Formal Structures in the Solo Keyboard Music of J.C. Bach and their Influence on Mozart

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ABSTRACT

During his lifetime, Johann Christian Bach (1739-1782) was considered the most famous musician of the Bach family throughout England and Europe. Although his music was highly regarded in the eighteenth century, little scholarly work has been undertaken on the historical and analytical aspects of his compositions. His keyboard compositions are valuable in tracing his musical development since this was the only genre that he wrote throughout his career in Berlin, Milan and London. Previous analyses of Bach's keyboard music have mainly focused on stylistic development, thus neglecting the importance of phrase and larger formal functions.

I adopt William Caplin's theory of formal functions to analyze Bach's solo keyboard sonatas: the Solo in A minor from Berlin (1750-55), three sonatas from the Milan collection (1755), six sonatas from London Op. 5 (1767), and six sonatas from London Op. 17 (1773-4). I demonstrate that Bach gradually refines phrase and thematic functions of the exposition of first-movement sonatas. I examine Bach's use of core technique and subordinate theme-like units in development sections and discuss the reasoning behind different recapitulation strategies. I also compare the sonata forms of the first movement to the second and third movements, and discuss other types of large-scale formal design (theme and variations, minuet and trio, and rondo).

Many sources indicate that Mozart was greatly influenced by Bach, but they remain vague in describing the type and extent of this influence. Building on previous melodic, motivic and stylistic studies, I draw important phrase-structural connections between the music of Bach and Mozart. I discuss the construction of Mozart's early piano pieces (KV 6 through K 284) and demonstrate that he adopts particular phrase-structural and thematic designs similar to pieces from Bach's Op. 5 and 17 collections. Through form functional analysis, I illustrate Bach's development of phrase and thematic structures and provide important phrase-structural evidence of his influence on the music of Mozart.

RÉSUMÉ

De son vivant, Jean-Chrétien Bach (1739-1782) était considéré le plus célèbre musicien de la famille Bach autant en Angleterre qu'en Europe. Malgré le fait que sa musique ait été fort prisée au 18^{e} siècle, bien peu de littérature est consacrée aux aspects historiques et analytiques de ses compositions. Ses œuvres pour clavier sont précieuses pour retracer son développement musical puisqu'elles représentent le seul type de répertoire auquel il s'est consacré durant sa carrière entière, de Berlin à Milan et Londres. Les études existantes des œuvres pour clavier de J.C. Bach sont concentrées principalement sur son développement stylistique, passant outre l'importance des phrases musicales et des fonctions formelles de niveau supérieur.

J'adopte la théorie des fonctions formelles de William Caplin pour analyser les sonates pour clavier solo de Bach: le solo en la mineur de Berlin (1750-5), les trois sonates de la collection de Milan (1755), les six sonates de Londres op.5 (1767) et six autres de l'opus 17 (1773-4). Je démontre que Bach raffine graduellement ses phrases musicales et ses fonctions thématiques dans l'exposition de ses premiers mouvements de sonates. Dans le restant de ces mouvements, j'examine l'usage que Bach fait de la technique du noyau et des unités ressemblant aux thèmes subordonnés dans le développement et discute plusieurs stratégies de récapitulation. Je compare également les formes sonate des premiers mouvements avec celles des mouvements subséquents et aborde d'autres formes musicales de niveau supérieur (tels le thème-variations, le menuet-trio et le rondo).

Plusieurs sources mentionnent l'influence dont Mozart a bénéficié de J.C. Bach, mais elles restent imprécises sur en quoi et combien cette influence a agi. J'établis donc plusieurs connections structurelles de phrases musicales entre les musiques de Bach et Mozart en me basant sur les études mélodiques, motiviques et stylistiques précédentes. Je discute la construction des œuvres de jeunesse de Mozart (KV6 à KV284) et démontre qu'il adopte des structures de phrases musicales particulières et des concepts thématiques ressemblant aux sonates de l'opus 5 et 17 de Bach. Grâce à l'analyse des fonctions formelles, j'illustre le développement des phrases musicales et des structures thématiques et fournis d'importantes preuves de structures de phrases musicales de son influence sur la musique de Mozart.

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I am indebted to my supervisor, Professor William Caplin, for his invaluable help with this study. He has been supportive of this project since its onset in the fall of 2005. I am very grateful for the funding from the Canadian Social Sciences and Humanities Research Council (SSHRC) in 2006-2007.

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INTRODUCTION

Literature Review

Johann Christian Bach (1732-1782), the youngest son of Johann Sebastian Bach, began his musical education in his father's household in Leipzig.[1] After his father's death in 1750, Johann Christian inherited three harpsichords and moved to Berlin to live with his half-brother Carl Philip Emanuel. During the four years with his brother, Bach performed on the harpsichord and composed the earliest works that survive today: five harpsichord concertos and several smaller keyboard pieces. Bach continued his musical education in Italy (1754-62) with the patronage of Count Agostino Litta of Milan. He studied with counterpoint master Padre Martini of Bologna. In 1760, he also received an appointment as second organist at the Milan Cathedral. In Italy, Bach composed church music, keyboard music and several operas. Bach was renowned for his prowess on the harpsichord in Berlin, and his status as a practicing musician in Milan relied on his skills on the keyboard.[2]

Bach's increasing reputation as a composer and performer attracted the attention of the King's Opera Theatre in London. In 1762, Bach traveled to London where he was commissioned to write two operas. Although only planning to visit for one year, he stayed until his death twenty years later.[3] In addition to becoming the music master of Queen Charlotte, he significantly contributed to the musical life of the city. With Carl Friederich

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[1] For detailed biographical account of Bach's life, see Heinz Gärtner, *John Christian Bach: Mozart's Friend and Mentor*, trans. Reinhard G. Pauly, (Portland: Amadeus Press, 1994); Stephen Roe, *The Keyboard Music of J.C. Bach: Source Problems and Stylistic Development in the Solo and Ensemble Works* (New York: Garland Publishing Inc, 1989); Charles Sanford Terry, *Johann Christian Bach* (Westport: Greenwood Press, 1980).

[2] Roe, 2.

[3] Roe, 195.

Abel, he launched a series of subscription concerts, which were the highlights of the London concert scene for almost two decades.

Based on evidence from concert advertisements, Bach was the most popular keyboard performer in London between 1760 and 1770.[4] He was also involved with establishing the piano forte as the leading keyboard instrument in the city and he was one of the first to perform a solo on this instrument in public.[5] Bach took advantage of the thriving music trade, publishing many of his works in London and on the continent. The published Op. 5 sonatas (1766) contain the earliest designation for the piano in London: "for harpsichord or piano forte."[6]

Leopold Mozart and his family arrived in London in 1764 during their grand tour. Due to arrangements made by Bach's office, Wolfgang and Nannerl Mozart performed for the royal family after arriving in London.[7] Wolfgang became very familiar with Bach's music; he was asked to play pieces by Bach (among other composers) for the King,[8] he attended the Bach-Abel concerts, and they improvised together at the piano.[9] Mozart continued to hold a high regard and admiration for Bach's compositions. After seeing each other again in Paris in 1778, Mozart wrote to his father, "You can easily imagine his delight and mine at meeting again ... I love him (as you know) and respect him with all my heart."[10]

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[4] Roe, 2.
[5] See Roe, 195, 201; Bernard Harrison, *Haydn's Keyboard Music: Studies in Performance Practice* (Oxford: Clarendon Press, 1997), 198
[6] Roe, 202.
[7] Robert W. Gutman, *Mozart: A Cultural Biography,* (New York: Harcourt Brace & Company, 1999), 185.
[8] Stanley Sadie, *Mozart: The Early Years* (New York: W.W. Norton and Company, 2006), 60.
[9] Cliff Eisen and Simon P. Keefe, eds., *The Cambridge Mozart Encyclopedia* (Cambridge: Cambridge University Press, 2006), 37.
[10] Eisen and Keefe, 37.

By the end of the 1760s Bach had achieved recognition as an international figure. He was hired as a composer, performer and teacher. He continued to compose for the Bach-Abel concerts and built a new concert hall, the Hanover Square Rooms, in 1774. Although he was free from the restrictions of patronage in Italy, Bach was forced to cater to the tastes of the London audiences and popularize his music. In comparison to his brother, Emanuel, he was quoted as saying, "He lives to compose; I compose to live."[11] Bach's finances and health declined in the late 1770s and he died on New Year's Day in 1782.

After his death, several eighteenth-century biographers wrote unsympathetic accounts of Bach's life and his musical compositions. The obituaries of Forkel and Cramer described him "as a light-hearted hedonist who rejected the artistic conscience and rectitude of his German forbears."[12] Within the musicological revival of J.S. Bach's music, Johann Christian was unfairly criticized as a baroque composer in comparison to his father and older brothers. He was also judged as a high-classical composer in comparison to Mozart. These prejudices lasted throughout the nineteenth and twentieth centuries. Even Charles Rosen perpetuates the stereotype through comments such as: "the thematic unity that we find in Mozart can be found in a *lesser* composer like Johann Christian Bach,"[13] and "Johann Christian's music was formal, sensitive, charming,

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[11] Philip G. Downs, *Classical Music: The Era of Haydn, Mozart, and Beethoven* (New York: W.W. Norton & Company, 1992), 144.
[12] Roe, 4-5.
[13] Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven* (New York: W.W. Norton & Company, 1997), 37 (emphasis mine).

undramatic, and a little *empty*."[14] Only more recently has Bach's music been explored in its own right and his importance as an early classical composer been uncovered.[15]

At the turn of the nineteenth century, several attempts to catalogue and analyze Bach's works resulted from a revival of interest in his biography.[16] Stephen Roe's dissertation provides a much needed comprehensive and critical study of Bach's keyboard music.[17] He presents a survey of Bach's keyboard works, creates a thematic catalogue, addresses problematic sources, and discusses his stylistic development. Roe suggests that Bach's earliest manuscripts from Berlin (1750-1755) display the strong influence of his father and brother (C.P.E. Bach) in his use of chromaticism and baroque contrapuntal writing. After moving to Milan (1775-1762), his music changes stylistically due to his exposure to Italian musicians. Bach's music further develops in London (1762-1782), as revealed in its distinctively galant manner.

Although he presents significant evidence of Bach's distinctive stylistic development over the course of his compositional career, Roe fails to examine the importance of formal structure, beyond labeling of large-scale forms. Roe focuses on the evolution of texture, melody and style and simplifies types of sonata form into tripartite or binary, simple or large-scale. I believe these labels misrepresent the dynamic processes of Bach's sonata-form movements. Due to the scope of his study, Roe's analyses suffer

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[14] Rosen, 44 (emphasis mine).
[15] Discussion of J.C. Bach's keyboard music includes the following articles and books: Maria Bieler, *Binärer Satz-Sonate-Konzert: Johann Christian Bachs Klaviersonaten op. V im Spiegel barocker Formprinzipien und ihrer Bearbeitung durch Mozart* (Kassel: Bärenreiter, 2002); Elwood Derr, "Composition with Modules: Intersections of Musical Parlance in Works of Mozart and J.C. Bach" *Mozart-Jarbuch* (1997): 249-291; Daniel E. Freeman, "Johann Christian Bach and the Early Classical Italian Masters" In *Eighteenth-Century Keyboard Music,* ed. Robert L. Marshall (New York: Schirmer, 1994): 230-269; Roe, 1989; Rosen, 1997; and Susanne Staral "Aufführungspraktische Aspekte im Klavierwerk von Johann Christian Bach, Dargestellt an den Sonaten Op. V," *Die Musikforschung* 9 (1986): 245-253.
[16] For a detailed description of the Bach studies between 1901 until 1989, see Roe, 4-10.
[17] Roe (1989).

from oversimplification, which often does not hold up to closer scrutiny. For example, Roe states that the Op. 5 sonatas expand the dimensions of earlier movements by widening the scale and scope of ideas.[18] As I will explain in Chapter 1, the Op. 5 sonatas are actually less discursive and more compact than earlier sonatas. Another example involves the Solo in A minor where Roe states that the first movement has an abbreviated recapitulation, while the second and third movements feature thematic symmetry between the two halves of each movement.[19] After closer analysis, I suggest in Chapter 2 that the first movement actually has an altered, full recapitulation. In Chapter 3, I show that the second movement has a very unusual form and is certainly not a typical binary movement with "thematic symmetry."

This study builds on Steven Roe's dissertation by focusing on Bach's solo keyboard music. By limiting the scope, I am able to provide more in-depth analyses to demonstrate the refinement of phrase and thematic structures from Bach's early to later works.

Methodology

I adopt William Caplin's theory of formal functions.[20] Although based on music of the high-classical style (1780-1810), this theory provides a more sophisticated approach than previous analytical methods in tracing the development of Bach's phrase and thematic structures. Identifying the formal functionality of a musical unit specifies more than a label based on its musical content, but also indicates how the unit operates

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[18] Roe, 236-237.
[19] Roe, 128.
[20] William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart and Beethoven* (Oxford: Oxford University Press, 1998).

within the larger formal organization. Caplin explains, "The theory…develops a comprehensive set of such functions with the goal of analyzing classical form more precisely than it has been before. In addition, the theory defines a set of formal *processes* (e.g., repetition, fragmentation, extension, expansion) and a set of formal *types* (e.g., sentence, period, small ternary, sonata, rondo)."[21]

In this study, I categorize Bach's solo keyboard sonatas into the three collections: the Early collection, Op. 5 collection and Op. 17 collection. The Early collection includes the Solo in A minor from Berlin (1750-55) and three sonatas from Milan (1755). The Op. 5 collection consists of six sonatas from London (1767).[22] The Op. 17 collection contains six sonatas from London (1773-4). All of the scores, which contain my form-functional and harmonic analyses, are located in the Appendix.[23]

In the first chapter, I demonstrate the development of phrase and thematic functions in the exposition of first-movement sonatas in Bach's three keyboard collections. I also discuss Bach's refinement of subordinate-theme loosening techniques. The sonatas of the first collection reveal Bach's earliest stage of development since the expositions are the least conventionalized compared to later sonatas. Bach does not clearly differentiate the boundaries of thematic structures and does not align the harmonic and phrase-structural processes. Compared to the early sonatas, the Op. 5 examples are the more regular, with clearer formal articulation and functionality. The subordinate themes use a small number of loosening techniques to a limited extent. In the Op. 17

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[21] Caplin, 9 (his emphasis).

[22] Several sources indicate that the sixth sonata in the Op. 5 collection appears to have been written at an earlier stage of Bach's career. The first two movements of this sonata will be considered as part of the Early collection. The third movement will be discussed in Chapter 3

[23] All scores are adapted from Johann Christian Bach, *Keyboard Music: Thirty-Five Works from Eighteenth-Century Manuscript and Printed Sources*, intro. and ed. Stephen Roe (New York: Garland Publishing, 1989). I do not include an analysis of the fugal second movement of Op. 5 No. 6.

sonatas, Bach further refines phrase-structural and thematic design and enlarges the expositions.

Chapter two explores the second half of Bach's first-movement sonatas. I examine phrase functions of the development and recapitulation in comparison to techniques used by high-classical composers. I discuss the refinement of Bach's development sections, including model-sequence technique in the core and the use of subordinate theme-like units. The overall inconsistencies in large-scale formal design of Bach's sonatas result from his manipulation and experimentation with constituent thematic units. I suggest that Bach writes four types of sonata movements: full, slightly-altered and truncated. I trace the development and reasoning behind his recapitulation strategies

Chapter three explores the different types of second and third movements in Bach's sonatas. I discuss how Bach uses different techniques to reduce the relative weight of the second and third movements in relation to the first movement. First, I compare the sonata forms of the first movement to the second and third movements, and then discuss other types of formal structures (theme and variations, minuet and trio, and rondo) and formal functions at the phrase and thematic levels. In the early sonatas, the later movements are always smaller-scale sonata forms, involving the elimination of a development section and/or containing a truncated recapitulation. In the Op. 5 sonatas, Bach uses less expansive large-scale formal types, such as the theme and variations, minuet and trio, and rondo. He also minimizes the weight of the phrase and thematic units in the second and third movements by eliminating transition function, fusing two functional units, and avoiding extension and expansion techniques. Bach relies on the weight of the development section or the tempo alone in the Op. 17 sonatas to provide more significance to the first movement.

In the fourth and final chapter, I build on previous observations about melodic, motivic and harmonic connections between the music of Bach and Mozart. I illustrate the development of phrase and thematic functions in Mozart's early piano pieces and demonstrate that Mozart adopts 1) particular phrase-structural designs of thematic functions, 2) subordinate theme loosening techniques, and 3) organizations of the second half, core technique and recapitulation strategies similar to pieces from Bach's Op. 5 and 17 sonatas.

CHAPTER 1: Refinement of Phrase and Thematic Functions in the Exposition of First-movement Sonatas

In this first chapter, I focus on the expositions of Bach's first-movement solo keyboard sonatas to illustrate the development of formal functions. By tracing the progress from the Early collection to the Op. 17 collection, I demonstrate the gradual refinement of phrase and thematic functions of the main theme, transition and subordinate theme. In *Classical Form,* William Caplin discusses the distinctions among thematic formal functions relating to their tight-knit or loose organization.[24] High-classical sonatas contain a main theme that is more tightly-knit than the transition and subordinate theme. He states:

> Tight-knit organization is characterized by harmonic-tonal stability, cadential confirmation, unity of melodic-motivic material, efficiency of formal expression, and symmetrical phrase groupings. Loose organization is characterized by harmonic-tonal instability, evasion or omission of cadence, diversity of melodic-motivic material, inefficiency or ambiguity of functional expression, and asymmetrical phrase groupings.[25]

High-classical composers use extension, expansion, compression and interpolation to deviate from the normative length of phrase groupings; however, Bach almost exclusively employs extension and expansion as loosening techniques.[26] Extension involves adding extra units to a particular phrase grouping. Expansion involves an internal lengthening of a functional unit, for example the lengthening of a cadential phrase into an expanded cadential progression (E.C.P.). I discuss how Bach refines his use of subordinate theme loosening techniques.

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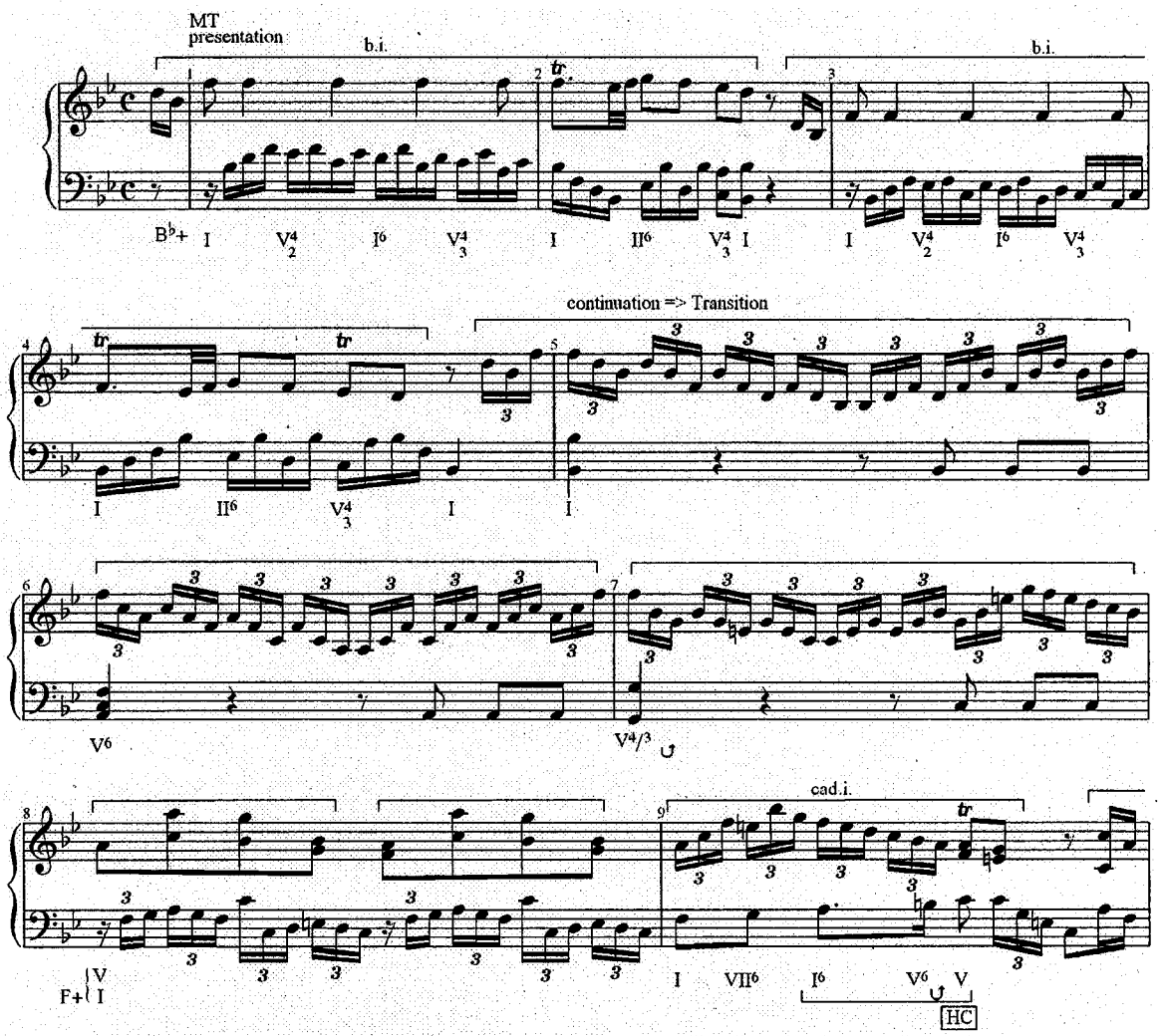
[24] Caplin discusses the distinction between "tight-knit" organization of the main theme and the "loose" organization of the subordinate theme in *Classical Form*, 17.
[25] Caplin, 17.
[26] Caplin distinguishes between extension and expansion, 20.

In this chapter, I begin discussion with the early sonatas and continue chronologically through the Op. 5 and Op. 17 collections. This type of comparison, which uses Caplin's theory based on the high-classical repertory, does have a few drawbacks. Observations regarding Bach's sonatas that do not easily fit the theoretical model may appear to be compositional shortcomings. Although my analyses are informed by knowledge of a later repertoire, it is not my intent to place value judgments in a teleological "march of progress" argument, but rather provide evidence of a gradual refinement of phrase and thematic functions given this position.

Early Sonatas

The expositions of the early sonatas are the least conventionalized compared to later sonatas. In this collection, Bach almost exclusively uses sentential phrase constructions. Themes are often asymmetrical, with a shorter or longer medial or concluding function. Bach's periodic designs, although rarely used, consist of compound basic ideas or consequent phrases that do not reach a cadence. Compared to Bach's later sonatas, the formal boundaries of phrase-structural units are less clearly differentiated, perhaps relating to aesthetic tastes and compositional goals of the time. The exposition of the Sonata in B-flat Major (Appendix A-15) provides several examples. As shown in Example 1-1 below, the main theme is comprised of a presentation (mm.1-4), followed by a continuation ⇒ Transition (mm. 5-9). Due to this fusion of the continuation and transition, the main theme lacks a distinct ending. This type of construction illustrates Bach's tendency in the early sonatas to move away from stable tonic harmony and provide interest through the instability of the transition.

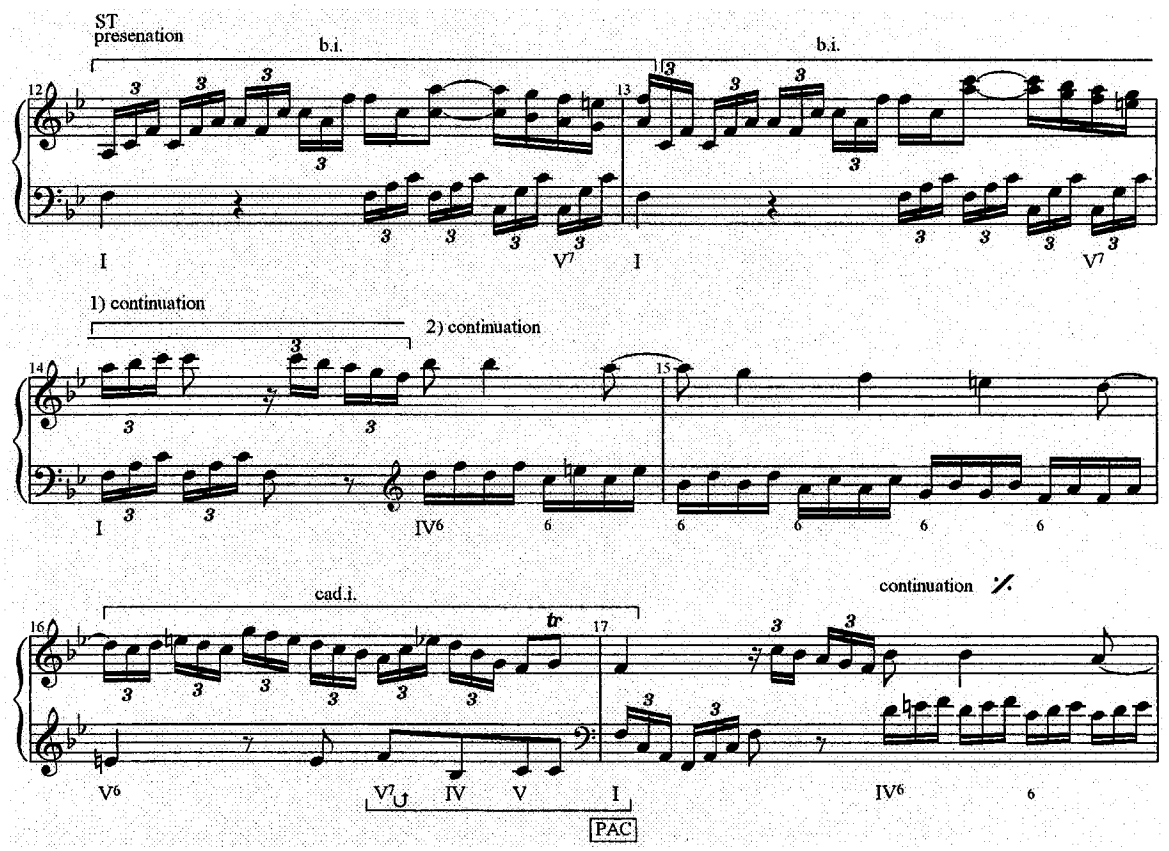
Example 1-1 Sonata in B-flat Major main theme and transition fusion, mm. 1-9.



The phrase units of the subordinate theme (mm. 12-22) do not have clear-cut boundaries or functionality (see Example 1-2). In the presentation phrase, the alternation between root position tonic and dominant-seventh chords resembles a false-closing section, rather than an initiating phrase characteristic of presentation function. Causing additional uncertainty, the first two beats of measure 14 project a new initiation function due to the "opening up" of the melodic contour from scale degree 3 to 5. It is difficult to determine if the unit groups with the preceding or following phrase function. Example 1-2 illustrates the two possible grouping options: the continuation begins at measure 14 (1), or

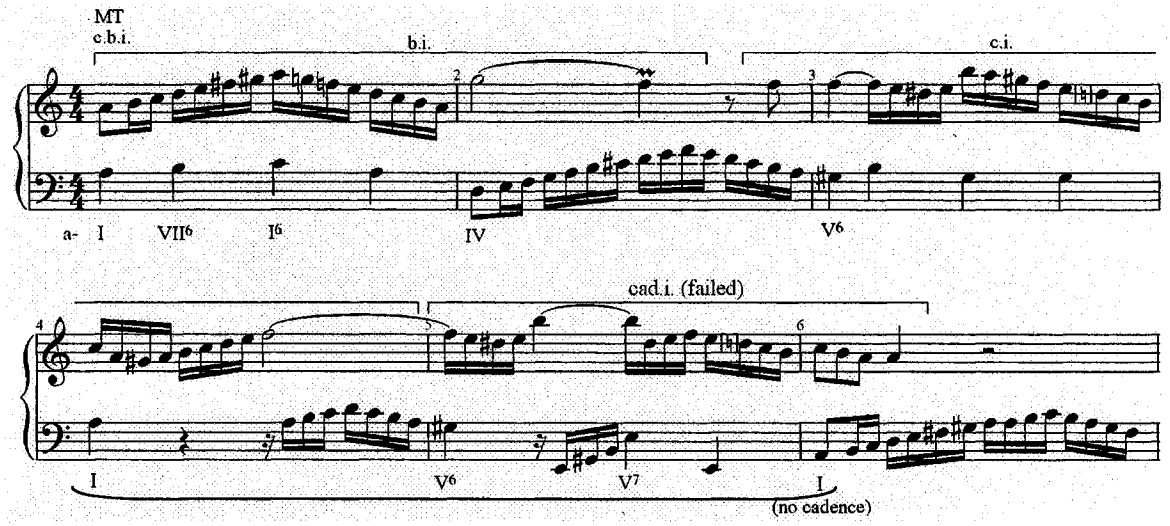
in the second half of measure 14 (2). I suggest that the second option provides the best solution due to the marked registral shift in the left-hand, but the boundary could be more fluid than the theoretical model permits.

Example 1-2 The subordinate theme of Sonata in B-flat Major, mm. 12-17.



In the early sonatas, the cadential melodic material is often not entirely congruent with the boundaries of the cadential harmonic progression. Bach does not explicitly link the cadential harmonic progression occupying beats 2-3 (I^6, V^6 ∪ V) with the melodic process on beats 1-3 in measure 9 of the Sonata in B-flat Major (Example 1-1 above). Similarly, this occurs in the cadential area in measure 16 (Example 1-2). The Solo in A Minor also provides an example of cadential melodic material that is not aligned with the harmonic cadential progression (Example 1-3).

