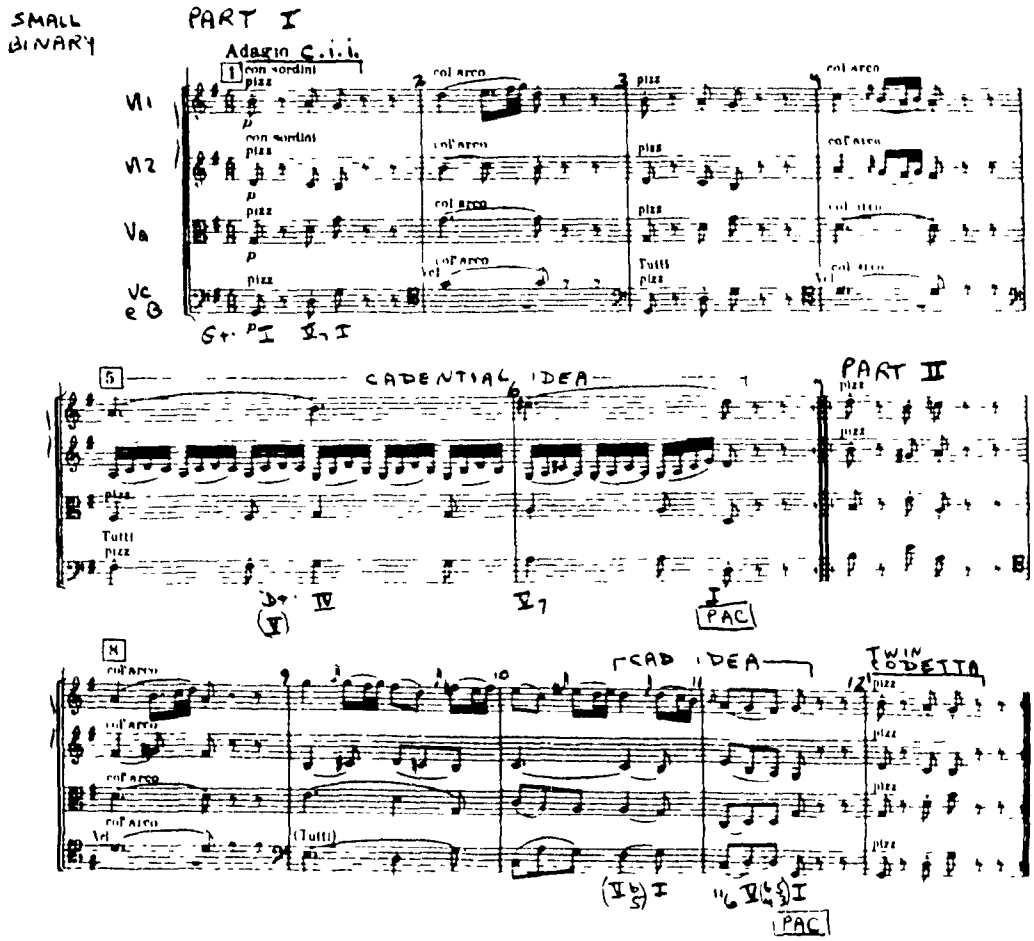
Example 2.36 Haydn, String Quartet in F, Op. 77/2, III, mm. 1-22



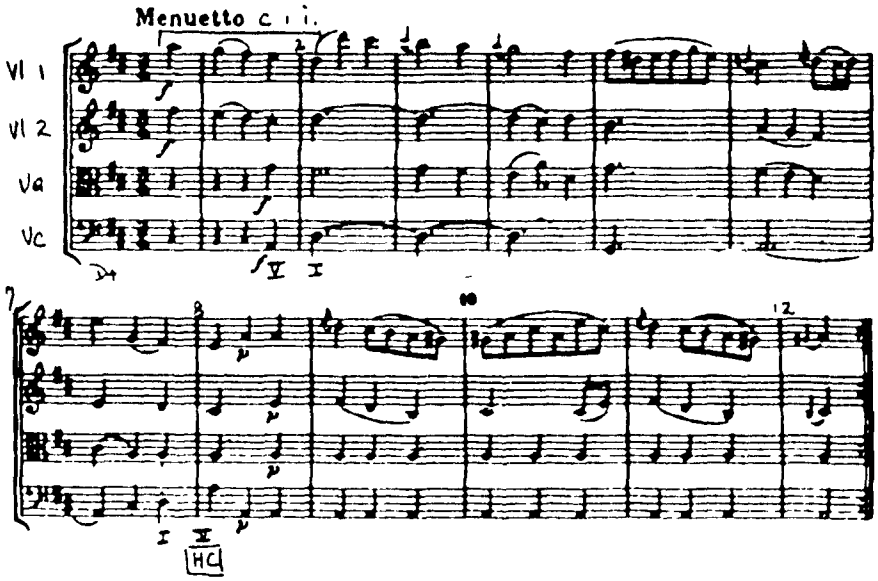
Example 2.37 Haydn, Piano Sonata in G, H. XVI:40, ii, mm. 1-24



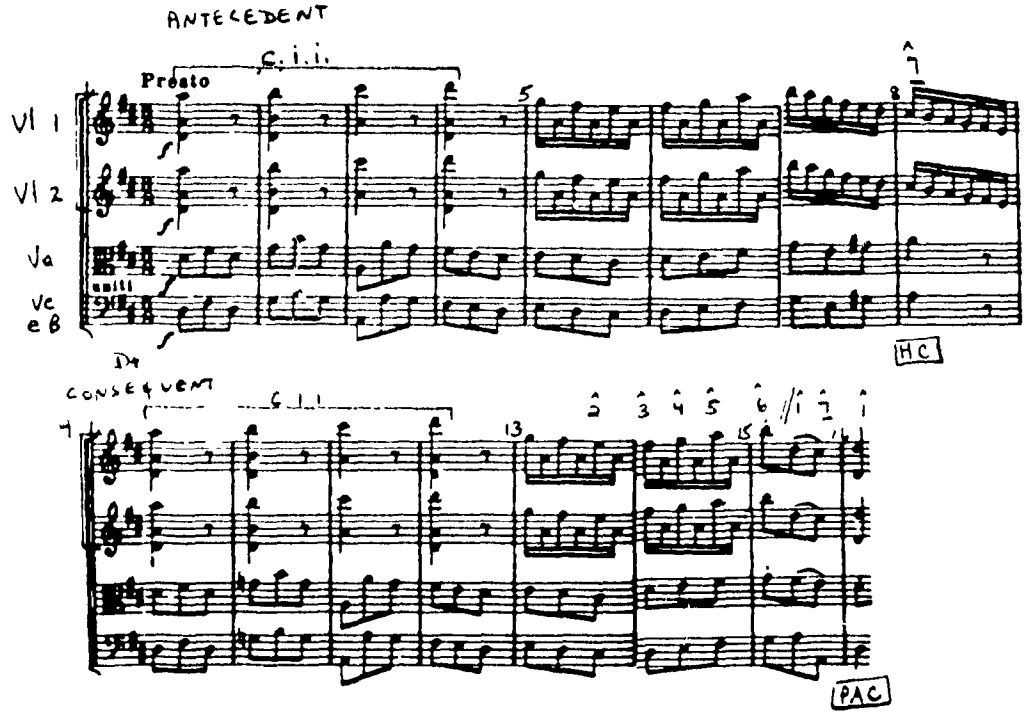
Example 2.38 Haydn, Symphony No. 57 in D, ii, mm. 1-12



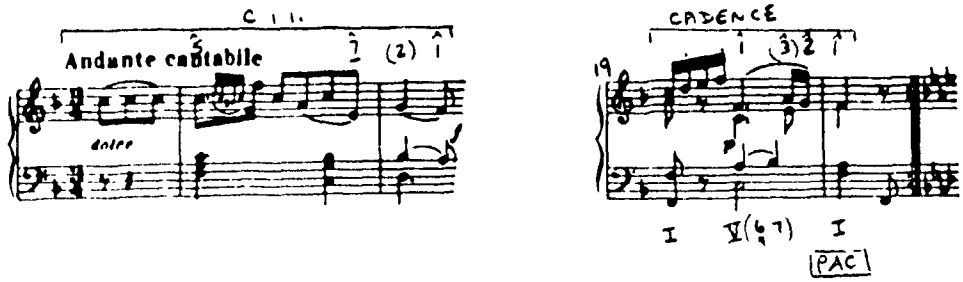
Example 2.39 Haydn, String Quartet in D, Op. 17/6, ii, mm. 1-12



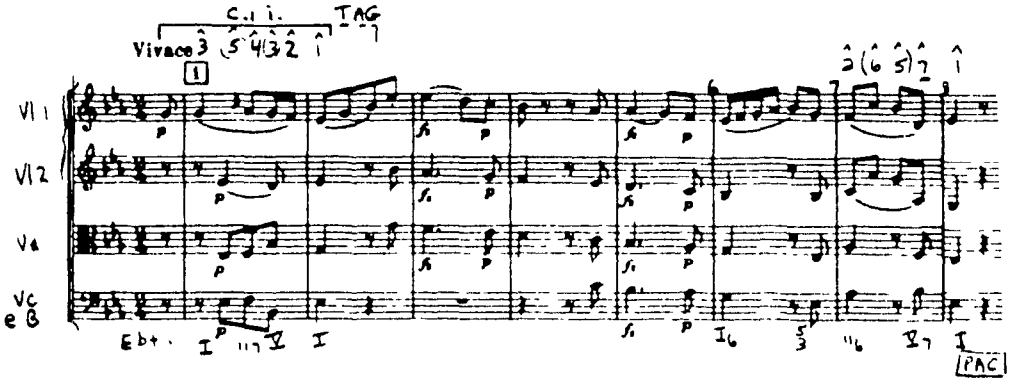
Example 2.40 Mozart, Symphony in D, K. 120, III, mm. 1-16



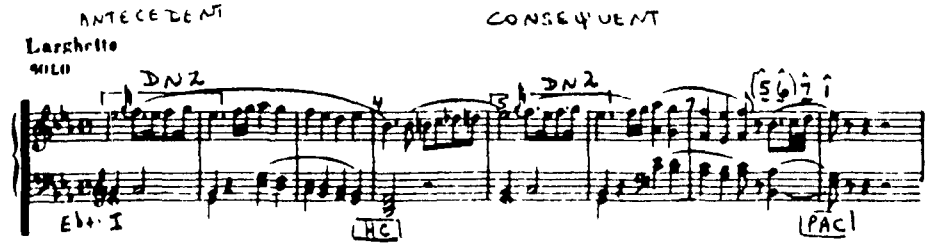
Example 2.41 Mozart, Piano Sonata in C, K. 330, II,
(a) mm. 1-2 (b) mm. 19-20



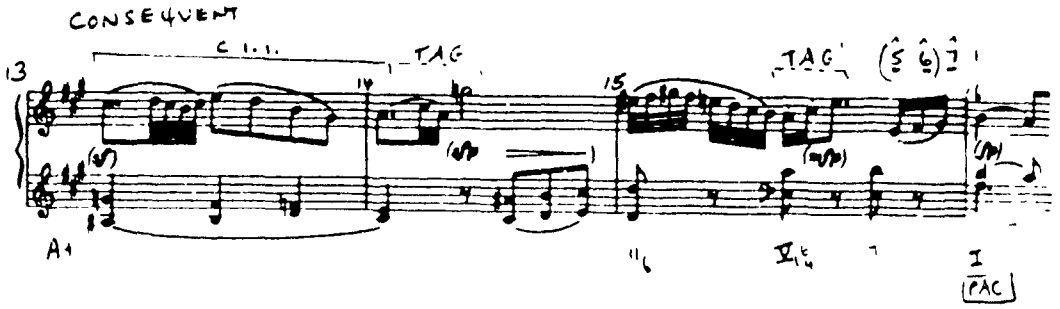
Example 2.42 Haydn, Symphony No. 84 in E-flat, IV, mm. 1-8



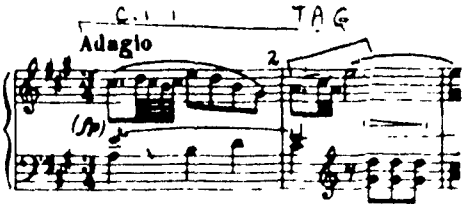
Example 2.43 Mozart, Piano Concerto No. 27 in B-flat, K. 595, II, mm. 1-8



Example 2.44 Mozart, Piano Sonata in D, K. 576, II, (a) mm. 13-16

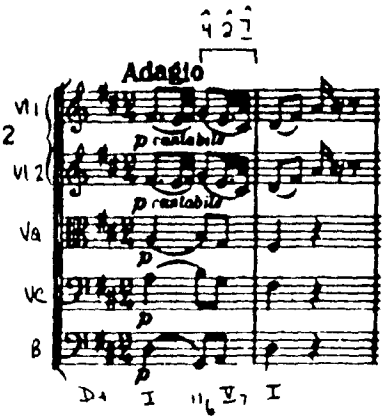


(b) mm. 1-2

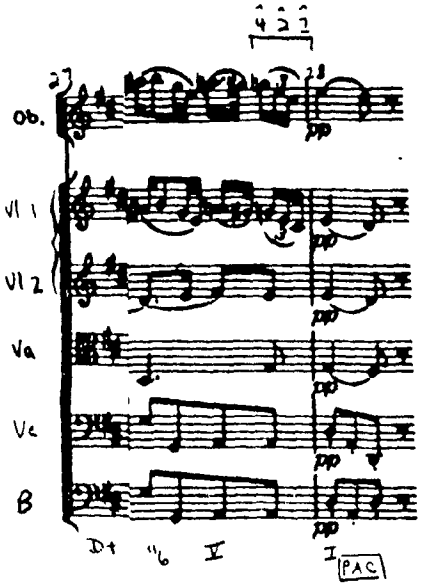


Example 2.45 Haydn,
Symphony No. 92 in G, ii

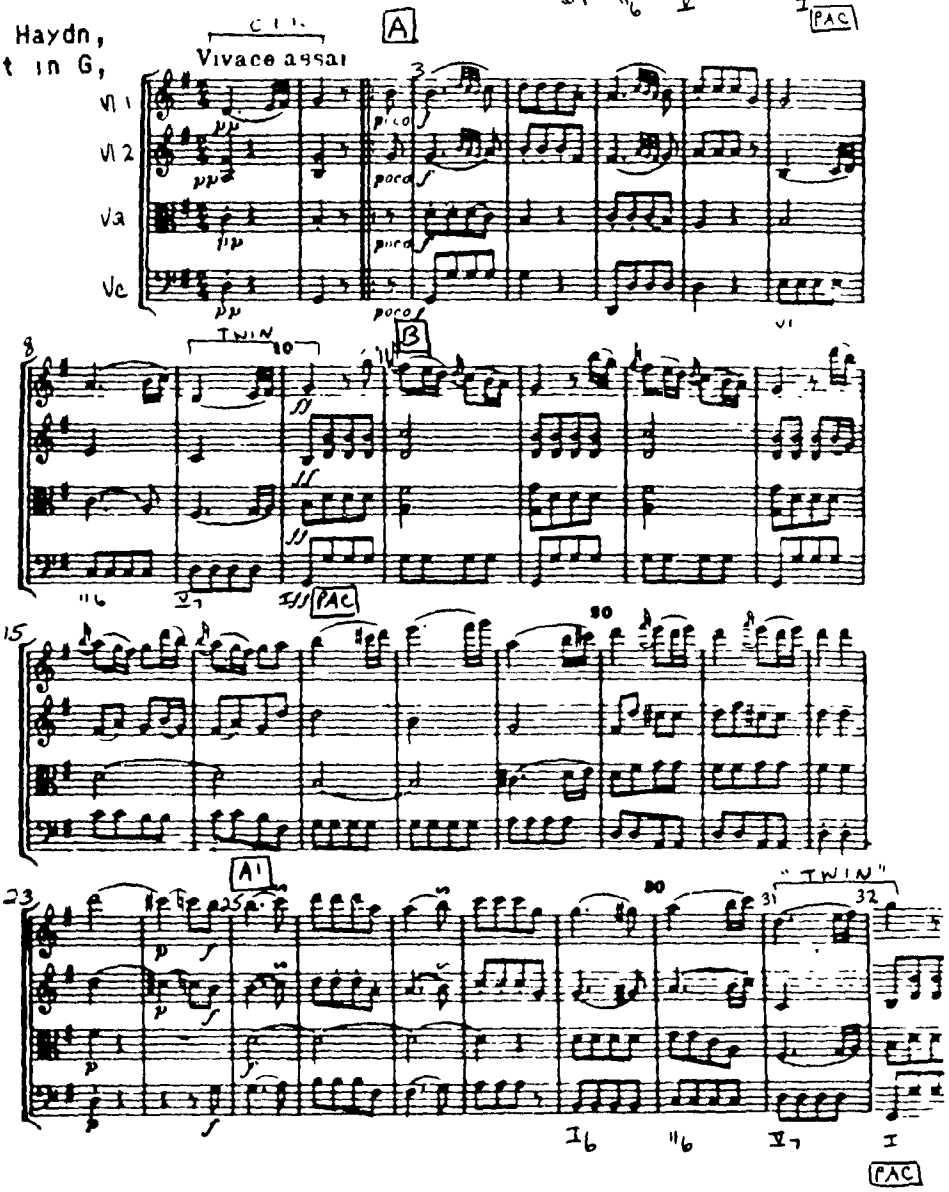
(a)
mm. 1-2



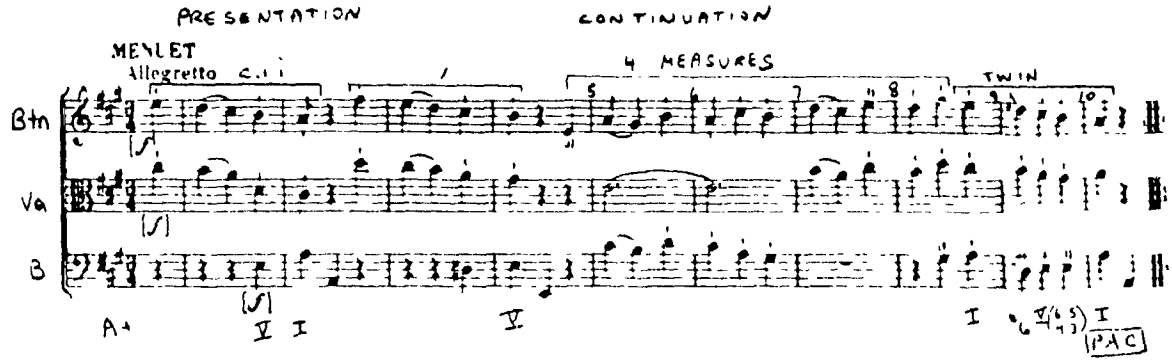
(b)
mm. 27-28



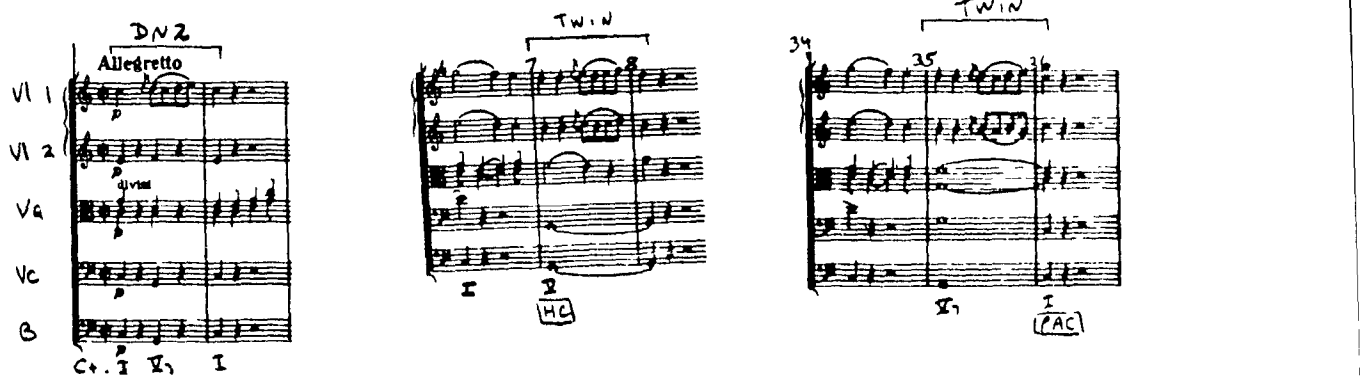
Example 2.46 Haydn,
String Quartet in G,
Op. 33/5, i,
mm. 1-32



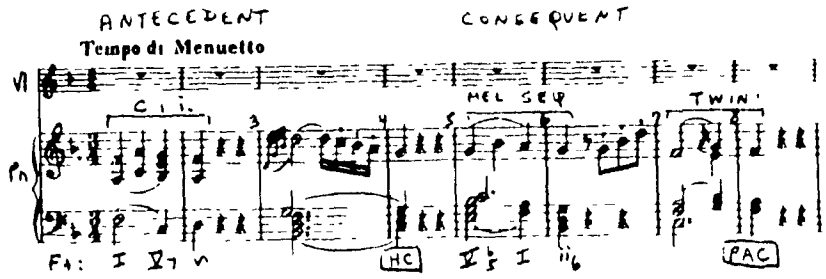
Example 2.47 Haydn, Baryton Trio in A, H. XI:86, III, mm. 1-10



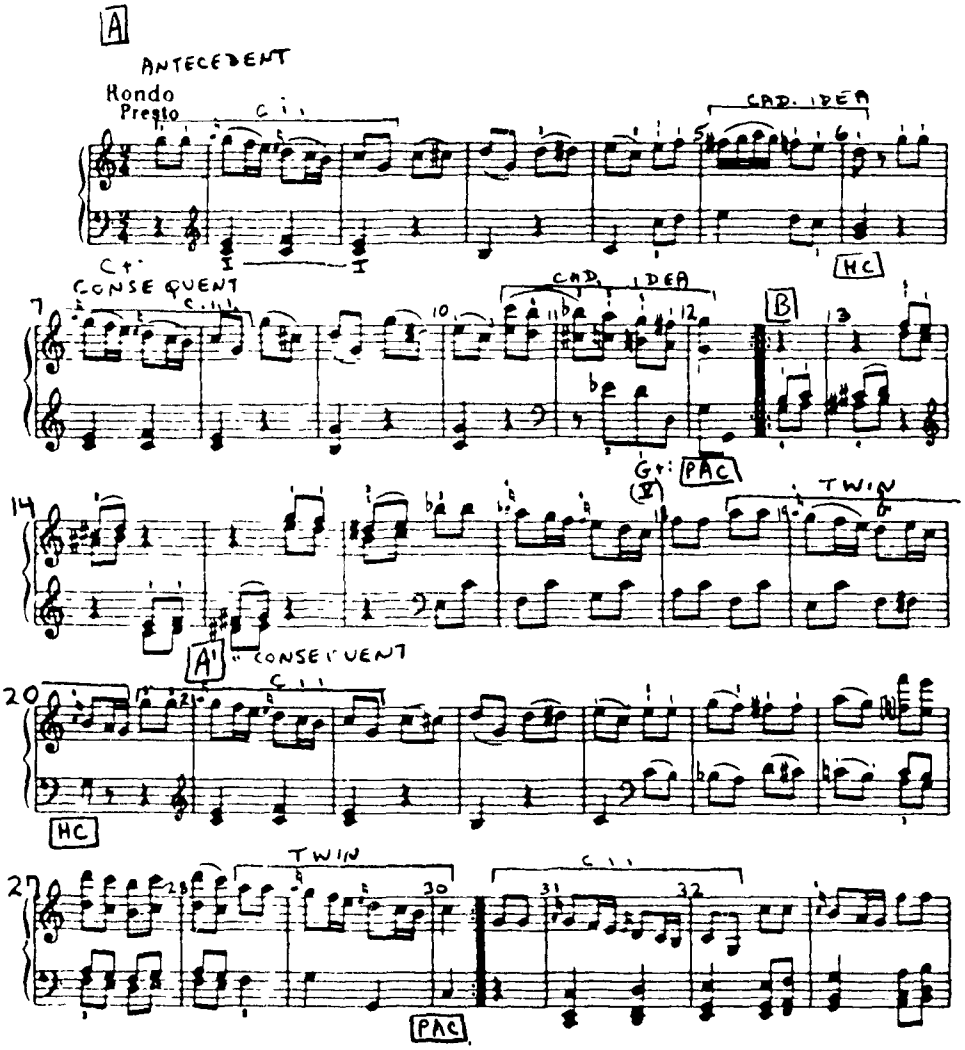
Example 2.48 Haydn, Symphony No.100 in G,
(a) mm. 1-2 (b) mm. 6-8 (c) mm. 34-36



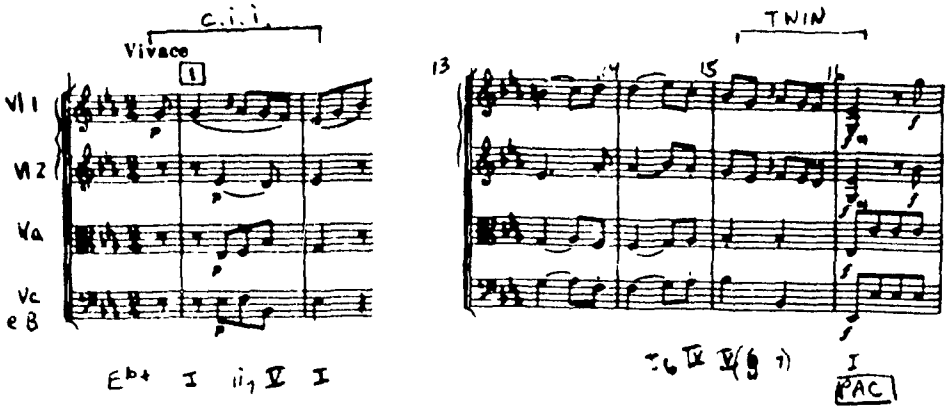
Example 2.49 Mozart, Violin Sonata in F, K. 377, III, mm. 1-8