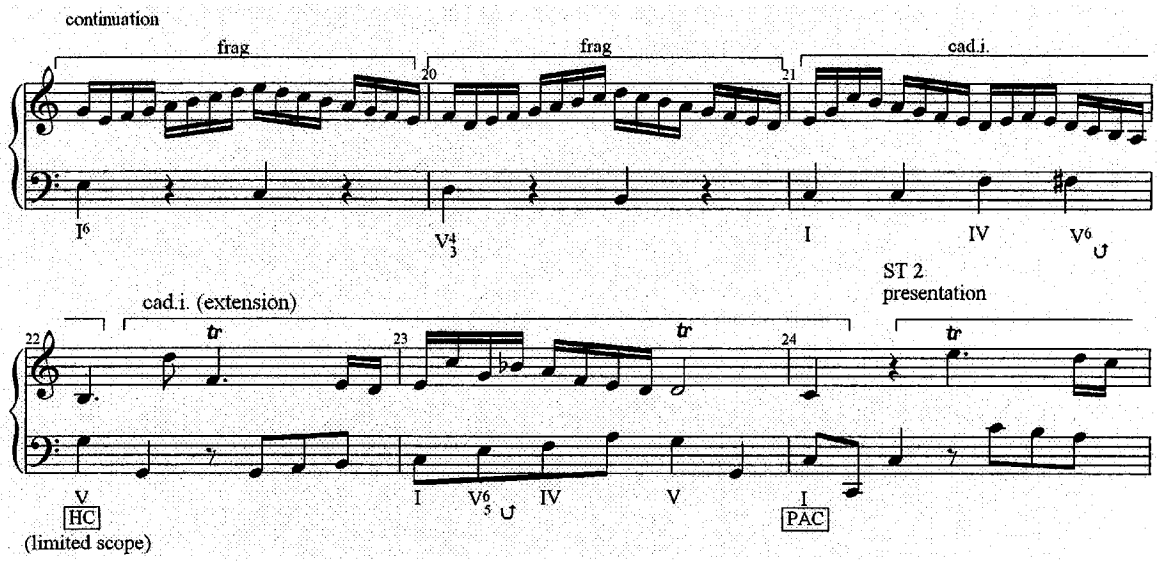
Example 1-3 Solo in A Minor main theme, mm. 1-6



In the main theme, a two-measure cadential idea (mm. 5-6) follows a compound basic idea. Although the melodic processes in measures 5-6 function as a concluding gesture for the main theme, the harmonic processes do not reach a cadence. In measure 5, the inverted dominant harmony occurs before the dominant seventh chord in root position, which creates a contrapuntal progression: I-V^6-V^7-1 (shown above with a bracket).[27] The harmonic and melodic processes align in the subordinate theme, but Bach writes a half cadence in measure 22 only to redirect towards a full, perfect authentic cadence in measure 24 (Example 1-4). In retrospect, the half-cadence has limited scope as formal punctuation. Compared to later sonatas, the cadential phrases in these examples occur unexpectedly or retrospectively because they are not distinct from the preceding functional units. These examples reveal an early stage in Bach's development of formal functions.

[27] The progression does not constitute a cadence in the strict definition relating to the classical repertory; the cadential dominant must appear only in root position for a cadence to occur. Despite this detail, the "failed" cadential idea does close the main theme in a rhetorical sense.

Example 1-4 Solo in A minor subordinate theme continuation, mm. 19-24.



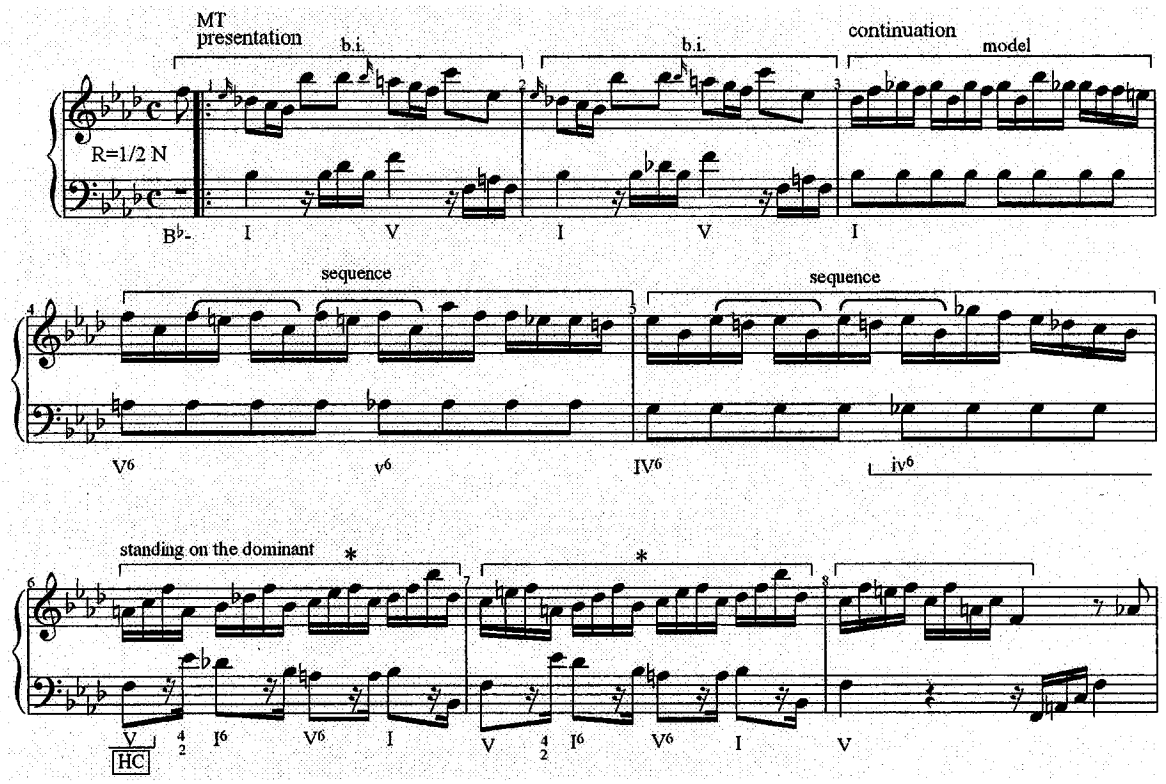
Bach favours extension as a subordinate theme loosening technique in the Early collection. In the subordinate theme of the Sonata in B-flat Major, the entire continuation is repeated after a strong perfect authentic cadence (see Example 1-2 above). In later sonatas, Bach initiates the repetition of a continuation or cadential phrase through a deceptive or evaded cadence. Here, the motivation for a repeat is missing, since the cadence is fully closed. Adding to the repetitive nature of the sonata, Bach states the cadential phrase three times (mm. 19-21, mm. 20-21 and 21-22) due to evaded cadences (see Appendix A-15).

The repetition found in the sonata discussed above occurs in the Toccata in B-Flat Minor on several different levels, from small fragments to larger phrase units. The main theme, in particular, contains a great deal of repetition (Example 1-5). The basic ideas appear as one-measure units due to the R=1/2 N notation.[28] Normally this type of

[28] R=1/2 N indicates that a 'real' measure is notated as half of a measure. See Caplin, 35.

notation occurs in pieces with a slow tempo.[29] Here, the Allegro pace actually draws increased attention to the repetition of the one-measure basic idea. There are also small scale repetitions within the model-sequence of the continuation (marked with brackets).

Example 1-5 Toccata in B-flat minor main theme, mm. 1-8.



Bach directly repeats one-measure units in the standing on the dominant (mm. 6-7, marked with an asterisk '*' in example above) and also in the continuation of the subordinate theme part 1 (mm. 12-14, see Appendix A-7). Model-sequence technique featuring one-measure units also occurs in the continuation of the subordinate theme parts 1 and 2 (mm. 9-11 and 15-17). As a result, the entire construction of the exposition relies on repetition.

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[29] Caplin states, "In an adagio movement, for example, we may perceive that a single real measure actually occupies only one half of the notated measure" in *Classical Form*, 35. He also provides examples of R=1/2 N notation in Allegro movements, p. 127.

Bach's subordinate theme loosening technique also adds to the repetitive nature of the sonata. He repeats the second part of the subordinate theme in entirety as an extension technique. Similar to the Sonata in B-flat discussed above, the repetition of the subordinate theme is not initiated by an evaded or deceptive cadence (see Appendix A-15). At the perfect authentic cadence in measure 18, the bass does not sound the D-flat on the downbeat. This appears to be the only motivating factor in the repeat of the second part of the subordinate theme. Although the upper figuration is different, the descending 6/3 sequence and cadential function are clearly repeated in measures 19-22. In measure 22, the D-flat in the bass occurs on the downbeat to bring the subordinate theme to its conclusion.

In addition to excessive repetition, the Toccata in B-flat minor does not feature distinct functional units (see Appendix A-7). The new key in the subordinate theme is not established through prolongation, but is instead destabilized through a sequence. The subordinate theme, therefore, does not functionally separate itself from the instability of the preceding model-sequence technique and standing on the dominant of the transition. Although the subordinate theme contains an internal half cadence,[30] which divides the theme into two parts, each part begins with similar model-sequence technique of one-measure units. As a result, the second part sounds like an extension of the sequential process with a slight cadential interruption.

The above examples illustrate Bach's early manipulation of formal functions. The boundaries of phrase and thematic structures do not have distinct formal boundaries. The phrase-structural and harmonic processes are often not aligned. Bach also imbues the

[30] Caplin discusses the internal half cadence in *Classical Form,* 115-117.

pieces with repetition on several levels. Subordinate theme loosening techniques only involve extension by repeating the continuation or cadential phrases.

Op. 5 Collection

In the Op. 5 collection, Bach refines the structural framework of the earlier sonatas. With clearer formal articulations and functionality, the expositions become more conventional. Op. 5 No. 3 provides an excellent example of this advancement (see Example 1-6 below). The sentential main theme (mm. 1-8) contains straightforward presentation and continuation ⇒ cadential functions. The presentation is comprised of a statement-response type repetition of the basic idea. This represents a departure from earlier sonatas, which typically repeat a single harmony during the tonic prolongation. In the Op. 5 sonatas, main theme material often returns in the transition. This motivic linking provides a sense of continuity between the main theme and transition function. It also illustrates that Bach gradually places more emphasis on establishing the tonic in the main theme compared to the continuation ⇒ Transition fusion that occurs in the Early collection.

The presentation phrase of the subordinate theme (mm. 17-20) provides slightly more ambiguity than other clear-cut examples (Example 1-7). The lingering presence of dominant harmony results in a weak initiating function. Bach differentiates the presentation from the prior transition by subordinating dominant harmony to tonic harmony and by creating a two-measure grouping for the basic idea through immediate repetition.[31]

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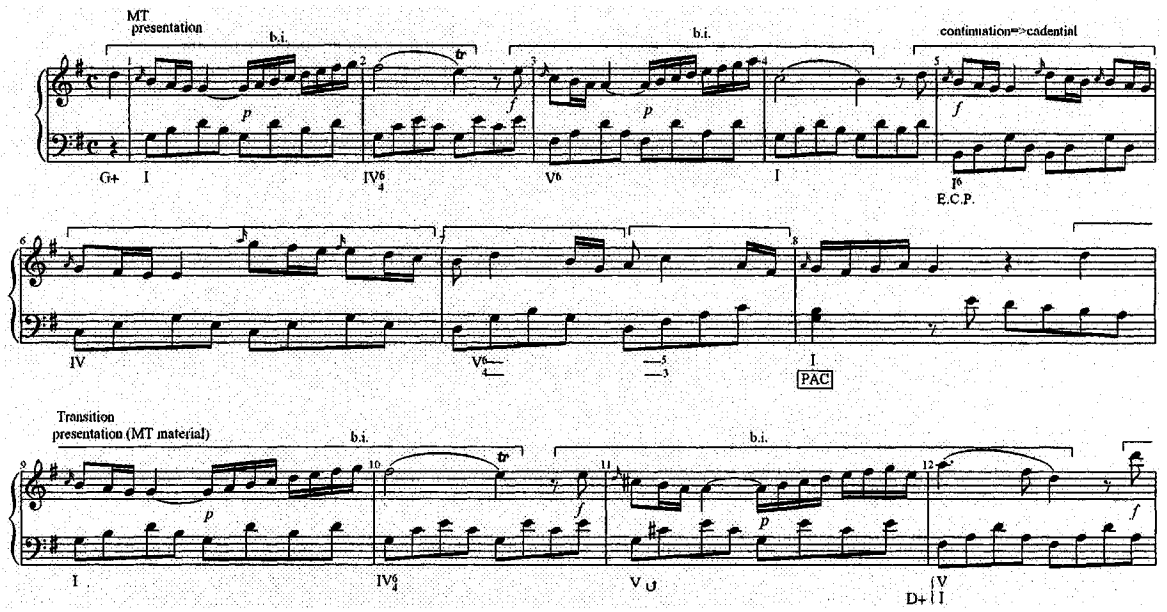
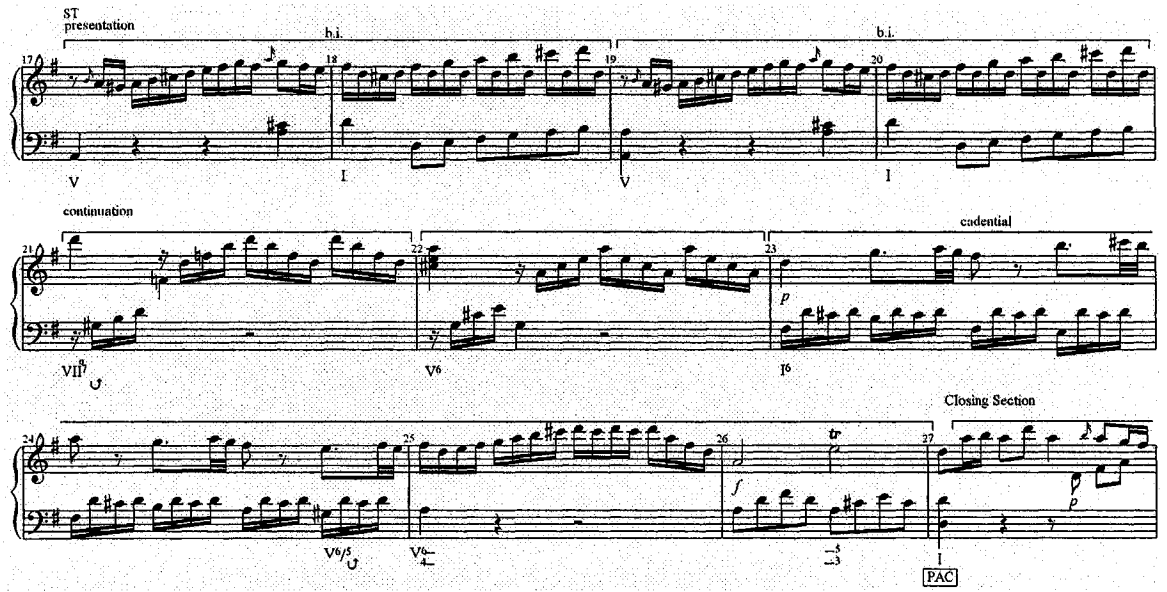
[31] I will further discuss the subordinate theme of the first movement of Op. 5 No. 3 in relation to Op. 17 sonatas later.

Example 1-6 Op. 5 No. 3 main theme and beginning of transition, mm. 1-10.



Example 1-7 Op. 5 No. 3 subordinate theme, mm. 17-27.



Compared to the Early collection, Bach more carefully coordinates the harmonic and phrase-structural processes of the cadential phrases in the Op. 5 collection. In Op. 5 No. 3, all of the cadential phrases occupy at least two to four measures. Bach's deliberate

preparation for the cadential arrival is demonstrated in his use of expanded cadential progressions (mm. 5-8) and explicitly conceived cadential phrases (mm. 23-27).

Op. 5 No. 2 provides another example of Bach's phrase-structural development. As shown in Example 1-8, the main theme (mm. 1-8) is comprised of the repetition of a compound basic idea (c.b.i.). Although the main theme does not have a cadence in the home key, the eight-measure repeated c.b.i. firmly establishes the tonic through prolongational progressions. This type of organization is limited to the Op. 5 collection and differs from the single presentation function and asymmetrical sentential designs in the Early collection. The repetition of a c.b.i. followed by a transition relates to the larger structure of a compound sentence.[32] The repeated c.b.i (mm. 1-8). and transition (mm. 1-9) act as larger presentation and continuation functions, respectively. The transition actually has continuational features such as model-sequence technique and fragmentation. The two-measure model breaks down into one-measure fragments and further into half-measure fragments, which create forward momentum towards the half-cadence.

In most of the Op. 5 sonatas, Bach uses limited subordinate theme loosening techniques, but with more control and mastery than earlier examples. In the subordinate theme continuation of Op. 5 No. 3, Bach expands the cadential idea into a cadential phrase (mm. 23-27), from the normative two measures into five measures (see Example 1-7 above). Unlike in the Early collection, this sonata does not feature extension technique. Overall, the subordinate theme is only slightly looser in organization compared to the main theme.

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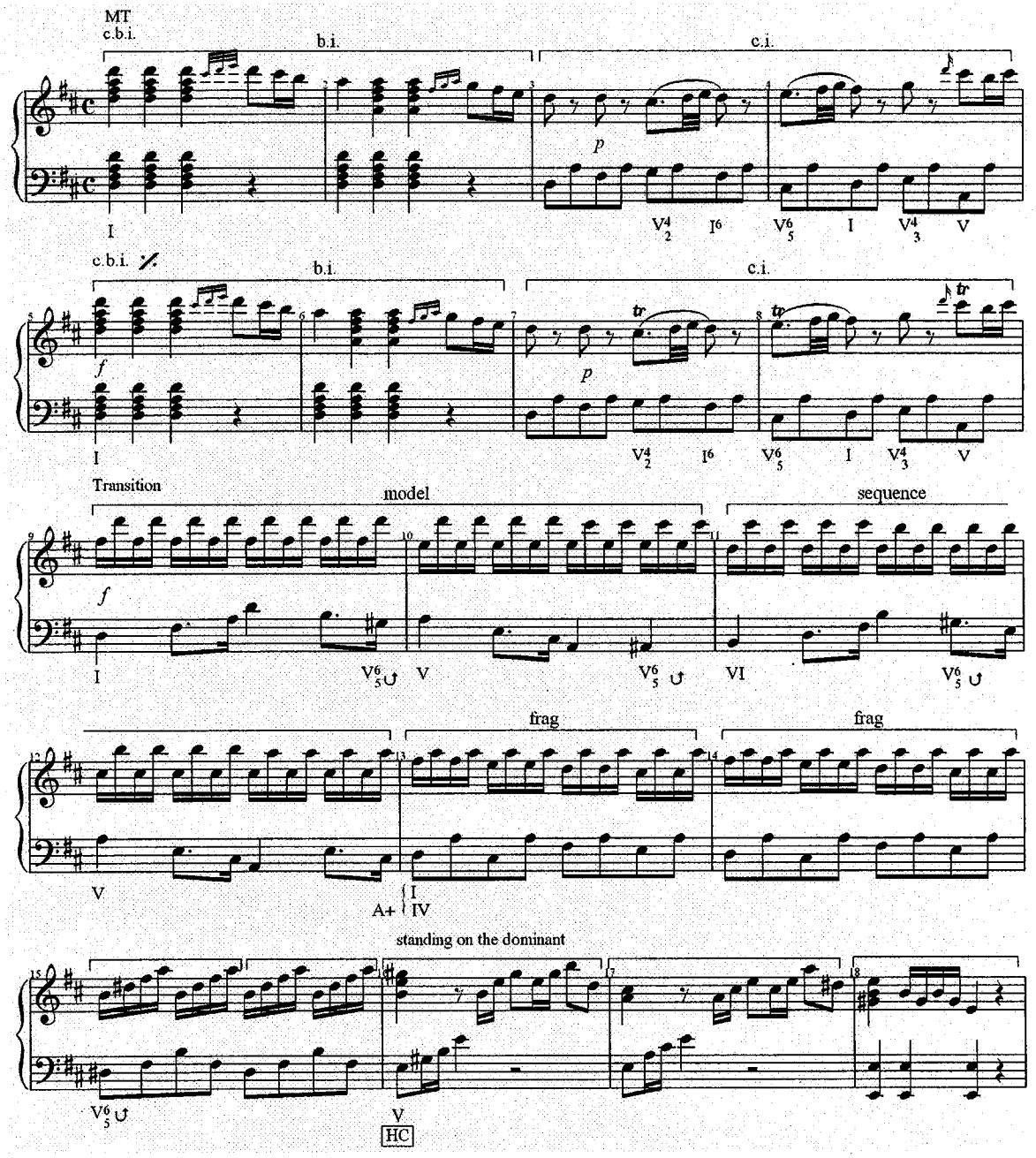
[32] Caplin discusses compound sentence structure in Chapter 5 of *Classical Form.*

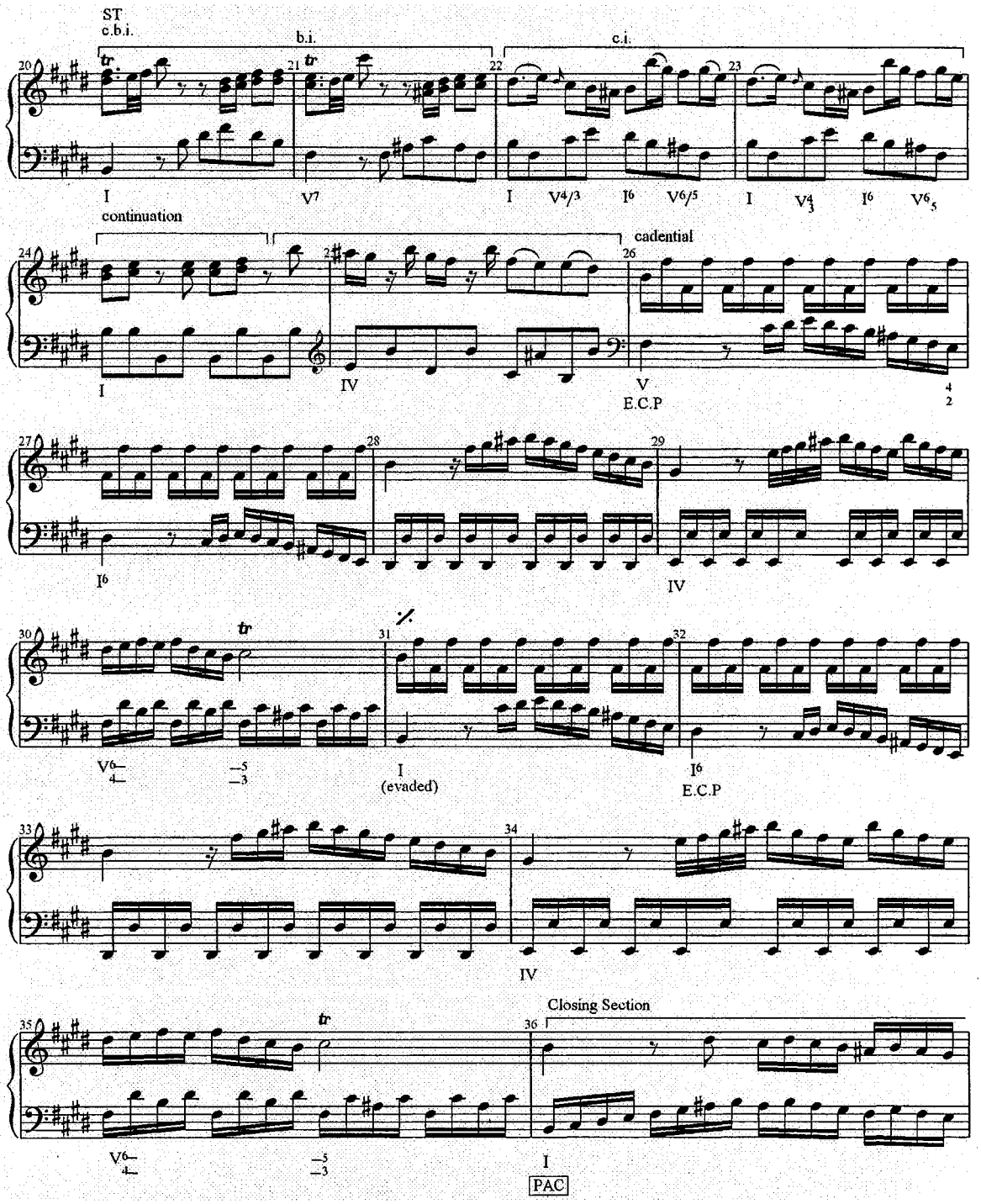
Example 1-8 Op. 5 No. 2 main theme and transition, mm. 1-18



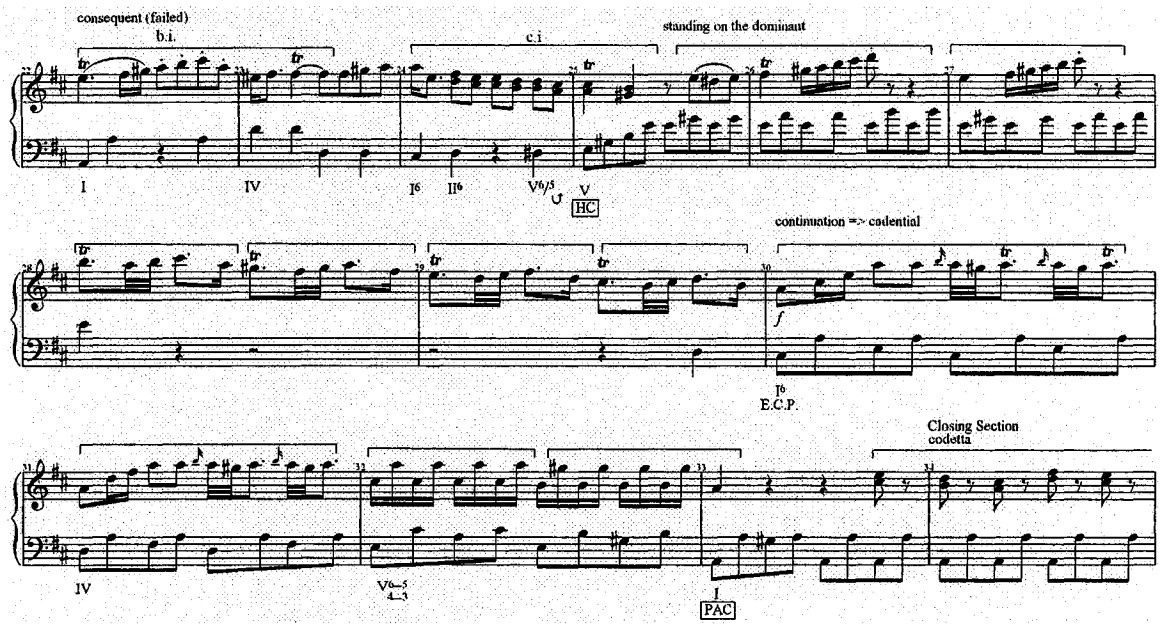
In Op. 5 No. 5, Bach uses both expansion and extension (see Example 1-9 below). The continuation contains two measures of fragmentation, followed by a cadential phrase, harmonized by an expanded cadential progression (mm. 26-31). An evaded cadence in measure 31 motivates the repeat of the cadential phrase. Repetition of part of a thematic

unit after an evaded or deceptive cadence is a common practice in the music of Classical composers, however, it is less common to repeat the entire unit (as seen in the Early collection).

Example 1-9 Op. 5 No. 5 subordinate theme, mm. 20-36.



Example 1-10 Subordinate theme of Op. 5 No. 2 (antecedent not included), mm. 22-34.



Compared to the early sonatas, the Op. 5 examples are the more conventional, with clearer formal articulation and functionality. Bach uses a small number of loosening techniques to a limited extent and begins to use expansion technique. He also provides motivation for the repetition of units.

Op. 17 Collection

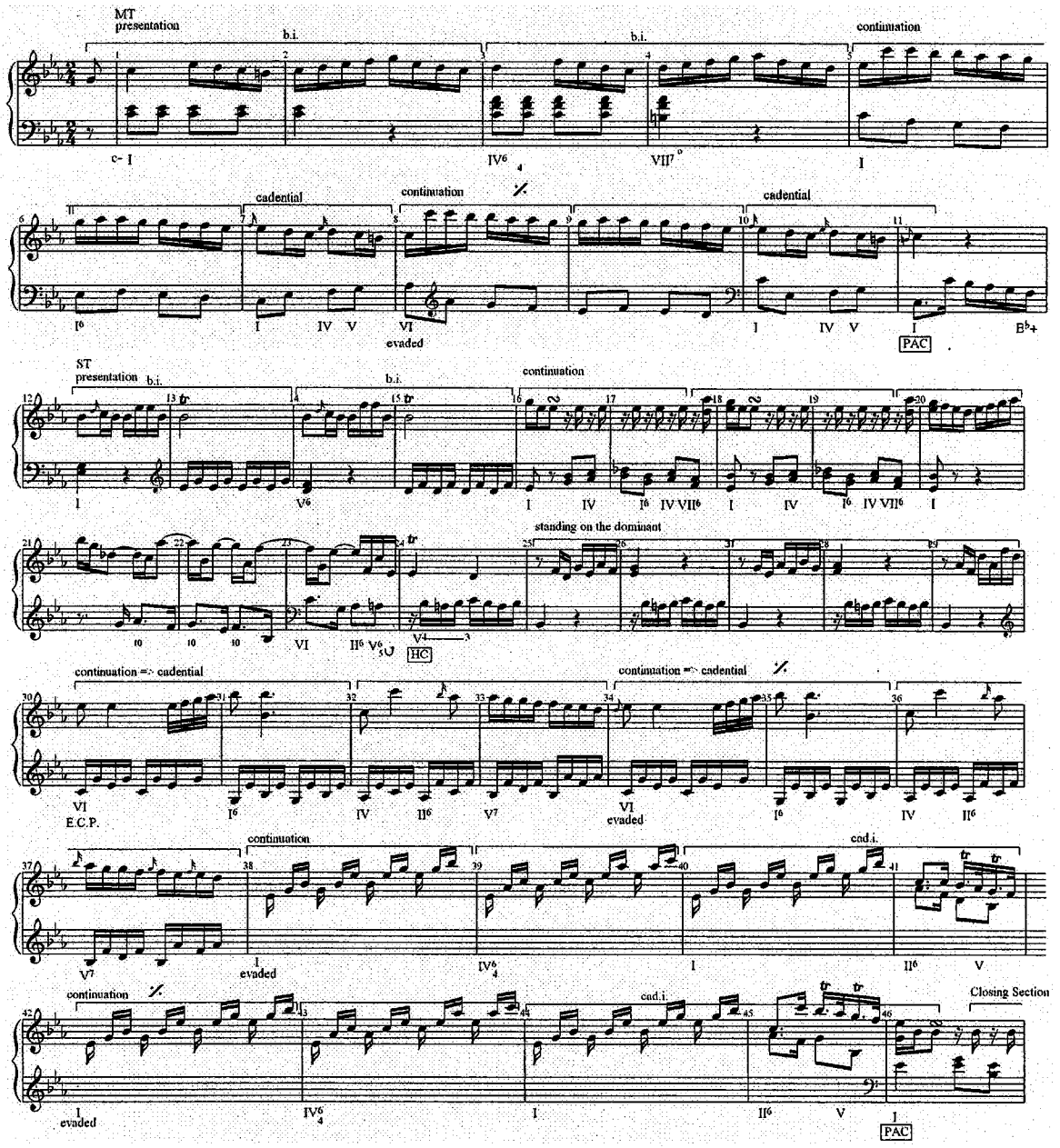
In the Op. 17 sonatas, Bach further refines phrase-structural and thematic design and enlarges the expositions. Overall, main themes are more extensive, demonstrating a progression from a single presentation in the early sonatas and the repetition of a four-measure unit in the Op. 5 collection. Since main themes are typically longer in the Op. 17 sonatas, the subordinate themes utilize more elaborate loosening techniques without relying on repetition.

In Op. 17 No. 2, Bach defines the phrase-structural functions of the main theme (mm. 1-11), and subordinate theme (mm. 12-46), through clear melodic and harmonic

gestures (see Example 1-11 below). Bach expertly aligns the phrase-structural and harmonic processes. The main theme is more substantial than examples in previous collections through the use of extension. The evaded cadence in measure 8 initiates the repeat of the continuation, a process which is never found in any of the main themes of earlier sonatas. Bach refines the loosening devices of the subordinate theme as well. In the continuation, he avoids fragmentation (an extension technique) by maintaining the two-measure grouping structure (mm.16-20). After additional extension with a sequential passage (mm. 21-23), an internal half-cadence effectively partitions the subordinate theme to allow for the addition of a standing on the dominant (mm. 25-29) and a continuation ⇒ cadential phrase (mm. 30-33).

Further extension occurs with the repeat of the continuation ⇒ cadential phrase (mm. 34-37) after an evaded cadence. The deceptive progression mirrors the motion in the main theme, thereby providing a connection between the two sections. Rather than repeating the entire phrase a third time after an evaded cadence (as in the earlier sonatas), the addition of a new continuation phrase (mm. 38-41) provides variety and a new thrust towards the cadential goal. The use of multiple extension techniques demonstrates Bach's advancement from the Op. 5 collection. Since the main themes become more substantial in the Op. 17 sonatas, the loosening techniques significantly enlarge the framework of the subordinate theme compared to the main theme.

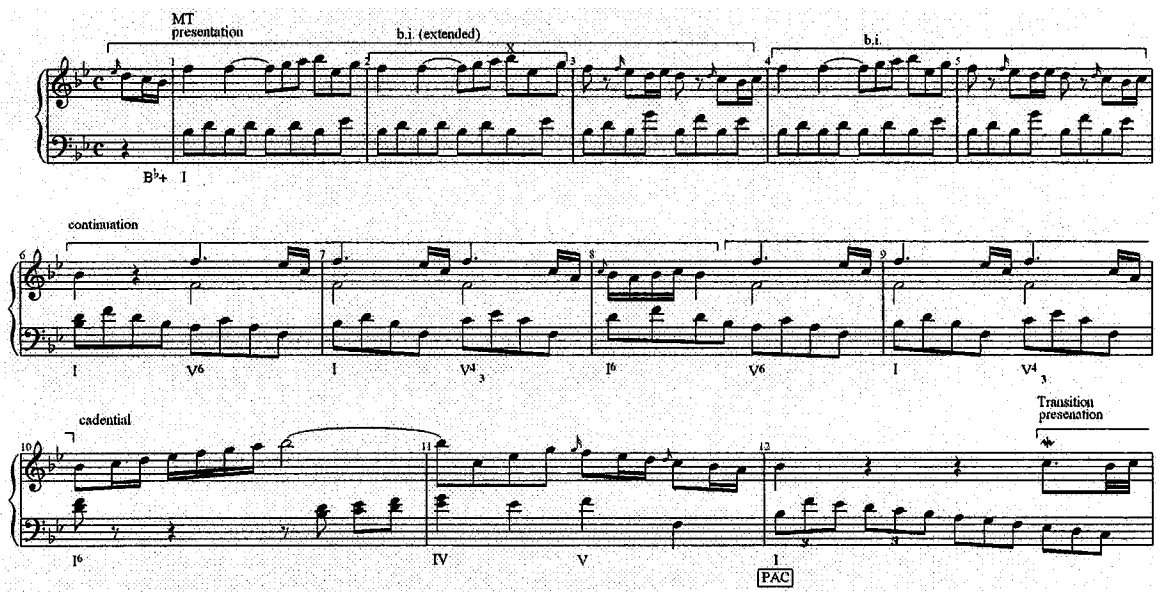
Example 1-11 Op. 17 No. 2 main theme and subordinate theme, mm. 1-46.



Another example of an extensive main theme and sophisticated use of subordinate loosening devices is in Op. 17 No. 6. Bach repeats an internal one-measure unit in the initial basic idea of the presentation (marked with an '*x*' on the score in Example 1-12). The presentation is asymmetrical since the basic idea is repeated without this extra unit. The retention of the two-measure grouping structure (avoiding fragmentation) and the

addition of a cadential phrase extends the continuation from four to seven measures. Through these techniques, Bach extends the typical eight-measure theme into twelve measures.

Example 1-12 Op. 17 No. 6 main theme, mm. 1-12.

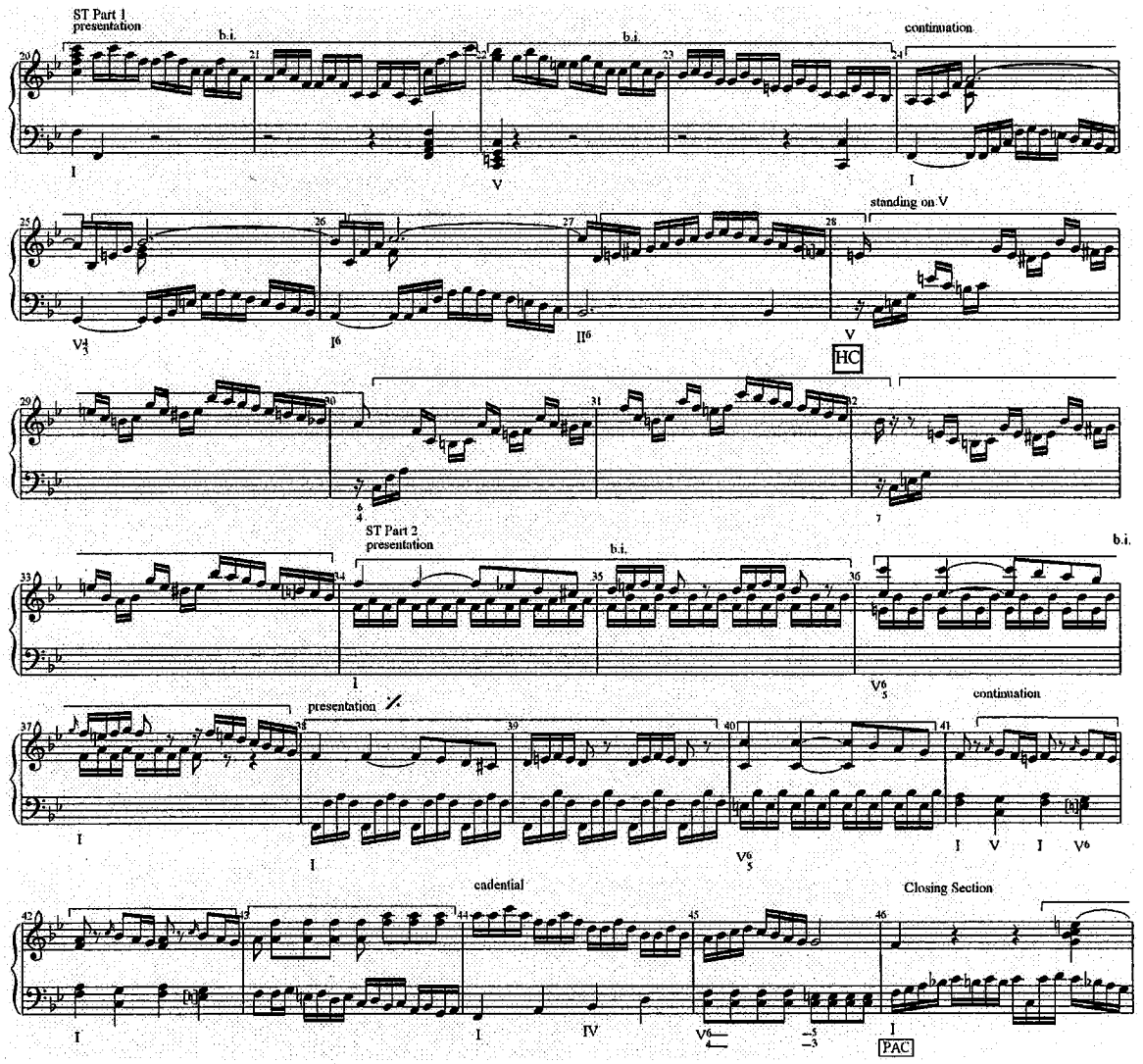


The two-part subordinate theme is also extensive, lasting twenty-seven measures. As shown in the Example 1-13 below, Bach clearly separates the two-part subordinate theme into discrete functional units: presentation, continuation, standing on the dominant, the introduction of a new presentation (to begin the second part), continuation and cadential phrases. In the first part of the subordinate theme, statement-response technique in the presentation (mm. 20-23) and an internal standing on the dominant (mm. 28-33) provide forward momentum towards the cadence.

Bach uses several loosening techniques in the subordinate theme. He adds an extensive standing on the dominant after the half cadence (m. 28) and repeats the presentation (mm. 38-41) of the second part of the subordinate theme. The following continuation extends from four to six measures due to fragmentation (mm. 41-46).

Overall, Op. 17 No. 6 is much more refined and expansive than earlier sonatas. Bach clearly defines the phase and thematic functions of the exposition. Bach also extends and expands the subordinate theme to a great extent through more directed means of repetition and various loosening techniques.

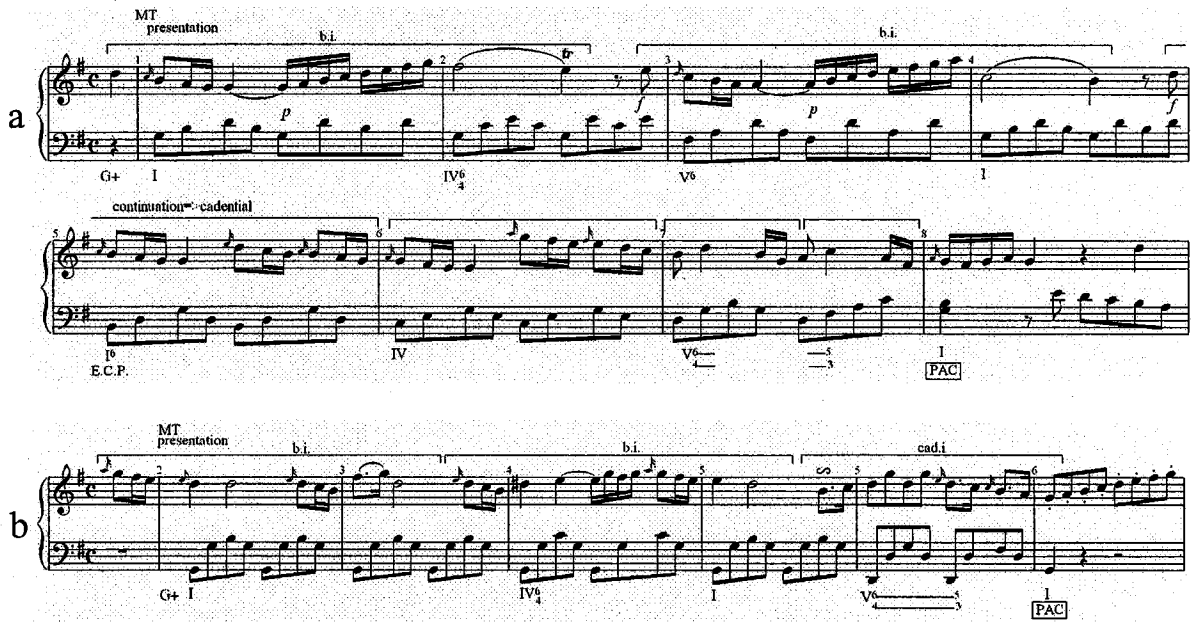
Example 1-13 Subordinate theme of Op. 17 No. 6, mm. 22-46.



The similarity between Op. 17 No. 4 and Op. 5 No. 3 provides an exceptional opportunity to witness Bach's specific enhancements of phrase structure and formal

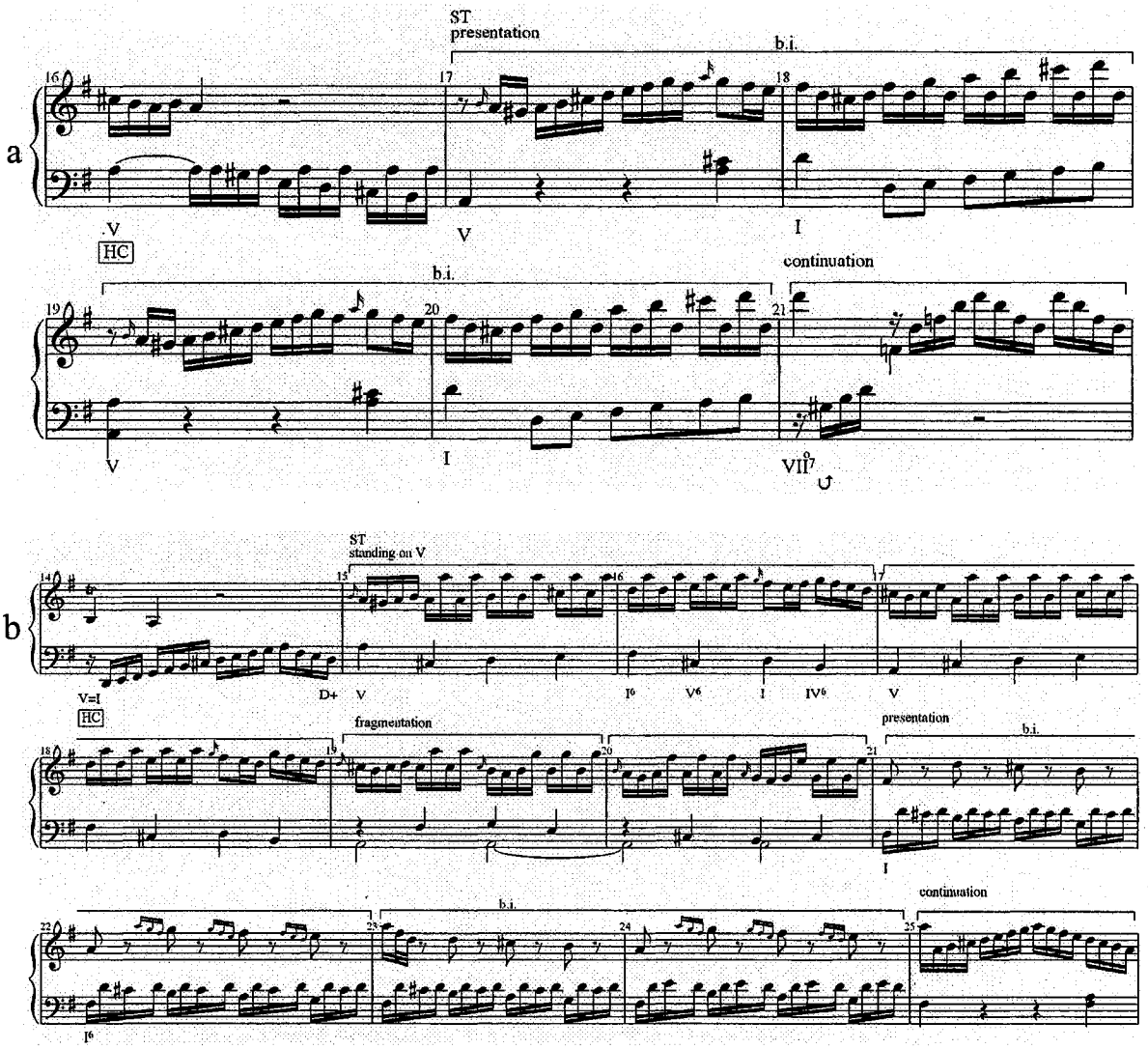
functionality. Both main themes are quite compact, consisting of sentential theme types (compare Example 1-14a and b).

Example 1-14 Comparison of main themes of a) Op. 5 No. 3 and b) Op. 17 No. 4



Both also share similar opening five-note melodic descent in the right hand, Alberti bass throughout in the left hand, and the use of tonic prolongational chord IV^6_4. Additionally, Bach uses a similar gesture in measure 4 of both sonatas; he suspends scale degrees 4-3 in the earlier sonata and 6-5 in the later one. Both transitions use main theme material, but extension technique (repeat of cadential phrase mm. 13-14) enlarges the transition in the later work. Example 1-15a illustrates the start of the subordinate theme of Op. 5 No. 3. Example 1-15b illustrates the similar passage in the later sonata. Both phrases begin directly after a half cadence with dominant harmony and feature right-hand lower-neighbour figures, leading to a similar scalar passage.

Example 1-15 Subordinate theme of a) Op. 5 No. 3 b) Op. 17 No. 4



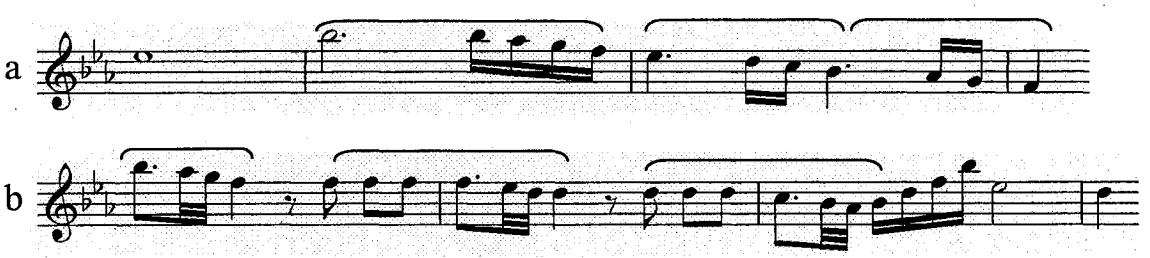
In the Op. 5 sonata, the initiation function of the subordinate theme presentation (mm. 17-20) is slightly ambiguous due to lingering dominant harmony. In the later sonata, the passage functions as a standing on the dominant that begins the subordinate theme.[33] After the non-modulatory transition closes with a half-cadence in measure 14, the standing on the dominant begins in measure 15 in the key of the dominant. Normally, this type of standing on the dominant would occur after a half cadence in the dominant key.

[33] Caplin discusses the subordinate theme loosening technique of beginning with standing on the dominant in *Classical Form,* 113-115.

Despite this abnormality, Bach more clearly defines the formal functions in the later sonata.

In addition to more clearly defining formal functions, Bach also provides subtle connections between thematic units. In Op. 17 No. 3 (Appendix A-58), the descending bass line of the main theme's compound basic idea (mm. 1-4) returns in the compound basic idea (mm. 14-17) of the subordinate theme part 1. Additionally, the descending melody in the main theme returns in the subordinate theme. Figure 1-1 illustrates the descending melodic fragments outlined by brackets in the main theme (a) and subordinate theme (b).

Figure 1-1 Op. 17 No. 3 Main theme and First Subordinate Theme Melodies



The descent of an eleventh in the main theme returns in the subordinate theme as an octave. Brackets outline the melodic fragments that divide the descent. In both cases, the melody divides into three units; the units of Figure 1-1a occupy a fifth and two fourths, while the units of Figure 1-1b occupy a fourth and two thirds. Even with the same phrase-structural organization (compound basic idea) and melodic correspondences, the main theme and subordinate theme do not exhibit an overt similarity. The subtle link between the two themes demonstrates sophistication compared to earlier sonatas. In contrast, the Toccata in B-flat minor contains obvious melodic, harmonic and phrase-structural similarities between the main theme and subordinate theme. These parallels add to the repetitive nature of the sonata.

Similar to the stylistic progression illustrated in other studies, the above analyses show a distinct development of formal structures in Bach's solo sonata expositions. In the Early collection, Bach does not clearly define the boundaries of the formal units and the thematic functions are often fused together. I provided examples of constructions such as the main theme continuation ⇒ transition, which demonstrate a fluid formal construction. Bach exclusively uses extension as a loosening technique of subordinate theme in the early sonatas. He often extends the subordinate theme by repeating phrase and even thematic units, but without cadential deviation.

In the Op. 5 collection, Bach refines the framework of the early sonatas. The expositions become more conventional through clearly defined phrase and thematic functions. Slight phrase-structural ambiguities remain, such as the lingering dominant harmony at the onset of the initiation function of the subordinate theme in Op. 5 No. 3. Bach uses subordinate theme loosening techniques to a limited extent. The subordinate themes in the earlier sonatas are more loosely organized; however, Bach motivates the use of the extension and expansion through cadential deviations and creating momentum towards the cadential goal. The Op. 5 sonatas contain constructions more typical of the high-classical repertory.

Bach builds on the advancements of the Op. 5 sonatas and further enlarges their structural framework in the Op. 17 collection. Bach more clearly differentiates the functional units (as I demonstrated with the Op. 5 No. 3 and Op. 17 No. 4 comparison). He also increases the length of the main theme, which consequently requires more extensive use of loosening techniques in the subordinate theme. Unlike the concise subordinate themes of the Op. 5 collection, the Op. 17 subordinate themes contain more

extensive loosening techniques, with more forward momentum. Bach begins to motivically develop thematic material with subtle connections between thematic units, illustrating a greater sophistication in the later sonatas. Overall, the expositions of Bach's solo keyboard sonatas reveal an important form-functional development, displaying a gradual refinement of phrase and theme construction and subordinate theme loosening techniques.

CHAPTER 2: Developing the Development and Bach's Recapitulation Strategies

The second halves of J.C. Bach's first-movement solo keyboard sonatas display significant phrase-structural evolution. This chapter will demonstrate Bach's gradual refinement of phrase and thematic formal functions in developments and recapitulations. I suggest that the overall inconsistencies in large-scale formal design of Bach's sonatas result from his manipulation and experimentation with constituent thematic units. Bach's sonatas gradually resemble sonatas of the high-classical tradition, not by progression to an ideal formal type, but through developing and refining phrase-structural elements. In this chapter, I will first discuss the organization of development sections in general before explaining specific examples from his three collections: the Early sonatas, Op. 5 and Op. 17. Later, I shall discuss the reasoning behind various compositional strategies of the recapitulation and illustrate Bach's achievement of greater functional differentiation.

Development Sections

In general, development sections produce the greatest level of instability and tension of the movement, especially to motivate the return of the recapitulation in the home key. In high-classical sonatas, development sections frequently feature a *core*, involving model-sequence technique, fragmentation, and standing on the dominant.[34] The development can also contain a pseudo-core, a transition-like unit, a subordinate theme-like unit, or a combination of these elements. Table 2-1 lists the characteristics of the three organizations. The main difference among the three types, apart from phrase-structural organization, concerns the harmonic goal. Normally, the goal of a core is dominant harmony of the home key or development key. In contrast, subordinate theme-

[34] These concepts are discussed in Caplin's *Classical Form*, especially pp. 139-160.

like units conclude with a perfect authentic cadence of the development key. Classical composers confirm the development key with any type of cadence in a pseudo-core.

Table 2-1 Bach's typical organizations of the development section[35]

	Phrase-structural organization	**Harmonic Goal**
Core	model-sequence technique, fragmentation, standing on the dominant	HC or DA of home key or development key
Subordinate Theme-like Unit	thematic structure similar to subordinate theme with loosening techniques such as extension or expansion	PAC of development key
Pseudo-Core	character of core, but not organized with model-sequence technique, fragmentation or standing on the dominant	HC or DA or PAC of development key

A unit called a *pre-core* may precede any of the above types. Caplin describes the pre-core as a "calm before the storm."[36] I will address how Bach arranges these units in more detail later. At this point, I will describe how Bach organizes the core, subordinate theme-like units and pseudo-cores and how he refines the constituent phrase and thematic functions.

Half of the Op. 5 sonatas and all of the Op. 17 collection contain a core in the development. Within the core, Bach favours using a model of 2-4 measure units, which differs from the high-classical norm of 4-8 measures. As a result, Bach's core sections are generally smaller in scope than those of high-classical composers. We will first look at a late sonata by Bach (Op. 17 No. 2) featuring a core that exemplifies the classical ideal. Next, I will trace the steps from earlier procedures toward the later cores.

In Op. 17 No. 2 (Example 2-1), both the pre-core and core are well defined featuring clear phrase and thematic differentiation.

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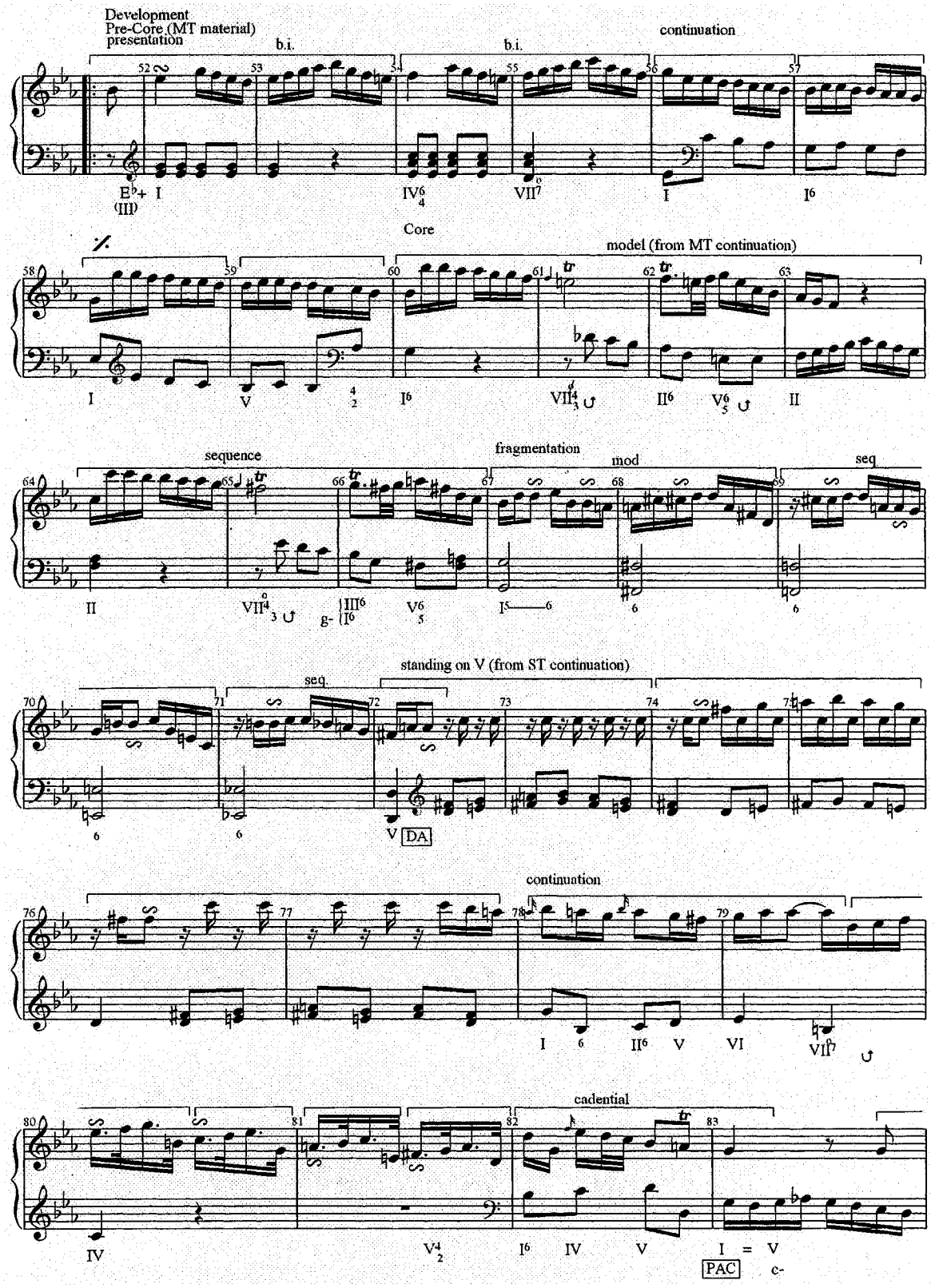
[35] Table 2-1 is developed from Caplin's discussion pp. 139-160.
[36] Caplin, 151.