Example 2.50 Haydn, Piano Sonata in C, H. XVI:48, II, mm. 1-33

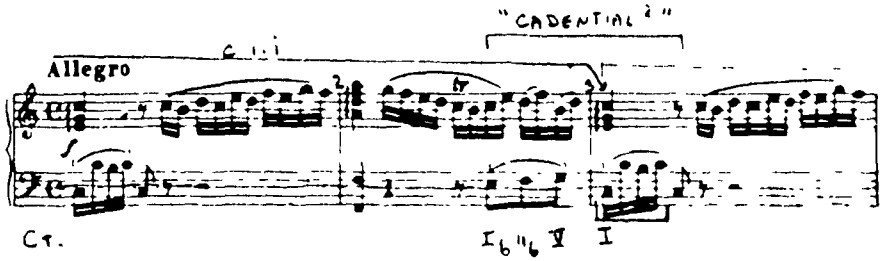


Example 2.51 Haydn, Symphony No. 84, in E-flat, iv,
(a) mm. 1-2 (b) mm. 13-16

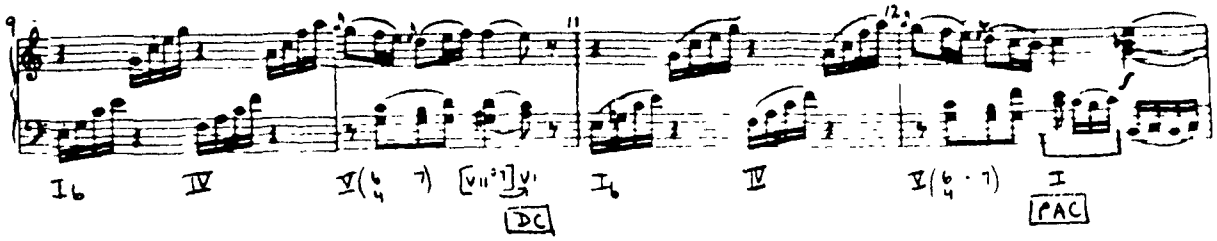


Example 2.52 Mozart, Piano Sonata in C, K. 279, ii,

(a) mm. 1-3

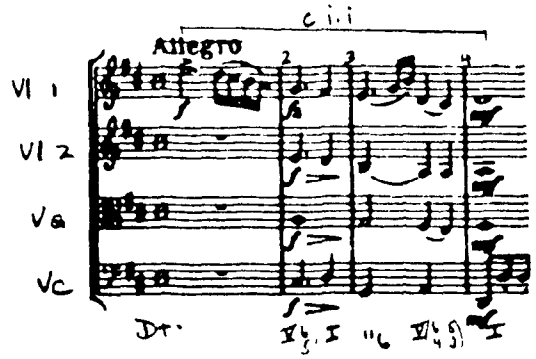


(b) mm. 9-12

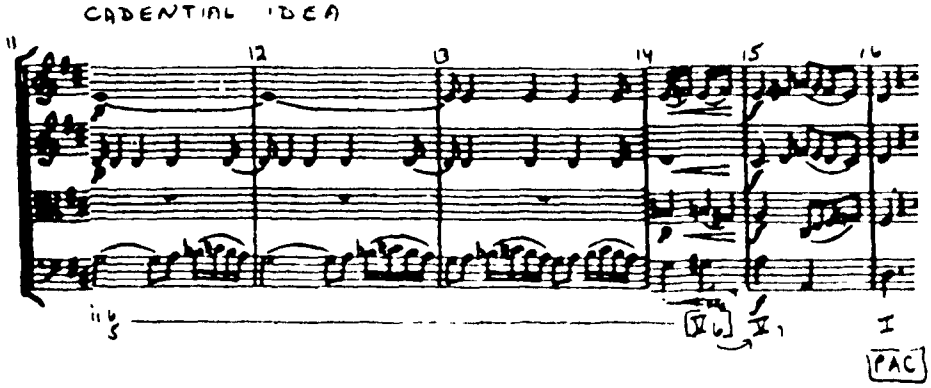


Example 2.53 Haydn, String Quartet in D, Op. 50/6, i,

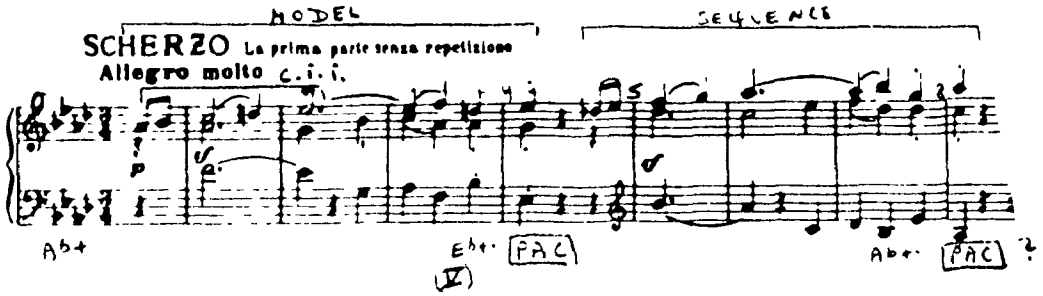
(a) mm. 1-4



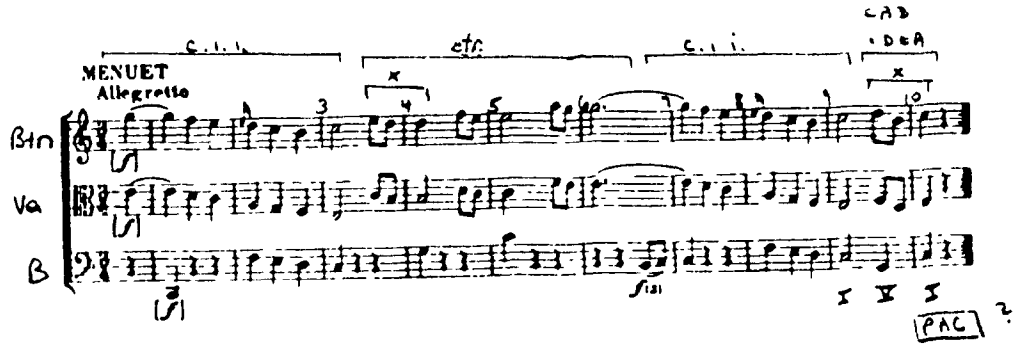
(b) mm. 11-16



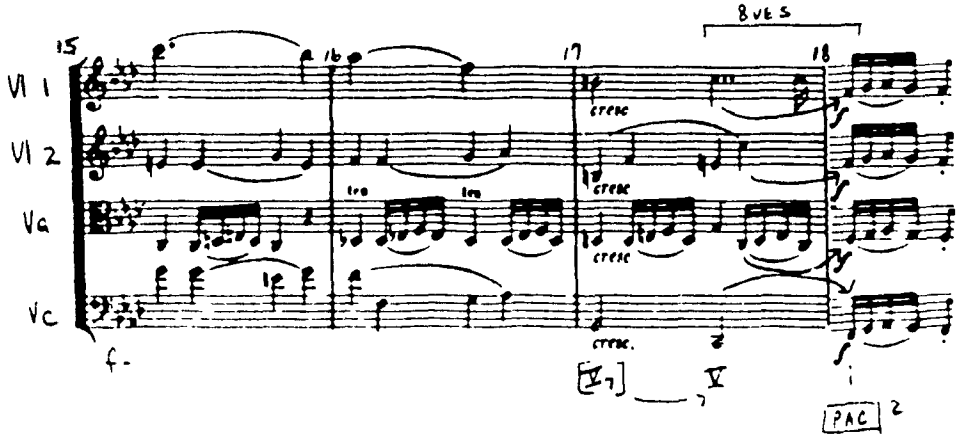
Example 2.54 Beethoven, Sonata in A-flat, Op. 26, II, mm. 1-8



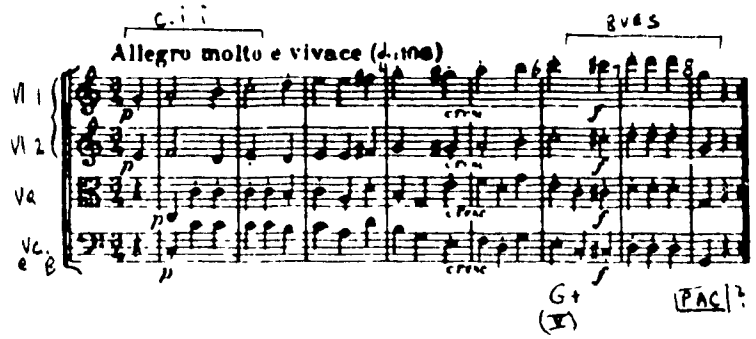
Example 2.55 Haydn, Baryton Trio in C, H. XI:82, III, mm. 1-10



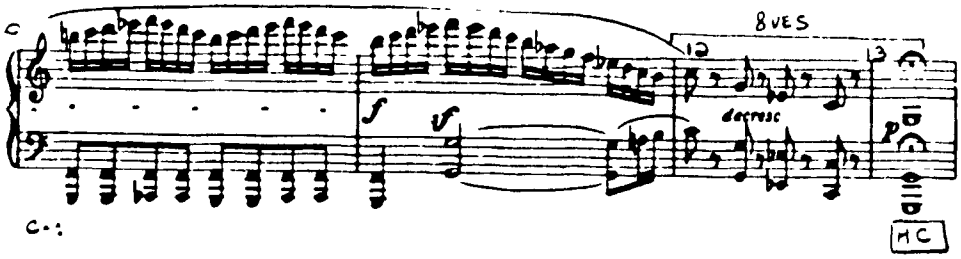
Example 2.56 Beethoven, String Quartet in F minor, Op. 95, I, mm. 15-18



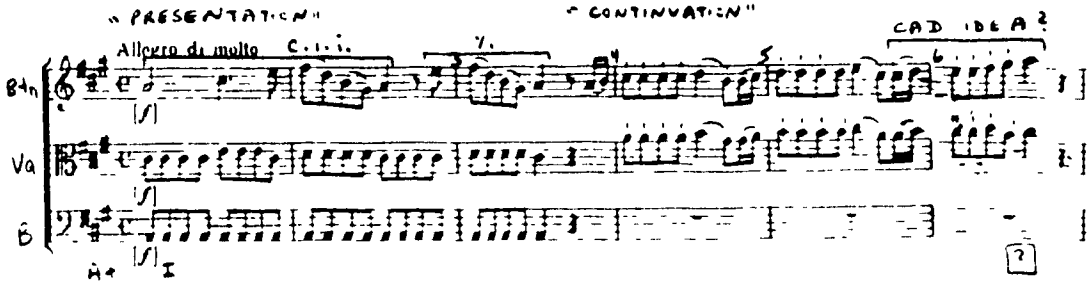
Example 2.57 Beethoven, Symphony No. 1 in C, Op. 21, iii, mm. 1–8



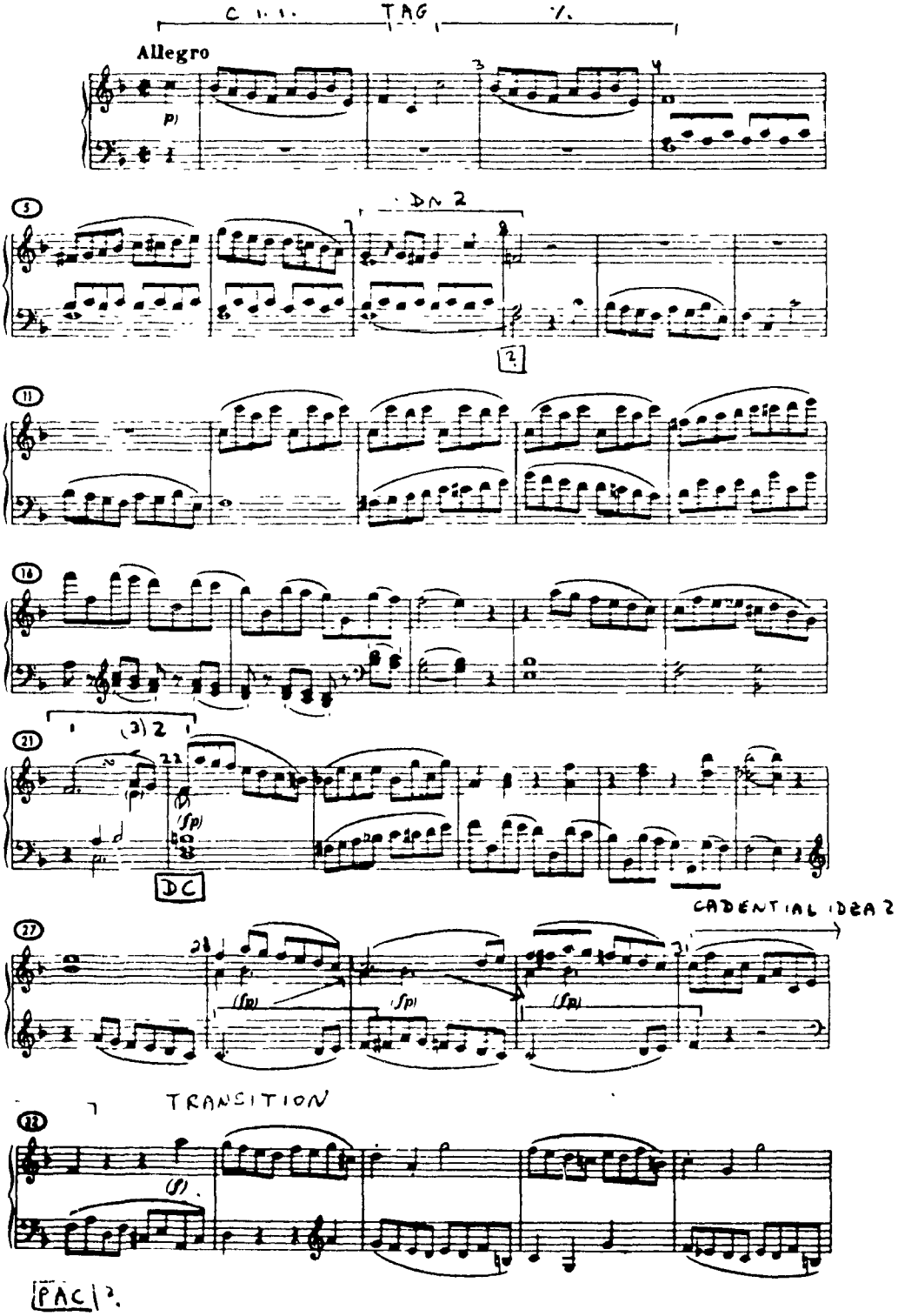
Example 2.58 Beethoven, Piano Sonata No. 21 in C, Op. 53, i, mm. 10-13



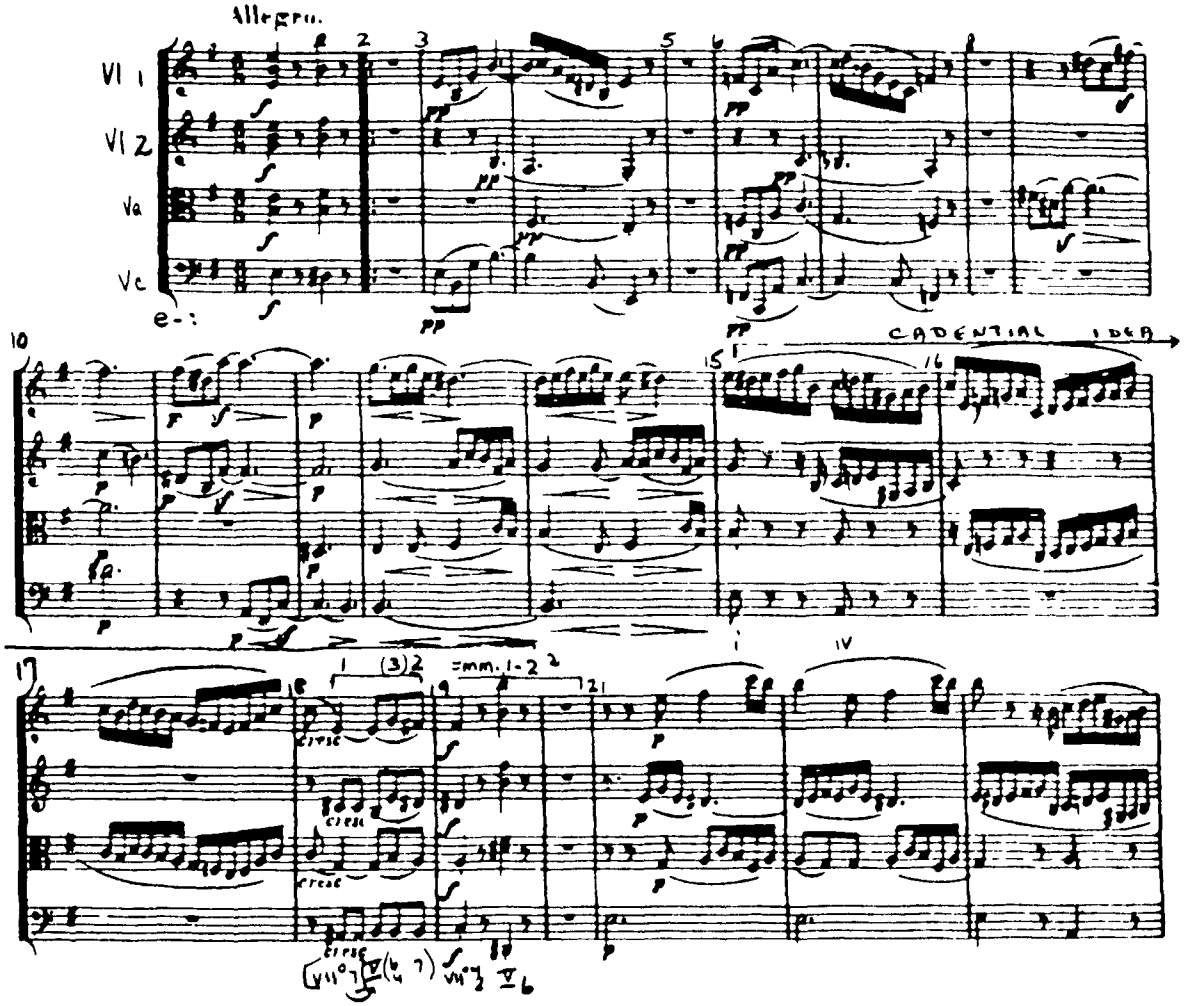
Example 2.59 Haydn, Baryton Trio in A, XI:35, ii, mm. 1-6



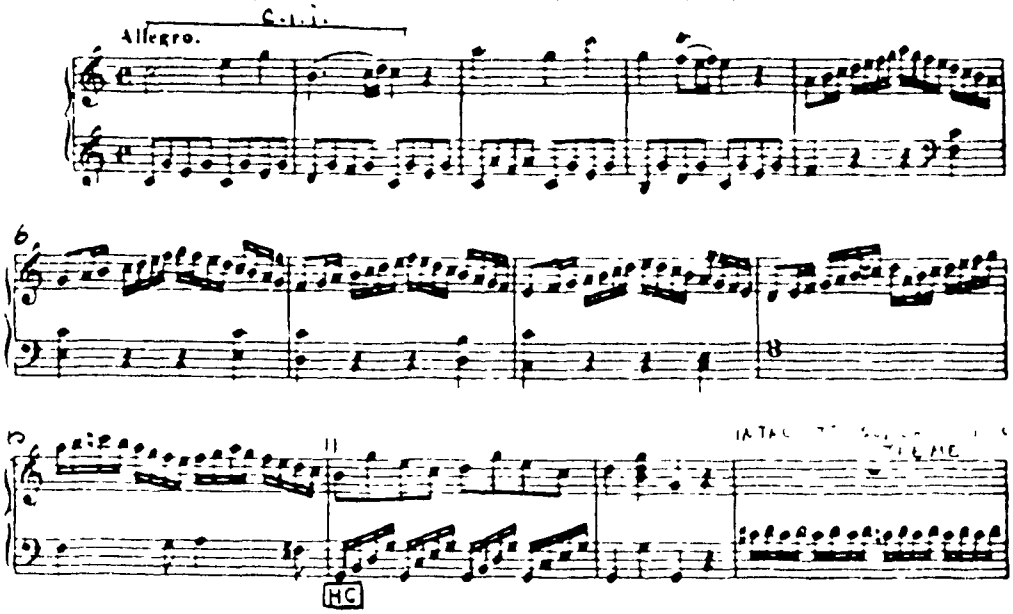
Example 2.60 Mozart, Piano Sonata in F, K. 533, 1, mm. 1-36



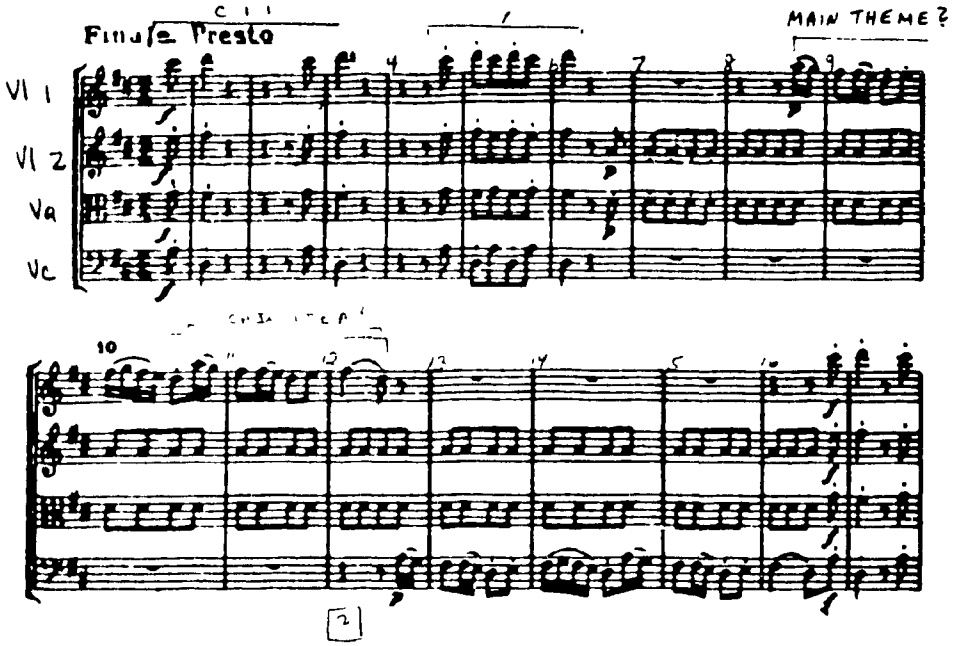
Example 2.61 Beethoven, String Quartet in E minor, Op. 59/2, I, mm. 1-23



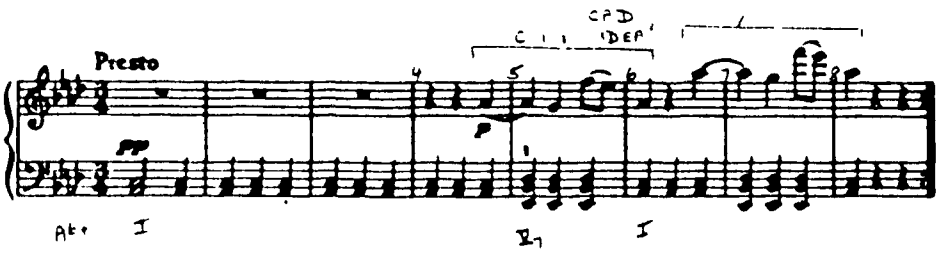
Example 2.62 Mozart, Piano Sonata in C, K. 545, I, mm. 1-13



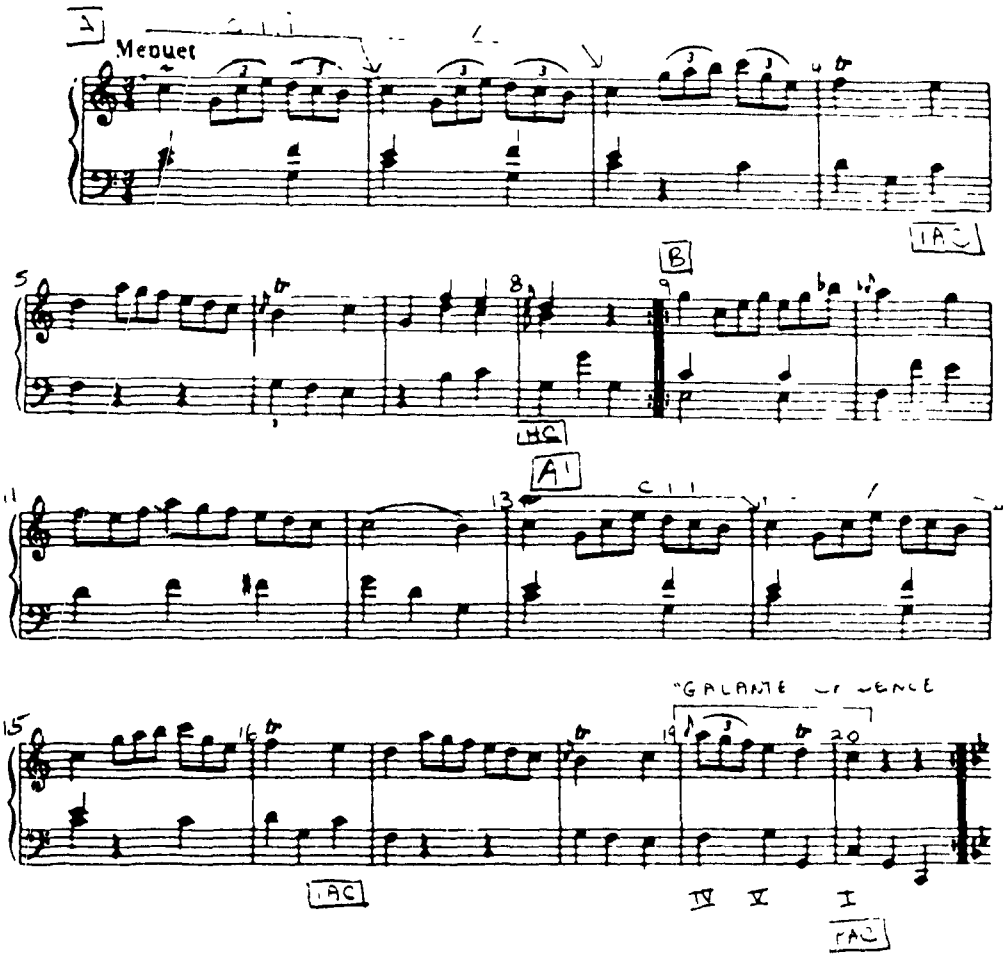
Example 2.63 Haydn, String Quartet in D, Op. 76/5, iv, mm.1-17