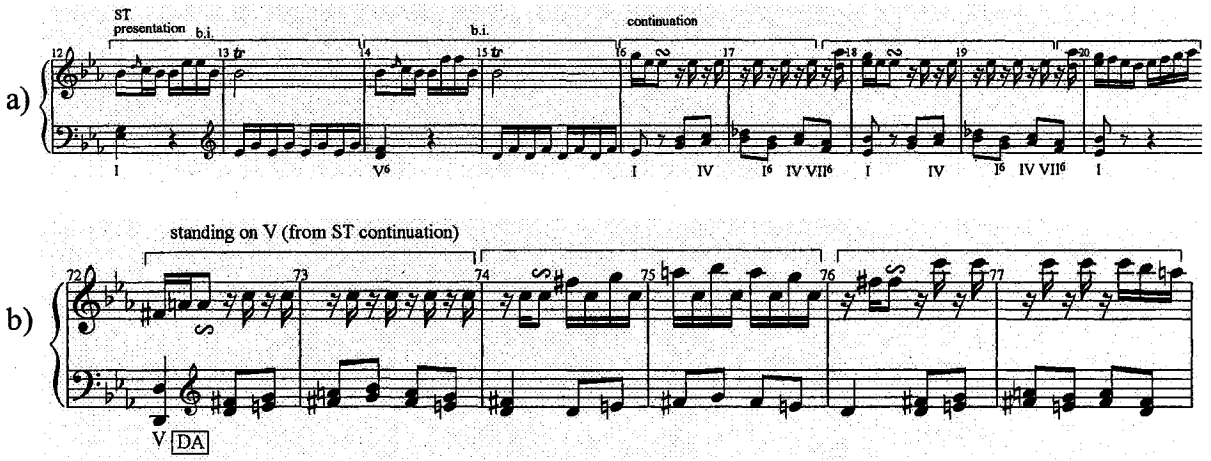
Example 2-1 Development section of Op. 17 No. 2, mm. 52-83.



The pre-core (mm. 52-59) restates the main theme material almost in its entirety, leading directly to distinct model-sequence technique of the core. The core features four-measure units with strong goal-oriented motion towards g minor and increasing fragmentation in measures 67-72. The smaller two-measure sequential units lead towards a half-cadence and standing on the dominant (mm. 72-77). This type of clear organization and goal directed motion in the core (model-sequence, fragmentation and standing on the dominant) is typical of high-classical sonatas. The goal of a perfect authentic cadence in measure 83 differs from the goal of dominant harmony in typical classical sonatas and most of Bach's later sonatas.

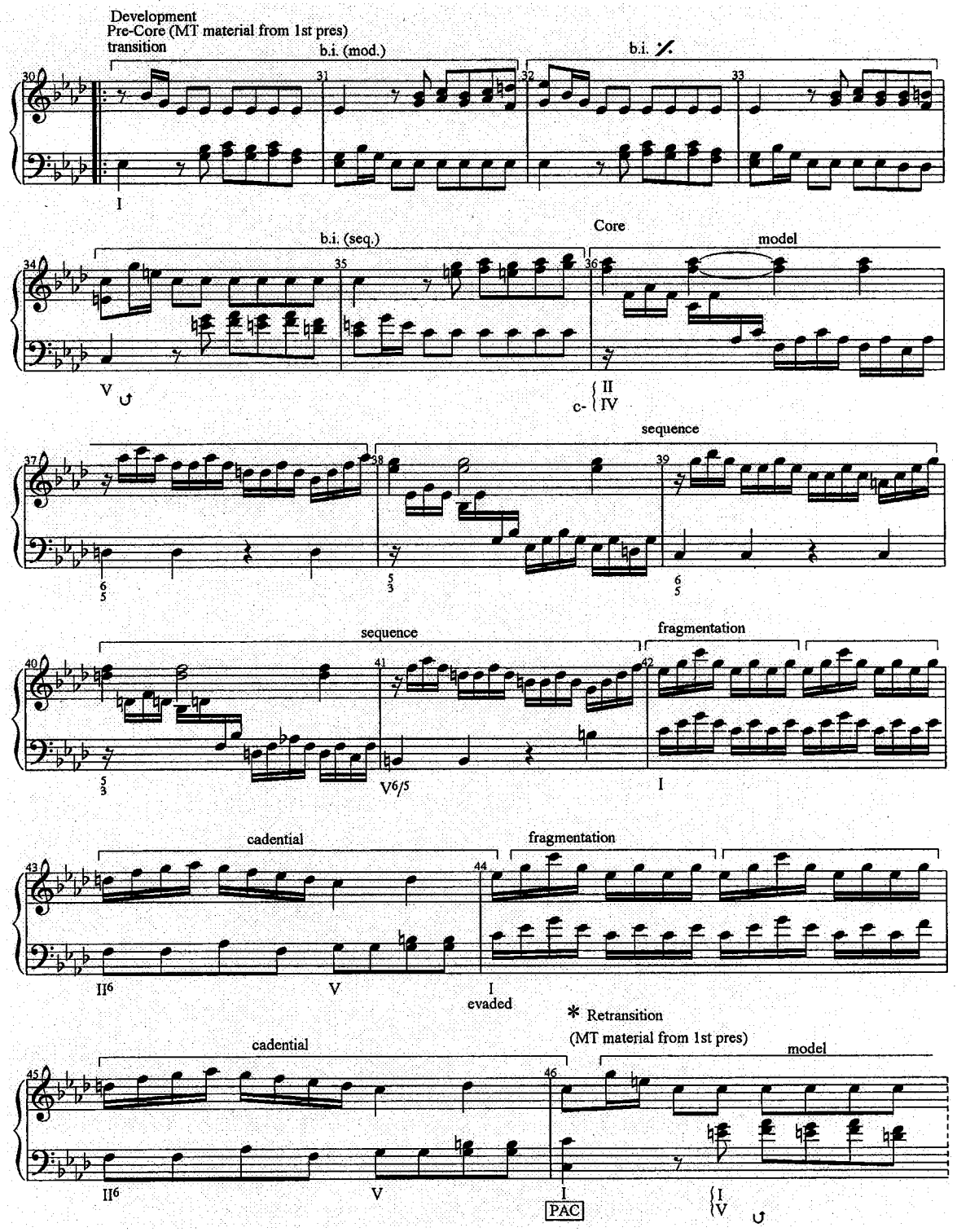
Bach creates excitement in the development through reinterpreting previous material from the exposition, which is another feature of the cores of his later sonatas. Bach uses a small section of material from the main theme's continuation as the beginning of the model in the core (compare m. 56 and m. 60). By reworking such a small unit, Bach reintroduces previous material without becoming repetitive. Earlier sonatas repeat larger segments of music with little or no alteration. In addition to the model of the core based on main theme continuation, material similar to measures 16-19 (prolonging tonic harmony) returns in the development in measures 72-77 as a standing on the dominant (compare Example 2-2a and b). Bach transforms the stable tonic prolongational phrase to provide instability through standing on the dominant. By reusing material in a slightly altered way, Bach creates a subtle connection to the exposition. Overall, the procedures in this core are very typical of Bach's later sonatas: refined core technique (with distinct model-sequences, fragmentation and standing on the dominant), goal-directed motion, and reinterpretation of expositional material presented earlier to provide excitement and prepare the return of the tonic in the recapitulation.

Example 2-2 Comparison of a) ST material (mm. 12-20) to b) development (mm. 72-77)



The above examples demonstrate the extent to which Bach's developments evolved toward the classical model. I will now discuss earlier examples to trace the evolution in greater detail. The development of the Sonata in A-flat provides the earliest example of core technique in Bach's solo keyboard sonatas (see Example 2-3). In the core, Bach sequences a two-measure model twice (mm. 36-41), arriving on tonic harmony of the development key (m. 42). Typical fragmentation follows after the sequence. While the overall process is comparable to Bach's later sonatas, I will show two main differences that reveal an earlier stage of progress: cadential goal and lack of differentiation of phrase structure. First, the arrival on the tonic strongly differs from the goal of dominant harmony in the core of later sonatas. The sequence descends stepwise from the chord of the subdominant (of the development key C minor) to the tonic, confirmed by a perfect authentic cadence (m. 46). Second, the core's model-sequence provides less excitement than later sonatas due to the lack of differentiation from the previous section. Since the transitional pre-core (mm. 30-35) also uses model-sequence technique of two-measure units, the core proper is less differentiated from the preceding material and as a result provides less destabilization than in later cores.

Example 2-3 Core of Sonata in A-flat Major, mm. 30-46



Bach refines his core technique from the early to late sonatas through several means. By the later sonatas he provides more goal-directed motion in the sequences, aims for dominant harmony rather than tonic, and differentiates the core proper from previous material. As a result, the later cores feature less repetition and more destabilization. Bach mainly writes cores in his development sections, but one sonata features a pseudo core: Sonata in B-flat Major. In general, pseudo cores do not exhibit the same organization as a core, but generate similar excitement.[37] Compared to the development of Op. 17 No. 2 (Example 2-1), the phrase-functional organization of the Sonata in B-flat Major's development section (Example 2-4) is not as clearly differentiated. In the pre-core (mm. 23-26) the melodic material does not clearly group into units of consistent length. In addition, the continuation (mm. 23-24) and the transition (mm. 24-26) do not have distinct beginnings or ends. The pseudo-core (mm. 27-30) is also not phrase-structurally explicit. The fragments have an improvisational quality and are not motivated by a strong harmonic goal; the premature dominant arrival (m. 30) is retrospective, followed by the main goal of a perfect authentic cadence in measure 35. Bach directly juxtaposes the end of the development in d minor (m.35) with the beginning of the exposition in the home key. Overall, the development of Sonata in B-flat major reveals Bach's earliest stage of composition in the fluid boundaries of the formal units in the pre-core, the absence of a clear goal in the pseudo-core, and the missing link between the development and recapitulation.

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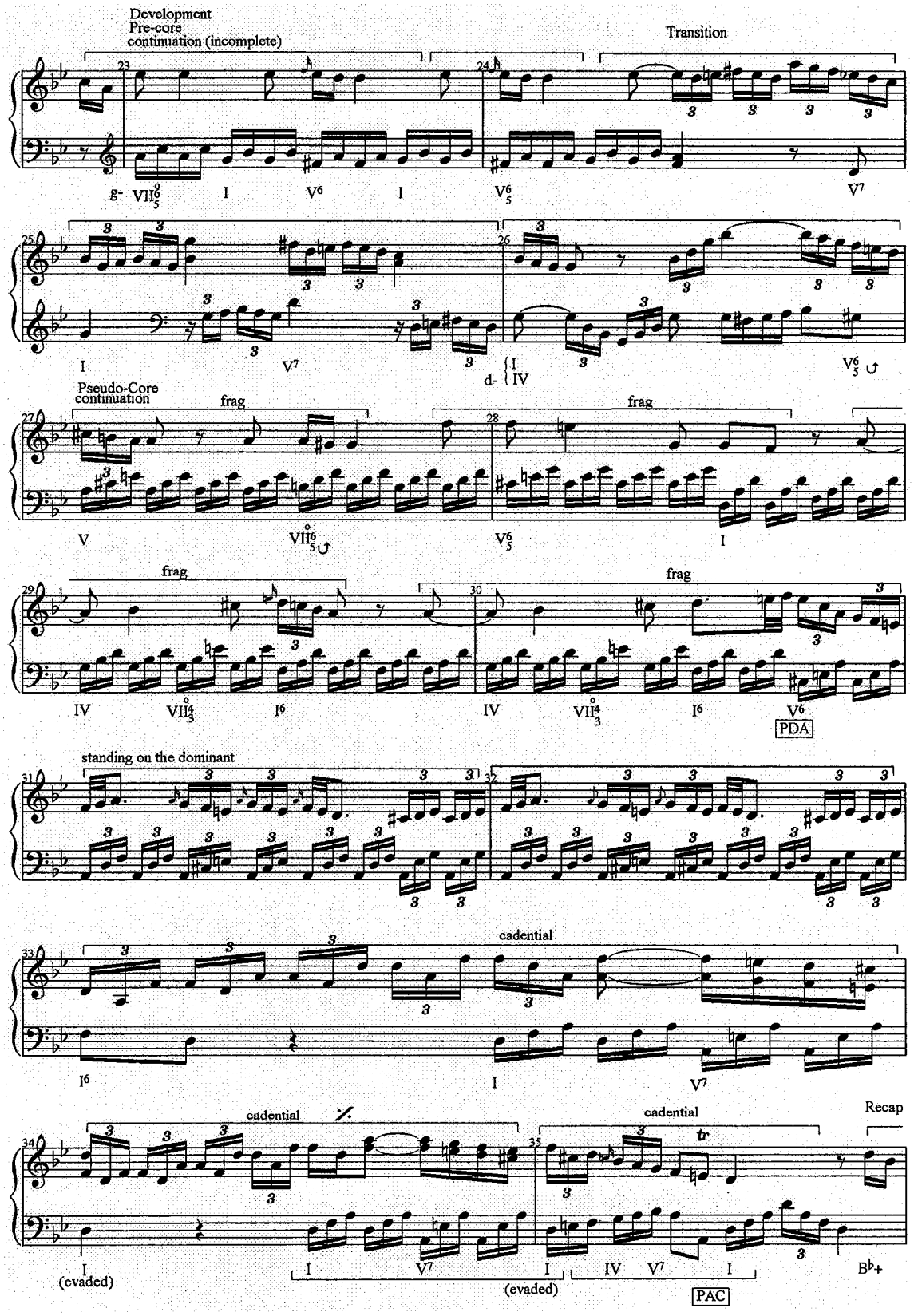
[37] Caplin, 155.

Example 2-4 Development of Sonata in B-flat Major, mm. 23-35



In addition to cores and pseudo-cores, Bach organizes development sections with subordinate theme-like units. Subordinate theme-like units normally provide instability through loosening techniques similar to those of a subordinate theme.[38] Bach's early sonatas mainly feature subordinate theme-like units instead of a core in the development; however, Bach also uses this type of organization following a core in the Op. 5 sonatas. I will first look at an example in the Op. 5 collection before addressing an earlier example.

A subordinate theme-like unit follows the core in the development section of Op. 5 No. 4. The core introduces new material, while the subordinate theme-like unit reworks material from the exposition (compare Examples 2-5 and 2-6). Bach reuses material from the continuation of the main theme (Example 2-6, mm. 5-6) in the basic idea of the presentation (Example 2-5, mm. 64-67) of the subordinate theme-like unit. The basic idea is stated three times: the first two statements prolong the tonic (mm. 64-67), while the third begins a continuational phrase (mm. 68-71). The subordinate theme-like unit maintains the excitement of the core and provides momentum towards the cadence confirming the development key of c minor. Bach avoids overt repetition by presenting previous material in small units, not merely repeating an entire phrase or thematic unit. Additionally, Bach clearly differentiates the sentential subordinate theme-like unit from the preceding model-sequence technique, fragmentation and standing on the dominant of the core. The overall construction of the subordinate theme-unit in Op. 5 No. 4, however, resembles that of a main theme in its very tight-knit organization. Since this unit follows a core, the lack of loosening techniques is less problematic than if it had stood on its own in the development.

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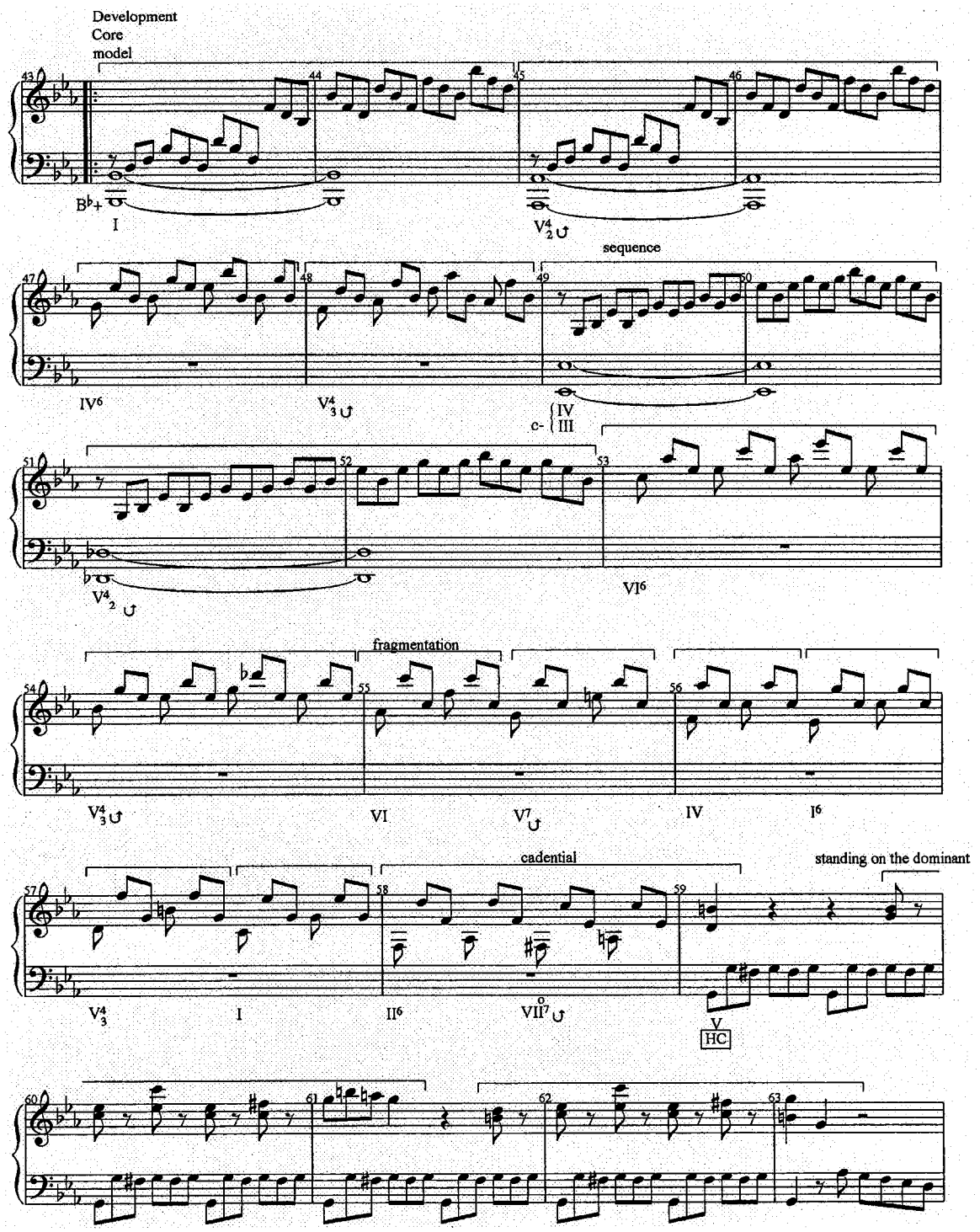
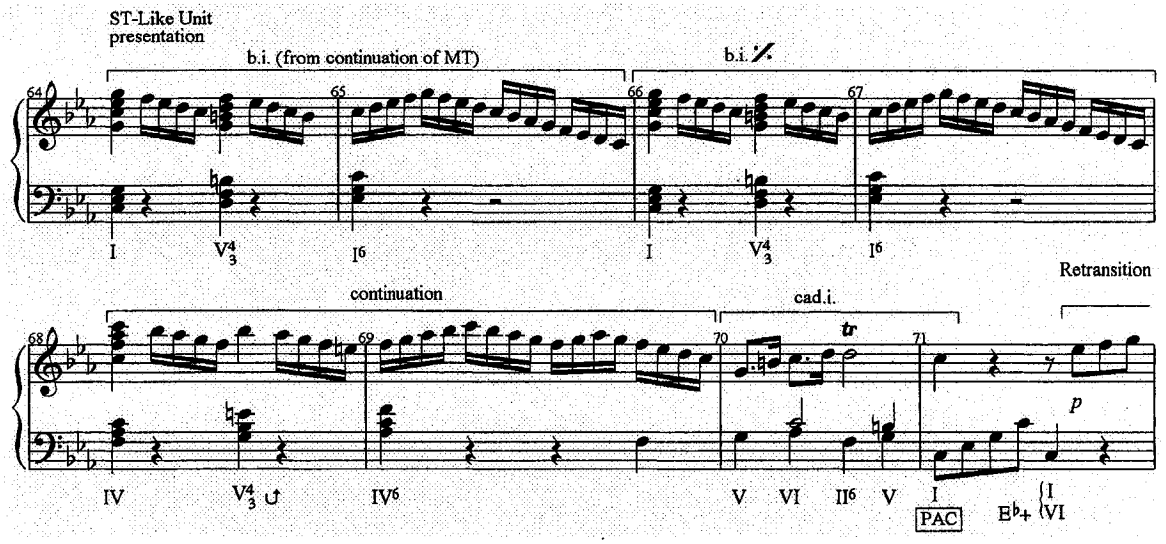
[38] In Chapter 1, I discuss Bach's loosening techniques in subordinate themes in detail.

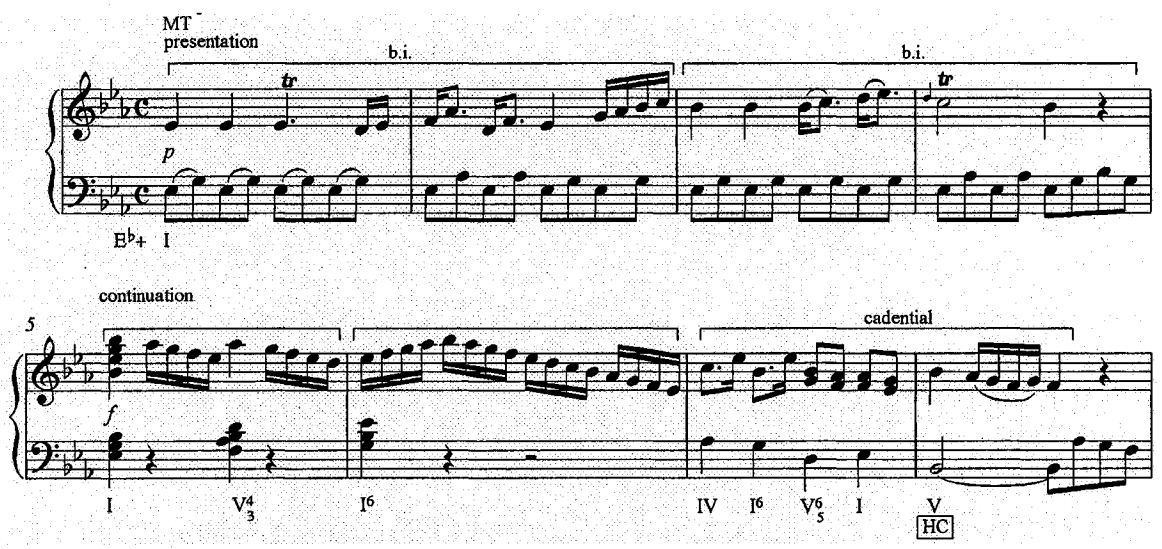
Example 2-5 Development of Op. 5 No. 4, mm.43-71.



(Example 2-5 continued)



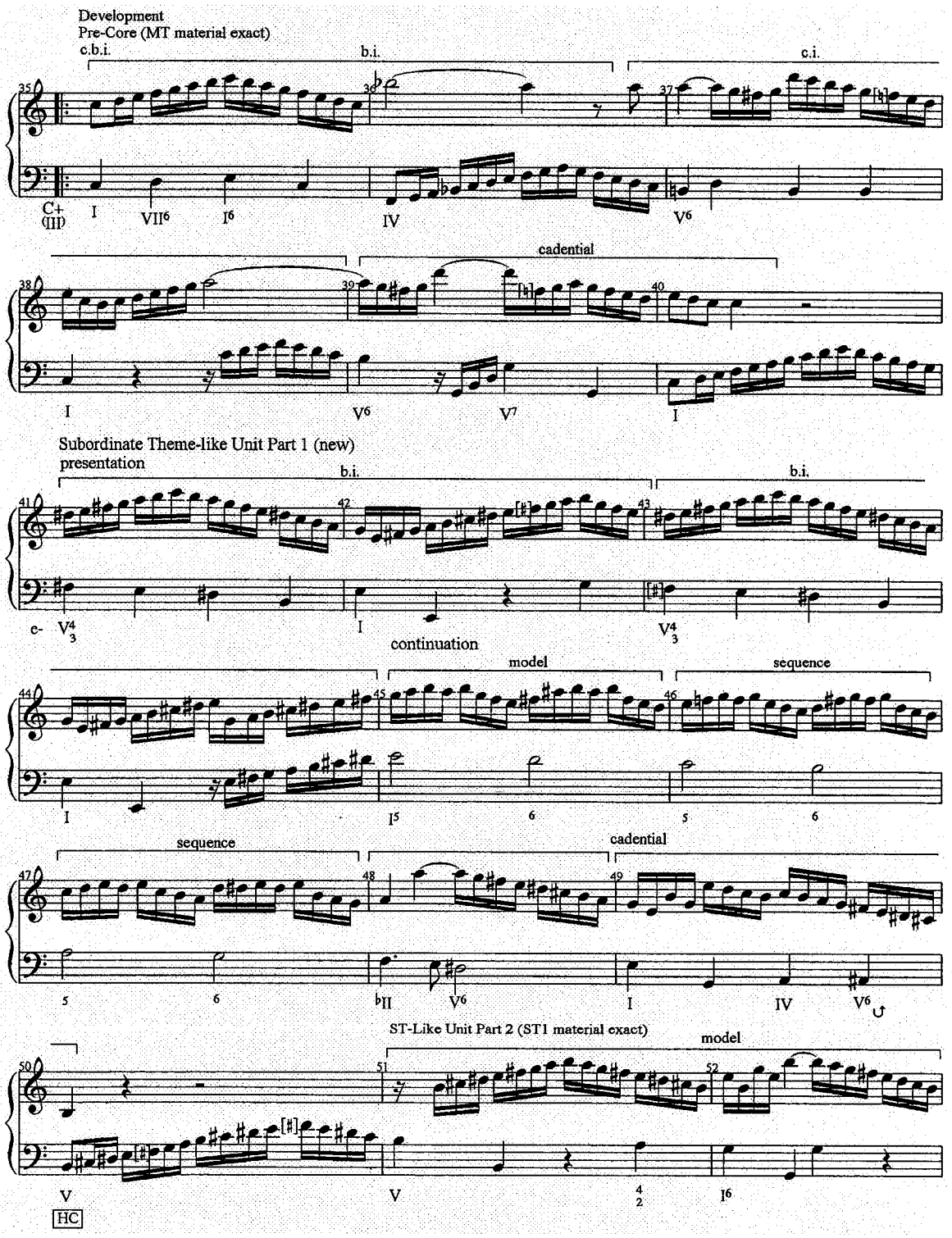
Example 2-6 Presentation in the exposition of Op. 5 No. 4, mm. 1-8



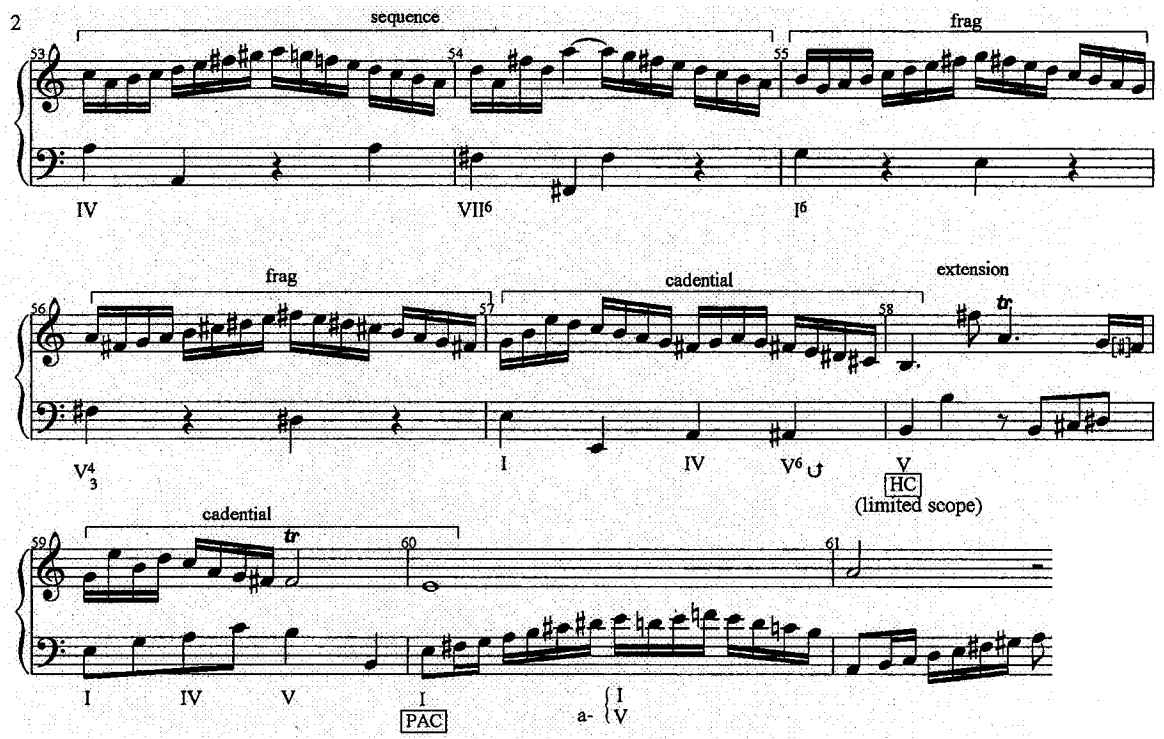
I will now turn to the Solo in A minor's development, which features subordinate theme-like units exclusively. As shown in Example 2-7, the development is comprised of a pre-core (mm. 35-40) and a two-part subordinate theme. (mm. 41-61). Bach reintroduces material of the exposition in the development, but he recycles entire thematic units. The pre-core is an exact repetition of the main theme, transposed to C major.

Additionally, part 2 repeats subordinate theme 1 from the exposition in its entirety, transposed to e minor.

Example 2-7 Development of Solo in A minor, mm. 35-61.



(Example 2-7 continued)



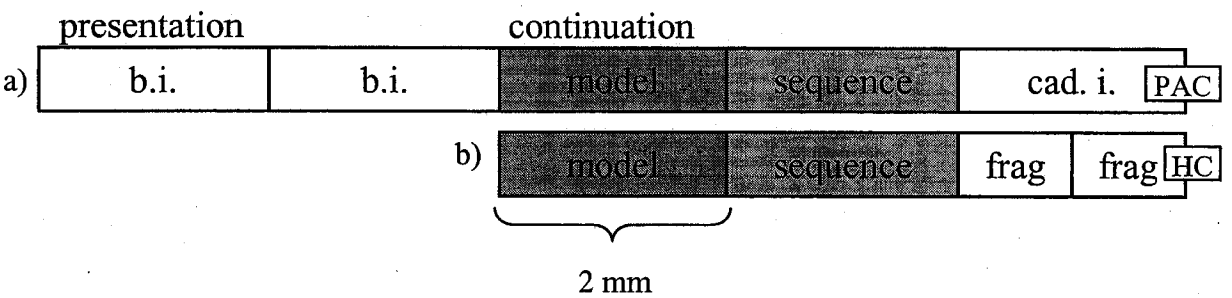
Bach does not form-functionally differentiate between the two parts of the subordinate theme-like units. In addition to the melodic and textural similarity though ascending and descending scalar passages with quarter-note accompaniment in the left hand, parts 1 and 2 are similar phrase-structurally, featuring descending small sequential stepwise units. Although the subordinate theme-like units are 'looser' than the more 'tight-knit' main theme through emphasis on dominant harmony and model-sequence technique, the development section does not provide destabilization comparable to the core of the later sonatas. The model-sequence technique is unfocussed, repetitive and does not strongly motivate resolution to tonic in the recapitulation.

Overall, Bach's earlier attempts at subordinate theme-like units feature excessive repetition and lack differentiation of formal units. In later sonatas, Bach develops smaller

units rather than large restatements and clearly distinguishes the subordinate theme-like unit from preceding material.

How do subordinate theme-like units relate to core technique? I suggest that core technique develops out of expanding the continuation phrase of subordinate theme like-units. These units often employ model-sequence technique within the continuation phrase, with the model ranging from half a measure to two measures in length. Even within Bach's more developed sonatas, the core may be comprised of a model only two measures in length.[39] Figure 2-1 reveals the similarity between the two approaches; core technique drops the initiating presentation phrase of the subordinate theme-like unit and begins with continuational elements. Bach further destabilizes the core through fragmentation and the goal of dominant harmony. The subordinate theme-like units, therefore, can be directly linked to core technique, despite the difference in harmonic goal.

Figure 2-1 Comparison of a) Subordinate Theme-like Unit and b) Small Core with Model-Sequence Technique and Fragmentation



Since he moves from using subordinate theme-like units in early sonatas to core technique in later sonatas, Bach increasingly focuses on model-sequence technique in the development sections. Bach favours model-sequences to provide a sense of

[39] For example, the subordinate theme-like unit part 2 of the Solo in A Minor has a two-measure model, which sequences twice in the continuation. The core of Op. 17 No. 1 also has a model of only two measures in length, followed by fragmentation and a half-cadence.

destabilization within the development, reaching its culmination within the larger core sections of the Op. 17 sonatas.

The organization of Bach's development sections evolves from the early sonatas to the later collections. In addition to the change from subordinate theme-like units to cores, Bach also refines the phrase and thematic functions used in the development sections. First, he develops small units rather than superfluous repetition of phrase or thematic units. Additionally, model-sequence technique becomes more harmonically focused, but more expansive, providing further instability and tension in the development. Finally, Bach differentiates the phrase-functions of the core or subordinate theme-like unit from preceding material.

Recapitulation Strategies

Based on my analyses I suggest that Bach writes four different types of sonatas listed in Table 2-2.

Table 2-2 Bach's Four Types of Sonata movements

1	sonata with development	full recap
2	sonata with development	truncated recap
3	sonata without development	full recap
4	sonata without development	truncated recap

Bach either writes a recapitulation that contains all of the thematic functions of the exposition (type 1 or 3) or eliminates one or more of the thematic functions creating a truncated recapitulation (type 2 or 4). The majority of Bach's first movement sonatas consist of type 1, but other types appear in first, second and third movements. Only two sonatas feature a full recapitulation with no structural changes. Bach more often writes a

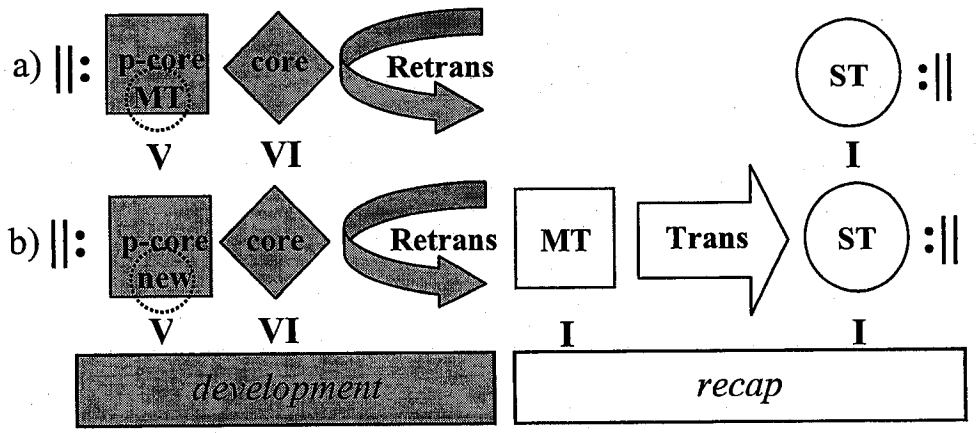
slightly altered or condensed full recapitulation, which may involve significant structural changes, such as deletion of thematic restatements or the addition of a second transition. The recapitulation beginning with transition or subordinate theme function constitutes a truncated recapitulation, which is common in mid-eighteenth century works.[40] Table 2-3 summarizes the relative frequency of the strategies in Bach's sonatas.

Table 2-3 Bach's typical recapitulation strategies

Full Recapitulation	rare
↳ Altered/Condensed Full Recapitulation	common
Truncated Recapitulation (beginning with Transition or ST)	common

To provide a sense of overall balance in the sonata, Bach frequently bases the material in the recapitulation on preceding material in the development; the main theme returns in the recapitulation less often if Bach directly bases the pre-core on material of the main theme (Figure 2-2a). If Bach uses new material within the pre-core, main theme function most likely returns in the recapitulation (Figure 2-2b).

Figure 2-2 Comparison of strategies (a) truncated recap (beginning with ST) (b) altered/condensed full recapitulation



[40] Charles Rosen, *Sonata Forms* (New York: W.W. Norton & Co., 1988): 144.

Of the sonatas without a development, only those with truncated recaps appear as first movement sonatas.[41] Figure 2-3 and 2-4 diagram the constituent thematic functions of the sonatas without development, Op. 5 No. 1 and Op. 5 No. 5 respectively.

Figure 2-3 Diagram of Op. 5 No. 1

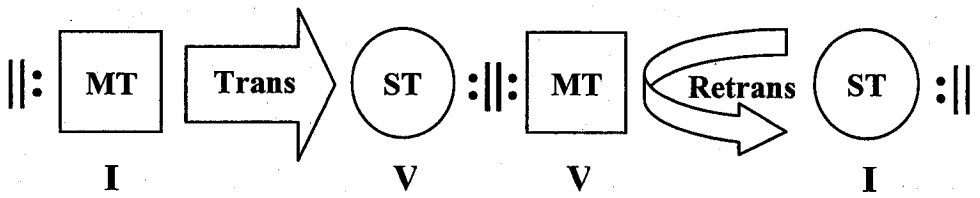
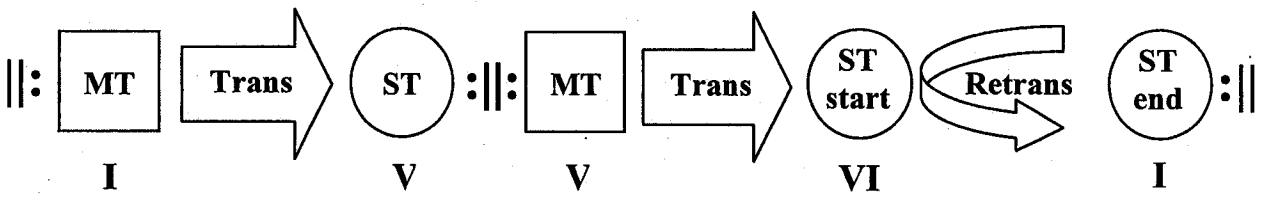


Figure 2-4 Diagram of Op. 5 No. 5



In Op. 5 No. 1 (Figure 2-3), Bach mirrors the functions of main theme, transition and subordinate theme in the second half of the piece by presenting the main theme after the double bar line in the dominant, followed by a retransition leading to the subordinate theme in the tonic. Bach alters only the main theme and subordinate theme through transposition, and therefore the original functions are retained. The retransition, slightly more extensive than the transition from the exposition, provides a stronger impetus for the return of the recapitulation in the tonic with the subordinate theme.

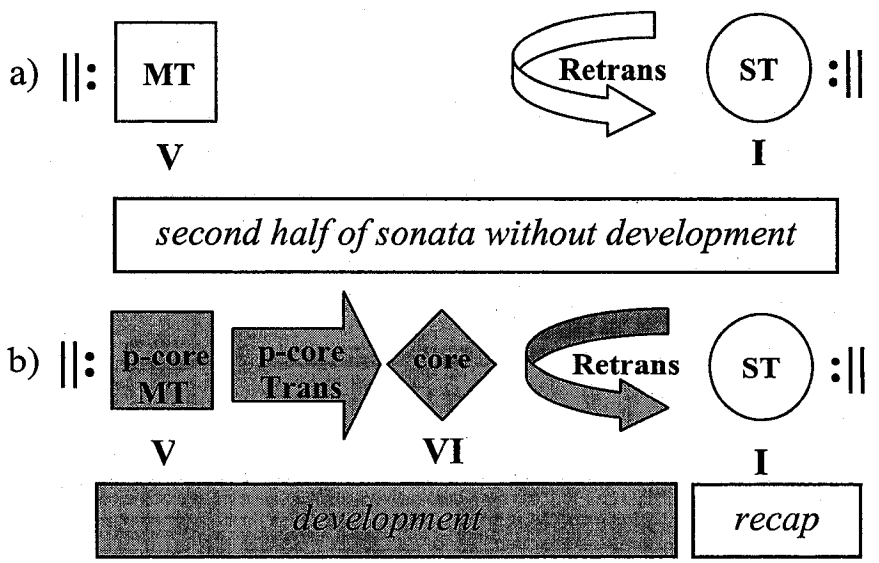
Figure 2-4 illustrates the layout of the other first-movement sonata without development, Op. 5 No. 5. The elements of the second half are slightly rearranged and enlarged in comparison to Op. 5 No. 1. After transposing the main theme to the dominant,

[41] Bach uses type 3 sonatas in second and third movements, which will be discussed in further detail in Chapter 3.

Bach leads the original transition to the subordinate theme in the key of the submediant (VI). The retransition is placed directly between the initiating and concluding phrase functions of the subordinate theme (marked "start" and "end" respectively). In both of these examples, all of the functions of the exposition return in the second half. Bach transposes the main theme from tonic to the dominant and the subordinate theme from the dominant to tonic. Sonatas without development, with a full recapitulation do not contain the same dynamic process since the main theme returns in the tonic and only the subordinate theme is transposed from dominant to tonic in the second half. The overall tonal process of the sonatas without development with truncated recapitulation (I-V, V-I) or (I-V, V-(VI)-I) sustains the polarity of tonic and dominant from the exposition to the second half, which appears to be an important element for Bach's first movement sonatas.

Figure 2-5 demonstrates a striking similarity between sonatas with a truncated recapitulation, types 2 and 4. Type 2 (Figure 2-5b) corresponds to type 4 (Figure 2-5a) in key respects, but demonstrates an expansion of the second half.

Figure 2-5 Comparison of second half of (a) sonata without development and (b) development and truncated recap



In the second pattern, the pre-core features material of the main theme but may also include passages from the original transition. The recapitulation occurs only with the subordinate theme in the tonic. From the first to the second pattern, only a core is added within the thematic functions of the second half of the binary sonata. The above figure demonstrates that Bach's sonatas without a development are not formal deviants, but instead reveals a close connection between the two types of sonatas. The differences in large-scale form reveal Bach's experimentation with phrase-functions, ultimately searching for balance between repeating earlier material and presenting new ideas.

I will now provide specific examples of Bach's recapitulation strategies and illustrate how he refines phrase and thematic functions from the early to later collections. I first discuss Sonata in A-flat Major, Toccata in B-flat Minor, and Op. 5 No. 2 to provide examples of slightly-altered full recapitulations. I shall then illustrate truncated recapitulations (beginning with transition or subordinate theme) in Op. 17 No. 1 and Op. 6 No. 6. Finally, I deal with the premature recapitulation anomaly in Op. 17 No. 5.

Full recapitulation

The Sonata in A-flat (Appendix A-9) provides an example of a slightly altered-full recapitulation. In measures 1-8, two presentation phrases comprise the main theme, followed by a transition. In the exposition, the second presentation initially appears redundant. Bach, however, uses the material of the first presentation for transitional function in the pre-core of the development (mm. 30-35) and in the first presentation in the retransition (mm. 46-52) to modulate back to the home key. The recapitulation occurs in measure 54 with the onset of the second presentation in the tonic. The material of the main theme's first presentation does not return due its use in the development and

retransition. The only other alteration in the recapitulation is the addition of a second transition, which provides a greater expectation for the subordinate theme in the tonic. By writing a redundant presentation function in the main theme of the exposition, Bach uses main theme material in transitional areas and retains main theme function in the recap without becoming repetitive at the onset of the recapitulation.

The majority of recapitulations include a similar succession of material to the exposition, whether or not all functions are present. One exception is the Toccata in B-flat Minor, where the presentation of the subordinate theme-like unit in the development actually returns as the new presentation of the subordinate theme in the recapitulation (see Appendix A-7). In the recapitulation, the added presentation phrase precedes the expositional subordinate theme part 2. This succession of material creates a more typical and logical sentence than the continuation-only phrase of the subordinate theme of the exposition.

Op. 5 No. 2 features a full recapitulation with only small structural changes (see Appendix A-27). Bach organizes the expositional main theme as a repeated compound basic idea (mm. 1-8) without cadential confirmation. In the recapitulation, Bach reinterprets material from the transition of the exposition (mm. 9-16) as a continuation in the recapitulation, providing closure to the main theme with a perfect authentic cadence. Bach omits the transition and standing on the dominant between the main theme and subordinate theme. Due to this change, Bach avoids excessive dominant emphasis by eliminating the standing of the dominant at the end of the transition, but retains standing on the dominant at the end of the development and the internal standing on the dominant of the subordinate theme.

In the above examples, Bach adds only slight changes to the recapitulation. He reinterprets thematic material of the exposition to take on new functions in the recapitulation. He also reuses material of the development section to create a more logical sentential form in the subordinate theme.

Truncated Recapitulation

I will now turn to an example of a truncated recapitulation (beginning with the transition): Op. 17 No. 1 (Appendix A-47). In the exposition, the transition (mm. 8-15) in measures 8-15 prolongs tonic harmony (marked on the score with square brackets). The sense of destabilization normally characteristic of transition function is not entirely present here, especially because the shift to dominant harmony occurs only in the last two measures. Bach exploits the stability of the transition in the recapitulation. Since he presents the complete main theme in the pre-core in measure 42, Bach omits main theme material in the recapitulation, beginning in measure 75 with the transition. I would like to suggest that the impression of main theme function is still present, without the return of the actual theme. The tonic stability and tight-knit design of the transition provides a solid return to the home key.[42] Bach also reinterprets the thematic functions of the subordinate theme (marked with round brackets). The presentation phrase of the first part of the subordinate theme (mm. 16-19) returns in the recap (mm. 82-85), eliding with the half cadence. Due to the elision, Bach achieves a post-cadential standing on the dominant, rather than the original initiating function, especially since the expositional continuation phrase is omitted in the recapitulation. The new dominant emphasis of this phrase

[42] It is important to note, however, Bach still retains the closing half-cadence, which is characteristic of transition function.

prepares for the arrival of strong tonic harmony to begin the subordinate theme in measure 86. Overall, Bach omits the main theme and reinterprets material to maintain interest in the recapitulation. The succession of events does not change, however thematic elements acquire new functions in the recapitulation to avoid redundancy.

Earlier sonatas tend to avoid overt repetition by omitting material in the recapitulation outright, while later sonatas compress or reinterpret material. Although very little main theme material is used in the development section (mm. 30-47), Op. 5 No. 6 begins the recapitulation with the subordinate theme 2 (mm. 48ff, see Appendix A-21). I suggest that Bach eliminates the main theme from the recapitulation due to the melodic and harmonic similarities of the main theme (mm. 1-7) and subordinate theme 2 (mm. 18-29). The left-hand material of both themes uses an arpeggiated tonic chord combined with a triadic right hand melody. Additionally, the harmonic motion oscillates between tonic and dominant harmony (VII^6 or V^7). Since the themes are so similar, Bach requires only the subordinate theme to reestablish the tonic in the recapitulation.

Another interesting anomaly is the presence of a premature recapitulation in Op. 17 No. 5. As shown in Example 2-8, the development begins with a pre-core comprised of new material. Immediately following, the music reverts to the tonic key, with the compound basic idea of the main theme. The core follows the interruption with model-sequence technique. Charles Rosen discusses this phenomenon as a stereotype found in sonatas between 1750 and 1800.[43] The premature recapitulation should not be confused with the false recapitulation described by Caplin, where the main theme material is presented in a non-tonic key in the retransition before the eventual true recapitulation.[44]

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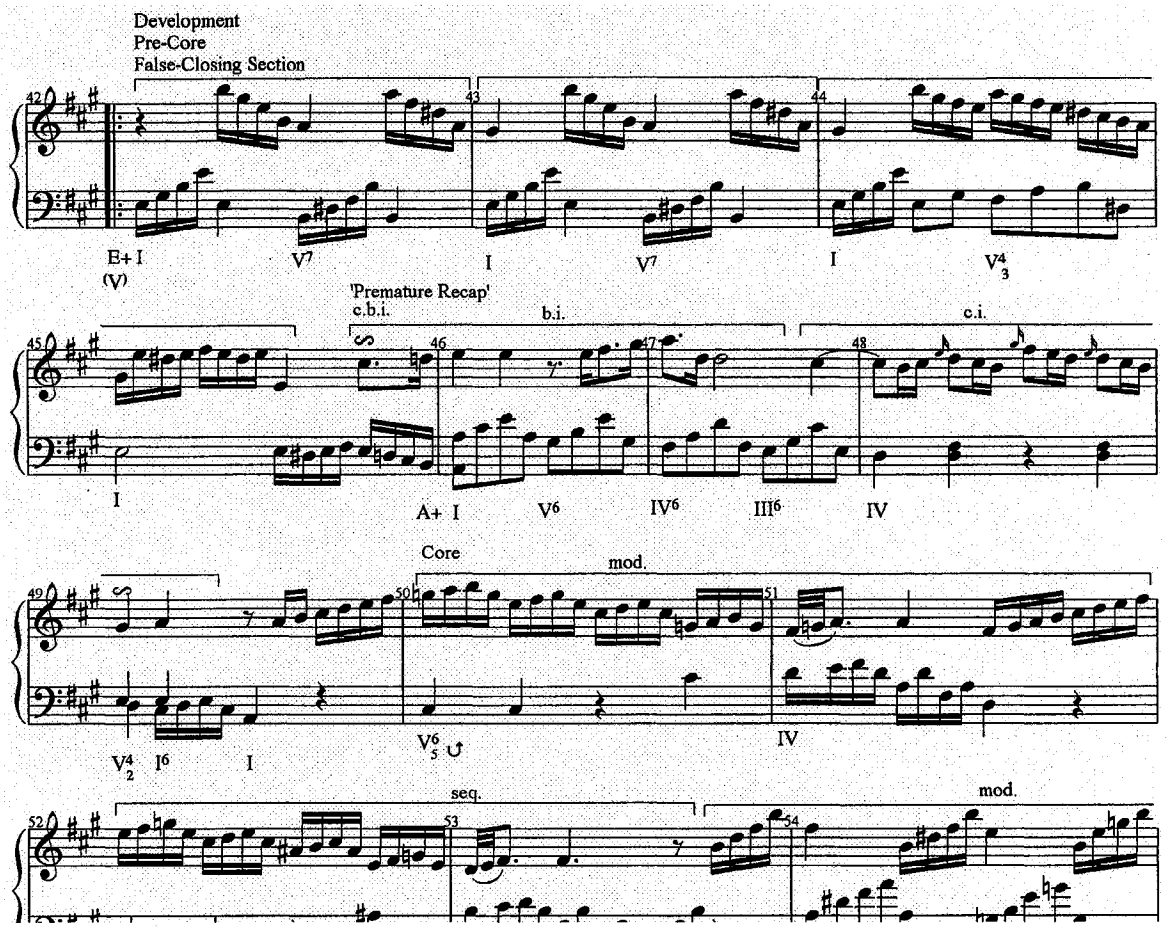
[43] Rosen, 156-157.

[44] For a discussion of various theoretical interpretations of the false recapitulation, see Caplin, 159.

Example 2-8 Segment of development section of Op. 17 No. 5, mm. 42-52.



with the order and appearance of thematic functions within the development and recapitulation.

With the above exception, Bach's concern for avoiding redundancy reaches its culmination in the Op. 17 collection. Most of the early sonatas contain less differentiation of functional units and repeat large sections of music. In addition to repeating the subordinate theme in the development and recapitulation, the Solo in A minor, for example, presents the main theme in its entirety three times: in the exposition, the pre-core of the development and at the beginning of the recap. This type of recurrence of thematic functions gradually disappears by the later sonatas. Additionally, the type of efficiency and balance of material discussed in Op. 17 No. 1 demonstrates Bach's refinement of formal functions, regardless of the larger-scale form.

Through the comparison of the solo keyboard sonatas in the early, Op. 5 and Op. 17 collections, I demonstrate Bach's experimentation with phrase and thematic content within developments and recapitulations. Bach strives for more direction and omits superfluous repetition in model-sequence technique of the core. The subordinate theme-like units in the development section become more destabilizing to motivate the recapitulation. Bach gradually achieves a greater differentiation of functions and balance of new and unrelated material among the larger sections. Although there is not a distinct progression from 'deviant forms' to an ideal large-scale model, Bach more importantly refines the phrase and thematic functions of the development and recapitulation, revealing an important contribution to the evolution of sonata form.

CHAPTER 3: Bach's Second and Third Movements

In the previous two chapters, I address the first movements of Bach's solo keyboard sonatas. The aim of this chapter is to discuss how Bach utilizes different techniques to reduce the relative weight of the second and third movements (from now on: later movements) in relation to the first movement. In other words, I demonstrate how Bach ensures that the first movement of the sonata is more substantial in length and character than the later movements. First, I compare the sonata forms of the first movement to the later movements in sonata form, and then discuss other types of later movement formal structures (theme and variations, minuet and trio, and rondo) and formal functions at the phrase and thematic levels.

Table 3-1, located at the end of the chapter, contains the large-scale formal type and tempo indication for all of Bach's solo keyboard sonatas. The sonatas contain two or three movements, normally following a tempo pattern of fast-slow-fast or fast-slow. The majority of the second movements are slower than the first movement. For reasons that I suggest later, several of Bach's Op. 17 two-movement sonatas feature a movement that is faster in tempo than the first movement. In high-classical sonatas, composers use several different formal types in slow movements: sonata form with changes, large ternary, sonata without development, and theme and variations.[45] Other types include "minuet and trio" and rondo for faster movements. Bach uses all of the above types in his later movements (except the large ternary), regardless whether the movement is in a slow or fast tempo. All four sonata types can be found in his later movements: sonata with development, sonata with development and truncated recapitulation, sonata without development, sonata without development and truncated recapitulation (shown earlier in

[45] Caplin discusses these formal types in *Classical Form,* 209-218.

chapter 2, Table 2-1).[46] Bach also writes theme and variations, minuet and trio, and rondo forms in his later movements.

The non-sonata formal types are inherently less weighty than the sonata form of the first movement. For the theme and variations, Caplin explains, "Compared with all other full-movement forms, it is the least complex ... the basic plan is simple: a main theme, constructed as either a small ternary or small binary, is followed by an indefinite number of varied repetitions."[47] The minuet and trio is a tripartite structure (minuet-trio-minuet), comprised of small ternary form in both of the minuet and trio: exposition (A), contrasting middle (B), and recapitulation (A').[48] The five-part rondo consists of an alternation of three refrains and two couplets (ABACA).[49] The refrains assume main theme function, while the couplets consist of a subordinate theme complex, interior theme or development-like organization. By using one of these forms in an inner movement, composers project a lighter character than the first movement sonata form. If a sonata form is used in an inner movement, composers often employ certain modifications.[50] Caplin states, "Most notably, a slow-movement sonata often fuses the transition and subordinate-theme functions, eliminates the entire transition (a technique favored by Mozart), or reduces the size of the development section (favored by Haydn)."[51] Bach uses the above adjustments in the later movements, but also avoids extension and expansion of phrase functions to diminish the extent of the thematic units.

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[46] Chapter 2 explores these sonata types in greater detail.
[47] Caplin, 217.
[48] Caplin discusses Minuet/Trio Form in *Classical Form,* 219-230.
[49] Caplin describes five-part rondo and sonata-rondo, 231-241.
[50] Caplin, 209-211.
[51] *Ibid.*, 209.

Early Sonatas

All of the early sonatas contain three movements, following the pattern fast-slow-fast (for example: Allegro-Andante-Allegretto), except for Toccata in B-flat minor, from which only one movement survives. Most of the later movements in this collection are in sonata form (the exception will be discussed later). Bach does not use theme and variations, minuet and trio, or rondo forms until the Op. 5 collection. In the early sonatas, the second and third movements are less weighted compared to the first movement in two respects. Since all of the first movements are sonatas with development (type 1), Bach composes the later movements to be less substantial in overall form by eliminating the development section and/or truncating the recapitulation (types 2, 3 or 4). Bach also reduces the weight of the later movements to a limited extent, by eliminating or compressing phrase and thematic functions. At this point, I turn to the Sonata in A-flat major and the Solo in A minor.

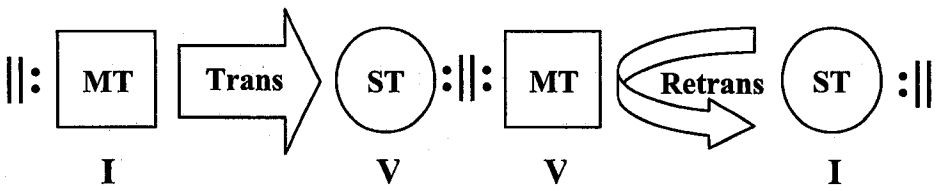
In the Sonata in A-flat major, the second movement (Appendix A-11) is comprised of a sonata without development (type 3) and the third movement (Appendix A-13) is comprised of a sonata without development and with a truncated recapitulation (type 4). Bach eliminates the development section in order to substantially reduce the size compared to the type 1 first-movement sonata. He also slightly reduces the weight of the thematic functions compared to the first movement. For example, Bach composes both the main theme and subordinate theme of the first movement to be more substantial than the comparable thematic units in the second movement. The first movement (Appendix A-9) features a main theme with two presentation phrases (mm. 1-8) to create a twelve-measure main theme. He also uses significant subordinate-theme loosening techniques (three evaded cadences motivate the addition of a standing on the dominant mm. 17-20

and cadential phrases mm. 21-29). In contrast, the main theme of the third movement is shorter than the first movement and the subordinate theme is only extended slightly due to one evaded cadence. Bach composes the second and third movements to be less substantial not only through the elimination of a development section, but also slightly through less expansive phrase and thematic functions.

The second movement of Solo in A minor (Appendix A-4) does not resemble any of the four sonata types or other later movement forms. Bach compresses the main theme (mm. 1-6) into six measures, confirmed with a perfect authentic cadence. The subsequent material functions as transition part 1 (mm.7-12) and part 2 (mm. 13-20), modulating to a minor. Directly following this transitional material, the music returns immediately back to the home key via a retransition with main theme material (mm. 21-26) and model-sequence technique (mm. 26-34). The final eight measures resemble a subordinate theme. The resulting formal type appears to be a compression of a type 4 sonata (sonata without development and truncated recap) by eliminating the statement of the subordinate theme in the first half and the statement of the main theme in the second half (see Figure 3-1). Bach removes the subordinate theme and main theme functions in the interior of the sonata, which results in a compact sonata form. The majority of the movement involves transitional or retransitional formal functions (mm. 7-33), with only the first six and last eight measures as main theme and subordinate theme functions, respectively. This organization directly contrasts the extensive repetition of the first-movement sonata (see Appendix A-1), where main theme and subordinate theme stated three times in total, as I describe in Chapter 2.