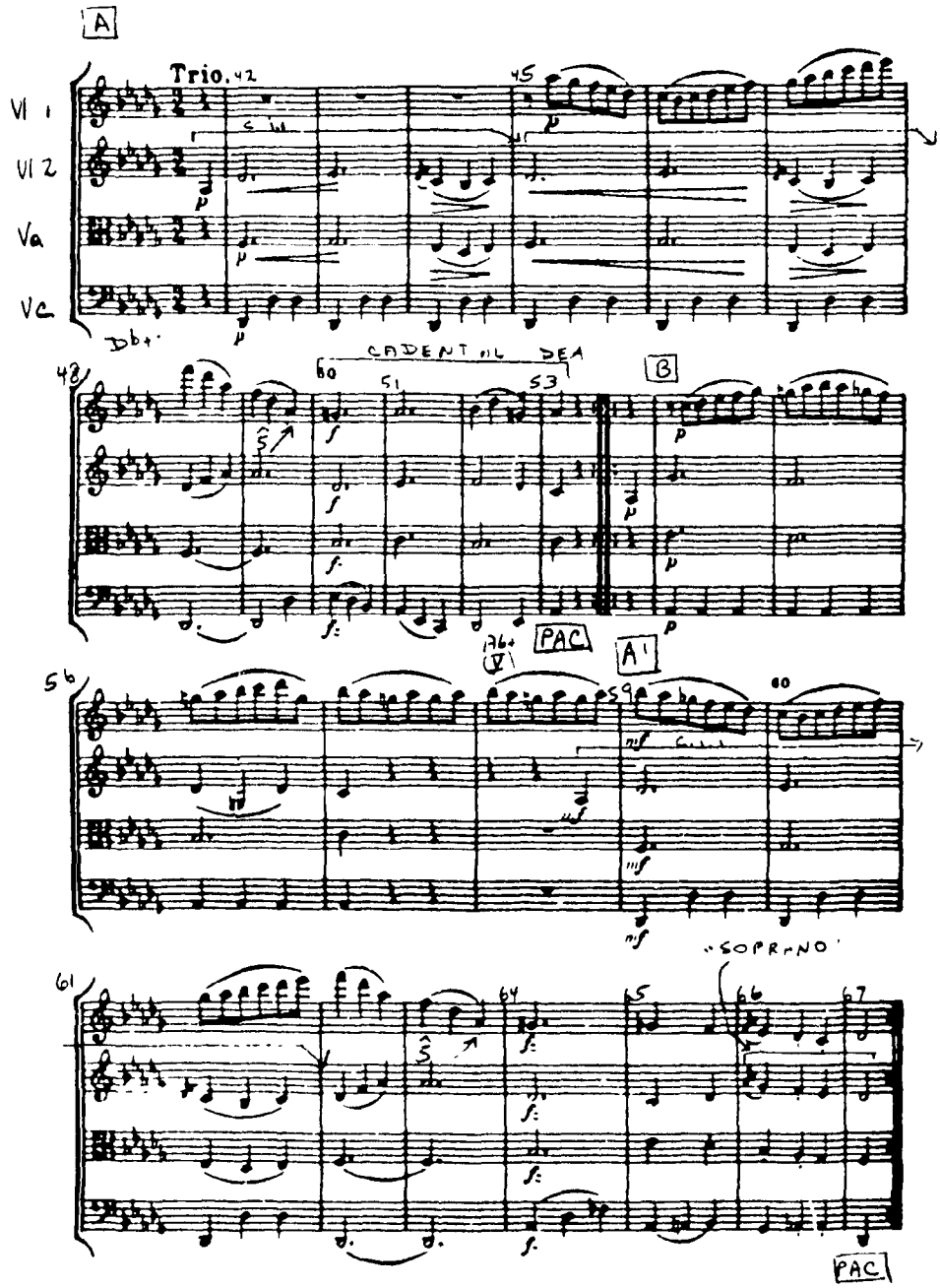
Example 2.64 Beethoven, Bagatelle in A-flat, Op. 33, No. 7, mm. 1-8



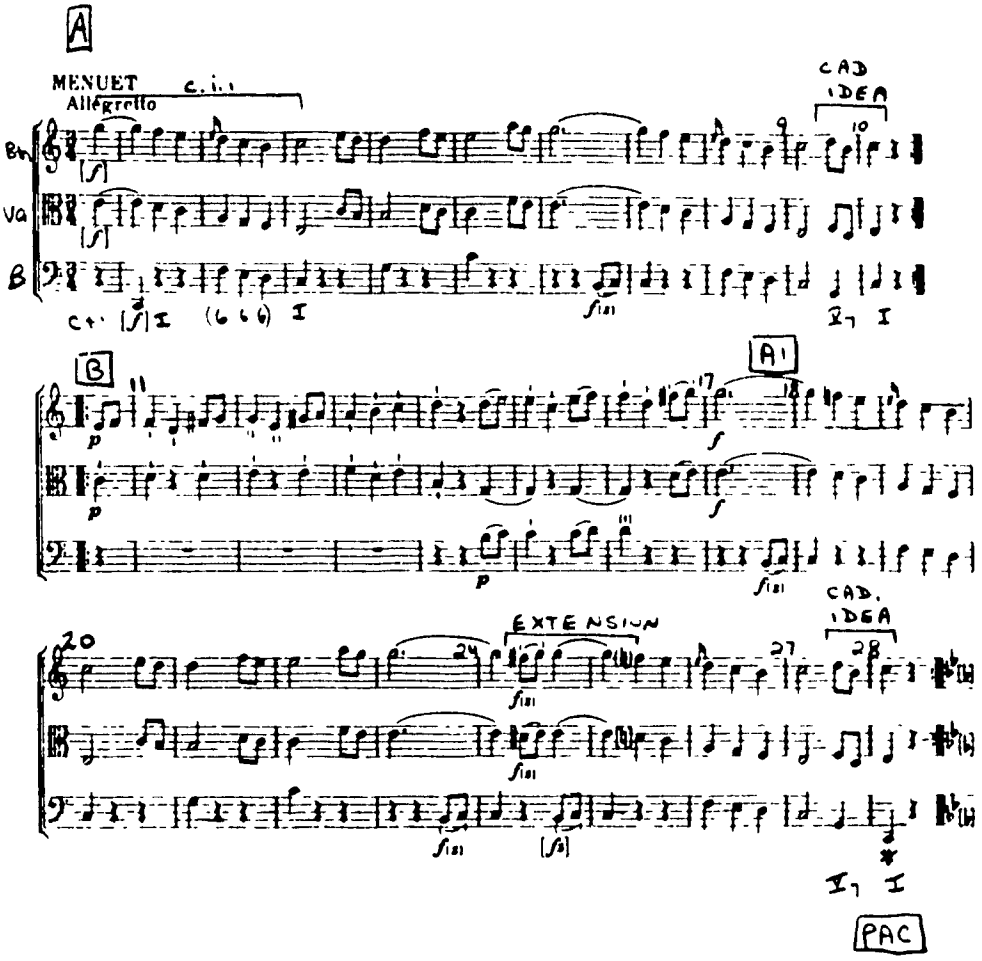
Example 3.1 Haydn, Piano Sonata in C, H. XVI:1, III, Minuet, mm. 1-20



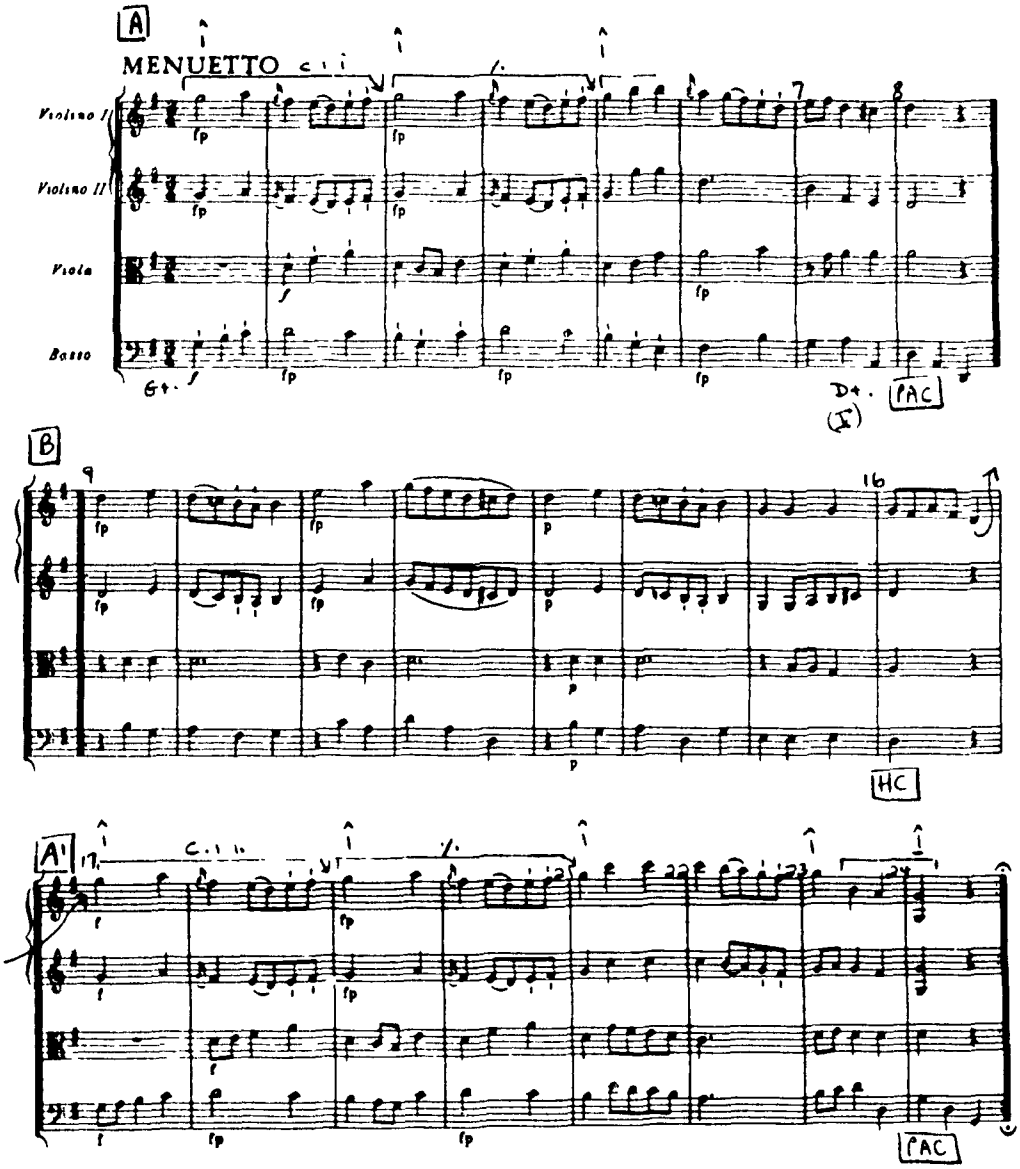
Example 3.2 Haydn, String Quartet in F, Op. 74/2, III, Trio, mm. 42-67



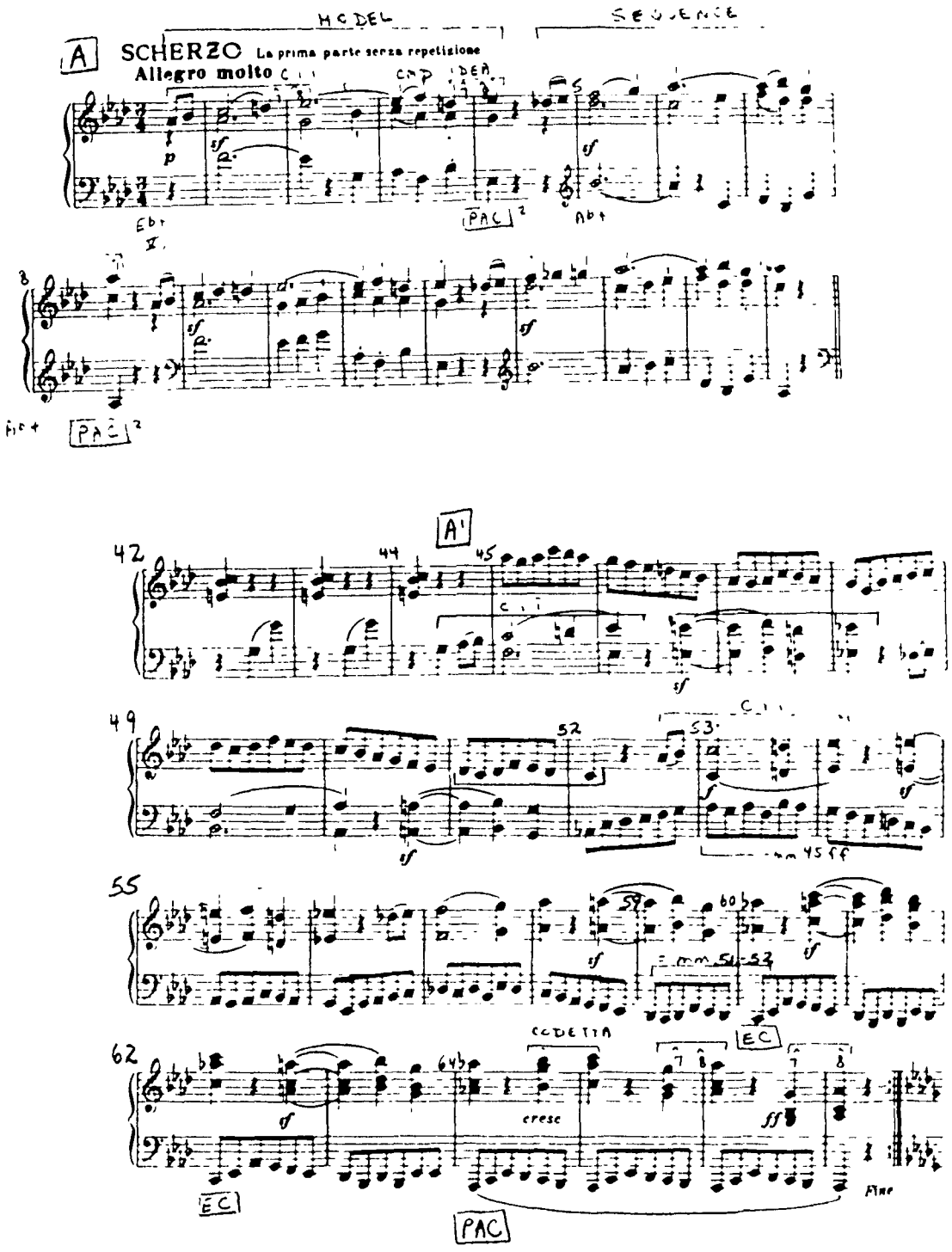
Example 3.3 Haydn, Baryton Trio in C, H. XI:82, 1, Minuet, mm. 1-28



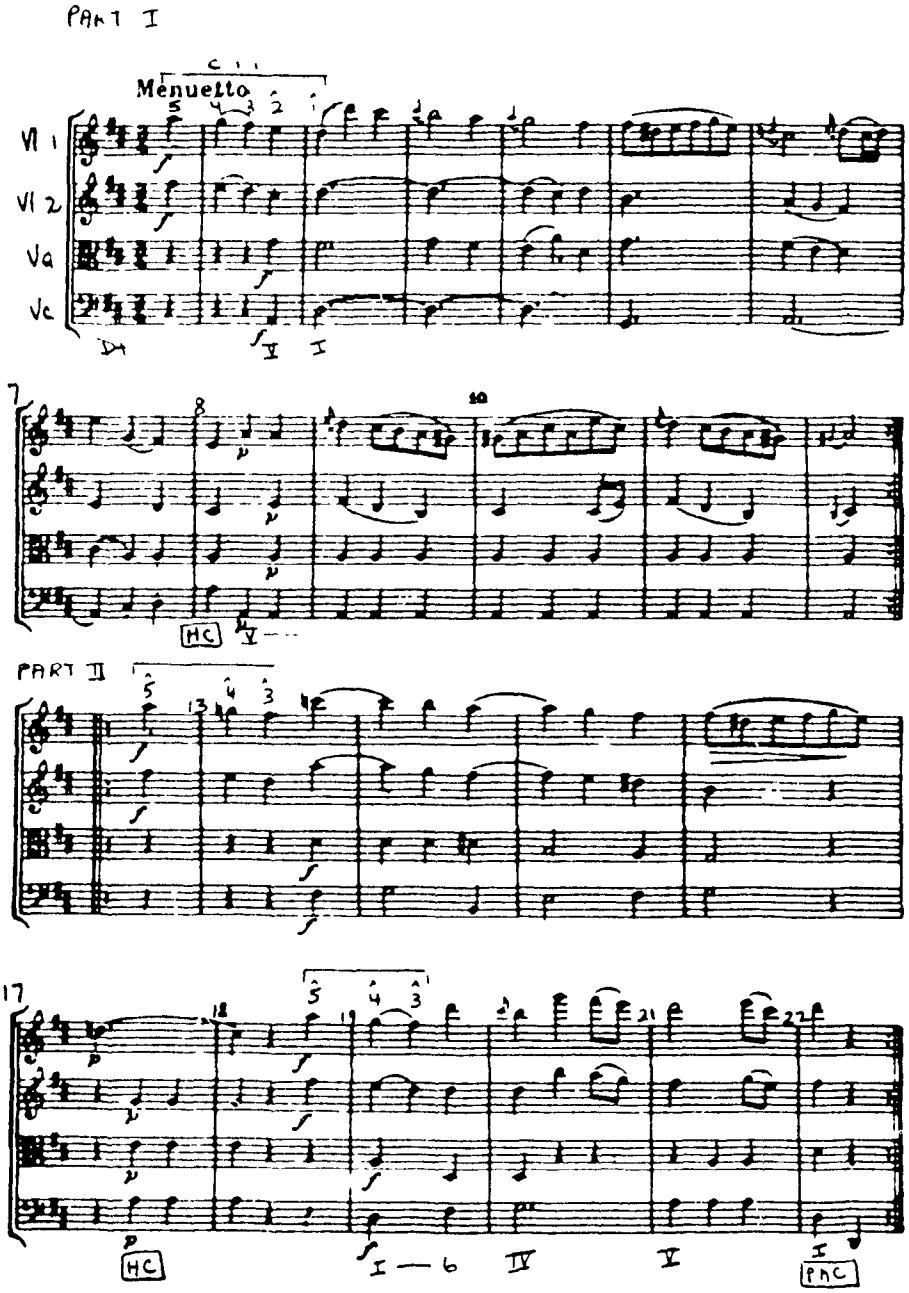
Example 3.4 Mozart, Cassation in D, KV. 100 (62a), III, Minuet, mm. 1-24



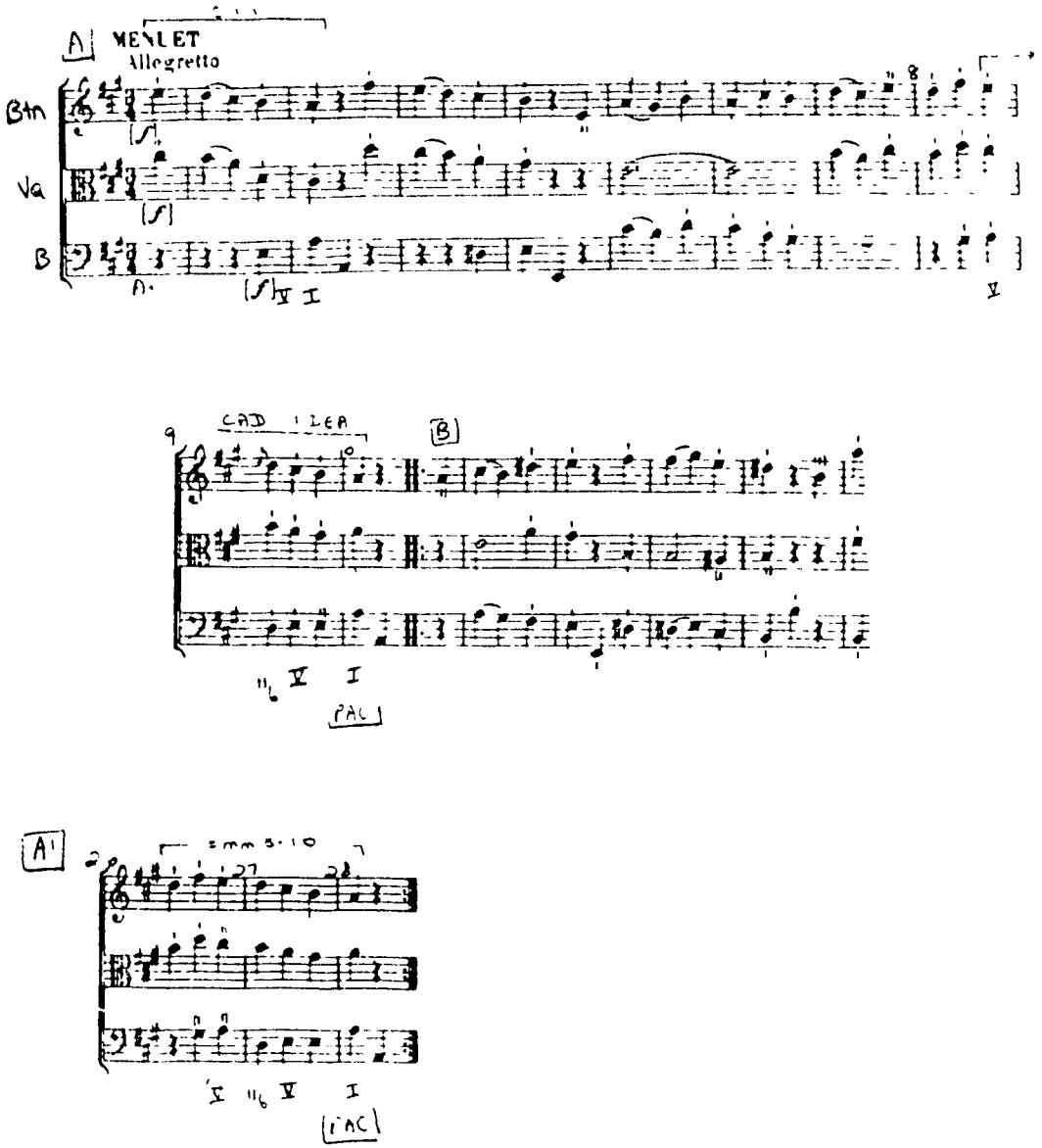
Example 3.5 Beethoven, Piano Sonata in A-flat, Op.26, II, Scherzo, mm. 1-16 and 42-67



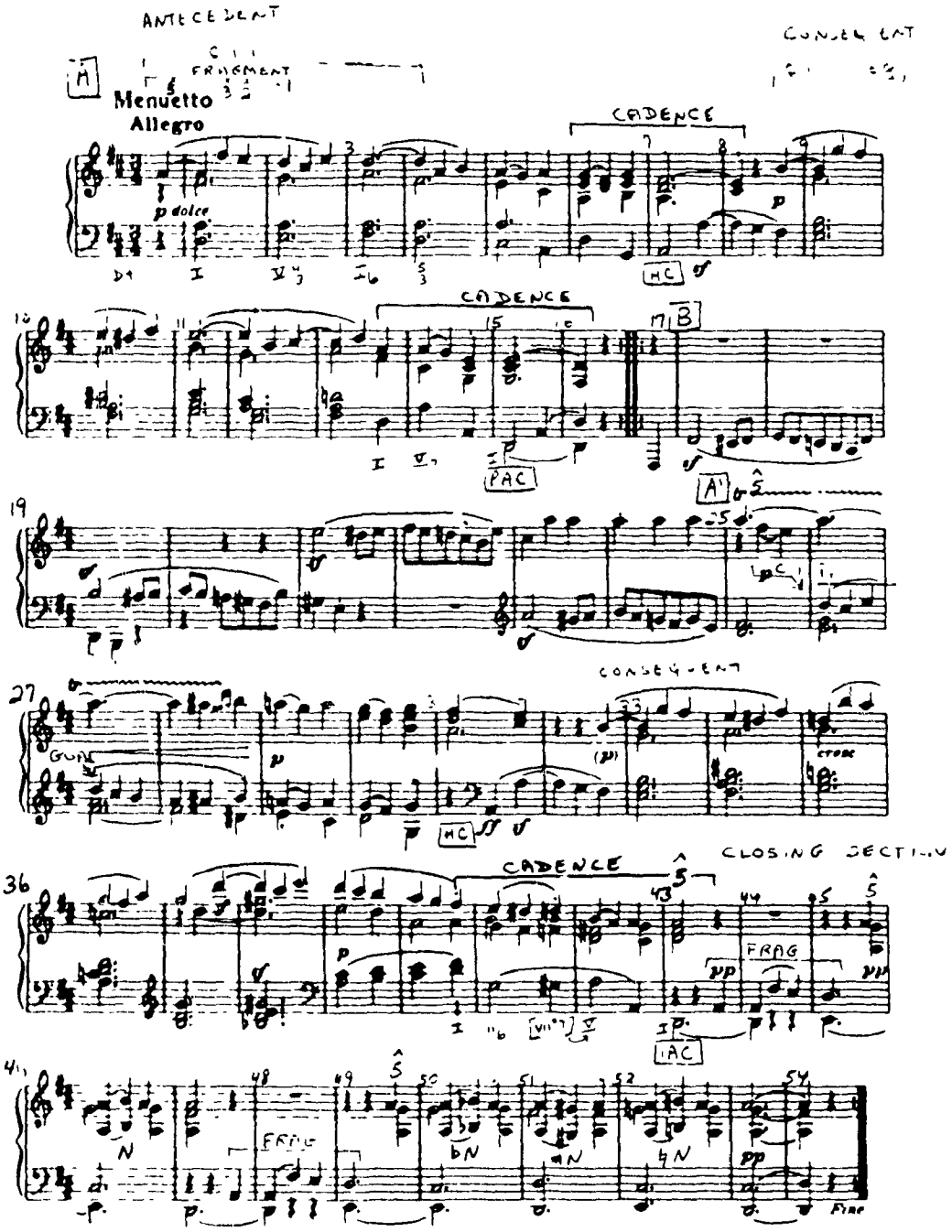
Example 3.6 Haydn, String Quartet in D, Op. 17/6, II, Minuet, mm. 1-22