Figure 3-1 Comparison of a) type 4 sonata to b) compressed sonata from Solo in A minor

a)



b)

Op. 5 Sonatas

Bach composes all of the movements of the Op. 5 sonatas to be less expansive in general compared to the early sonatas. Half of the first-movement sonatas do not even contain a development section. None of the second movements of the Op. 5 collection feature a sonata with development (types 1 or 2), and none of the third movements include a movement in sonata form. Bach still provides more weight to the first-movement sonata through utilizing (in the later movements) other formal structures, such as theme and variations, minuet and trio, and rondo. Additionally, Bach significantly increases the relative weight of the phrase and thematic functions in the first movement compared to the later movements, regardless of the overall form. In this section, I compare the relative weight of the later movements in sonata form to the first movement in sonata form. Next, I discuss the phrase and thematic functions of later movements in theme and variation, minuet and trio and rondo forms.

As discussed above, all of the later sonatas of the early collection are less substantial than the first movement mainly due to large-scale structure. The same is not true for the Op. 5 collection; the first two movements of Sonata Op. 5 No. 5 (see Appendix page A-41 to A-44) feature identical large-scale form (type 4 - sonata without development, truncated recapitulation). The Adagio tempo of the second movement

warrants the reduction in length to about half as many measures as the first movement. Since both movements do not have a development section, Bach enlarges transitional and retransitional areas in the first movement. The first movement contains an extensive transition, almost three times the length of the one in the second movement. The main enlargement, however, occurs in the second half of the first movement. Main theme, transition and subordinate theme functions return and a retransition is inserted in between in the beginning and the ending of the subordinate theme.[52] As shown in Example 3-1 below, the transition modulates to c# minor (VI) and the subordinate theme begins in this key. An extensive retransition (mm. 71-77) uses model-sequence technique to modulate back to the home key. The remainder of the subordinate theme begins with the cadential phrase of the subordinate theme continuation (mm. 81ff).

In the second movement, a relatively small retransition (mm. 30-37) returns to the home key (see Example 3-2 below). Bach fuses the beginning of the main theme (mm. 38-44) to the end of the subordinate theme (mm. 46-51). By compressing the second half of the sonata, Bach significantly reduces the length of the second movement. Although both the first and second movements consist of sonata type 4, the first movement is enlarged through retaining main theme, transition and subordinate theme functions and writing an extensive retransition in the second half of the sonata (compare Figures 3-2a and b). Bach diminishes the size of the second movement by fusing the beginning of the main theme with the end of the subordinate theme and eliminating the transition altogether. Overall, Bach does not rely on large-scale form alone, but composes the second movement to be much less substantial than the first movement.

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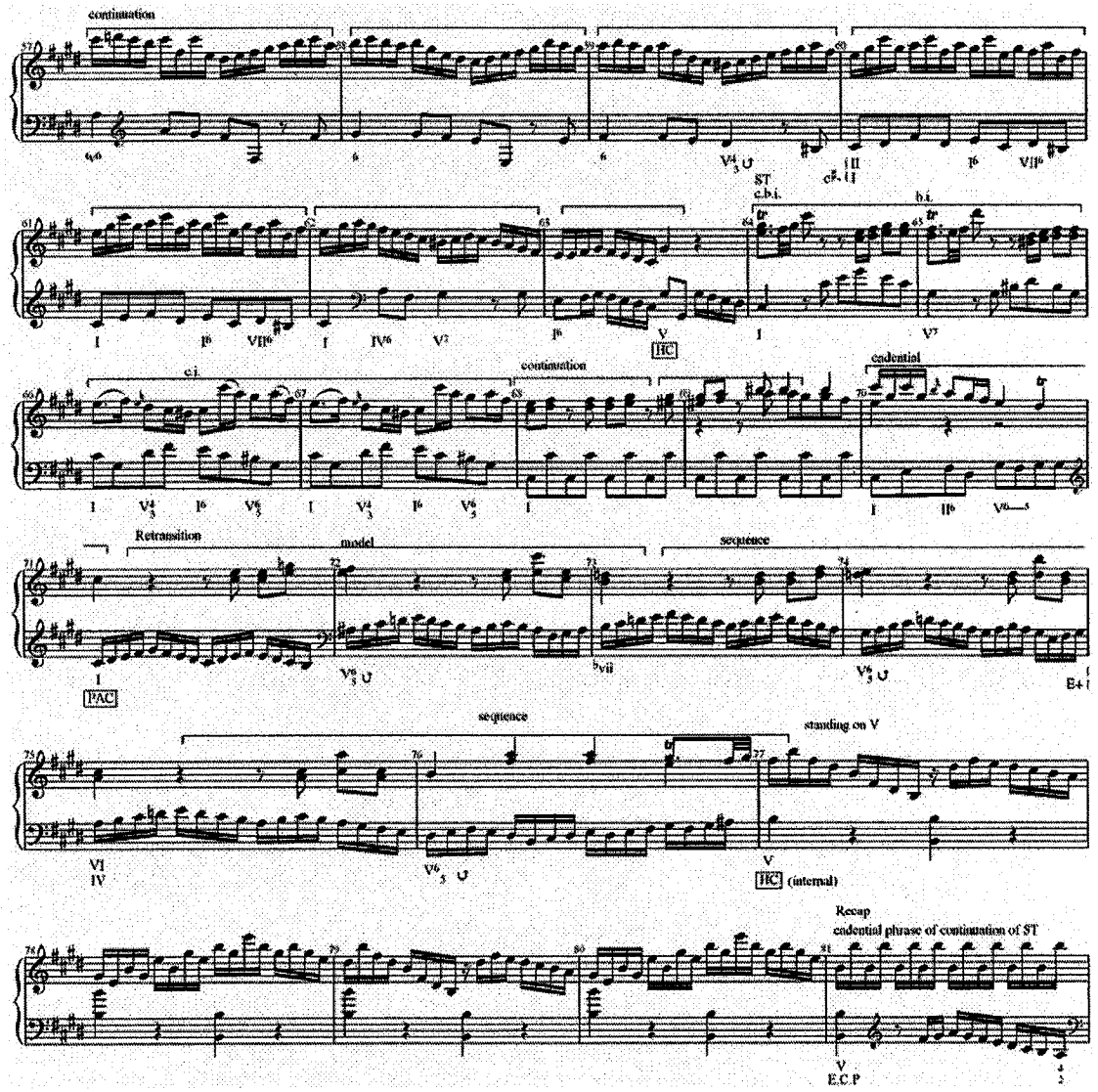
[52] I also discuss the construction of second half of the first movement of Op. 5 No. 5 in detail in Chapter 2.

Example 3-1 Transition, subordinate theme, retransition, and second part of the subordinate theme of the first movement of Op. 5 No. 5 (mm. 57-81)



Example 3-2 Second half of the second movement of Op. 5 No. 5, mm. 30-51.

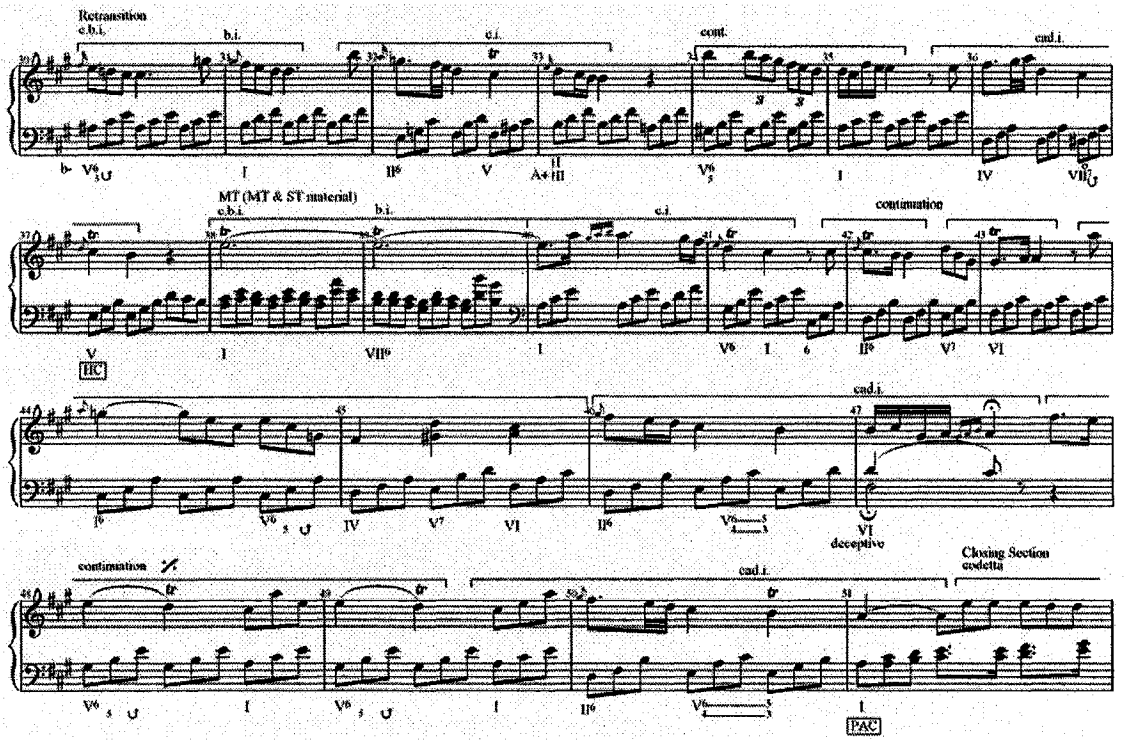
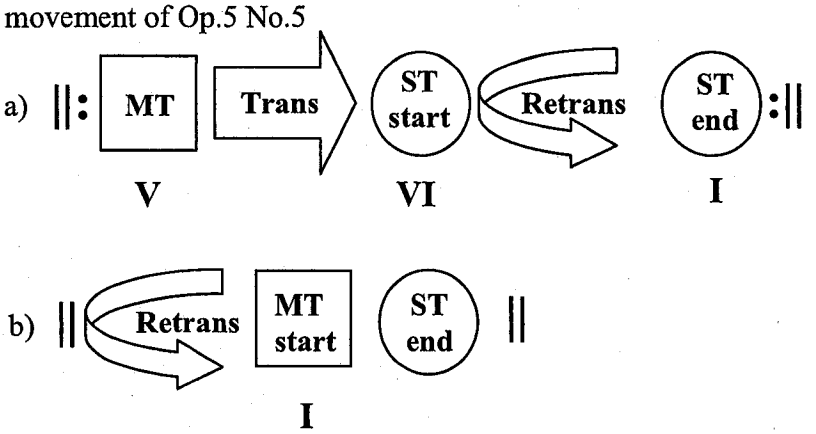


Figure 3-2 Comparison of the second halves of the a) first movement and b) second movement of Op.5 No.5



As I discussed above, theme and variations, minuet and trio and rondo forms are inherently less substantial than sonata form. In Bach's theme and variations movements, a thematic unit is repeated and varied, but never enlarges beyond the framework of the original theme. Bach's minuet and trios do not develop beyond the small-scale structure

of two or three thematic units. In rondo movements, Bach returns relatively quickly to the refrain since his couplets remain compact and non-discursive. At this point, I discuss Bach's use of phrase and thematic functions while looking at examples of each non-sonata formal type.

The second movement of Op. 5 No. 3 consists of theme and variations (Appendix A-34). The small binary theme (mm. 1-16) contains balanced four measure phrases, punctuated with cadences (m. 8 and 16). The first part leads to a half cadence, while the second part leads to a perfect authentic cadence. Bach's variations carefully follow the phrase structure and harmony of the theme. The upper and lower parts alternate between increasing and reducing surface rhythmic activity of the original theme for each successive variation.

Variation 1 (mm.17-32) features a reduction in surface rhythmic activity in the lower part from eighth notes to quarter notes in the first four measures, then returns to the original figuration for the remainder of the variation. The surface rhythmic activity of the upper part increases to constant sixteenth notes. In Variation 2, the reverse is true. A surface rhythmic reduction occurs in the upper part to quarter-note movement (eighth-note chord, eighth-note rest) in measures 33-36. The lower part embellishes the original line in mainly sixteenth-note motion. In measures 37-48 the soprano melodically elaborates the original theme with decorative notes and embellishments. The last two variations feature triplet sixteenth-note patterns, first in the upper part and later in the lower part. High-classical composers often alter the tonal scheme, add passages of extension or interpolation, or provide passages linking the variations.[53] Apart from the rhythmic embellishments and reductions and also melodic variation, the overall formal

[53] Caplin, 218.

and harmonic structure of the theme remains unchanged in Bach's variations. The lack of phrase or thematic extension and expansion as well as its repetitive nature causes the theme and variation movement to be less weighted than the sonata form movement.

The third movement of Op. 5 No. 2 provides an example of a typical minuet and trio movement by Bach (Appendix A-31). The small-ternary forms of both the minuet and the minore feature symmetrical, clearly defined phrase and thematic units. Cadential confirmations occur every four or eight measures. In the A section of the minuet, Bach closes with an imperfect authentic cadence after only 4 measures. Caplin classifies this type of cadence as an *early authentic cadence*, which is normally followed by another thematic unit that either begins in or modulates to a subordinate key.[54] Here, Bach remains in the home key in the A section and concludes with a half-cadence. I suggest that the four measures following the early authentic cadence assume the first part of a transitional function. In the contrasting middle, the second part of the transition fuses with continuation function and modulates to the dominant key. After cadential confirmation of the subordinate theme, a retransition modulates back to the home key. In the return of the A section, Bach rewrites the cadential idea of the original A section to conclude with a perfect authentic cadence.

The contrasting middle (mm. 9-16) of the minuet contrasts with the exposition (mm. 1-8) through melodic/motivic content and the modulation to the dominant key. The contrasting middle of the minore (mm. 37-44) contrasts with the exposition (mm. 29-36) through melodic/motivic content and the change of mode from d minor to F major. The B sections contain slightly looser structures than the A sections, mainly based on the harmonic emphasis. The expositions of high-classical minuets can be as large as a small

[54] Caplin, 221.

sonata exposition. As shown here, Bach writes the Minuet and Trio movements on a much smaller scale than sonata movements. He does not extend or expand the phrase or thematic functions and maintains compact eight-measure units.

The second movement of Op. 5 No. 4 (Appendix A-39) provides an example of rondo form. The movement consists of three refrains alternating with two small couplets. Although the refrains are quite extensive, Bach's rondo ends up being less weighty than the first movement due to the relatively short couplets. The prompt return of the refrain material after brief couplets causes the overly repetitive nature of the rondo. Creating even more repetition, Bach also reuses material from the refrain in the first couplet and the end of the second couplet. The transition-subordinate theme complex (mm. 71-93) contains a two-part subordinate theme (mm. 75-93) that is actually slightly shorter in length than the refrain (mm. 1-24). Overall, Bach avoids expanding and extending the phrase structure in the couplets and emphasizes the already repetitive rondo structure by using main theme material in the concise couplets.

In Chapters 1 and 2, I follow Roe and others who assume the Sonata Op. 5 No. 6 should be grouped with the early sonatas. At this point, I would like to suggest that the third movement (Appendix A-23) appears to be written at a later stage than the previous two movements. I argue that this particular rondo is comparable to the rondo of Op. 5 No. 4, discussed above. Bach clearly defines the periodic main theme of the refrain (mm. 1-8) through phrase structures of consistent length and obvious cadential gestures. The couplets are also very compact compared to the refrain. The only extension technique involves the addition of a cadential phrase in the first couplet after an imperfect authentic cadence (m. 16) and in the second couplet after a deceptive cadence (m. 32).

The extension technique used in this rondo demonstrates Bach's later technique of repeating smaller units when a perfect authentic cadence is withheld. In the early sonatas, Bach repeats large phrase or thematic units (extension technique), even after a perfect authentic cadence. The rondo of Op. 5 No. 6 consists of clear periodic structures with cadences every four or eight measures. Bach writes sentential functions almost exclusively in the early sonatas and also avoids cadential closures. Most importantly, none of the sonatas from the early collection consist of rondo form. Formal types other than sonatas (theme and variations, minuet and trio, and rondo) do not appear until the Op. 5 collection. Based on these findings, I believe that Bach composed the first two movements while in Milan, but added the third movement later to be included in the six sonata set of the Op. 5 collection.

In the Op. 5 collection, Bach compresses and reduces the extent of the phrase and thematic functions in the later movements to place more emphasis on the first movement. Bach diminishes the size of the later movements, even with identical large-scale form. Bach does not expand or extend the phrase-structure of the non-sonata movements to provide more emphasis to the first movement. The inherent design of theme and variations, minuet and trio, and rondo forms provide a more concise format than the dynamic sonata form of the first movement.

Op. 17 Sonatas

Earlier, I suggest that the later movements in the Early and Op. 5 collections are less weighted than the first movement, mainly based on large-scale formal type. In the Op. 17 sonatas, Bach writes the same overall form for two or three movements. As a result, Bach reduces the weight through less extensive thematic functions, particularly in the development sections and through a faster tempo. Many of the second or third movements

contain a Presto or Prestissimo tempo indication. In this section, I discuss examples of sonatas where Bach deliberately creates a disparity in the size of the first movement compared to the later movements through phrase-structural processes or allows tempo alone to reduce the weight of the later movements.

Both of the movements of Op. 17 No. 4 consist of type 1 sonatas (sonata with development). Bach explicitly reduces the weight of the phrase and thematic functions in the exposition and development of the second movement. In the first movement (Appendix A-63), the transition (mm. 7-14) compensates for the relatively compressed main theme (mm. 1-6) by further elaborating main theme material and repeating the cadential phrase (mm. 11-14). An extensive standing on the dominant (mm. 15-20) prepares for the arrival the subordinate theme (mm. 21-28). The second movement (Appendix A-66) has a subordinate theme that actually utilizes more loosening techniques than the first movement. First, Bach begins the subordinate theme with a standing on the dominant,[55] followed by a continuation phrase (mm. 19-26) as well as its complete repeat (mm. 27-24). To counteract the impact of the loosening techniques, Bach reduces the weight of the exposition by eliminating the transition function.

Bach reduces the weight of the development in the second movement to a greater degree. The pre-core involves imitative fragments (mm. 42-47), which function as a lead-in phrase rather than a thematic unit. The entire compressed core, comprised of a model, one sequence and several fragments, leads to a half-cadence in measure 64. Bach does not

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[55] Caplin discusses beginning the subordinate theme with standing on the dominant as a loosening technique in *Classical Form*, 115-117. This particular standing on the dominant is identical in construction to the one in the first movement of this sonata, which I discussed in Chapter 1. Both examples contain a half-cadence in the home key, followed by standing on the dominant of the new key. In the first movement, the standing on the dominant follows an extensive transition and occupies six measures. In the second movement, the standing on the dominant directly follows the main theme and occupies fewer measures.

link the end of the development to the beginning of the recapitulation via a retransition; the sequence of the core modulates back to the home key. In contrast, the development of the first movement contains a complete thematic unit in the pre-core (mm. 29-44) as well as a core (mm. 45-48) and subordinate theme-like unit (mm. 49-62). In particular, Bach extends the later unit through model-sequence technique and repeating the cadential phrase after an evaded cadence. Bach also writes an extensive retransition (mm. 62-67), which involves modulation back to the home key and standing on the dominant. The main difference between the two movements is that Bach exploits the dynamic processes in the first movement's development and substantially reduces the relative weight of the development section in the second movement. The sonata of the second movement, in addition to a faster tempo, features less extensive phrase and thematic units.

The third movement of Op. 17 No. 6 (Appendix A-77) consists of the same formal type as the first movement (Appendix A-72). The first and third movements are sonatas with development and truncated recapitulation; however, Bach extends and expands the phrase and thematic structures of the third movement to the same degree as the first movement. Rather than writing compressed functions in the third movement, Bach extends both the transition (mm. 9-13) and the continuation of the subordinate theme part 1 (mm. 19-22) through model-sequence technique. Fragmentation and two evaded cadences extend the continuation (mm. 29-34) in the subordinate theme part 2. Bach also writes the development section on a similar scale to the first movement. The pre-core (mm. 46-54) consists of repeating the entire main theme as well as transition. Extensive standing on the dominant follows the pre-core (mm. 55-60). The subordinate theme-like unit confirms the development key of d minor. The following retransition uses model-sequence technique to modulate back to the home key. Bach does not reduce or compress

any of the phrase or thematic units. Instead, he uses extension technique to enlarge the exposition and development to the same scale as the first movement. Overall, the later movement contains the same large-scale formal design and, apart from the faster tempo, is conceived at the same level as the first movement.

Unlike the Early sonatas and the Op. 5 collection, Bach writes many of the later movements in the Op. 17 collection with the same large-scale formal design as the first movement sonata. He deliberately reduces the breadth of the formal functions, especially in the development, or relies on an increase in tempo alone to reduce the relative weight of the later movements. I suggest that Bach may have strived for more balance among the movements in the Op. 17 sonatas. If Bach had reduced the scope of the movement by compressing the formal structures in addition to a significant tempo increase, the second movement would be significantly shorter and less substantial than the first movement.

Bach manages to reduce the relative weight of the later movements compared to the first movement in all of the sonata collections. In the early sonatas, the later movements are always smaller-scale sonata forms, involving the elimination of a development section and/or having a truncated recapitulation. In addition, Bach does not use phrase extension or expansion to the same extent as the first movement sonata. The Op. 5 first-movement sonatas are more compact in general compared to the other collections. Bach uses formal types that are inherently less extensive than sonata form (theme and variations, minuet and trio, and rondo). He also minimizes the weight of the phrase and thematic units in the second movement by eliminating transition function, fusing two functional units, and avoiding extension and expansion techniques. Bach relies on the weight of the development section or the tempo in the Op. 17 sonatas to provide more significance to the first movement.

Table 3-1 Bach's solo keyboard sonatas

	Collection	Title	Movement	Type	Tempo
Early	Berlin	Solo in A minor	I	1	Allegro
			II	other	Andante
			III	2	Allegretto
	Milan	Toccata in Bb-	I	1	Allegro assai
		Sonata in Bb+	I	1	Allegro
			II	2	Andante
			III	2	Allegro
		Sonata in Ab+	I	1	Allegro
			II	3	Andante
			III	4	Allegro
	Op. 5	No. 6	I	2	Grave
			II	fugue	
			III	c	Allegretto
		No. 1	I	4	Allegro
			II	b	Tempo di Minuetto
		No. 2	I	1	Allegro di molto
			II	4	Andante
			III	b	Minuetto
		No. 3	I	2	Allegro
			II	a	Allegretto
		No. 4	I	1	Allegro
			II	c	Allegretto
		No. 5	I	4	Allegro assai
			II	4	Adagio
			III	c	Presto
	Op. 17	No. 1	I	2	Allegro
			II	b	Minuetto
		No. 2	I	1	Allegro
			II	4	Andante
			III	4	Prestissimo
		No. 3	I	2	Allegro assai
			II	3	Allegro
		No. 4	I	1	Allegro
			II	1	Presto assai
		No. 5	I	1	Allegro
			II	1	Presto
		No. 6	I	2	Allegro
			II	4	Andante
			III	2	Prestissimo

1	sonata with development		
2	sonata with development truncated recap	**a**	theme and variations
3	sonata without development	**b**	minuet
4	sonata without development truncated recap	**c**	rondo

CHAPTER 4: Mozart's Early Piano Sonatas and the Connection to Bach

By the time the Mozarts arrived in London in 1764 during their grand tour, J.C. Bach was one of the leading musicians and the music master to the royal family. Wolfgang and Nannerl Mozart performed for the royal family shortly after arriving in London, primarily due to arrangements made by Bach's office.[56] During the sojourn in London, Wolfgang became very familiar with Bach's music. He was asked to accompany Queen Charlotte's singing and to perform pieces by Bach (among other composers such as Wagenseil, Abel and Handel) for the King.[57] Mozart also heard performances of Bach's music at Bach-Abel concerts, a concert series described as the "high points of London's musical calendar for almost twenty years."[58] Leopold promoted Bach's music as a model for Wolfgang; his letters reveal the use of Bach's Op. 5 sonatas and Op. 2 trios in the household and as teaching pieces.[59] In addition, the personal interactions between Bach and Mozart undoubtedly left a lasting impact on the younger composer. Anecdotal evidence suggests that Bach acted as a mentor to Mozart. They improvised together at the piano with the younger composer sitting between the knees of Bach.[60] After they became acquainted in London, Mozart continued to hold a high regard and admiration for Bach's compositions. Of their 1778 reunion in Pairs, Mozart wrote to his father, "You can easily imagine his delight and mine at meeting again ... I love him (as you know) and respect him with all my heart."[61]

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[56] Robert W. Gutman, *Mozart: A Cultural Biography* (New York: Harcourt Brace & Company, 1999): 185.
[57] Stanley Sadie, *Mozart: The Early Years,* (New York: W.W. Norton and Company, 2006): 60
[58] Gutman, 184.
[59] Daniel E. Freeman, "Johann Christian Bach and the Early Classical Italian Masters," *in Eighteenth-Century Keyboard Music*, ed. Robert L. Marshall (New York: Routledge, 2003): 264
[60] Cliff Eisen and Simon P. Keefe, eds., *The Cambridge Mozart Encyclopedia* (Cambridge: Cambridge University Press, 2006): 37.
[61] Eisen and Keefe, 37.

Considering the above evidence, scholars have attempted to uncover a musical connection between the two composers, particularly Bach's influence on Mozart. Many historians claim that Mozart was certainly influenced by Bach, but they remain vague in describing the type and extent of this influence.[62] Phillip Downs suggests that the interaction between the two composers provided inspiration for Mozart's K. 19d piano duets. The opening of the duet begins as a lead and imitator, which alludes to the mentor and child imitating at the keyboard.[63] Stephen Roe claims that Bach's overall sense of balance may have influenced Mozart, since the younger composer's earliest symphonies from 1764 appear to evoke Bach's symphonic style through contrast between the "*forte* motto" and the singing melody of the subordinate theme.[64] Many scholars point to Mozart's reworking of Bach's Sonatas Op. 5 No. 2-4 into piano concertos K. 107 as evidence of his influence.[65] Several authors site Op. 17 No. 4 as the possible source of inspiration for Mozart's K. 333 piano sonata.[66]

In *Mozart's Piano Sonatas: Contexts, Sources, Style*, John Irving highlights the difficulties that emerge when undertaking a comprehensive examination of the various influences on Mozart's piano sonatas.[67] He states that it is impossible to identify all of the music that Mozart was exposed to, especially since precise publication dates are difficult

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[62] Many authors cite that J.C. Bach influenced Mozart's musical development, including (but not limited to) Philip Downs, *Classical Music: The Era of Haydn, Mozart, and Beethoven* (New York: W.W. Norton & Co., 1992); Daniel Heartz, *Music in European Capitals: The Galant Style, 1720-1780,* ed. Robert L. Marshall (New York: W.W. Norton & Co., 2003); Heinz Gärtner, *John Christian Bach: Mozart's Friend and Mentor*, trans. Reinhard G. Pauly (Portland: Amadeus, 1994); Steven Roe, *The Keyboard Music of J. C. Bach: Source Problems and Stylistic Development in the Solo and Ensemble Works* (New York: Garland Publishing Inc., 1989); Ellen Rosand, "Classic Music" *The Garland Library of the History of Western Music, Volume 7* (New York: Garland Publishing Inc., 1985).

[63] Downs, 267.

[64] Roe, 236.

[65] Charles Rosen, *Sonata Forms*, 75; Roe, 236; Eisen and Keefe, 37; William Kinderman, *Mozart's Piano Music* (Oxford: Oxford University Press, 2006): 10.

[66] See Kinderman, page 55, for his discussion about Alfred Einstein, Wye Allanbrook and Siegbert Rampe.

[67] John Irving, *Mozart's Piano Sonatas: Contexts, Sources, Style* (Cambridge: Cambridge University Press, 1997). See his discussion, pp. 16-18.

to determine. In addition, Mozart was aware of many styles and genres at different points of his life. He was able to adapt the style of his music to cater to the tastes of a particular audience. Irving also suggests that some of the composers who we now consider to be the leading ones of the period (such as Haydn or Clementi) seem to have had little impact on Mozart. Given the above problems, Irving approaches the discussion of Mozart's sources of influence with caution. Nonetheless, he discusses several composers who may have provided stylistic models for Mozart, such as Wagenseil, Schobert, J.C. Bach and C.P.E. Bach, among others. He bases his evidence on stylistic and formal analysis as well as biographical information. Irving's findings relating to J.C. Bach present some significant connections (to be discussed later), but he overlooks the importance of phrase functions.