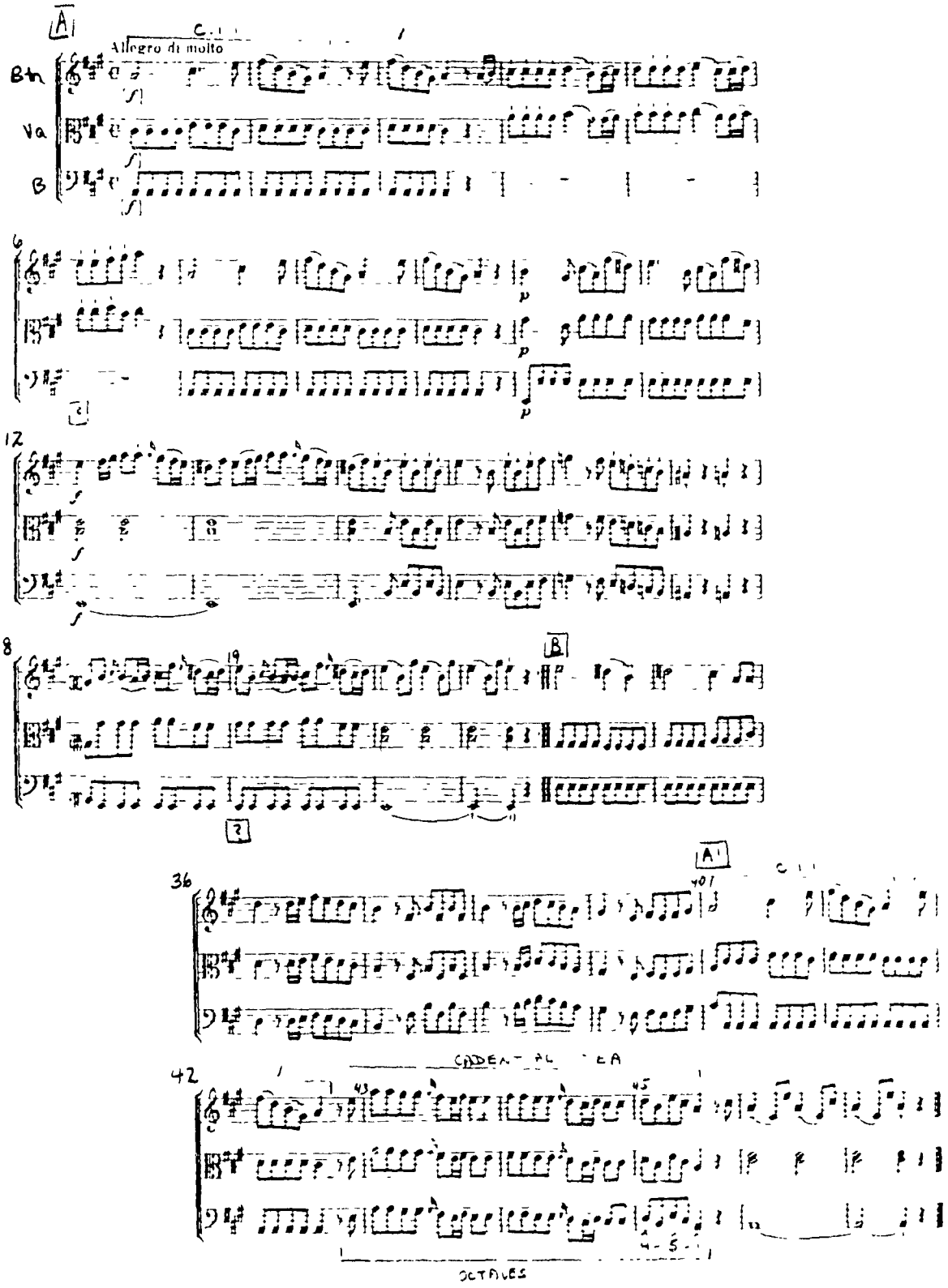
Example 3.7 Haydn, Baryton Trio in A, H. XI:86, III, Minuet, mm. 1-15 and 26-28



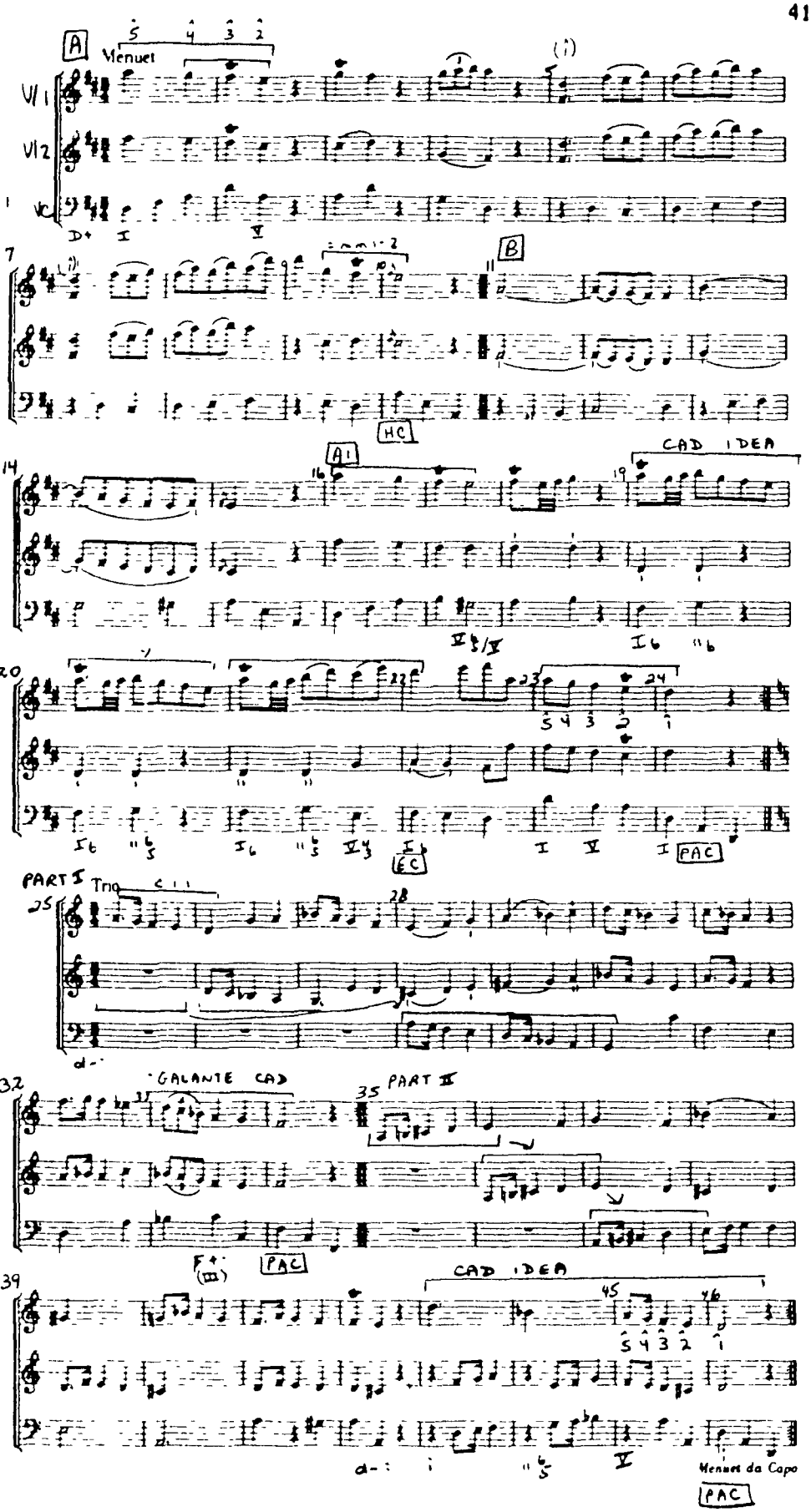
Example 3.8 Beethoven, Piano Sonata in D, Op. 10/3, III, Minuet, mm. 1-54



Example 3.9 Haydn, Baryton Trio in A, H. XI:35, II, mm. 1-23 and 36-47



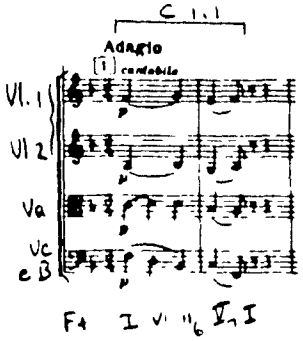
Example 3.10
Haydn,
String Trio
No. 15 in D,
H. HV:15, III



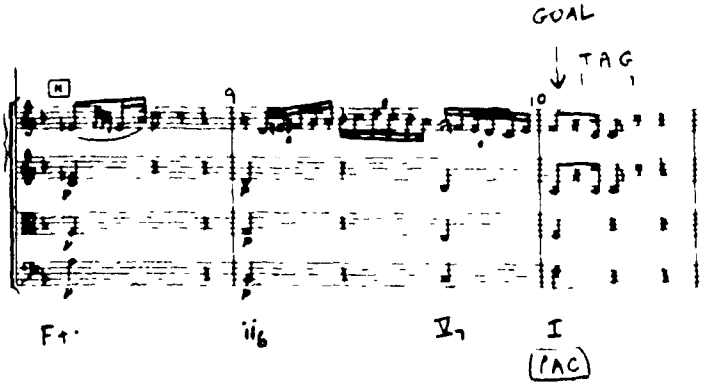
CHAPTER FOUR

Example 4.1 Haydn, Symphony No. 98 in B-flat, II,

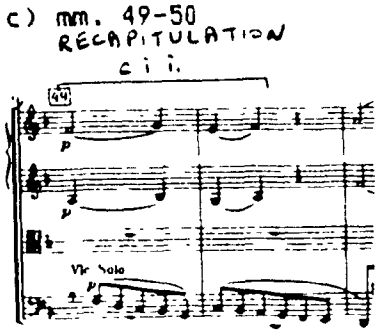
(a) mm. 1-2



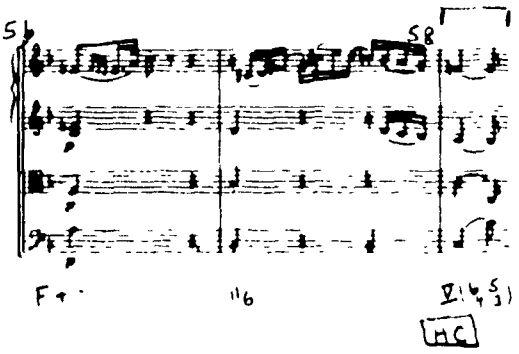
(b) mm. 8-10



(c) mm. 49-50

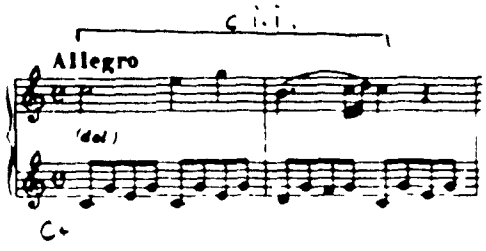


(d) mm. 56-58

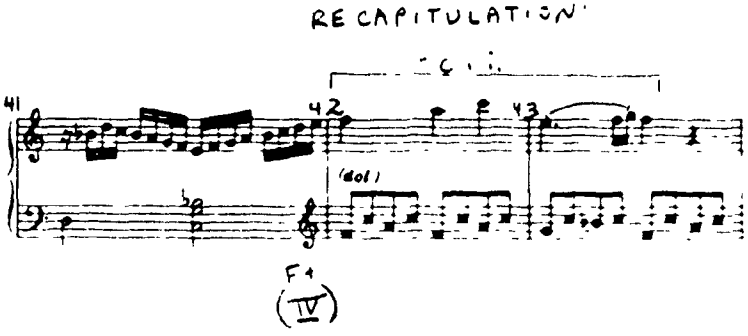


Example 4.2 Mozart, Piano Sonata in C, K. 545, I

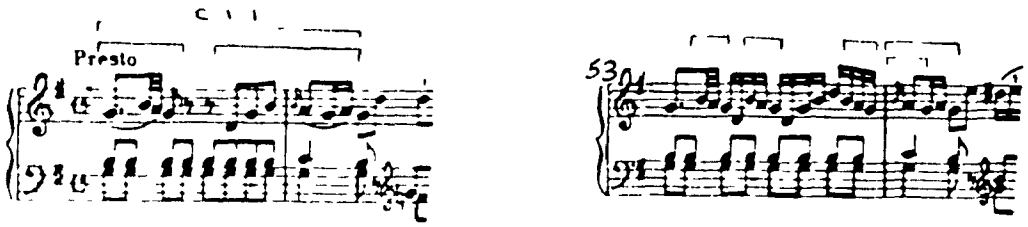
(a) mm. 1-2



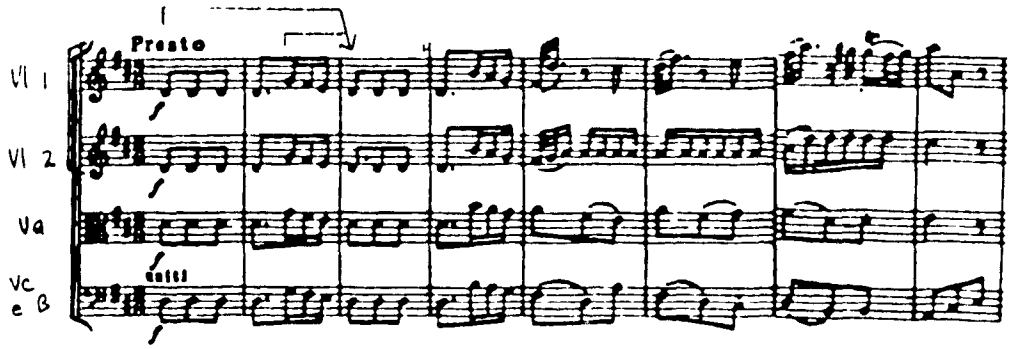
(b) mm. 41-43



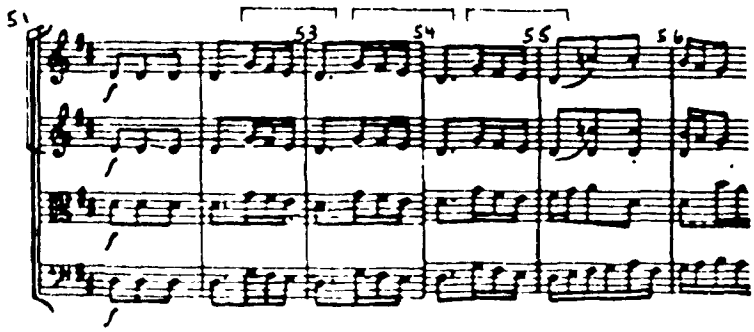
Example 4.3 Haydn, Piano Sonata in G, H. XVI:40, II,
(a) mm. 1-2 (b) mm. 53-54



Example 4.4 Mozart, Symphony No. 4 in D, K. 19, III
(a) mm. 1-8

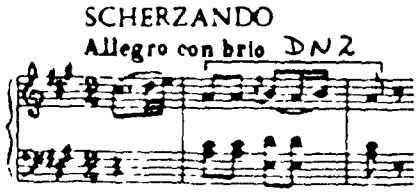


(b) 51-56

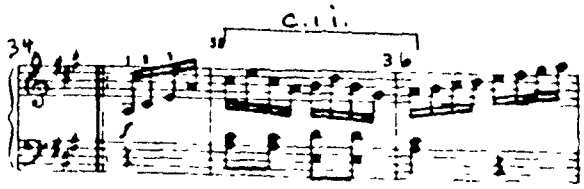


Example 4.5 Haydn, Piano Sonata in C-sharp minor, H. XVI:36, i

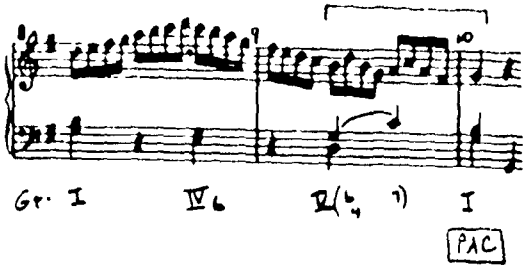
(a) mm. 1-2



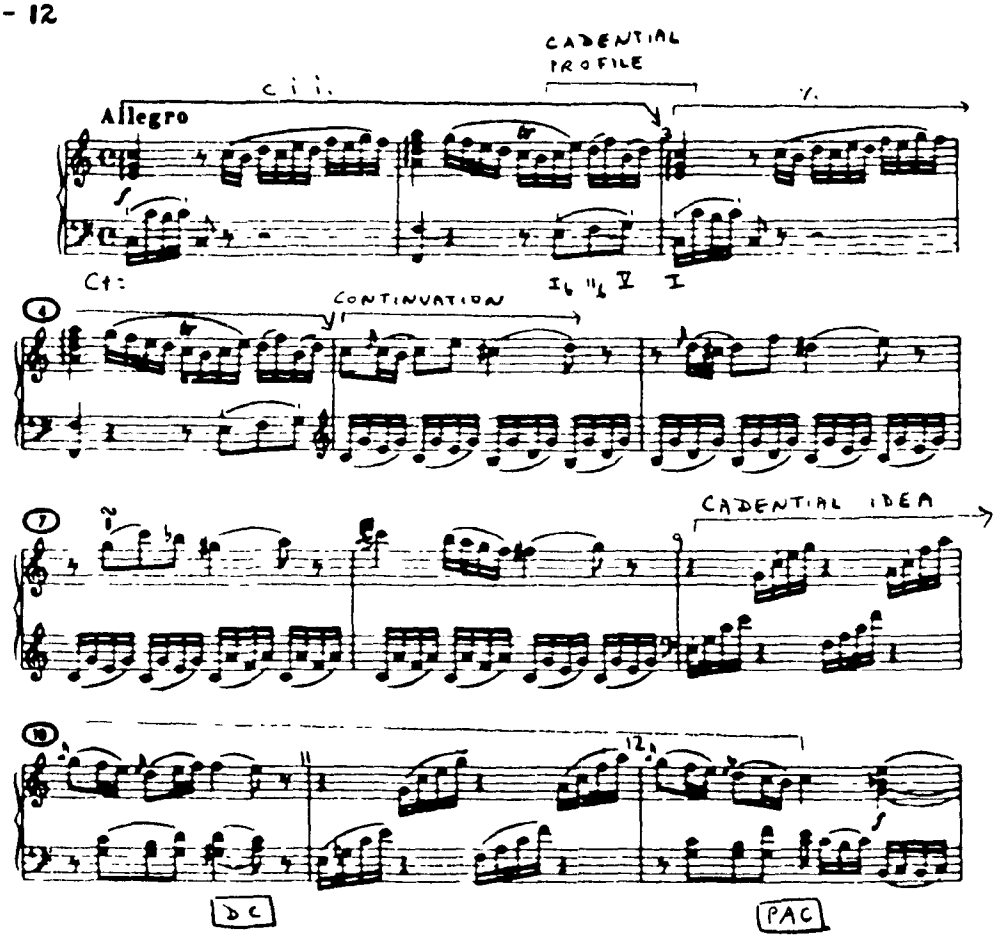
(b) mm. 35-36



(c) Mozart,
Piano Sonata in G,
K. 283, i, mm. 8-10

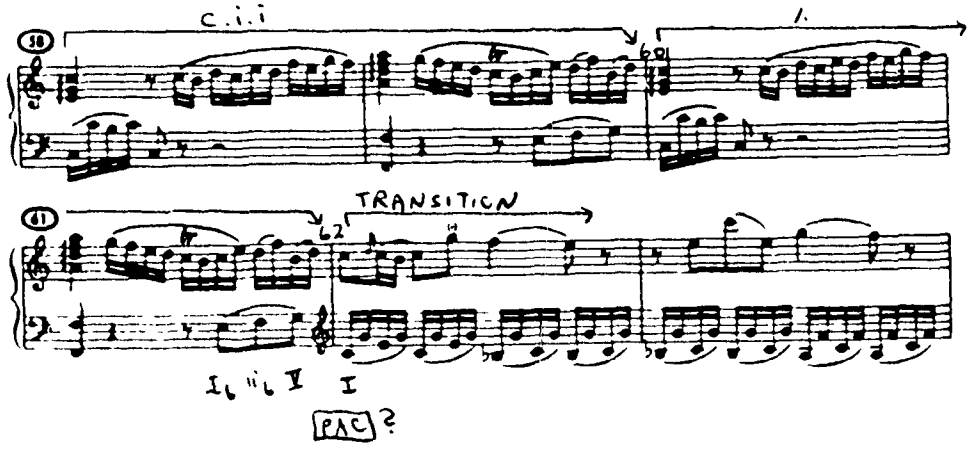


Example 4.6 Mozart, Piano Sonata in C, K. 279, i
(a) mm. 1-12

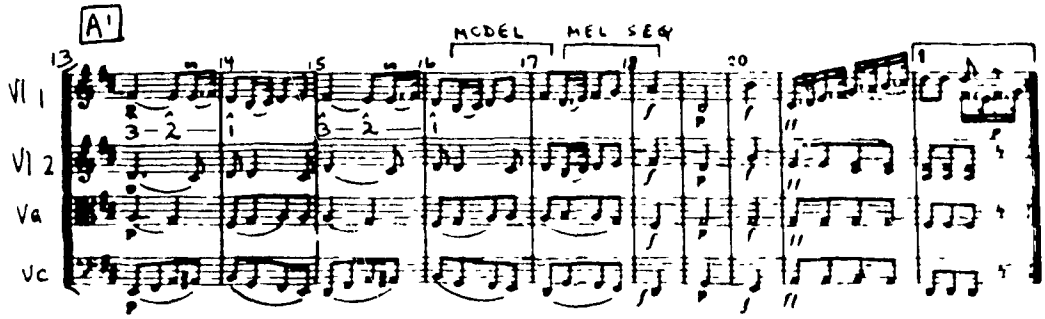


(b) mm. 58-63

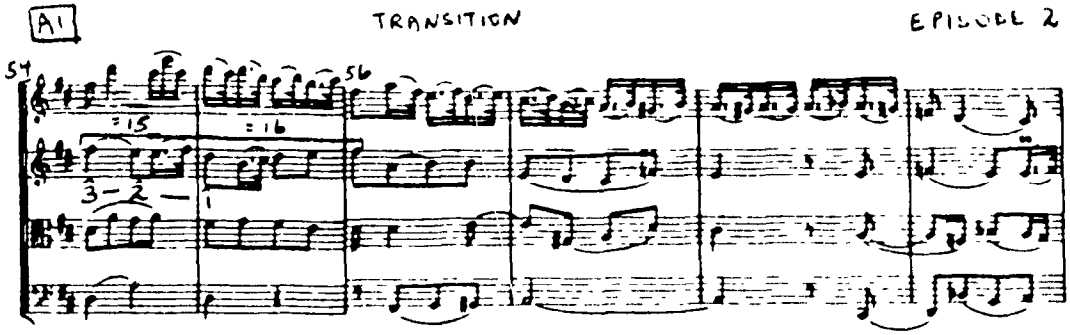
RECAPITULATION



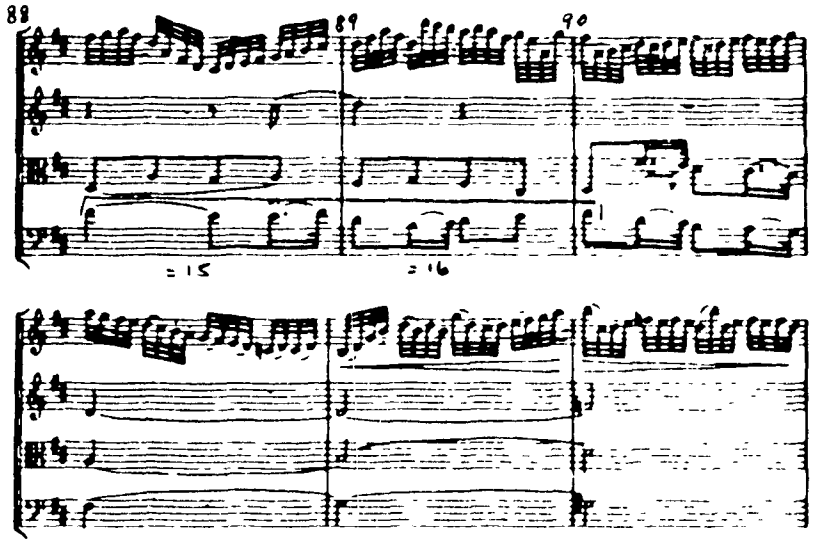
Example 4.7 Haydn, String Quartet in F, Op. 77/2, III
(a) mm. 13-22



(b) mm. 54-59

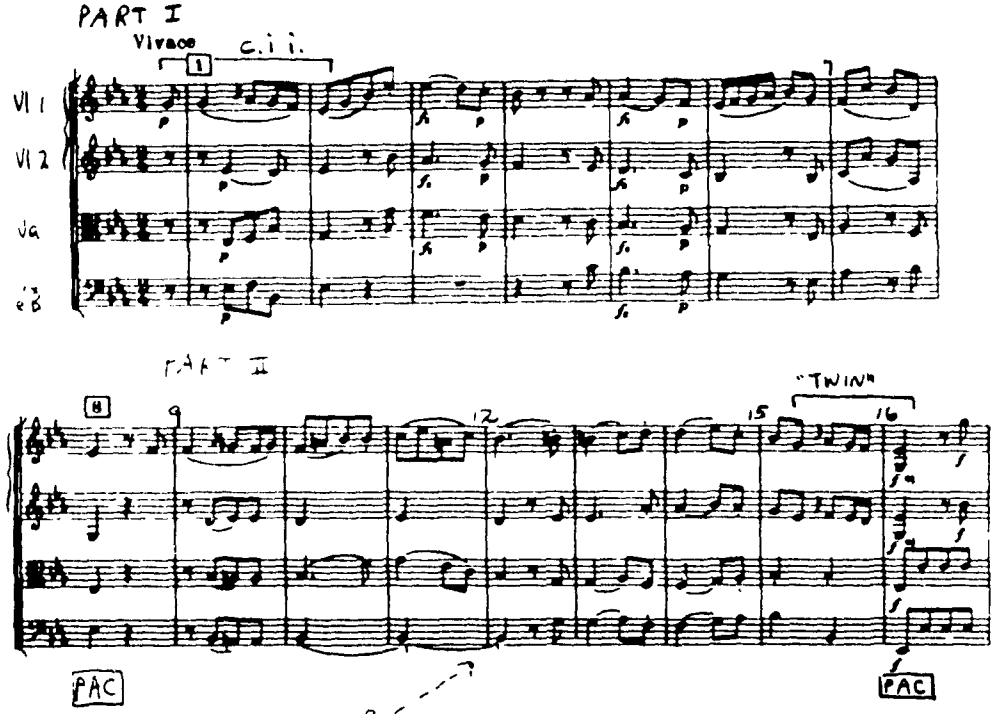


(c) mm. 88-93

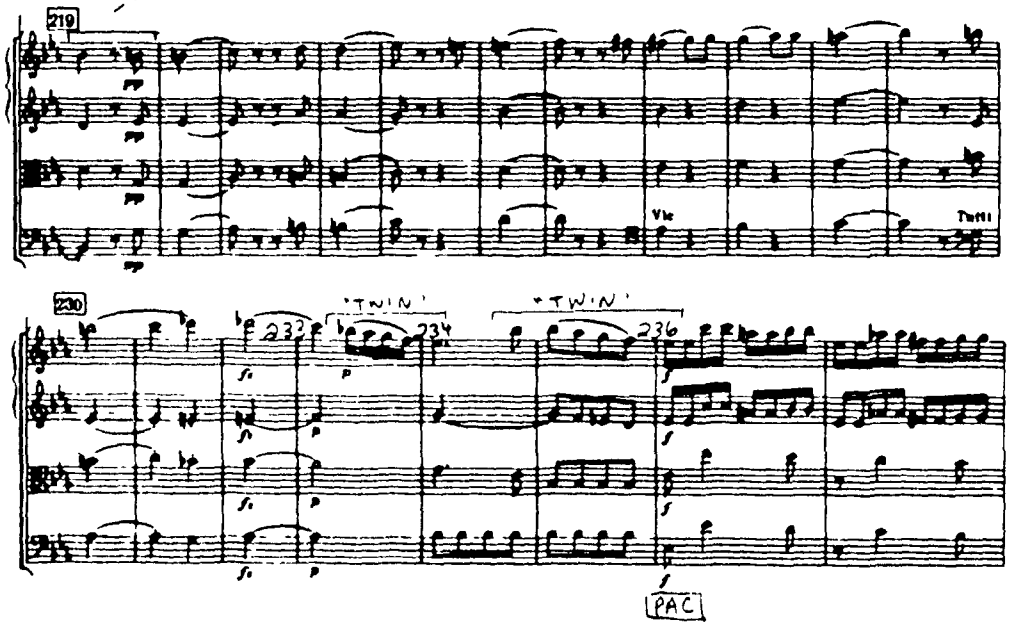


Example 4.8 Haydn, Symphony No. 84 in E-flat, IV

(a) mm. 1-16

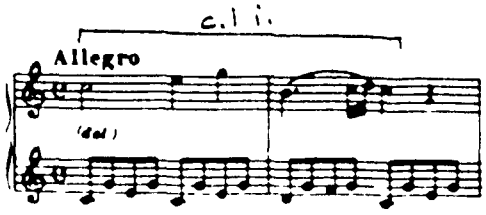


(b) mm. 219-37

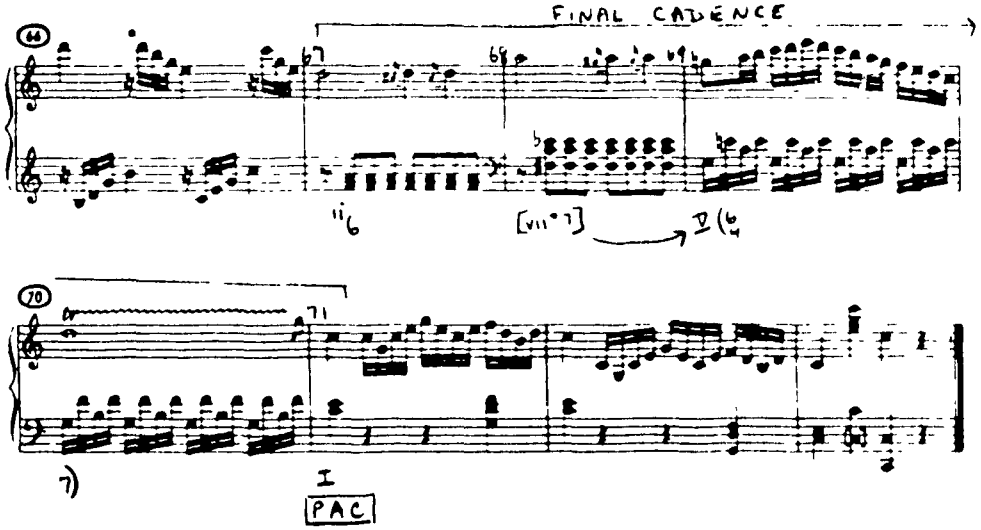


Example 4.9 Mozart, Piano Sonata in C, K. 545, I

(a) mm. 1-2

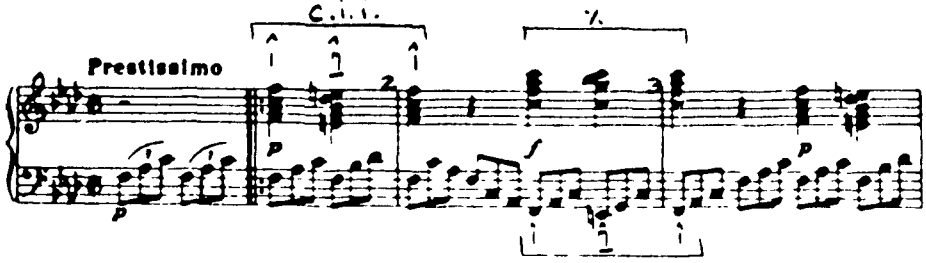


(b) mm. 66-73

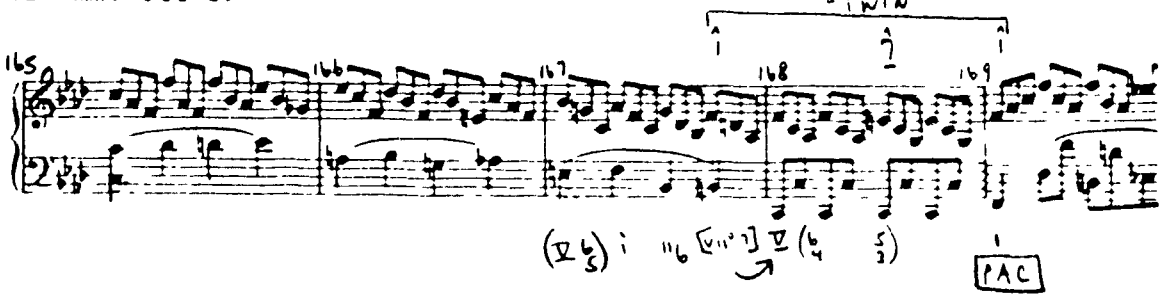


Example 4.10 Beethoven, Piano Sonata in F minor, Op. 2/1, IV

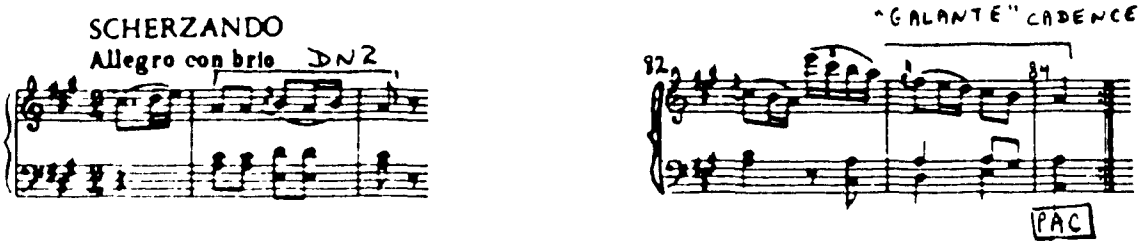
(a) mm. 1-3



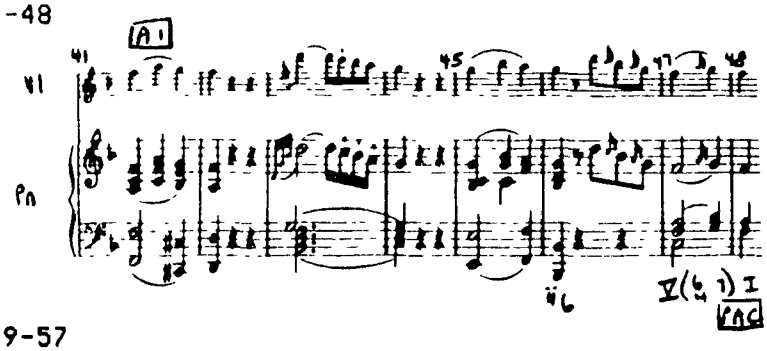
(b) mm. 165-69



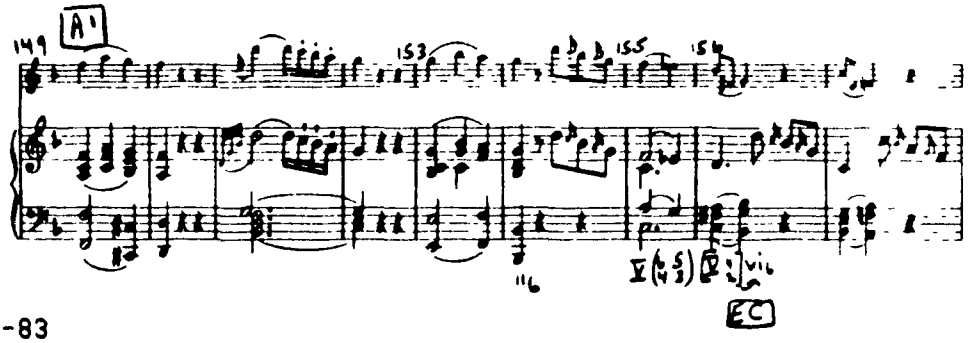
Example 4.11 Haydn, Piano Sonata in C-sharp minor, H. XVI:36, II,
(a) mm. 1-2 (b) 82-84



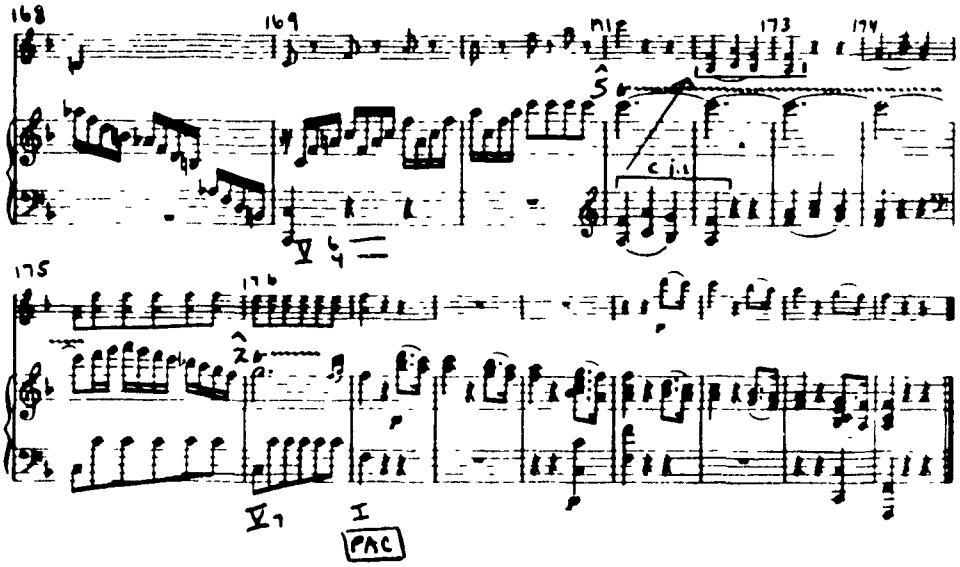
Example 4.12 Mozart, Violin Sonata in F, K. 377, III
(a) mm. 41-48



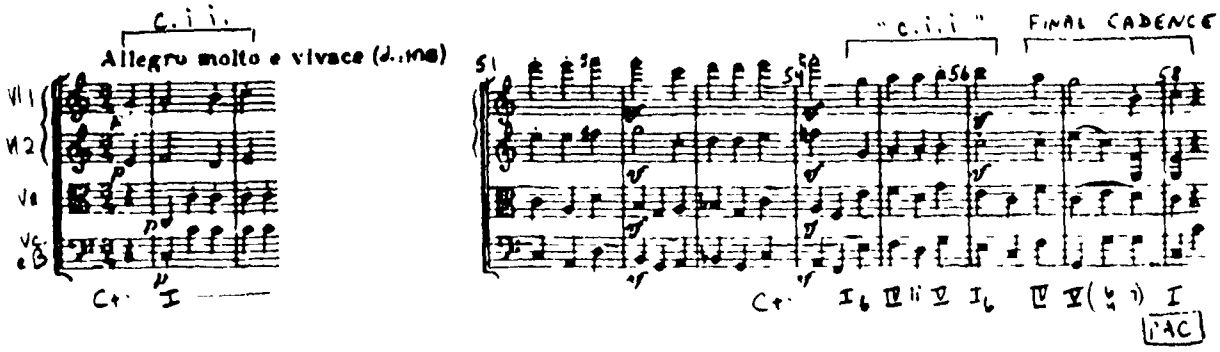
(b) mm. 149-57



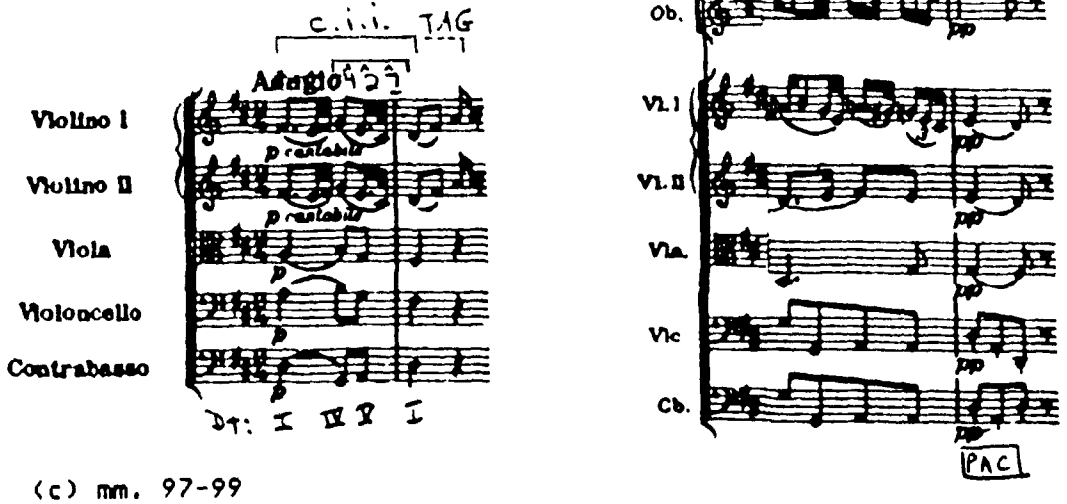
(c) mm. 168-83



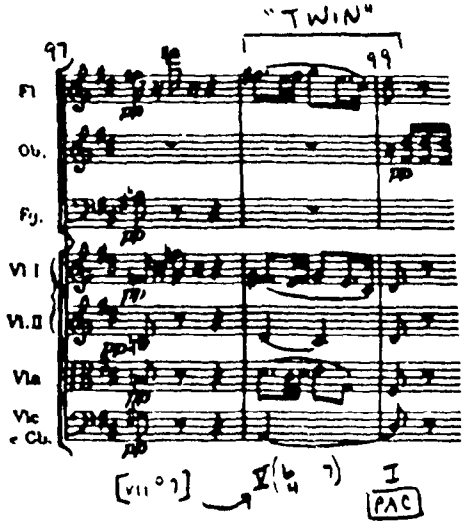
Example 4.13 Beethoven, Symphony No. 1 in C, Op. 21, III
(a) mm. 1-2 (b) mm. 51-58



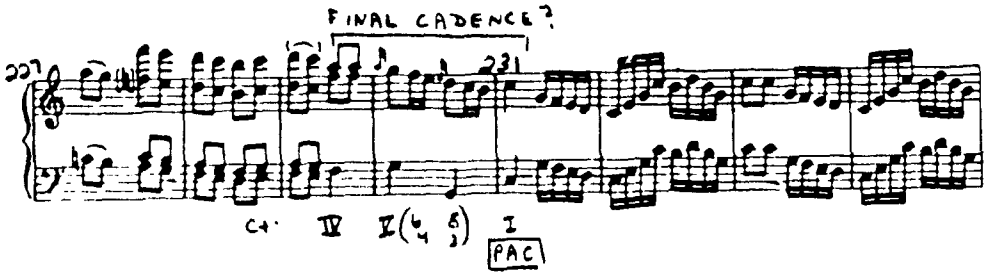
Example 4.14 Haydn, Symphony No. 92 in G, II
(a) mm. 1-2 (b) 27-28