In his extensive study, Ellwood Derr suggests that Mozart used melodic fragments from Bach's works as compositional elements.[68] He discusses theoretical treatises well-known to Mozart that advocate an extensive knowledge of musical repertory for aid in composition, such as *Der Vollkommene Capellmeister* (1739) by Johann Mattheson.[69] Mattheson promotes the study of the musical repertory to assimilate idioms by competent masters, a process which is comparable to learning specific turns of phrases in language. Derr provides evidence that Mozart borrowed from Bach's music and compiles a chart of concordances of the two composers. His comparison of melodic correspondences emphasizes the similarities of recycled motives and phrases regarding melody, harmony and voice-leading. Derr admits that because both composers appear to generate melody and themes from modules and building blocks based on their knowledge of the prevailing repertory, some of the parallels may be the result of a common musical language based on

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[68] Ellwood Derr, "Composition with Modules: Intersections of Musical Parlance in Works of Mozart and J.C. Bach," *Mozart-Jarbuch* (1997): 249-291.
[69] Derr, 250-254.

their German-Italian roots.[70] There is, however, enough evidence to suggest that the remarkable connections go beyond mere coincidence. For example, two pieces from Mozart's "London Notebook" are based on openings of Bach's Trios.[71] Another example involves Mozart's retaining a soprano and bass framework from a small section of a Bach piece.[72] Mozart even highlights his borrowings by adding rests before the quotation of Bach's music.[73]

I would like to build on the observations about melodic, motivic and harmonic connections. First, I classify Mozart's early music into three categories, Pre-London, London and Post-London, and discuss selected works from each group to reveal the evolution of phrase and thematic functions Mozart's early piano music.[74] I demonstrate that Mozart adopts 1) particular phrase-structural designs of thematic functions, 2) subordinate theme loosening techniques, and 3) organizations of the second half, core technique and recapitulation strategies similar to those present in pieces from Bach's Op. 5 and 17 sonatas.

Pre-London

Studying Mozart's earliest compositions is inherently problematic. Scholars do not agree on the dating or the authenticity of several pieces, since the extent to which Leopold revised them is unclear.[75] Mozart's earliest compositions survive in "Nannerl's

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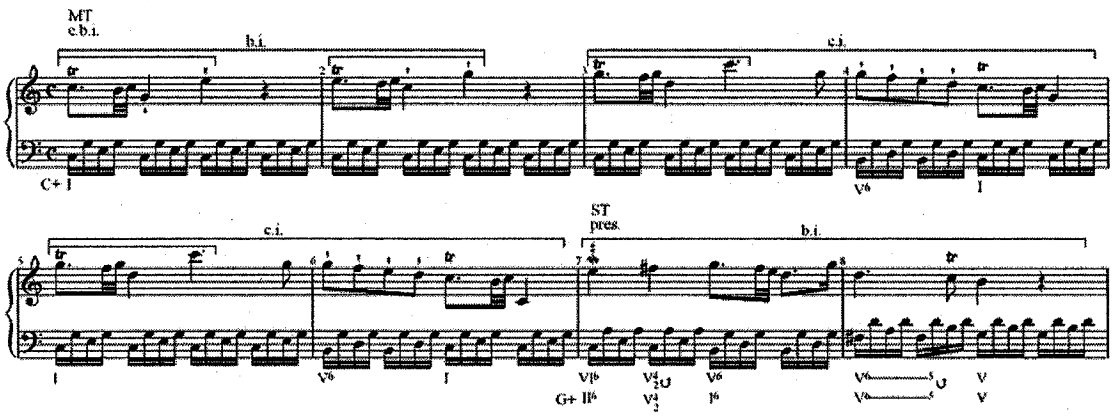
[70] *Ibid.*, 279.
[71] *Ibid.*, 260.
[72] *Ibid.*, 270-274.
[73] *Ibid.*, 262.
[74] Due to the limited scope of this chapter, I will only discuss first-movement sonatas by Mozart.
[75] In the *Earliest Compositions of Mozart* (Munich: Verlag Hermann Rinn, 1956), Dent suggests that we cannot know for certain how Leopold amended or improved Wolfgang's compositions, pp. 9-15. Downs suspects that Leopold "touched up" Mozart's earliest manuscripts, p. 267.

Notebook," among other pieces by contemporary composers.[76] These pieces, dating from the early 1760s, feature dances in binary form and small sonatas. I will discuss two pieces, KV 6 and KV 8 from Brussels in 1763 that are considered to be the earliest examples in sonata form (without development, truncated recap).

The early stage of Mozart's musical development is revealed in the phrase-structural design of KV 6 and KV 8. Main theme and subordinate theme functions are present to some extent, but the component phrase functions are not completely cogent. In KV6, Mozart conceives the ideas of the main theme in small fragments of one measure, rather than the high-classical norm of two-measure basic ideas. Mozart states the fragment three times, as shown in Example 4-1.

Example 4-1 Measures 1-8 of KV 6 by Mozart



The four measures resemble a compound basic idea, with the first two measures constituting a basic idea, followed by a contrasting idea in measures 3-4. This interpretation is unconvincing since the fragments group strongly into the arrangement (shown in smaller brackets): (1+1+1) +1. In addition to being fragmented, the construction of the main theme is also repetitive since the contrasting idea (m. 3-4) is

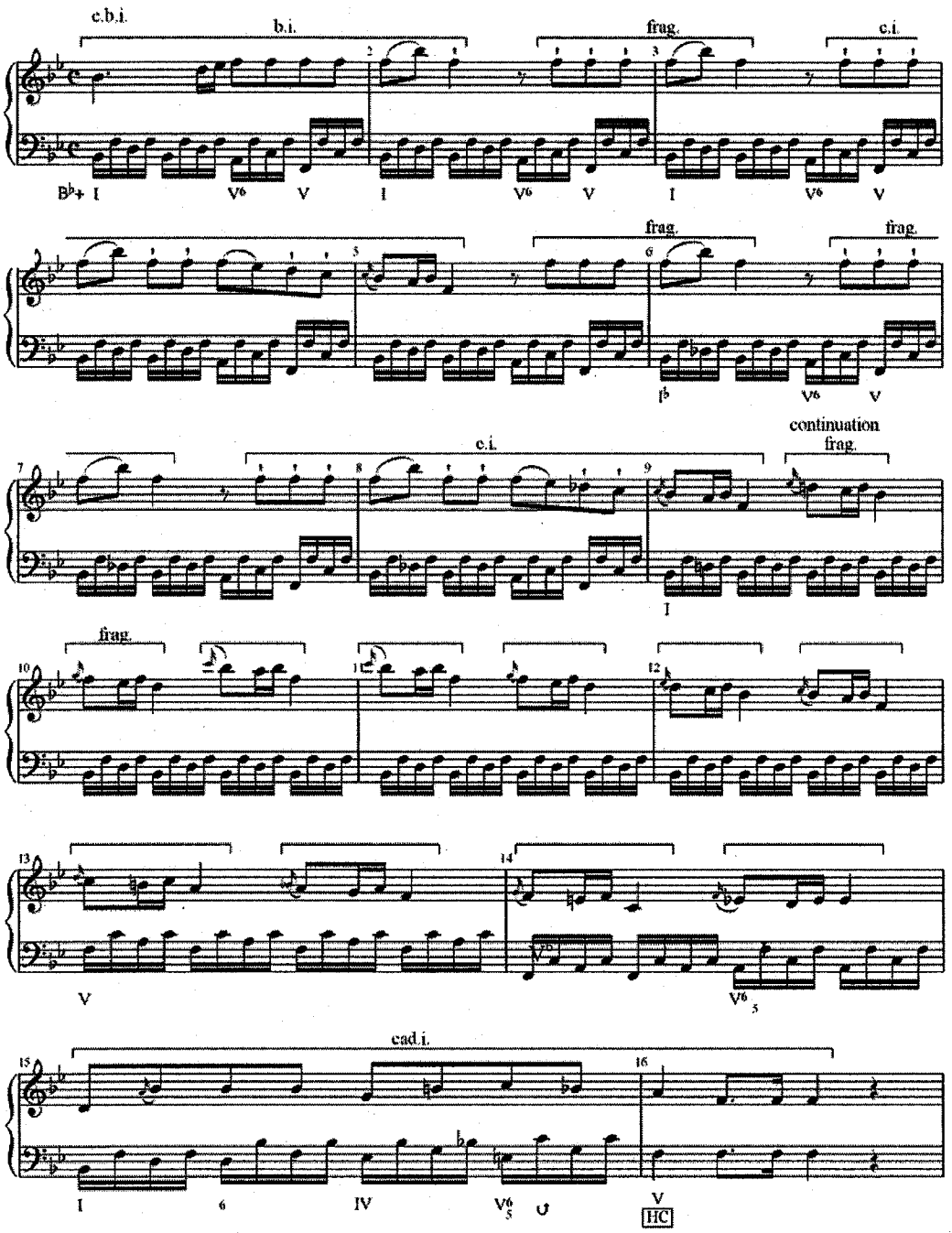
[76] In *W.A. Mozart: Notebooks of Mozart and His Sister* (New York: Bärenreiter Kassel, 1982), editor Wolfgang Plath states that the book included pieces by other composers by Wagenseil, Tischer, Argell and C.P.E. Bach. Some of the pieces that were originally in the notebook were removed after Mozart's death.

repeated in measures (5-6). The second contrasting idea has a more closed melodic ending by concluding on scale degree one. The extension, therefore, brings a degree of form-functional differentiation.

The main theme of KV8 contains highly disjointed phrases. Example 4-2 below illustrates the unusual construction of the main theme. Although Mozart conceives the basic idea (mm. 1-2), the contrasting idea (mm. 4-5), and the repeat of the contrasting idea (mm. 8-9) of KV 8 as two-measure units, the intervening fragmentation, creates discontinuity. The fragments are not related to typical phrase deviation techniques of high-classical music such as extension or expansion or interpolation. The continuation (mm. 9-16), contains half-measure fragments lasting six measures, a process which does not lead convincingly to the cadential idea and stalls the forward momentum normally characteristic of a medial function.

Both KV6 and KV8 contain main theme function, but the phrase-structural organization reveals an early stage of development. The same is true for the construction of the subordinate theme. In KV6, the subordinate theme begins as an extension of the main theme, rather than as a separate entity (see Example 4-1 above). Measures 7-8 of the subordinate theme begin almost as a continuation following the compound basic idea of the main theme. The Alberti bass in the main theme continues uninterrupted and the harmonic motion also follows logically in the home key. It is only in retrospect that a new functional unit has begun.

Example 4-2 Main theme of KV 8, mm.1-16.



As shown in Table 4-1, the entire exposition of KV 6 follows the order of functions found within a typical thematic unit (beginning, middle and end). The main

theme contains an initiating phrase, while the subordinate theme follows with initiating (presentation), medial (continuation) and ending (cadential) functions.

Table 4-1 Beginning, middle and ending functions of the exposition of KV 6

beginning		**Middle**	**End**
prolongation		Fragmentation	Cadential
MT	ST pres	ST cont	ST cadential (PAC)

The first cadence does not occur until the end of the subordinate theme. Mozart avoids cadential confirmation at the end of the main theme and does not provide any formal differentiation between the main theme and subordinate theme. As a result, the exposition unfolds with the order of functions in a single thematic unit.

KV 8 has a similar expositional design. As shown in Table 4-2, the main theme is comprised of a beginning (c.b.i. mm. 1-8), middle (continuation mm. 12-14) and end (cadential idea with half cadence mm. 15-16). The subordinate theme immediately follows with a continuation, involving fragmentation and a cadential idea. The overall design of the exposition resembles a subordinate theme with an internal half cadence, followed by the resumption of continuation function.

Table 4-2 Beginning, middle and ending functions of the exposition of KV8

Beginning	**Middle**	**End**
prolongation	fragmentation	Cadential
MT c.b.i.	MT continuation	cad.i. (HC)
	ST continuation	cad.i. (PAC)

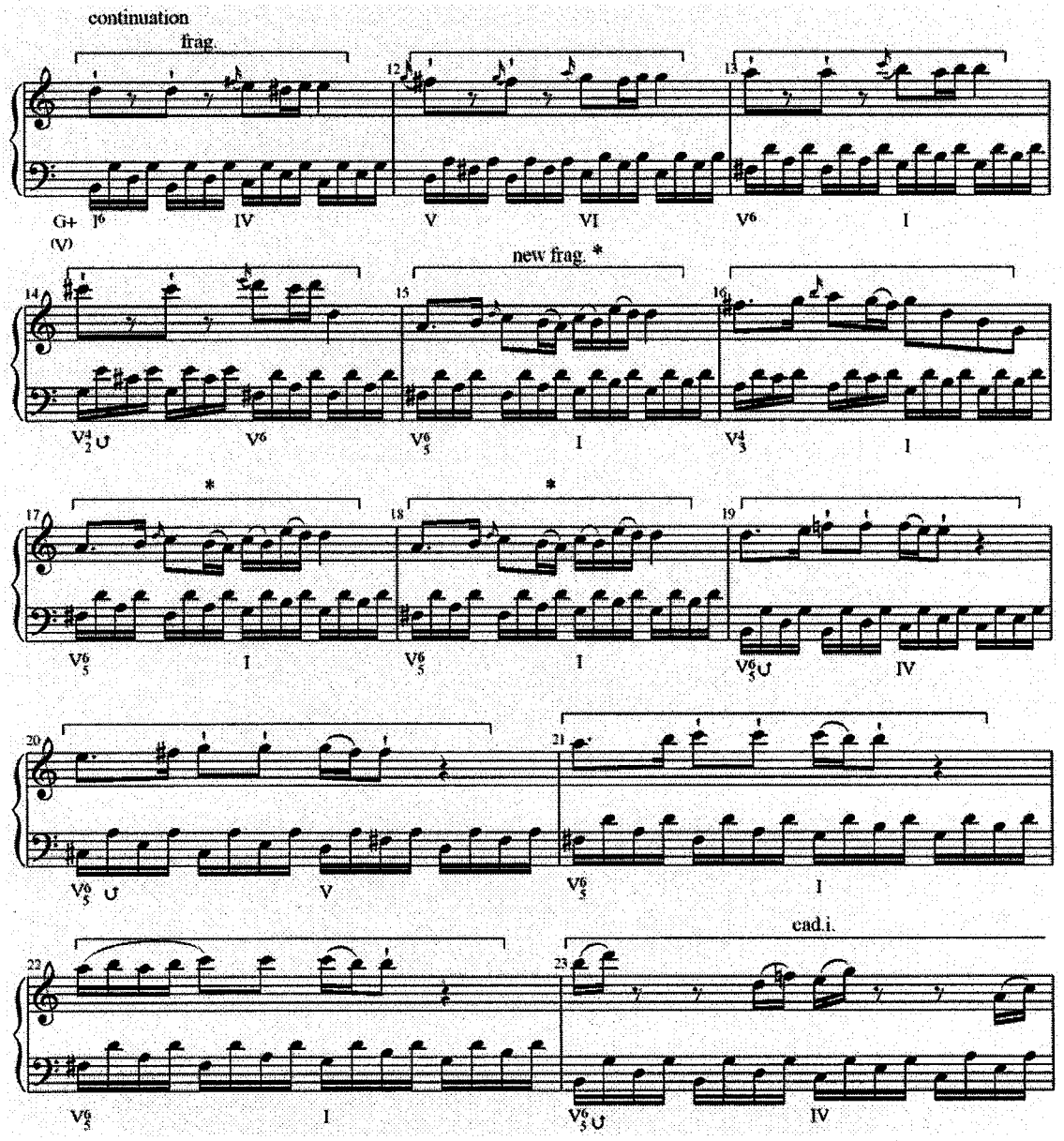
In both KV 6 and KV 8, the phrase functions of the expositions unfold in the order of beginning, middle and end and resemble the overall format of a typical high-classical theme. The subordinate theme directly follows the main theme in the new key either by extending initiation function (as in KV 6) or by adding another continuation (as in KV 8).

In both cases, the subordinate theme is not clearly separated functionally from the main theme except by key. I suggest that the exposition of these early sonatas feature a more fluid design than high-classical examples. Mozart's first efforts reveal the early stages of form-functional and grouping differentiations.

The early sonatas contain slow harmonic movement, which results in very static progressions. In KV 6, Mozart prolongs tonic harmony in the main theme by remaining on a root position chord with Alberti bass (see Example 4-1 above). The only harmonic change, which involves motion to and from V^6, occurs in measure 4 and 6. In the continuation phrase of subordinate theme, the main harmonic movement occurs every one or two measures and oscillates between tonic and dominant harmony (see Example 4-3 below). Mozart presents the fragments repetitively without melodic or harmonic direction towards the cadential goal. The cadential phrase (mm. 23-26) brings relief from the endless fragmentation of the continuation (mm. 11-22).

In KV 8, the harmonic pattern I-V^6-V is used in each of the first eight measures (shown above in Example 4-2). Although this pattern alternates between tonic and dominant harmony, its repetitive use undermines the sense of forward momentum. In the continuation (mm. 9-12), the harmony remains on a root position tonic chord, which does not strongly motivate the cadential phrase. In both KV 6 and KV 8, the simplistic harmonic progressions reveal Mozart's first stage of development.

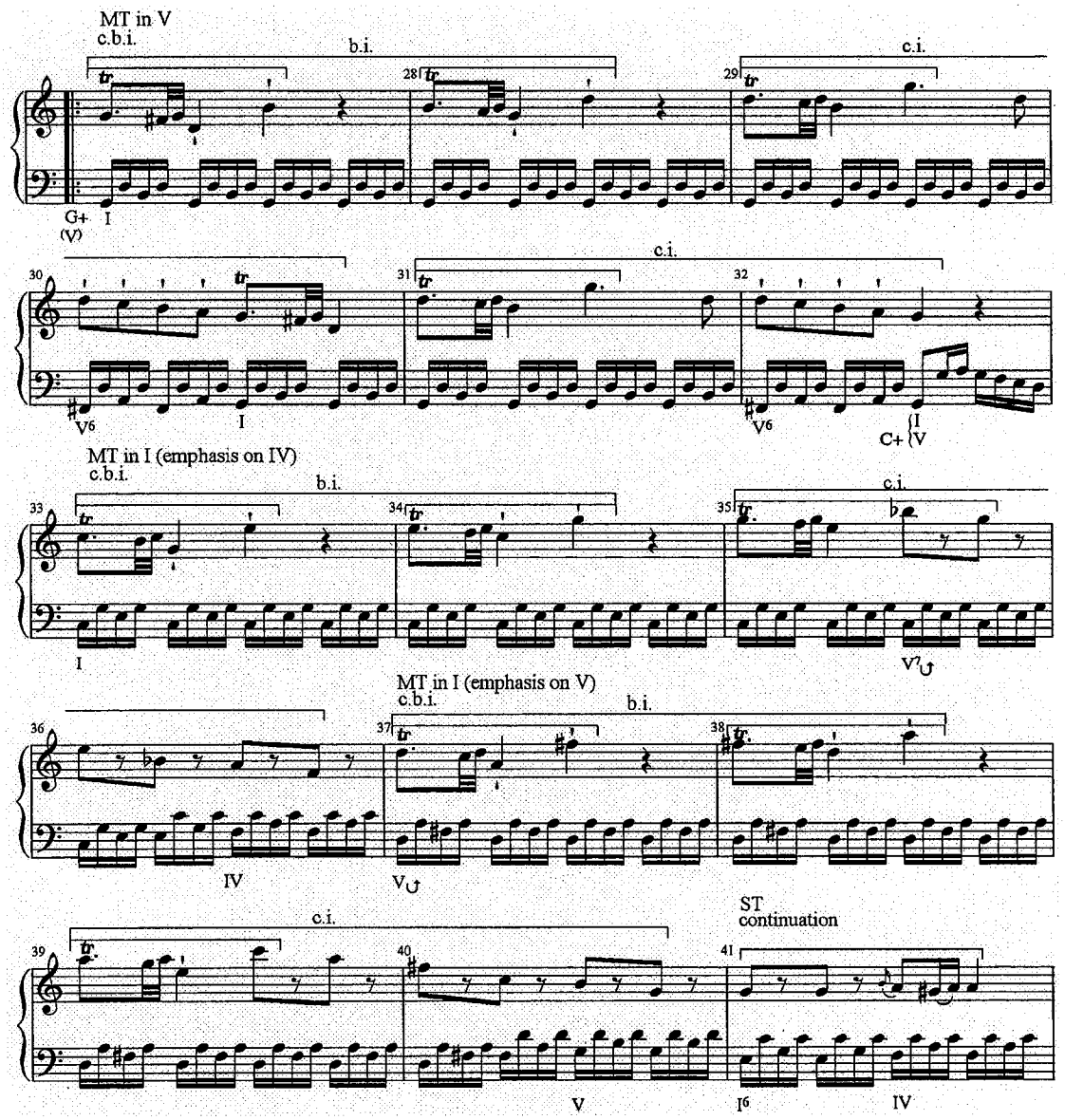
Example 4-3 Continuation leading into cad.i. of subordinate theme in KV6, mm. 11-23



In his early sonatas, Mozart writes type 4 sonatas exclusively (without a development section and with a truncated recap); however, the second halves often have an unusual construction. In the second half of high-classical sonatas without development, the main theme normally occurs in the dominant followed by the subordinate theme in the

tonic. In KV 6, Mozart presents main theme material at the beginning of the second half in 1) G major (V), 2) C major (emphasis on IV), and 3) C major (emphasis on V) (see Example 4-4).

Example 4-4 Second Half of KV 6, mm. 27-41.



By repeating the entire compound basic idea of the main theme three times, Bach presents the one-measure fragment (marked with brackets) ten times within the fourteen

measures, resulting in a highly repetitive section. Most unusually, Mozart omits the presentation phrase of the subordinate theme and begins with its continuation. Just as in the exposition, no formal differentiation exists between the main theme and subordinate theme in the second half, resulting in a section that contains beginning (MT c.b.i. X3), middle (ST continuation) and ending (ST cadential) functions overall. This type of construction in the second half is never found in the keyboard sonatas of Bach.

The sonatas KV 6 and KV 8 show an early stage of development of Mozart's sonata form. Although the emergence of main theme and subordinate theme functions are present, the component phrase functions are not completely coherent. These sonatas represent Mozart's earliest attempts at sonata form, and provide a basis from which we can determine the advancements Mozart made in London and beyond.

London

Inspired by the musical life of the city (and particularly by the music of Bach), Mozart composed keyboard and orchestral pieces during his stay in London.[77] One collection, K. 10-15 written in the fall of 1764, was printed and dedicated to Queen Charlotte.[78] Although scored for piano and violin, the pieces are essentially piano sonatas.[79] I discuss a representative example from this collection (K. 10) and a piano

[77] In August 1764, Leopold became sick, and the family temporarily moved out of the city to Chelsea. During this time, Mozart composed forty-two pieces that survive in the London Sketchbook K. 15a-rr. Although written in harpsichord texture, the use of repeated notes and intervals too wide for a keyboardist suggest that the pieces are orchestral sketches and will not be discussed here. Neal Zaslaw and William Cowdery, eds., *The Compleat Mozart: A Guide to Musical Works of Wolfgang Amadeus Mozart* (New York: W.W. Norton & Co., 1990): 328-329.

[78] Gutman, 195.

[79] In "Mozart's Solo Keyboard Music," in *Eighteenth-Century Keyboard Music*, Robert D. Levin, states that the violin line is mainly accompanimental: "not superfluous, but not indispensable," 311. My analysis differs from Konrad Künster, who describes the structure of the K. 10-15 pieces as a sequence of mutually contrasting shorter units, in "An Early Form in Mozart's Late Style: The Overture to La Clemenza di Tito,"

sonata from the same period, KV 9a (5a),[80] to demonstrate specific refinements from the earlier collection, but also to elements that reveal Mozart's intermediate stage of composition. Although the Bach's Op. 5 collection was not published until 1766, Mozart was familiar with a manuscript copy in London in 1764. My analysis points towards similarities in phrase and thematic design between the aforementioned Mozart works and Bach's Op. 5 sonatas.

One of Mozart's major advancements from the Pre-London sonatas involves more clearly defining the main theme as a distinct functional unit. In KV 9a, the compound basic idea and following continuation form a well-defined eight-measure main theme (Example 4-5). Mozart carefully controls the harmonic and melodic processes of the continuation to move toward the cadence logically within four measures. This represents a departure from earlier sonatas where excessive fragmentation caused the thematic functions to be disjointed. The construction of the main theme of KV 9a resembles the main theme of the second movement of Bach's Op. 5 No. 2 (Appendix A-30). Both sonatas are conceived in two-measure units, with a distinct cadential idea leading to a half cadence.

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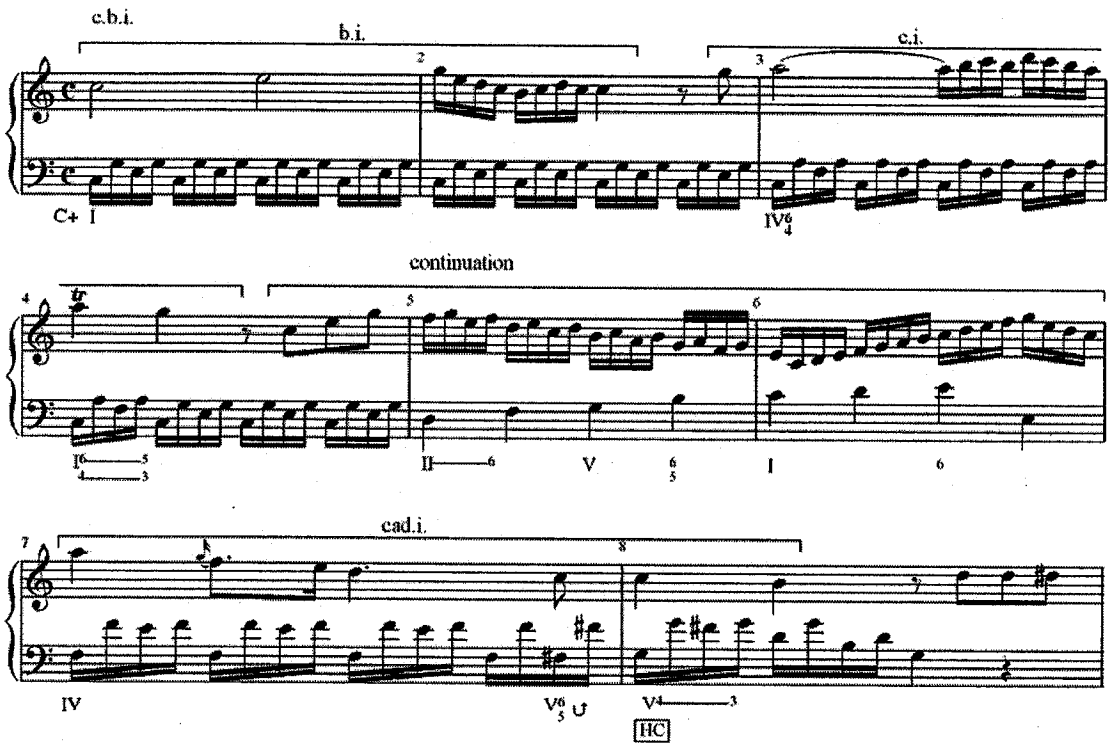
in *Wolfgang Amadè Mozart: Essays on his Life and his Music*, ed. Stanley Sadie (Oxford: Clarendon Press, 1996): 478.

[80] I found conflicting dates for KV9a (5a). In *The Earliest Compositions of Wolfgang Amadeus Mozart*, (München: H. Rinn, 1956), Edward J. Dent and Erich Valentin, suggest that KV9a (5a) was written in 1763 since it survives in Nannerl's Notebook. I will follow the dating of more recent publications, such as Plath (1982), that state the piece postdates the London Sketchbook.