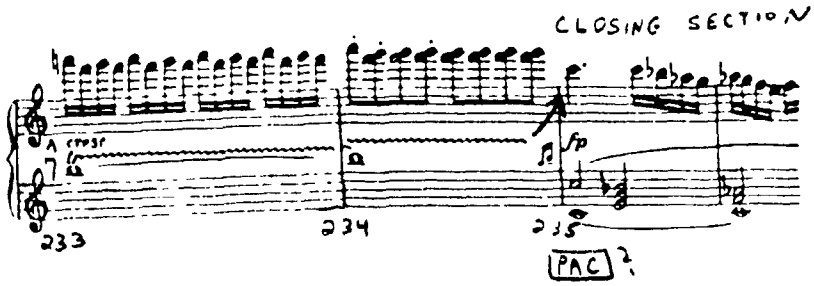
(c) mm. 97-99



Example 4.15 Haydn, Piano Sonata in C, H. XVI:48, II, mm. 227-33

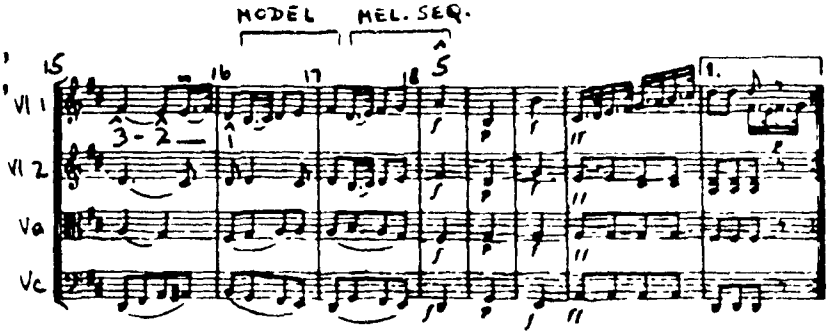


Example 4.16
Beethoven,
Piano Sonata in C,
Op. 53, I,
mm. 233-36

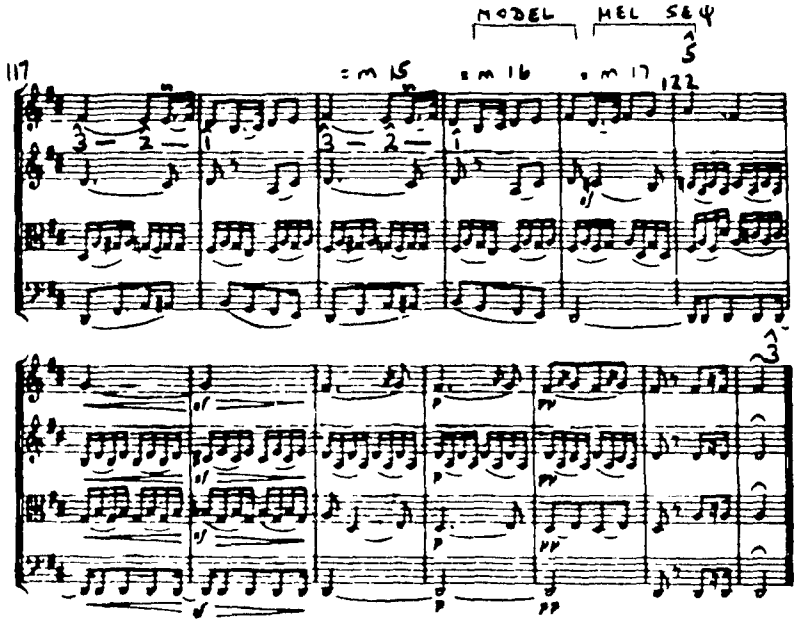


Example 4.17 Haydn,
String Quartet in F,
Op. 77/2, III

(a) mm. 15-22

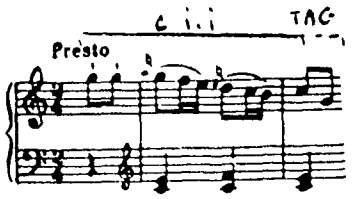


(b) mm. 117-29

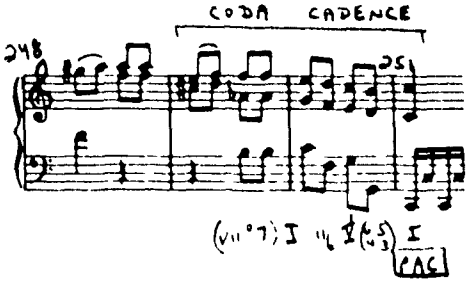


Example 4.18 Haydn, Piano Sonata in C, H. XVI:48, II

(a) mm. 1-2

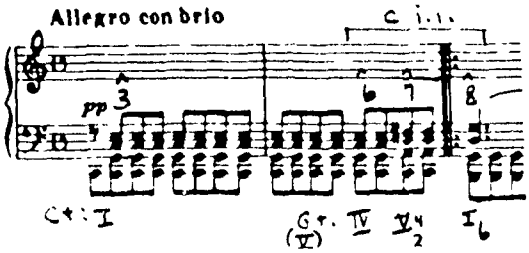


(b) mm. 248-51

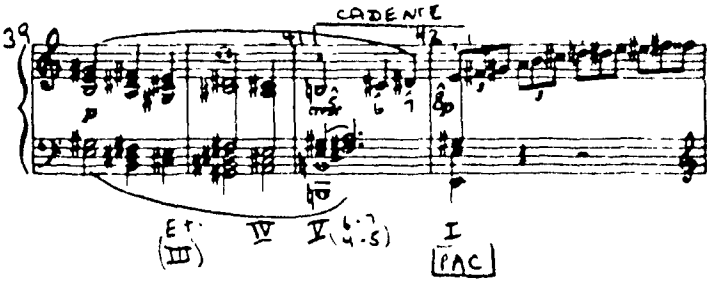


Example 4.19 Beethoven, Piano Sonata in C, Op. 53, I

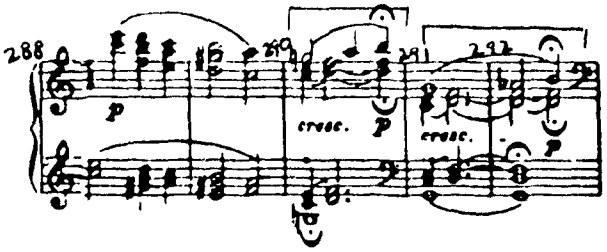
(a) mm. 1-3

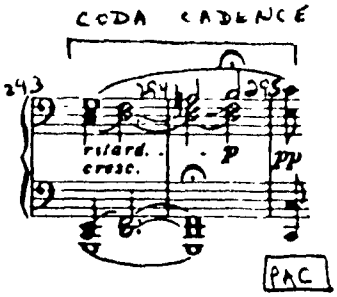


(b) mm. 39-42



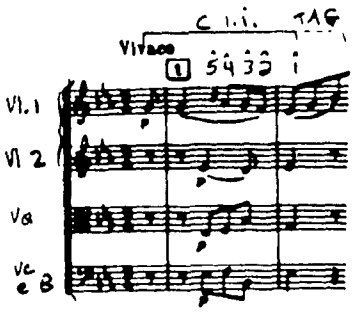
(c) mm. 288-95



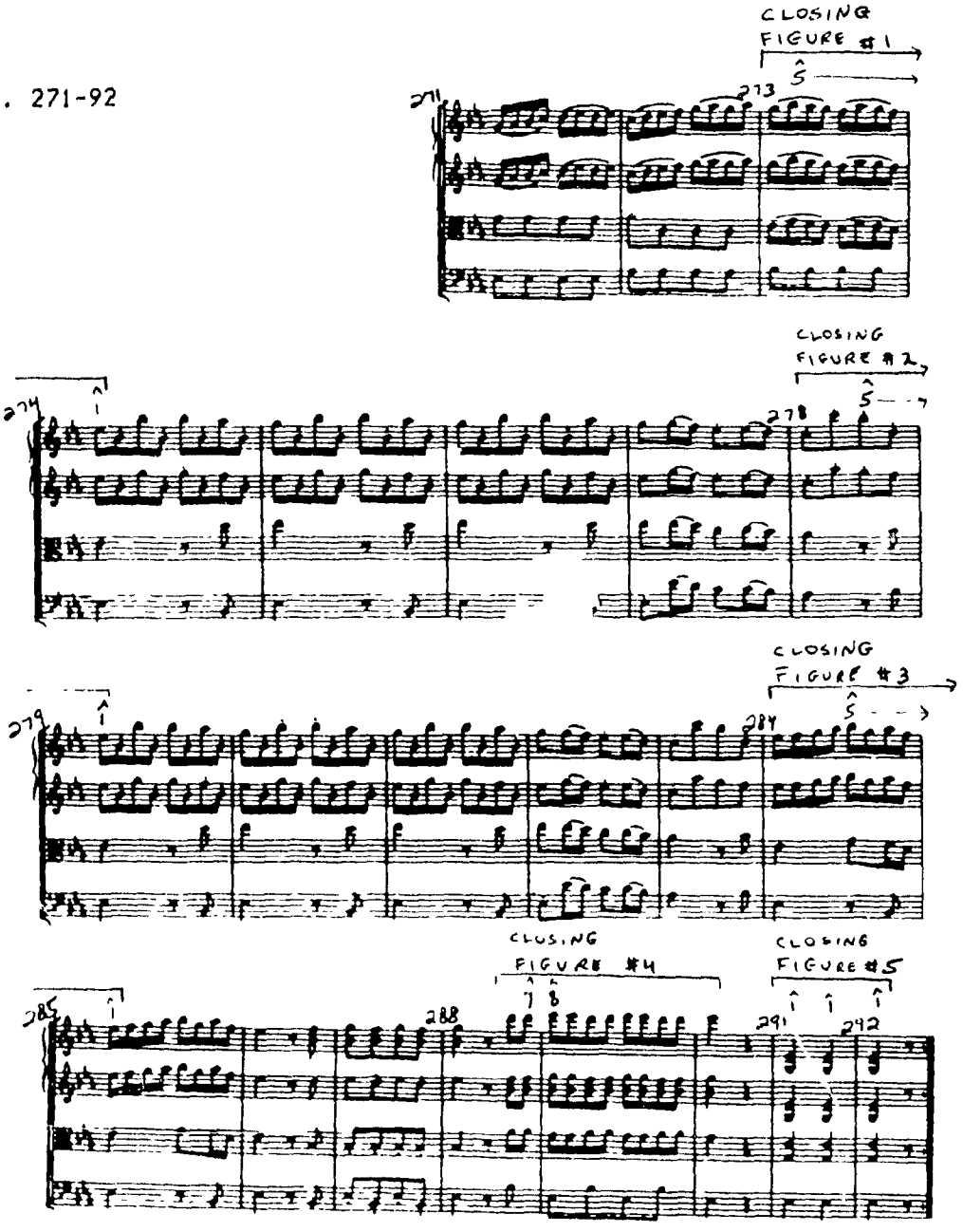


Example 4.20 Haydn,
Symphony No. 84 in E-flat, IV

(a) mm. 1-2

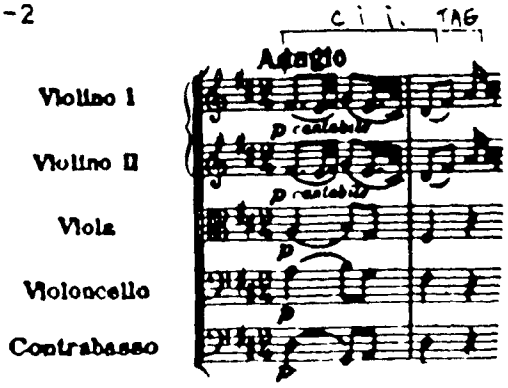


(b) mm. 271-92

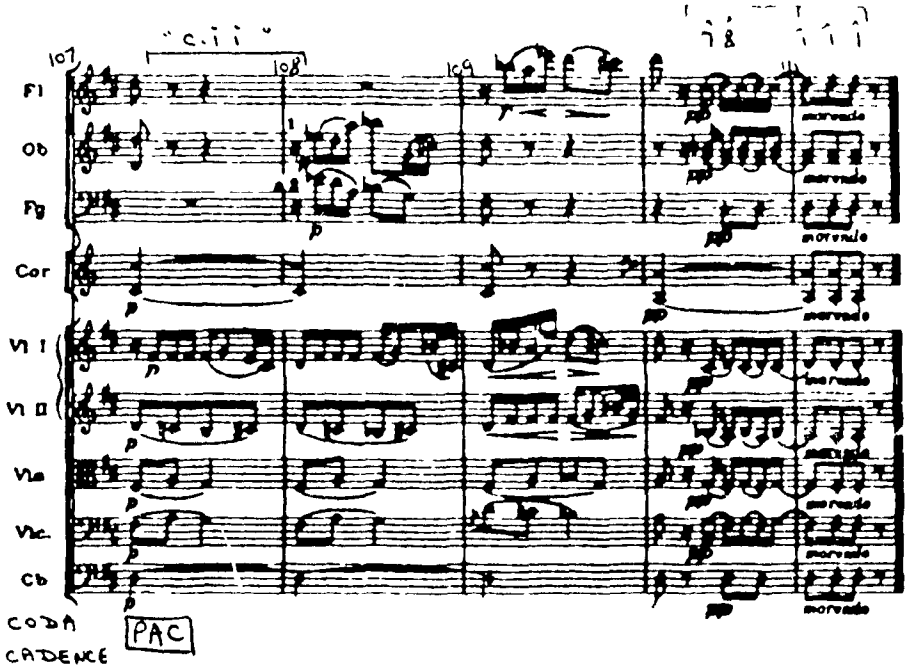


Example 4.21 Haydn, Symphony No. 92 in G, II

(a) mm. 1-2

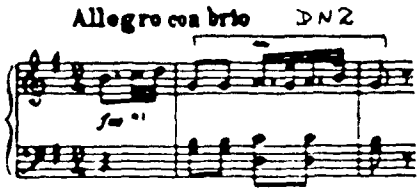


(b) mm. 107-11

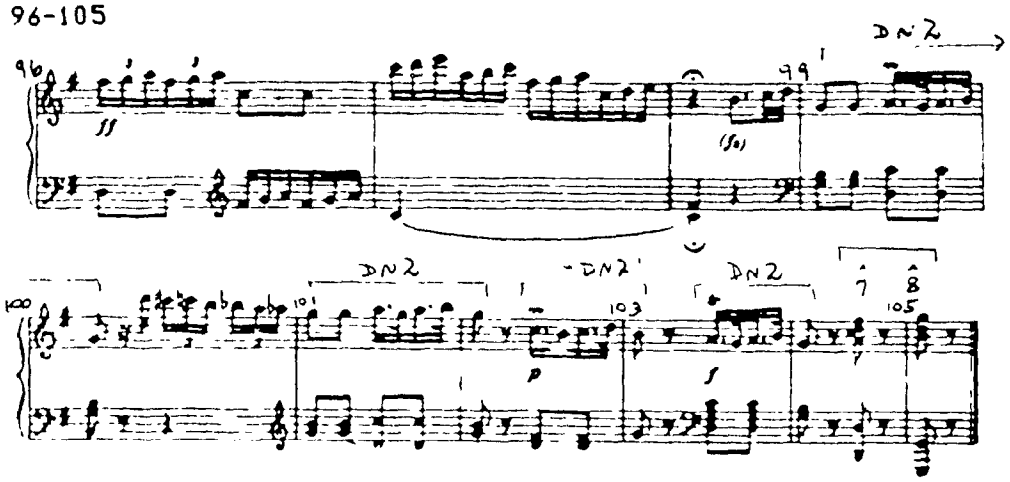


Example 4.22 Haydn,
Piano Sonata in G,
H. XVI:39, I

(a) mm. 1-2

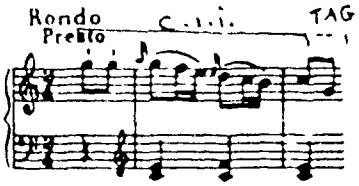


(b) mm. 96-105

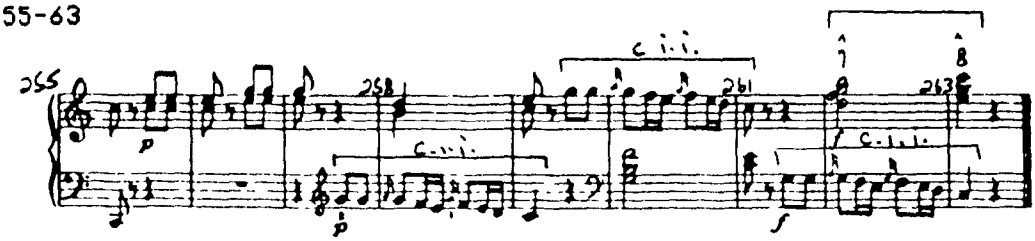


Example 4.23 Haydn,
Piano Sonata in C,
H. XVI:48, II

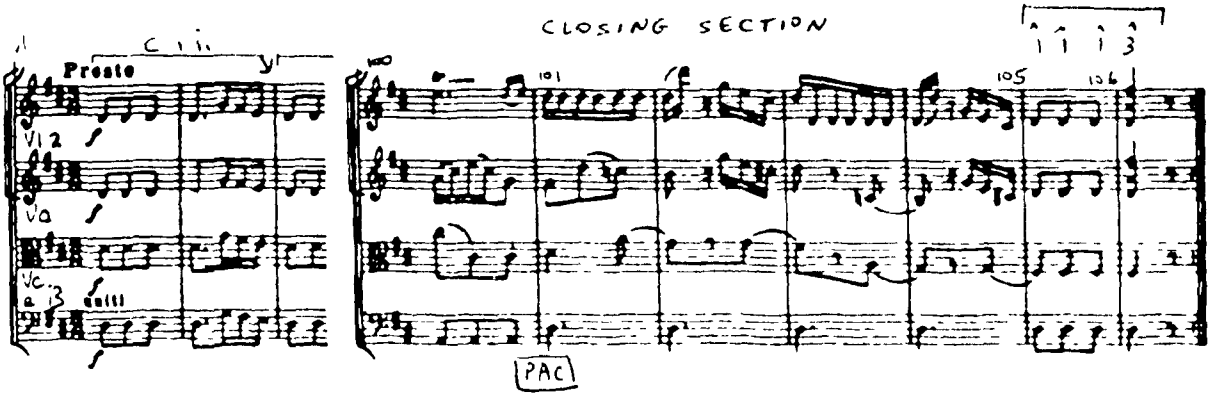
(a) mm. 1-2



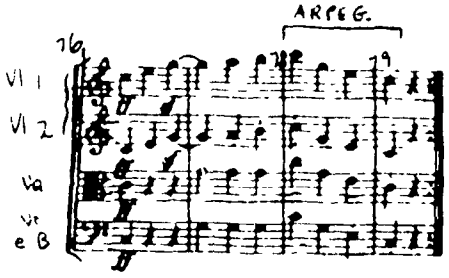
(b) mm. 255-63



Example 4.24 Mozart, Symphony No. 4 in D, K. 19, III
(a) mm. 1-3 (b) mm. 100-06

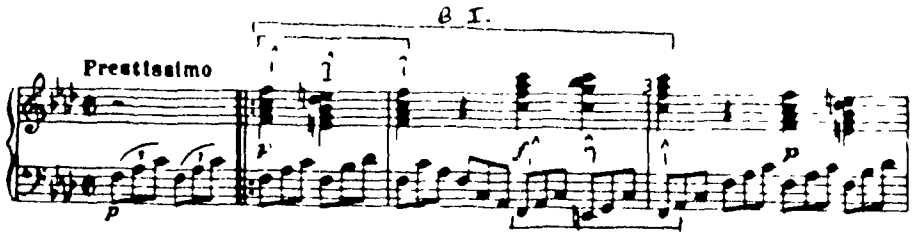


Example 4.25 Beethoven, Symphony No. 1 in C, Op. 21, III, mm. 76-79

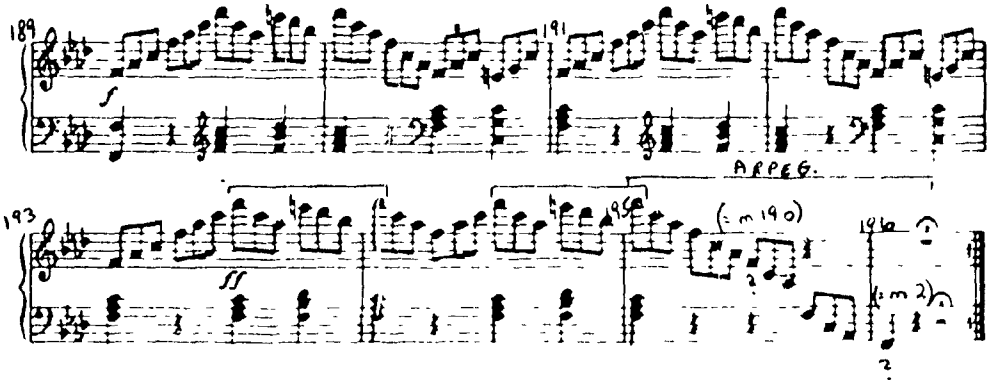


Example 4.26 Beethoven, Piano Sonata in F minor, Op. 2/1, IV

(a) mm. 1-3

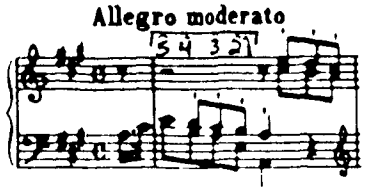


(b) mm. 189-96

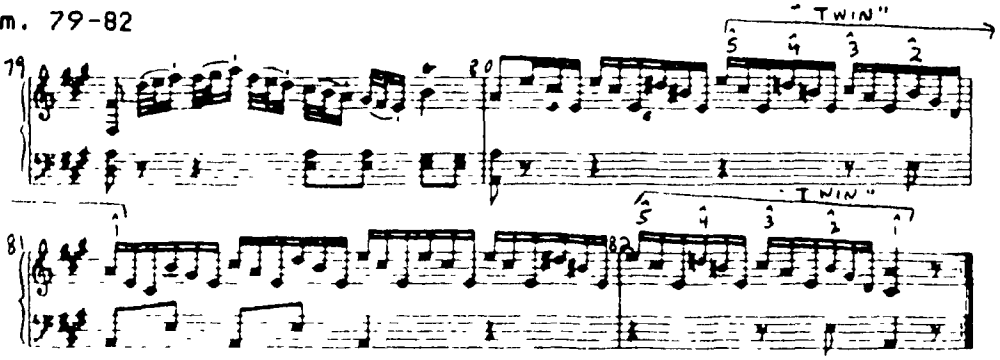


Example 4.27 Haydn,
Piano Sonata in A,
H. XVI:26, I

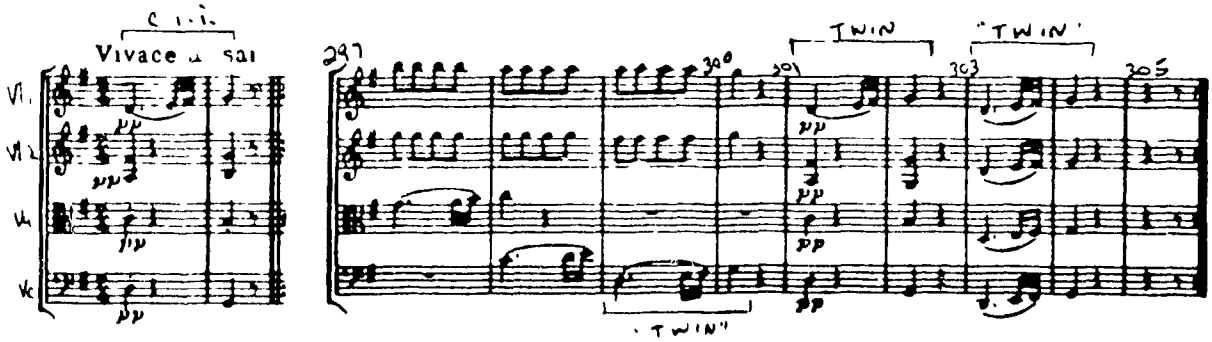
(a) m. 1



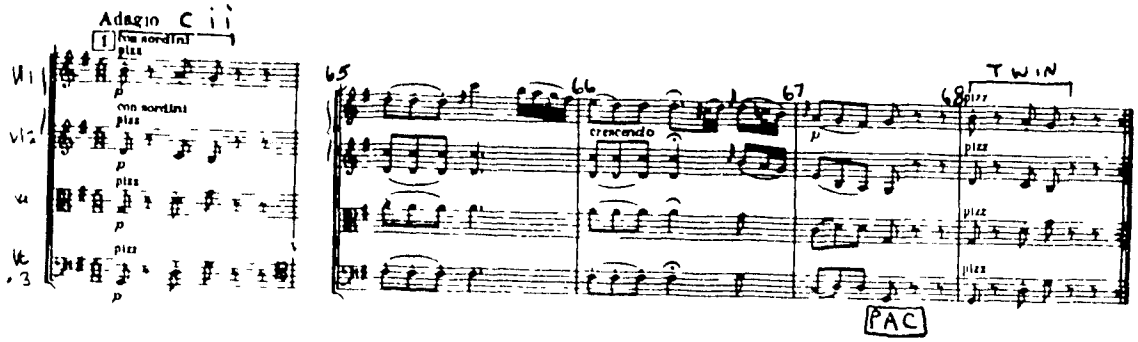
(b) mm. 79-82



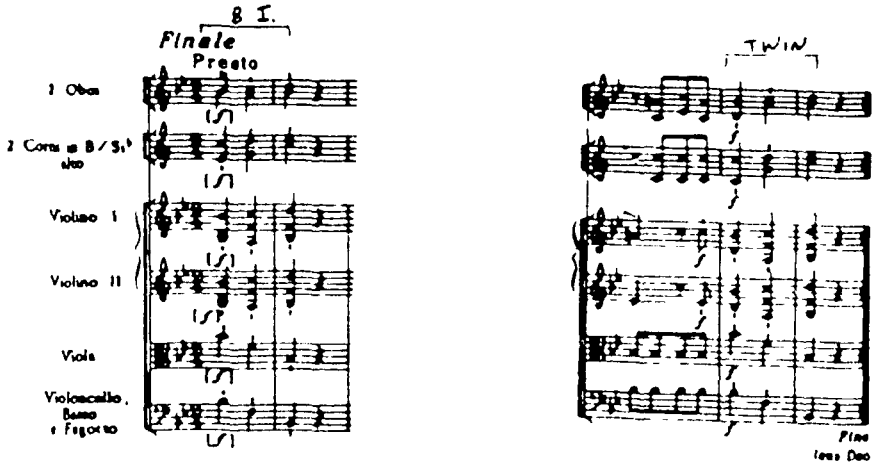
Example 4.28 Haydn, String Quartet in G, Op. 33/5, I
(a) mm. 1-2 (b) mm. 297-305



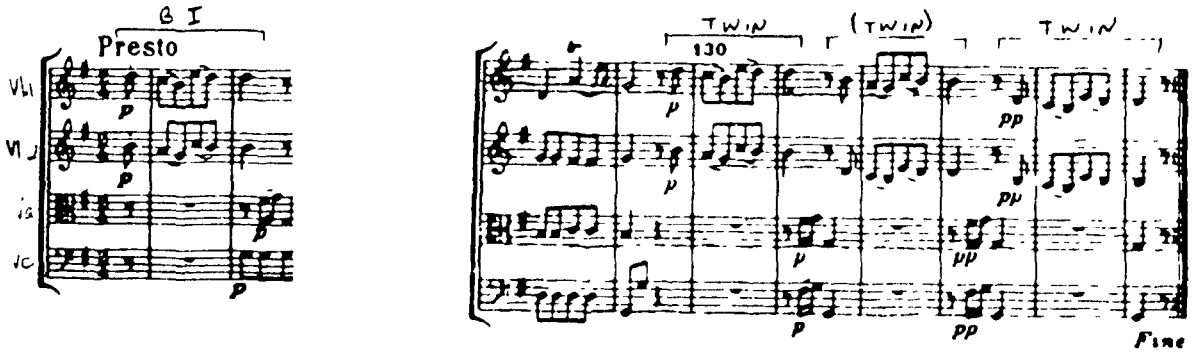
Example 4.29 Haydn, Symphony No. 57 in D, II
(a) m. 1 (b) mm. 65-68



Example 4.30 Haydn, Symphony No. 35 in B-flat, IV
(a) mm. 1-2 (b) mm. 139-41

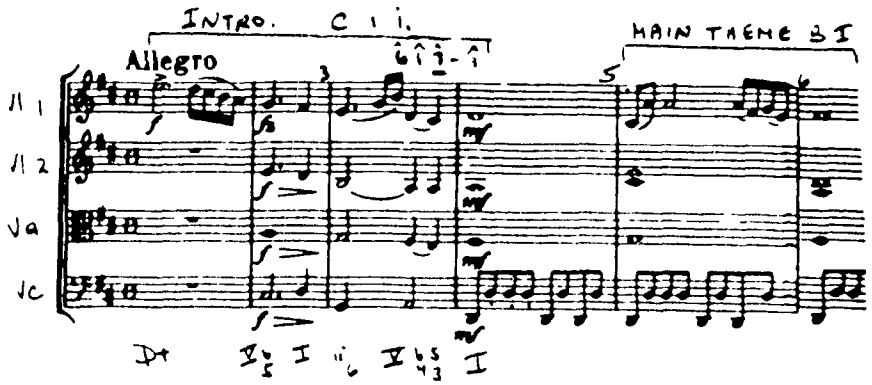


Example 4.31 Haydn, String Quartet in G, Op. 17/5, I
(a) mm. 1-2 (b) mm. 128-135

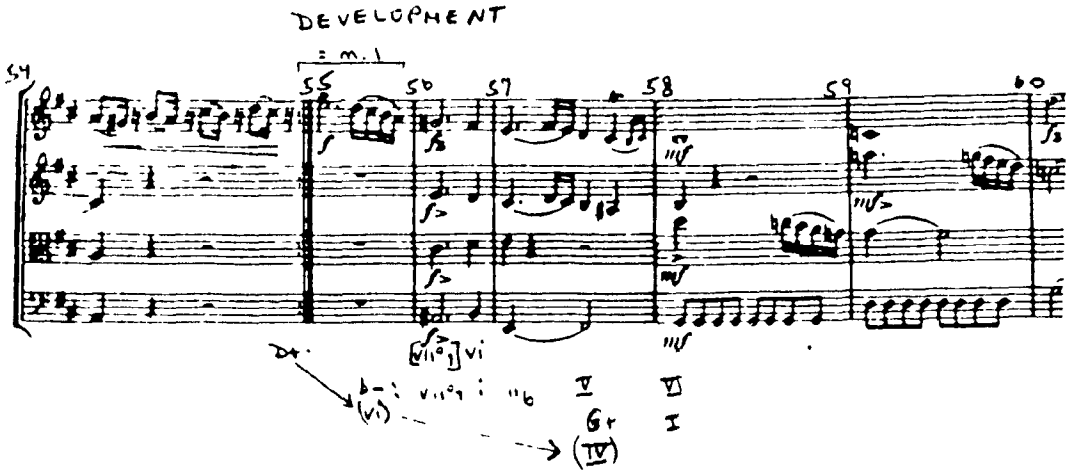


Example 4.32 Haydn, String Quartet in D, Op. 50/6, I

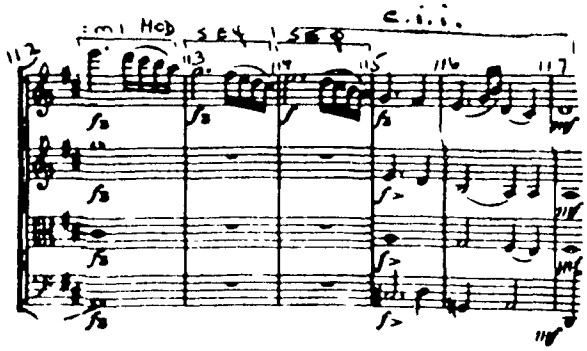
(a) mm. 1-6



(b) mm. 54-60



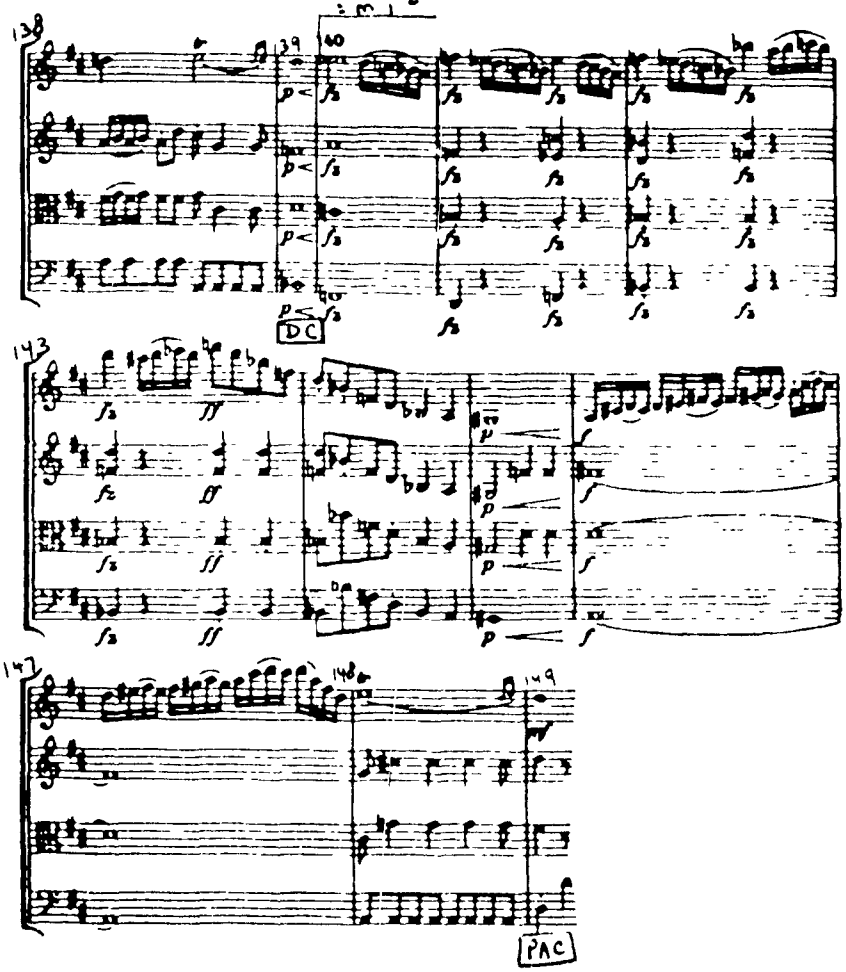
(c) mm. 112-17



Example 4.32 continued, Haydn, String Quartet in D, Op. 50/6, I

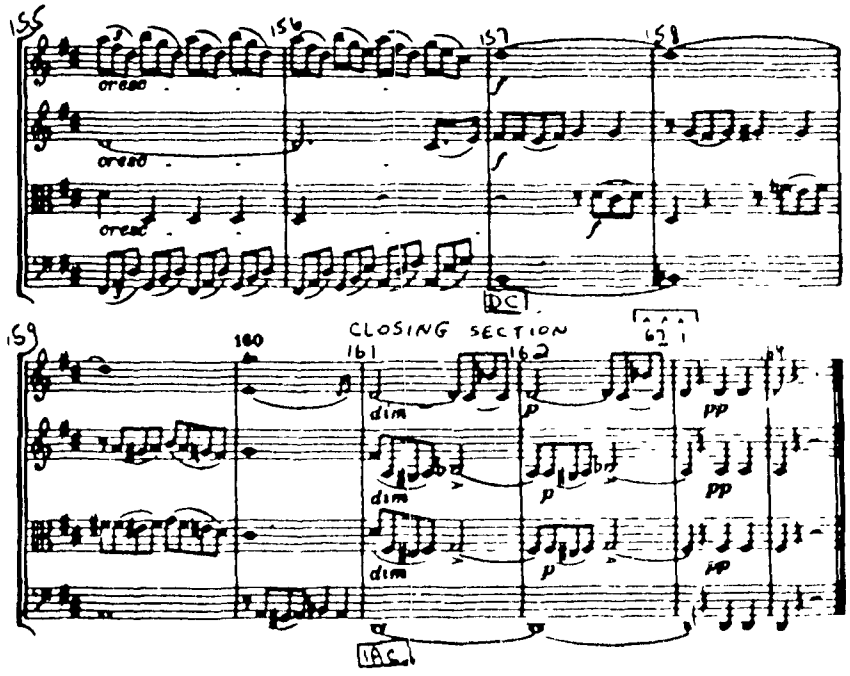
(d) mm. 138-49

FINAL CADENCE



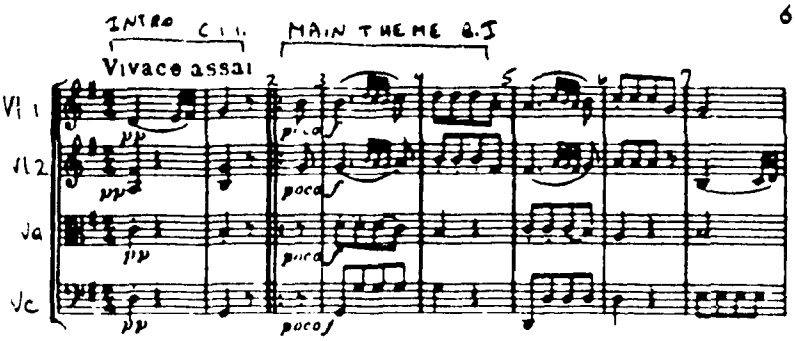
(e) mm. 155-64

CODA CADENCE

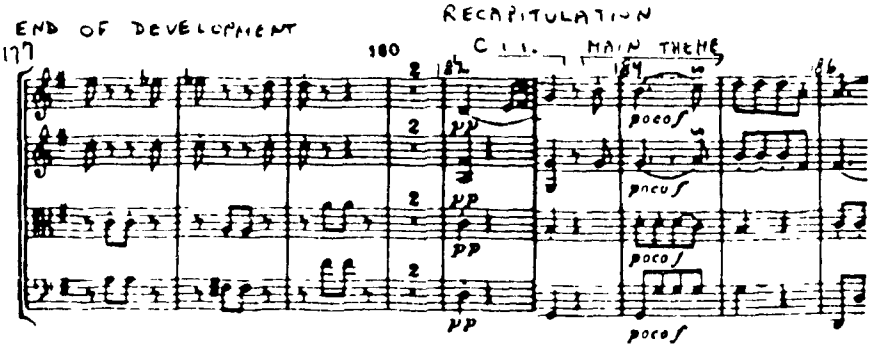


Example 4.33
Haydn,
String Quartet in G,
Op. 33/5, I

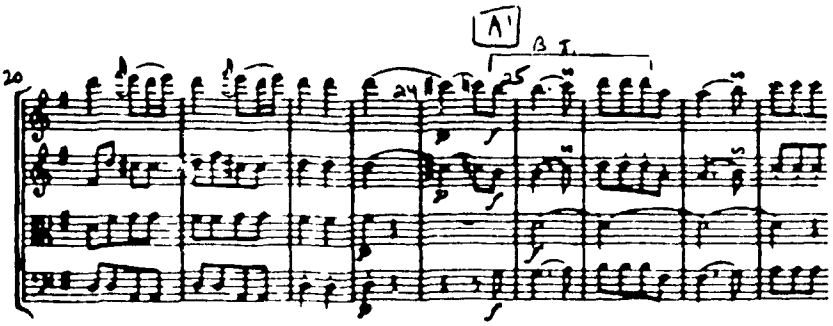
(a) mm. 1-7



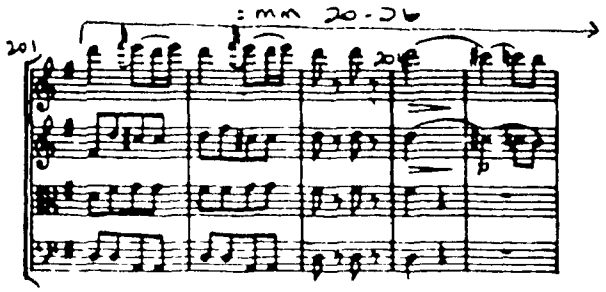
(b) mm. 177-86

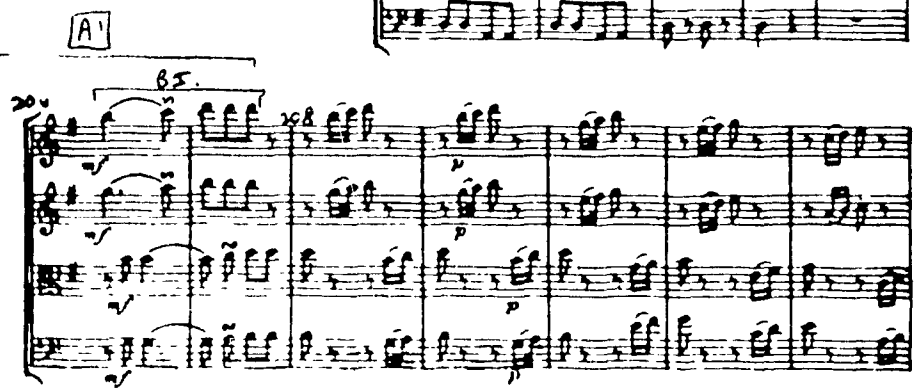


(c) mm. 20-28



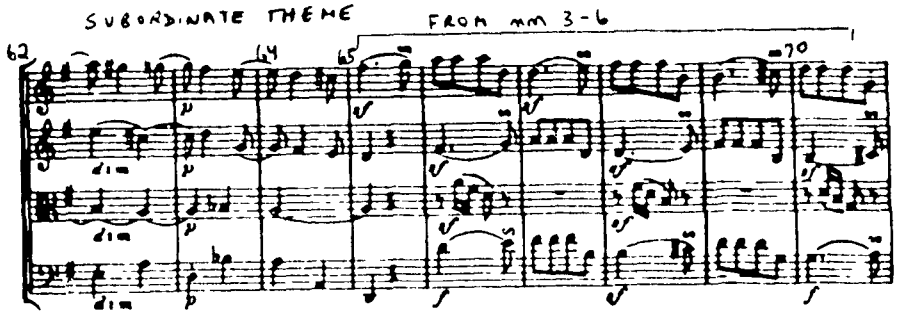
(d) mm. 201-12



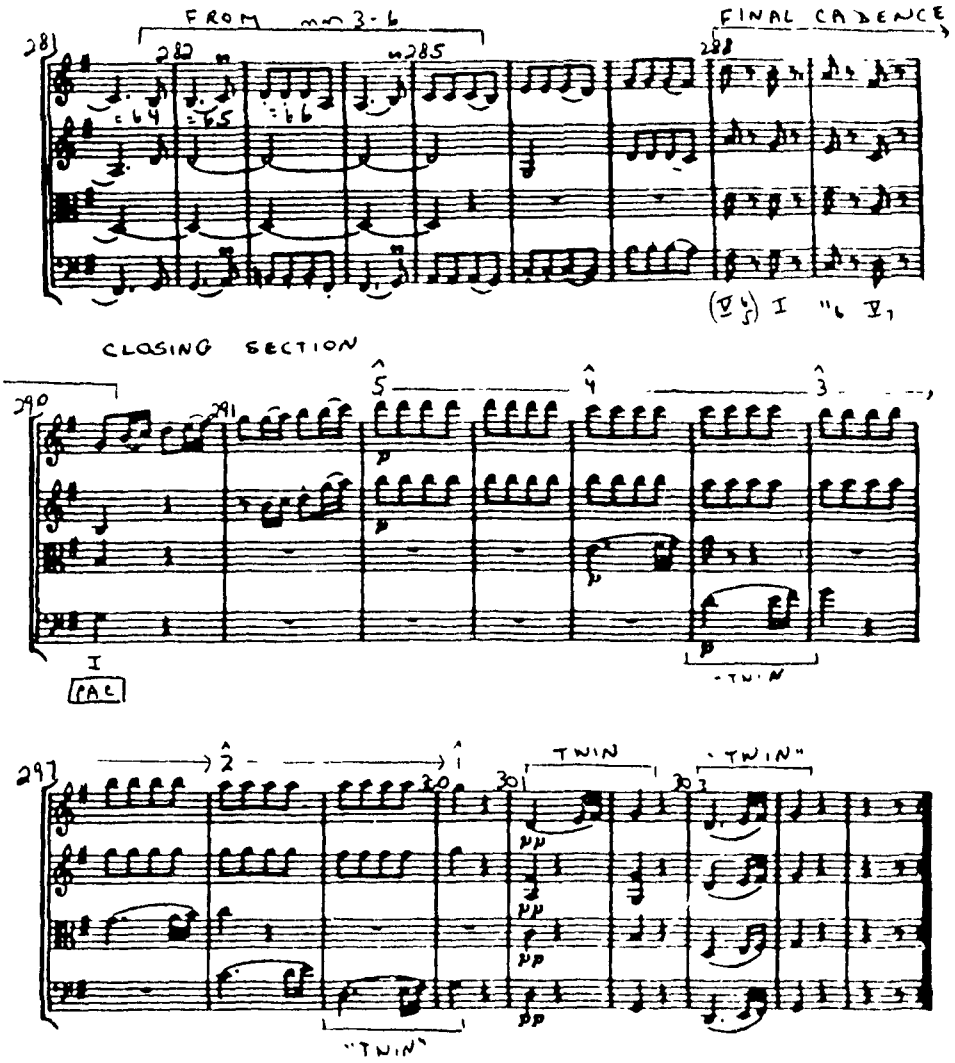


Example 4.33 continued, Haydn, String Quartet in G, Op. 33/5, I

(e) mm. 62-70

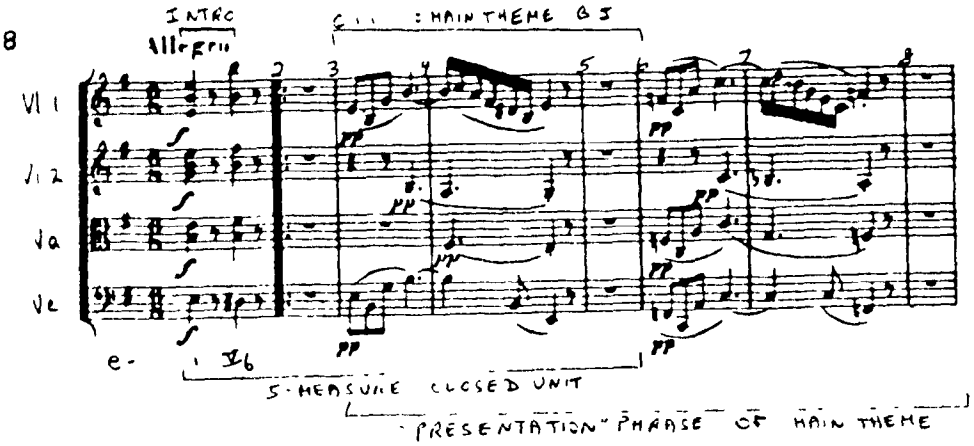


(f) mm. 281-305

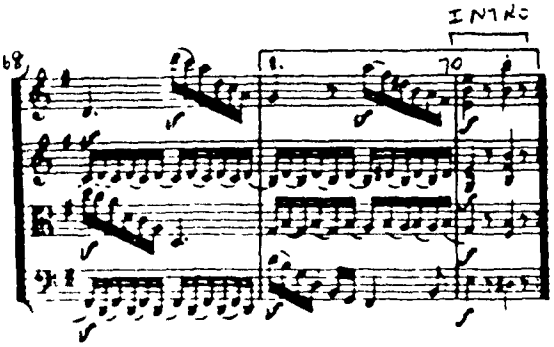


Example 4.34 Beethoven, String Quartet in E minor, Op. 59/2, I

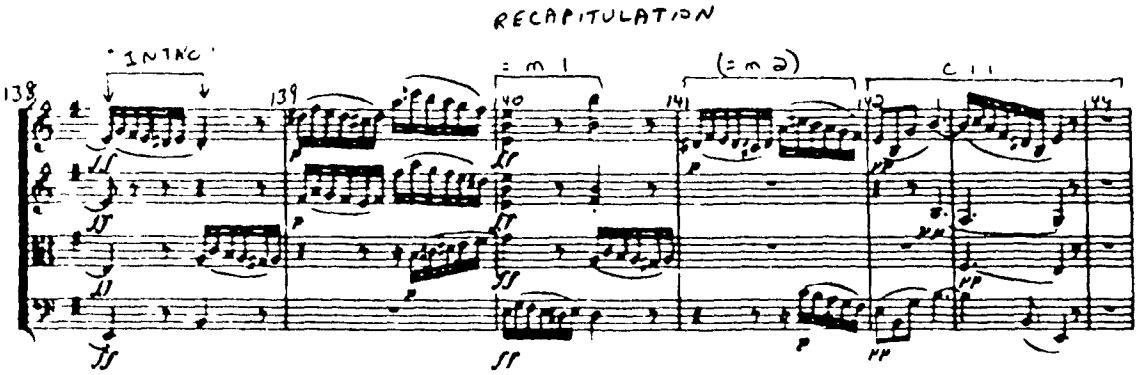
(a) mm. 1-8



(b) mm. 68-70

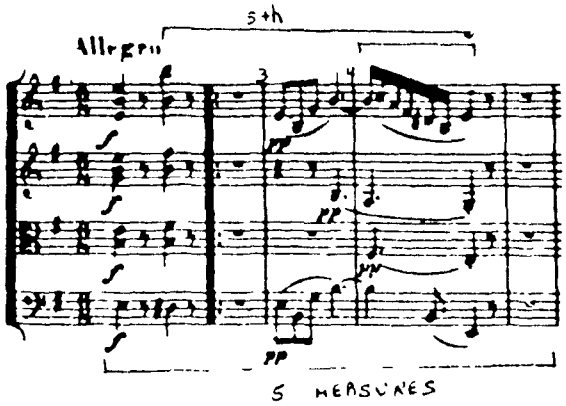


(c) mm. 138-44

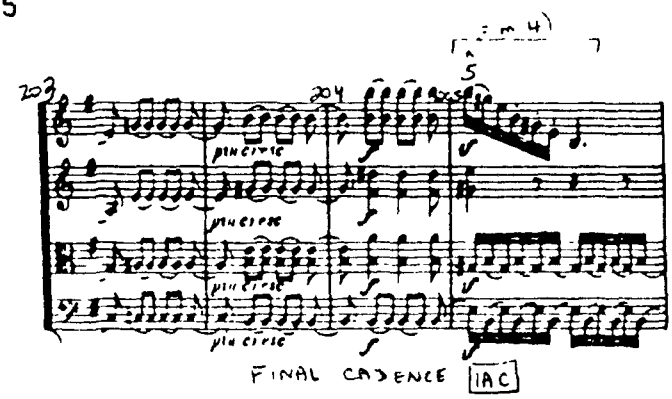


Example 4.34 continued. Beethoven, String Quartet in E minor, Op. 59/2, I

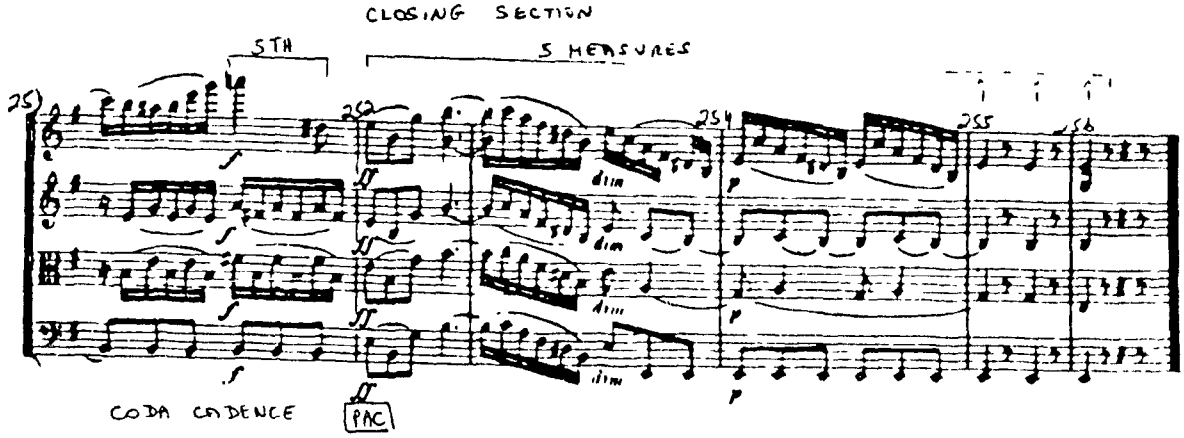
(d) mm. 1-5



(e) mm. 202-05

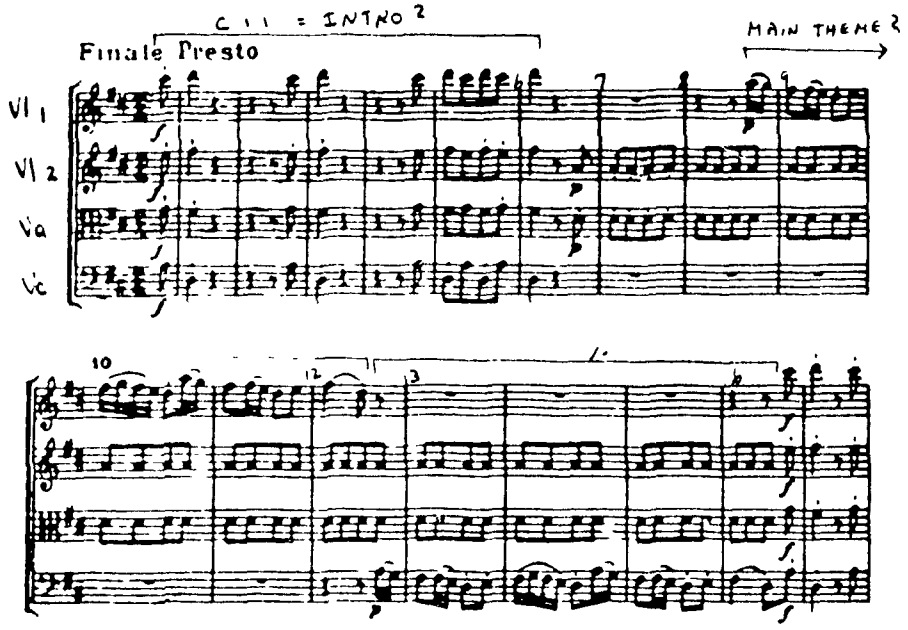


(f) mm. 251-56

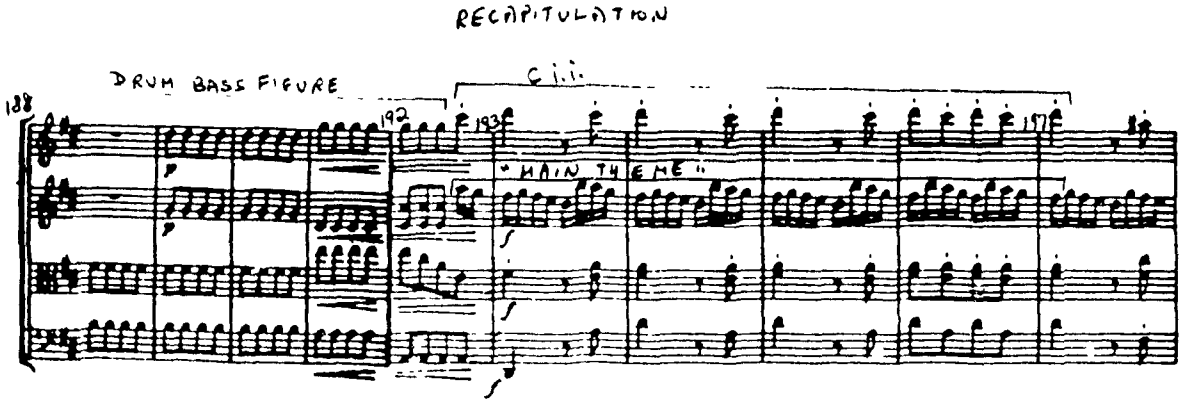


Example 4.35 Haydn, String Quartet in D, Op. 76/5, iv,

(a) mm. 1-17

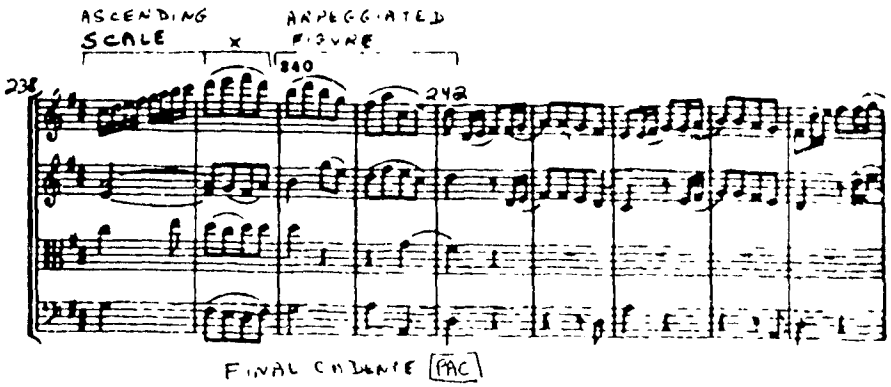


(b) mm. 188-97

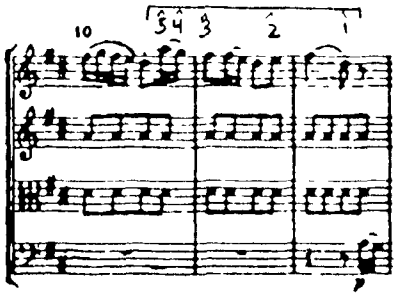


Example 4.35 continued. Haydn, String Quartet in D, Op. 76/5, IV

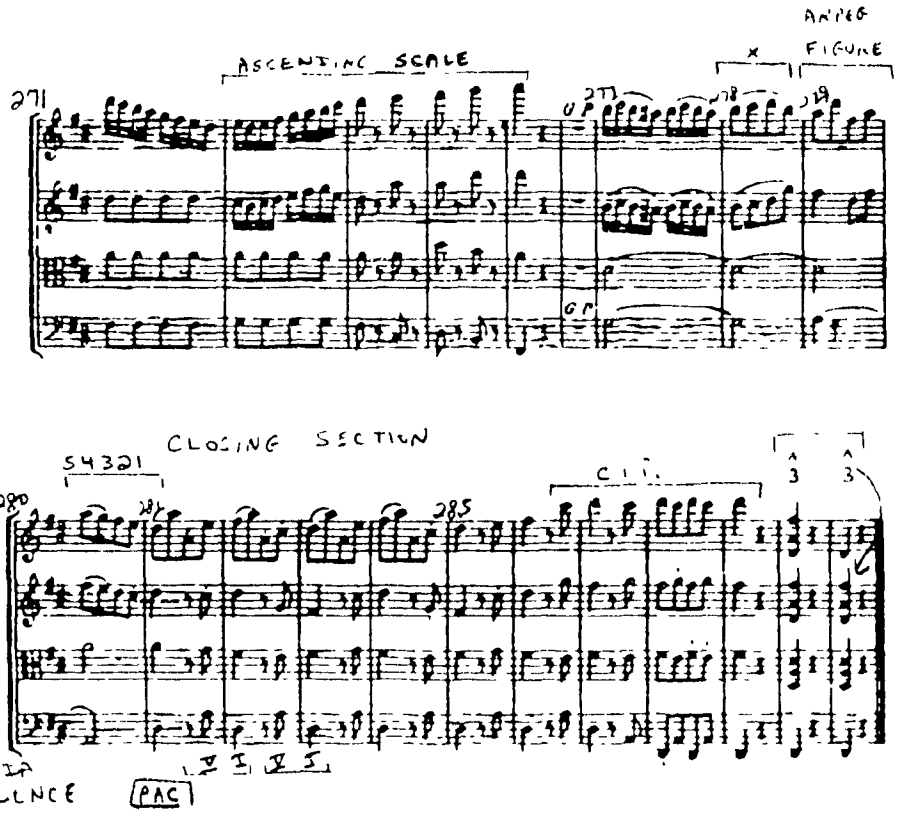
(c) mm. 238-46



(d) mm. 10-12

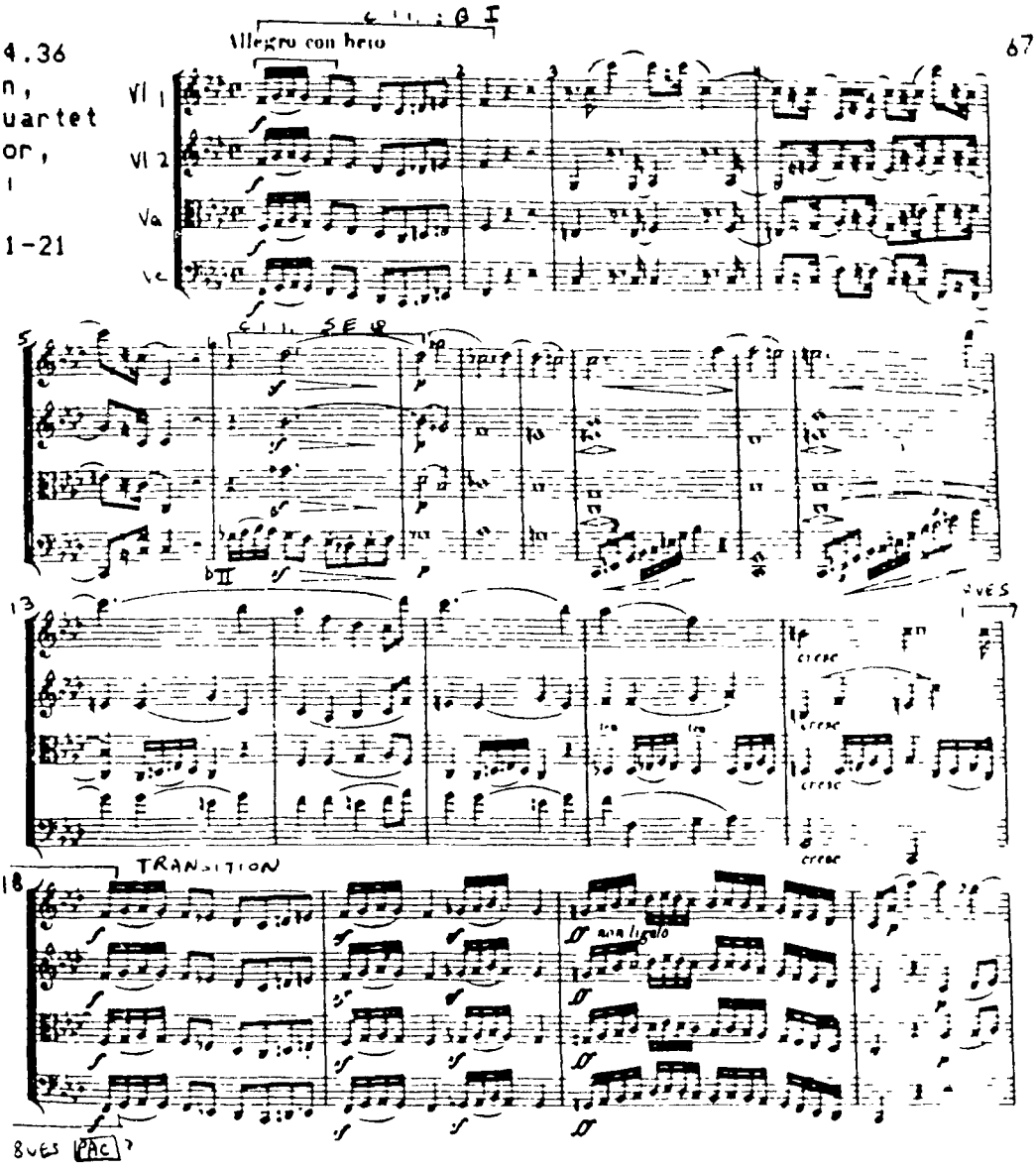


(e) mm. 271-91

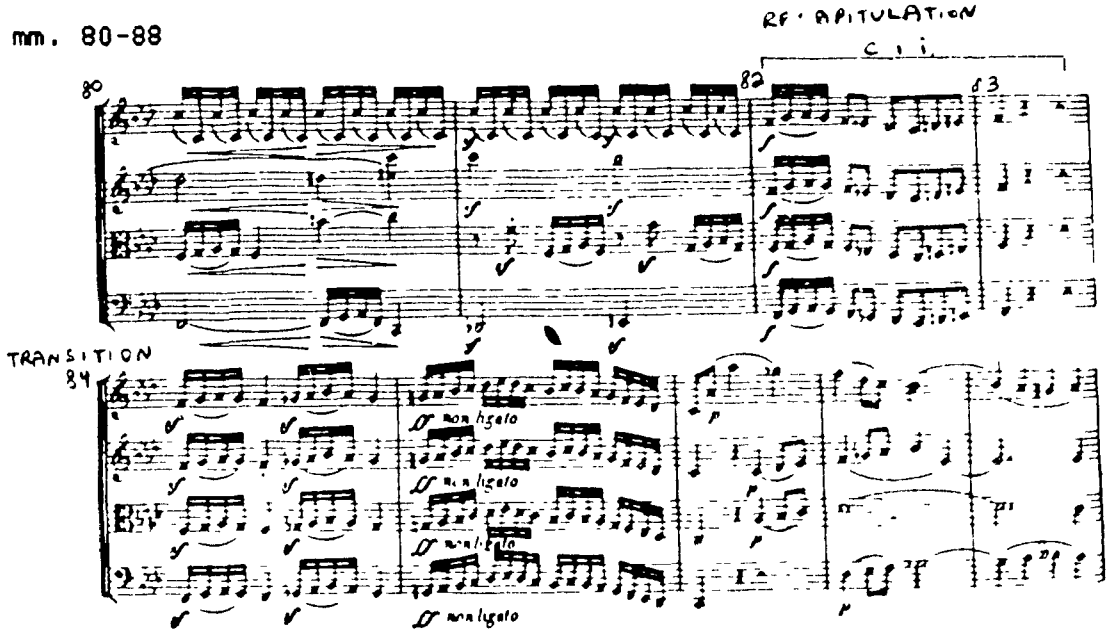


Example 4.36
Beethoven,
String Quartet
in F minor,
Op. 95, 1

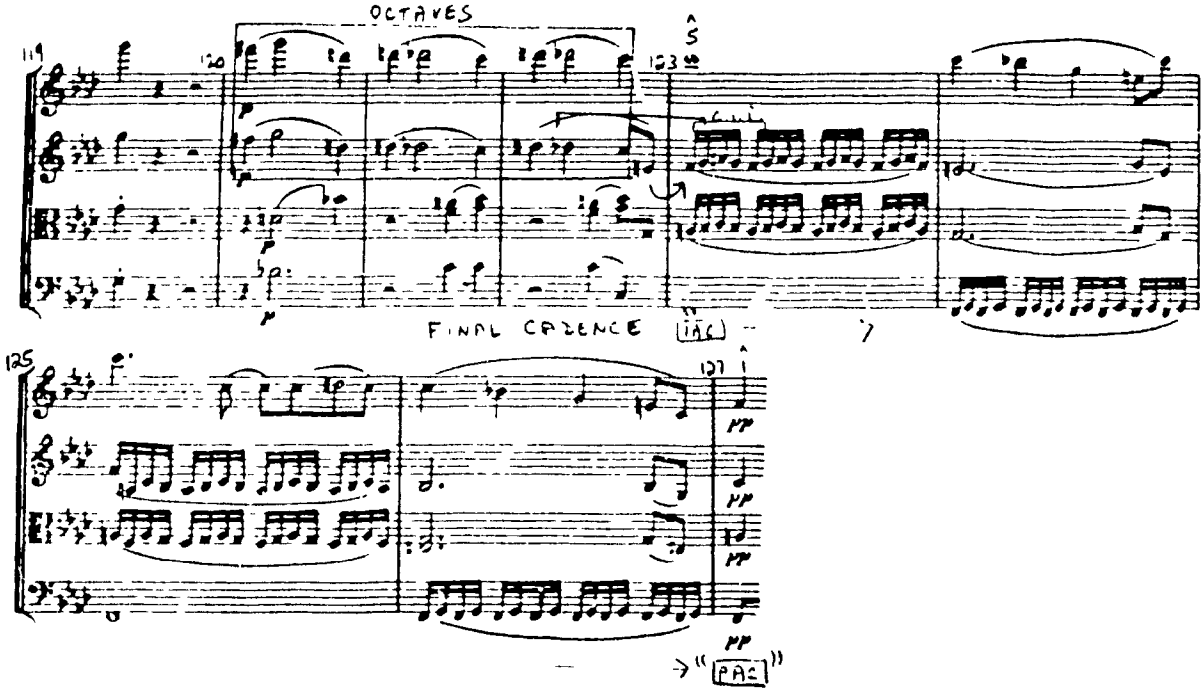
(a) mm. 1-21



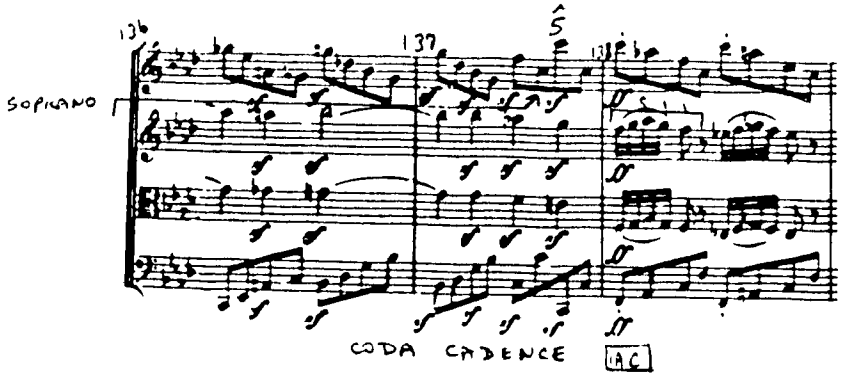
(b) mm. 80-88



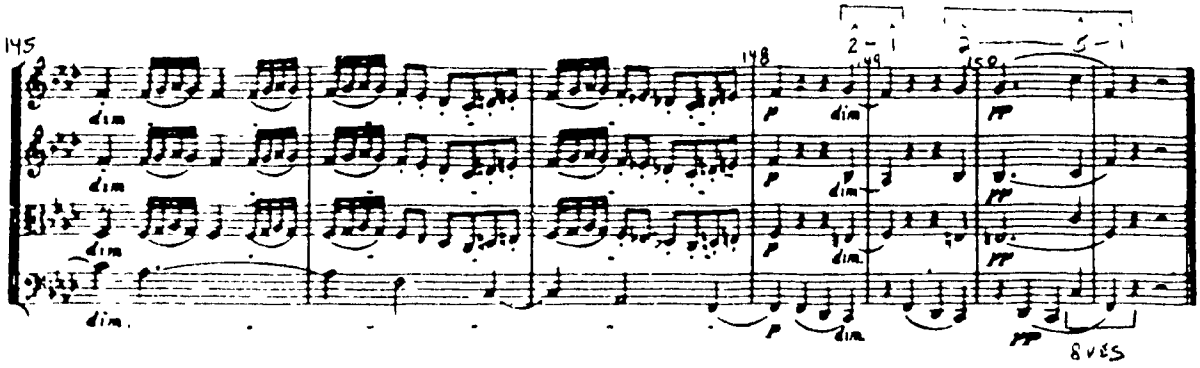
Example 4.36 continued. Beethoven, String Quartet in F minor, Op. 95, I
(c) mm. 119-27



(d) mm. 136-38

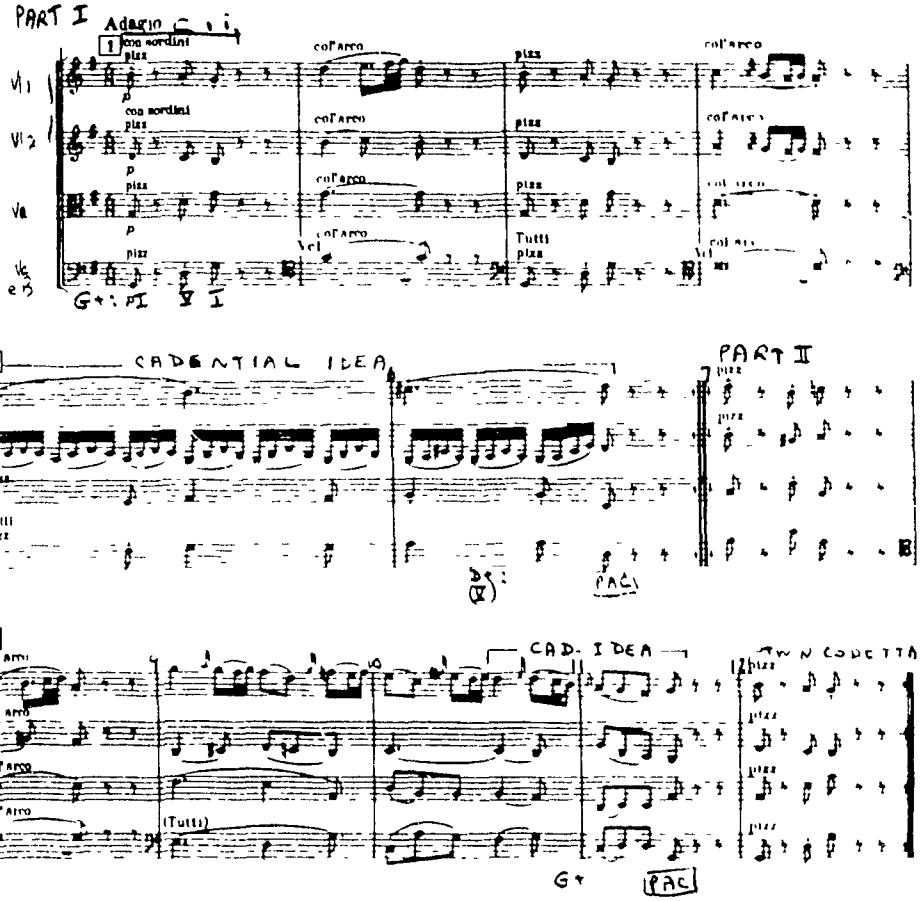


(e) mm. 145-51

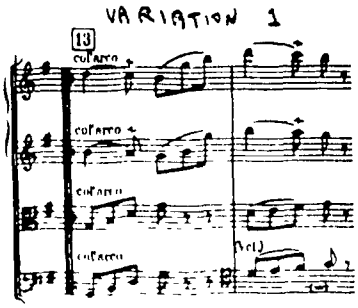


Example 4.37 Haydn, Symphony No. 57 in D, II

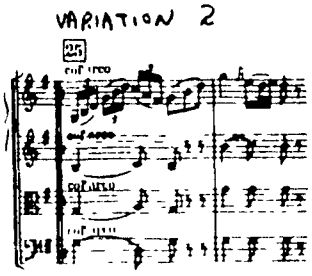
(a) mm. 1-12



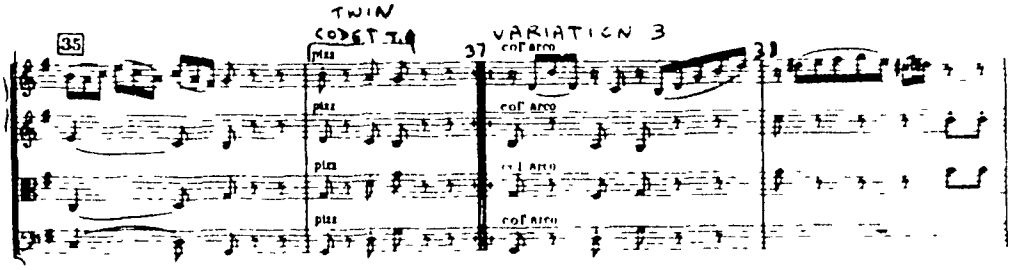
(b) mm. 13-14



(c) mm. 25-26

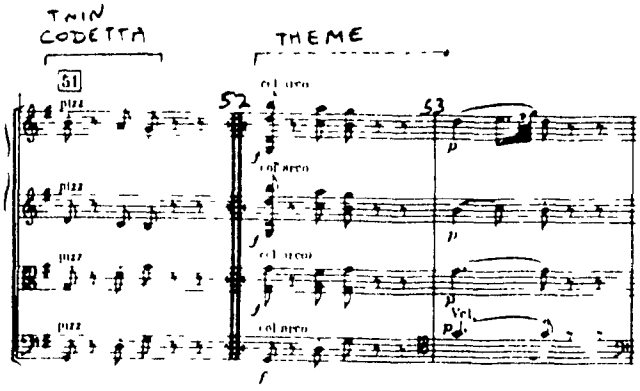


(d) mm. 35-38

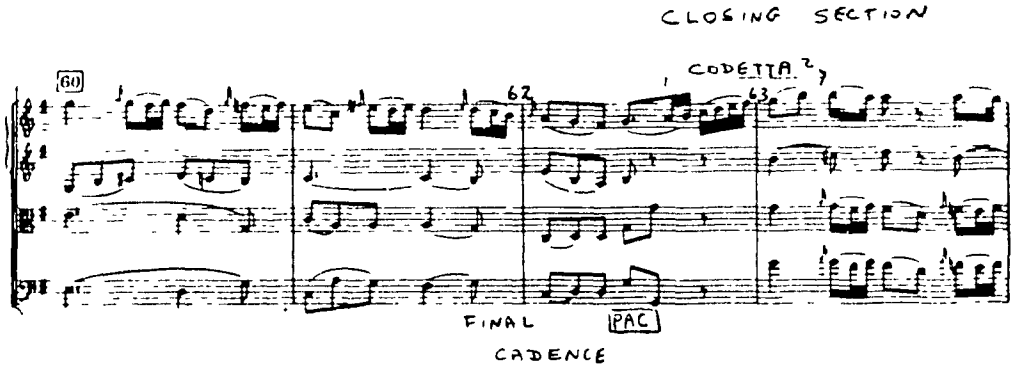


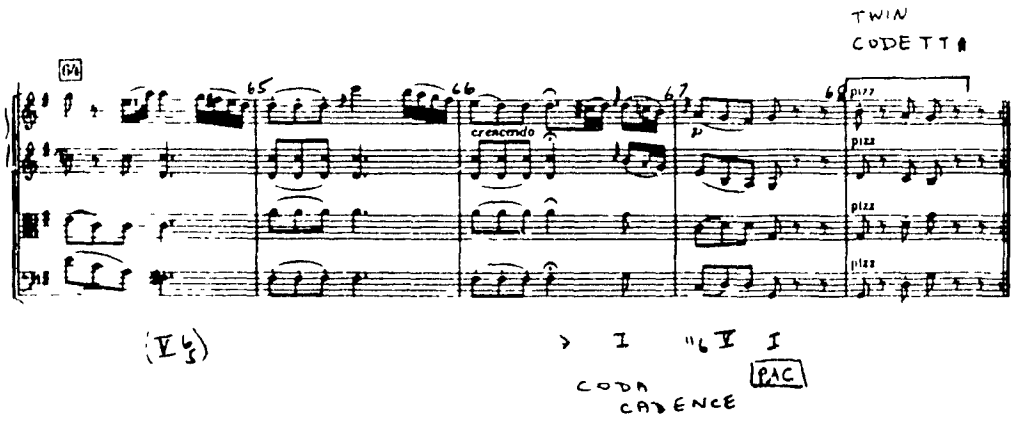
Example 4.37 continued. Haydn, Symphony No. 57 in D, II

(e) mm. 51-53



(f) mm. 60-68





Example 4.38 Beethoven, Bagatelle in A-flat, Op. 33, No. 7

A SECTION 1 — SECTION 2

Phrase 1.1	Phrase 1.2	
1 8	9 20	21 36
I-----V-I	IV-----V-I	I-----V-I

B SECTION 1 — SECTION 2

Phrase 1.1	1.1 varied	Phrase 1.2	1.2 varied	
37 44	45 52	53 64	65 76	77 92

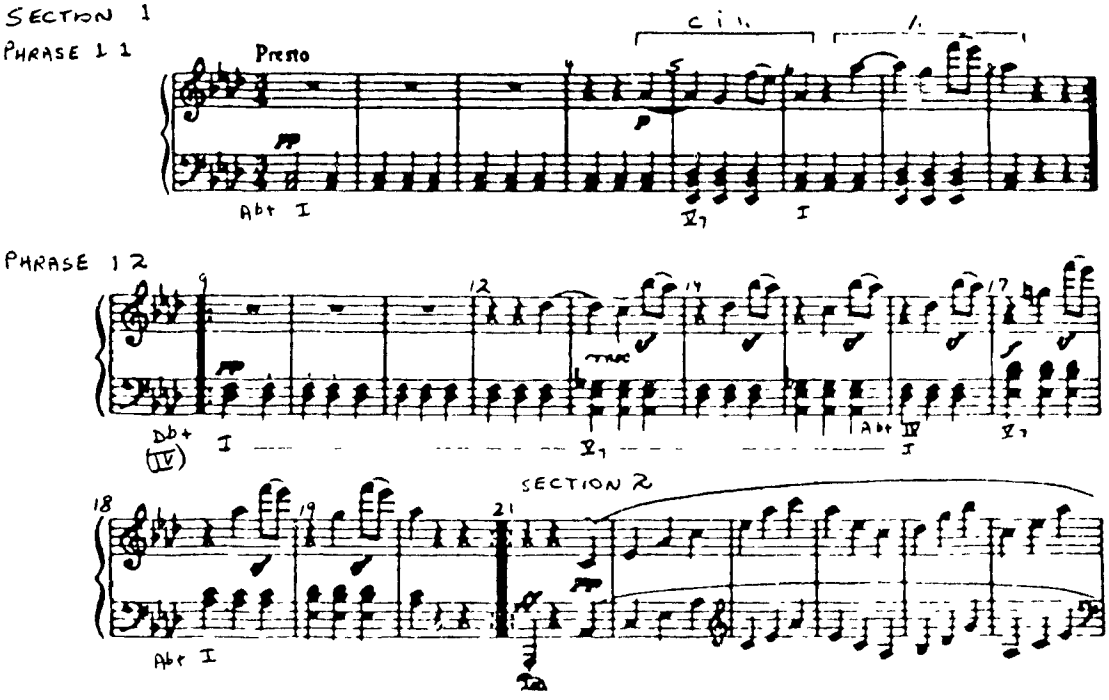
C SECTION 1

Phrase 1.1	1.1 varied	Phrase 1.2	1.2 varied
93 100	101 108	109 120	121 132

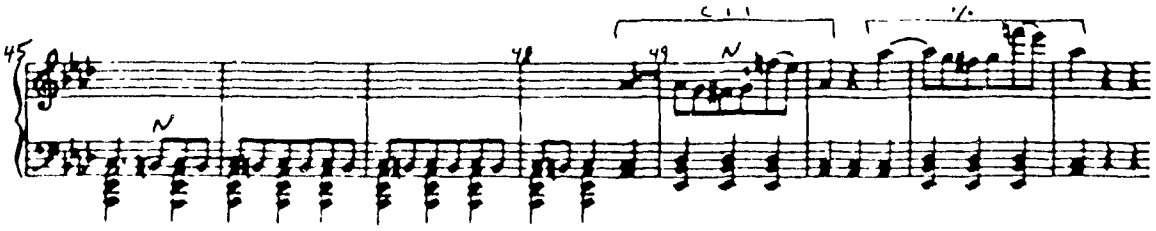
D SECTION 1 — CLOSING SECTION

Phrase 1.1 => Phrase 1.2	1.2 varied	1.2 varied
133 137 140	141 150	150 156
I----------V-I	I-----V-I	I--V---------I

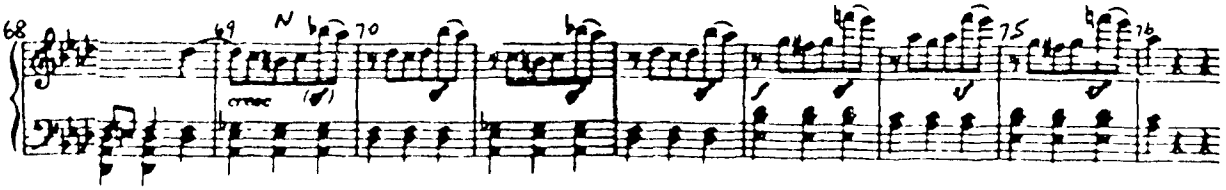
(a) Part A: mm. 1-26



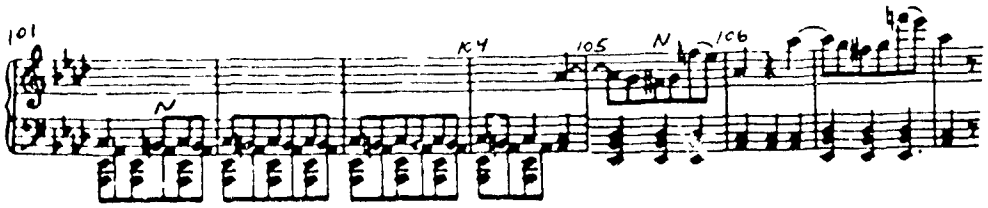
Example 4.38 continued. Beethoven, Bagatelle in a-flat, Op. 33, No. 7
(b) Part B: Section 1 Phrase 1.1 varied, mm. 45-52



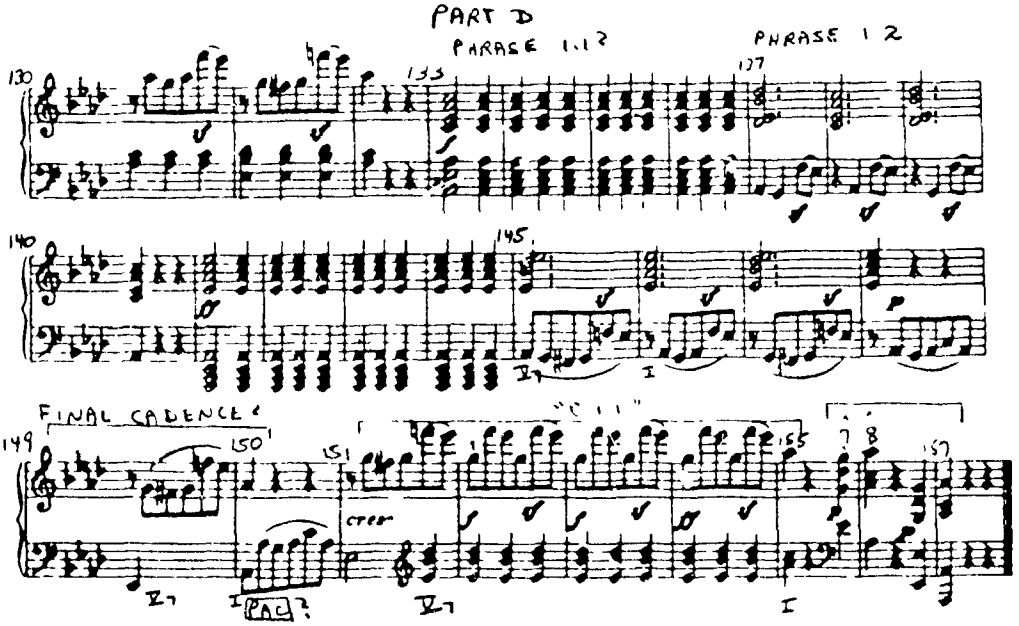
(c) Part B: Section 1 Phrase 1.2 varied, mm. 68-76



(d) Part C: Section 1 Phrase 1.1 varied, mm. 101-08



(e) End of Part C to the end of the piece: mm. 130-57



(f) mm. 4-8