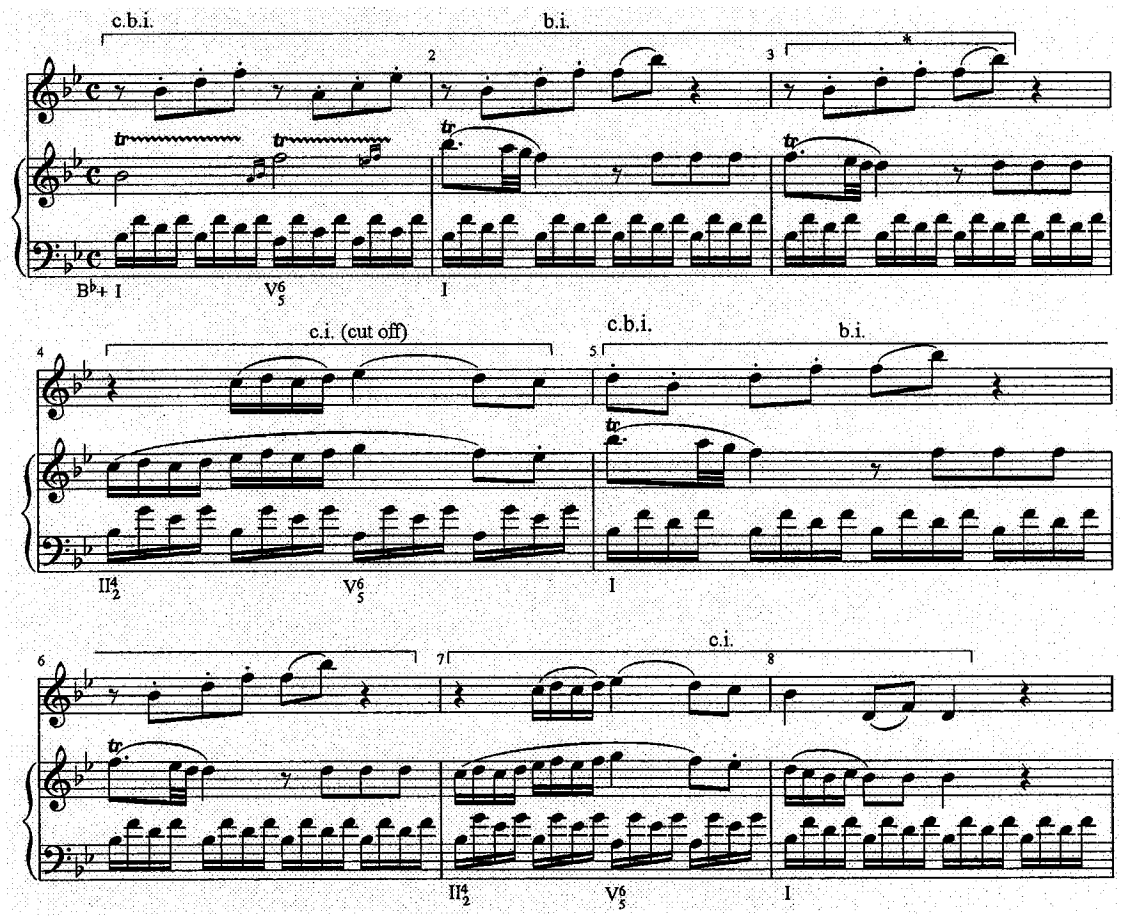
Example 4-5 Main theme of KV 9a, mm. 1-8



The main theme of K. 10 (1764) also reveals the next stage of evolution from the pre-London sonatas. Mozart explicitly establishes the phrase functions of the main theme: a compound basic idea and its repetition (see Example 4-6). Bach organizes the main theme of the first movement Op. 5 No. 2 with a similar construction (see Appendix A-27). Mozart's version differs in that the first statement of the compound basic idea is not symmetrical. The first basic idea has a one-measure extension (marked with a bracket). Occupying only one measure, the contrasting idea is interrupted, as evidenced by the unresolved scale-degree 4 (the seventh) in the piano's upper part. In the repeat of the compound basic idea, Mozart follows a more conventional plan of 2+2. The basic idea returns beginning with the second part of the original basic idea (accompanied by the extension). Measures 7-8 contain the complete contrasting idea. Although loosely

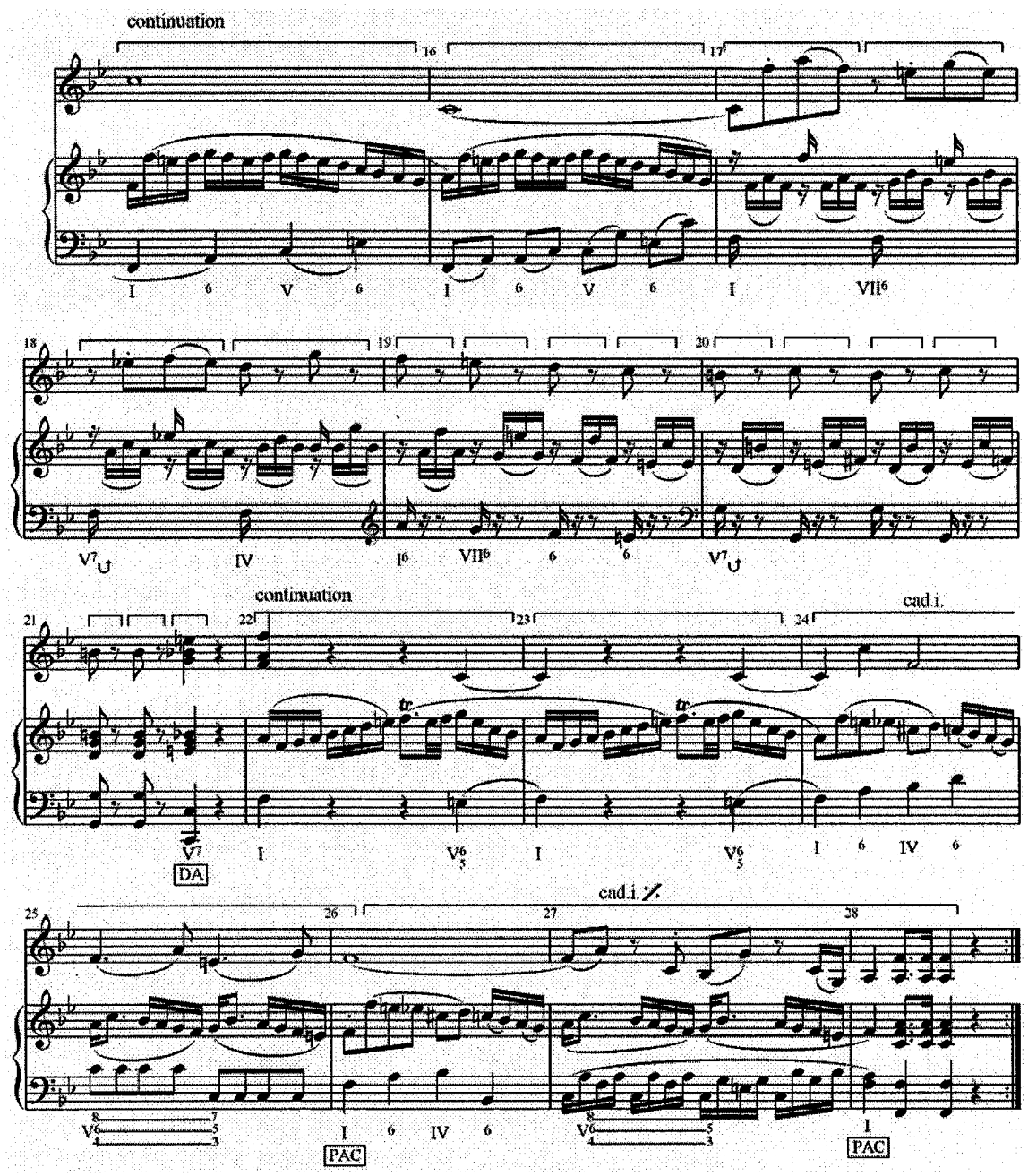
organized compared to other high-classical main themes, the clear phrase-structural organization of K. 10 reveals an advancement from earlier sonatas.

Example 4-6 Main theme of K. 10, mm. 1-8

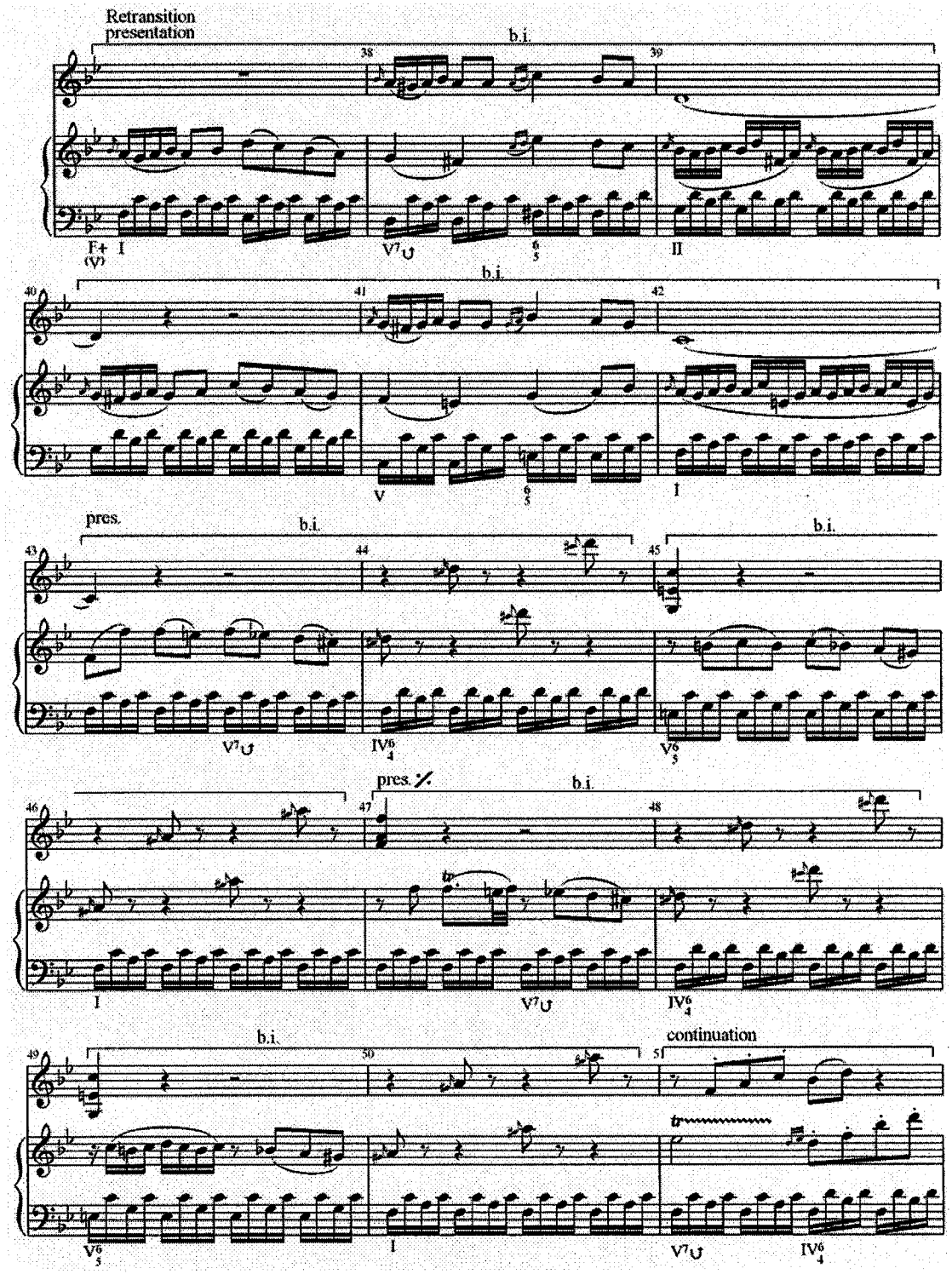


Bach's construction of the subordinate theme is also more refined than in the earlier sonatas. In K. 10, Mozart begins the subordinate theme with a continuation, but uses increasing levels of fragmentation to lead towards a dominant arrival in measure 21, shown below in Example 4-7. Fragments begin as one-measure units, followed by half-measure-units increasing to one-beat units in measures 15-21. This type of goal-directed fragmentation demonstrates an improvement over the pre-London sonatas discussed above.

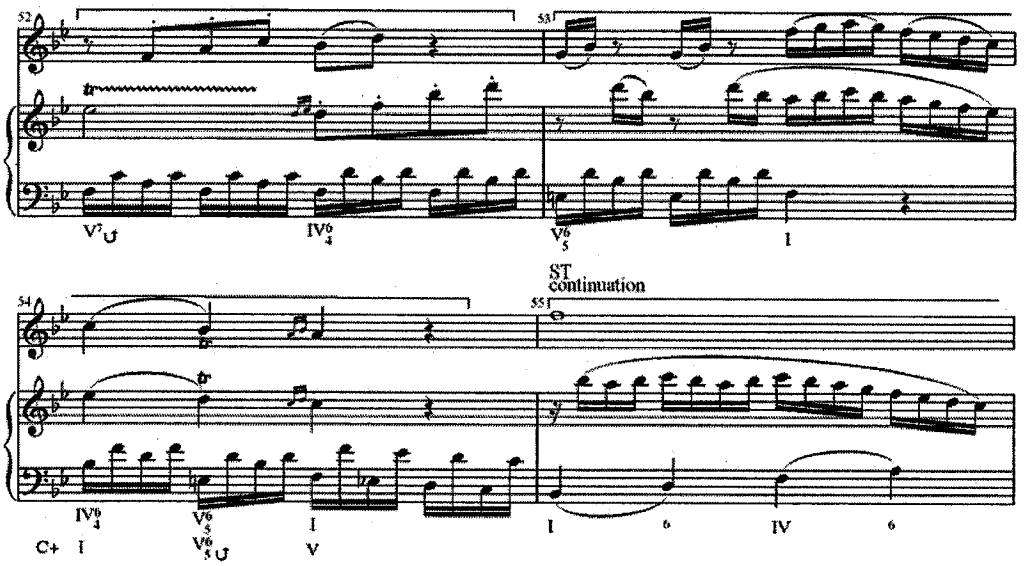
Example 4-7 Subordinate theme of K. 10, mm. 15-28.



Example 4-8 Retransition of K. 10, mm. 37-54



(Example 4-8 continued)



Mozart also avoids a long, discursive and repetitive unit by separating the subordinate theme into two parts with an internal dominant arrival. Many of Bach's subordinate themes contain an internal half-cadence, which allows for the addition of a continuation or another thematic unit, thereby effectively extending the length of the subordinate theme.

The addition of transitional areas also demonstrates a refinement from earlier sonatas. In the transition of KV 9a, model-sequence technique establishes the modulation to the dominant. The second half of the sonata contains a retransition phrase to modulate back to the tonic. In earlier sonatas, transition phrases are not present. Although the addition of these transitional areas demonstrates a refinement from earlier sonatas, the phrase-structural organization of the material between main theme and subordinate theme in the second half of the sonata often does not resemble a typical retransition. The retransition presents the first six measures of the main theme in the dominant before directly repeating the main theme in the tonic. In contrast, Bach avoids this type of direct

repetition. The retransition of K. 10 also contains an unusual construction. In Example 4-8 above, the first six measures (mm. 37-42) feature altered material from the expositional transition, which consists of two three-measure basic ideas moving from I-II and II-V-I. A presentation phrase and its repetition following in measures 43-50 continue the tonic prolongation of the dominant key. It is interesting that Mozart increases the prevailing grouping pattern from 3+3 in the presentation of measures 37-42 to 4+4 in the repeated presentation phrases in measures 43-50. The grouping structure and tonic prolongation do not promote the return to the home key. In addition, the continuation in measures 51-54 leads to an unconvincing half cadence in the home key. Since the preceding tonic prolongation in the key of the dominant utilizes applied dominants of IV (tonic of the home key), the half cadence in measure 54 sounds like tonic in the key of the dominant, rather than the dominant of the home key. Instead of clearly modulating back to the tonic and concluding with a standing on the dominant, Mozart prolongs the tonic of the dominant key, which does not fully prepare the return of the subordinate theme in the tonic.

In addition to the retransitions discussed above, many elements of the London sonatas still reveal an intermediate stage of development, despite significant advancements. First, the rate of harmonic change still remains very slow. In KV 9a, the presentation phrase of the main theme moves only between I and IV^6_4, creating a highly static tonic prolongation (see above Example 4-5). The main theme of K. 10 alternates between tonic and dominant almost entirely (see above Example 4-6). Both sonatas also have stationary Alberti bass, which adds to the stagnant harmonic motion. Second, Mozart does not use loosening techniques in the subordinate theme. For example, the subordinate theme of KV 9a is actually compressed into only seven measures. In

comparison, the majority of Bach's sonatas involve subordinate theme loosening techniques, which greatly expand and extend the normative length beyond eight measures. Despite these factors, the London sonatas demonstrate a significant development from the earlier pre-London sonatas. Beginning, medial and ending functions are present in both the main theme and subordinate theme, with linking transitional areas. Mozart clearly defines two-measure ideas, creating more coherent phrase functions. Fragmentation in the continuations leads convincingly towards cadential phrases. More importantly, the construction of thematic functions begins to resemble phrase-structural designs by Bach.

Post-London

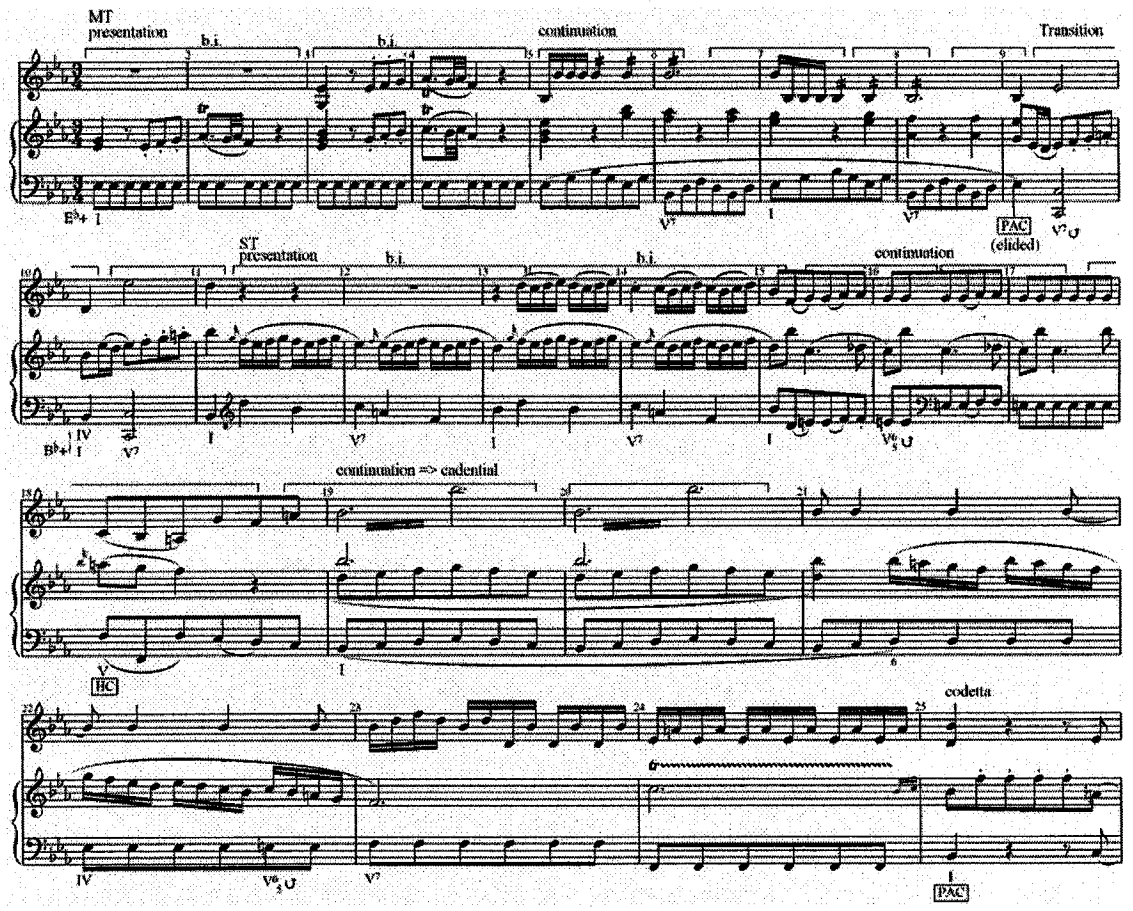
At this point, I turn to selected pieces written several years after Mozart left London. I demonstrate that his advancements from earlier sonatas result from using phrase-structural constructions similar to those present in Bach's Op. 5 sonatas. The first two that I discuss were written for piano and violin in 1766, two years after K. 10.[81] The second two that I analyze were written in 1774, ten years after the London sonatas. Later, I illustrate how Mozart enlarges the phrase-structural framework of his earlier pieces.

K. 26 closely resembles the first movement of Bach's Op. 5 No. 5 (see Appendix A-41) in both the phrase-structural organization of the main theme and subordinate theme and also in the design of the second half. Mozart clearly defines the sentential main theme, as shown below in Example 4-9. Similar to Op. 5 No. 5, the presentation phrase is

[81] Similar to the K. 10 sonatas, these pieces are essentially piano sonatas with an accompanimental violin part.

conceived in two measure units, followed by controlled fragmentation. The main theme is not closed with a distinct cadential gesture, but instead elides with the transition.[82]

Example 4-9 Exposition of K. 26, mm. 1-30



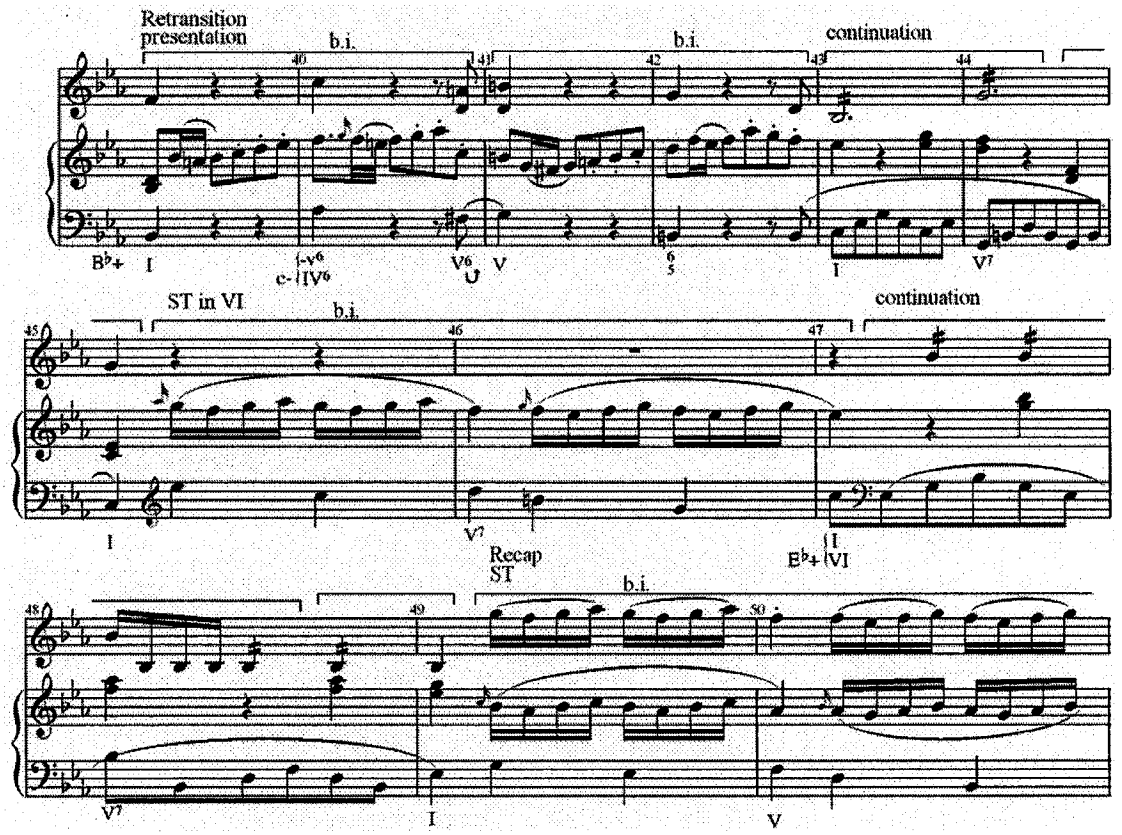
Mozart uses subordinate theme loosening techniques similar to those employed by Bach. He divides the subordinate theme into two parts with an internal half cadence, a common feature of Bach's sonatas. Op. 5 No. 5 does not contain an internal half-cadence, but Bach often uses this technique to further lengthen the subordinate theme. Mozart writes a continuation => cadential phrase, which lengthens the normal four-measure unit

[82] The cadence in m. 9 is suspect, since the harmonic progression V^7-I in measures 8-9 is identical to the previous two measures. Another interpretation involves a quick cadential gesture in measures 9-10 arriving on a half-cadence.

to seven measures. Similarly, Bach lengthens the subordinate theme with a continuation => cadential phrase in Op. 5 No. 5.

In K. 26, Mozart organizes the second half more cohesively than in his earlier sonatas (Example 4-10). The main theme is presented in the dominant and is followed by a retransition, which reuses material from the expositional main theme and transition.

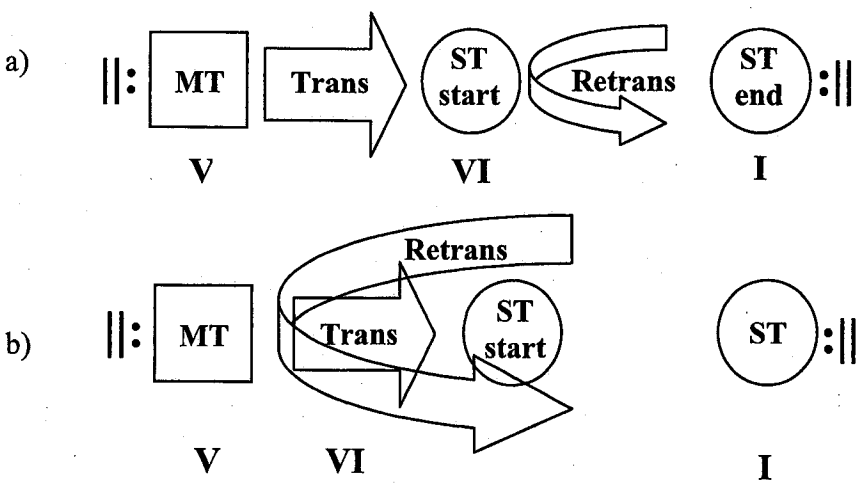
Example 4-10 Retransition and beginning of subordinate theme in second half of K.26, mm. 39-50.



Transition material modulates to the key of VI. Mozart presents the basic idea of the subordinate theme in VI before stating the entire subordinate theme in the tonic. Mozart's organization of the second half relates significantly to Op. 5 No. 5, as shown in Figure 4-1. Both designs present the beginning of the subordinate theme in the key of VI

before concluding the subordinate theme in the tonic. In Figure 4-1a, Bach inserts a retransition between the start and conclusion of the subordinate theme. In Figure 4-1b, Mozart uses the beginning of the subordinate theme as part of the retransition to lead to the full statement of the subordinate theme in the tonic. By following a similar design to Bach's sonata, the second half of K. 26 reveals a major advancement from earlier sonatas, such as K. 10 discussed above.

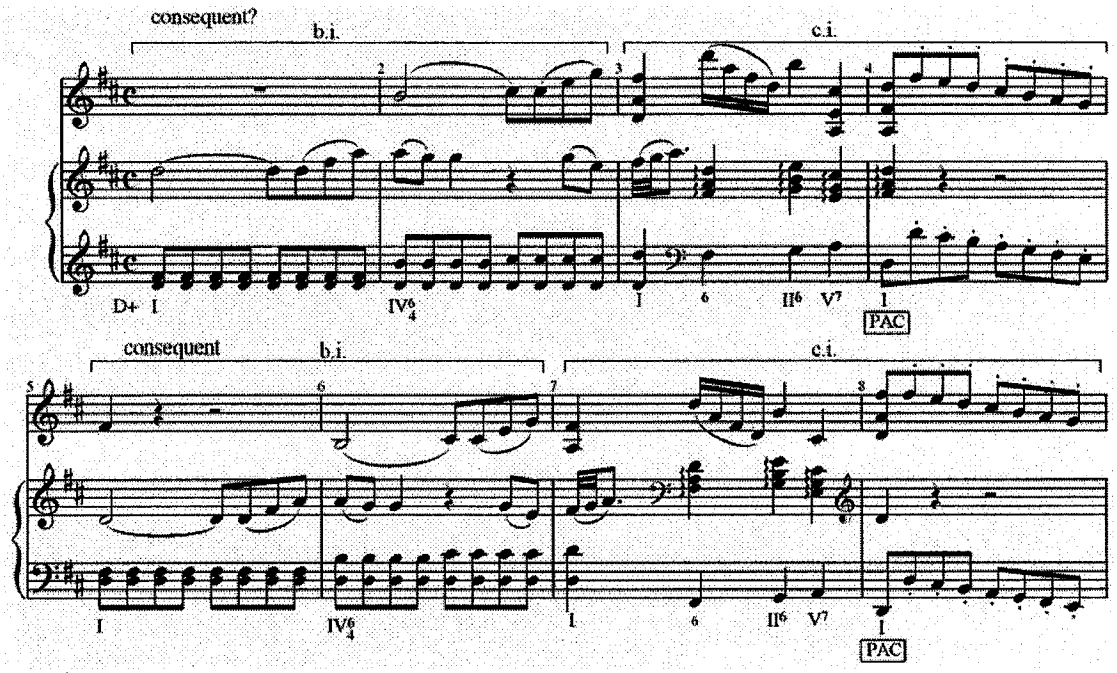
Figure 4-1 Organization of the second half of a) Bach's Op. 5 No. 5 and b) Mozart's K. 26



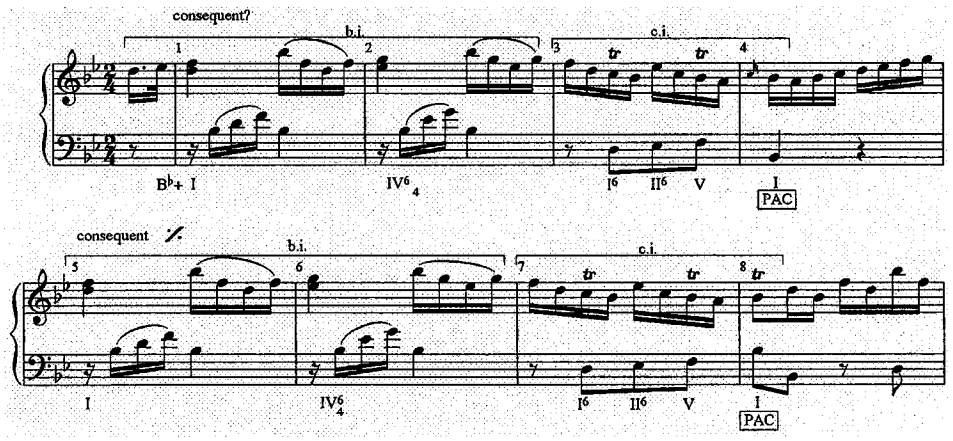
I will now turn to K. 29 to discuss additional phrase-structural refinements from Mozart's earlier sonatas. The main theme (Example 4-11) closely resembles the main theme of the first movement of Bach's Op. 5 No. 1 (Example 4-12). Both main themes are comprised of a consequent phrase, which is directly repeated. In addition to identical phrase-structural organization, the two sonatas also feature the same harmonic progression. In both, the basic idea progresses from I to IV^6_4 and the contrasting idea moves I-II^6-V-I. The faster rate of harmonic change reveals a development from earlier

sonatas, where Mozart prolongs tonic harmony by repeating a root position tonic chord or oscillates between tonic and dominant for the entire thematic unit.

Example 4-11 Main theme of Mozart's K. 29, mm. 1-8



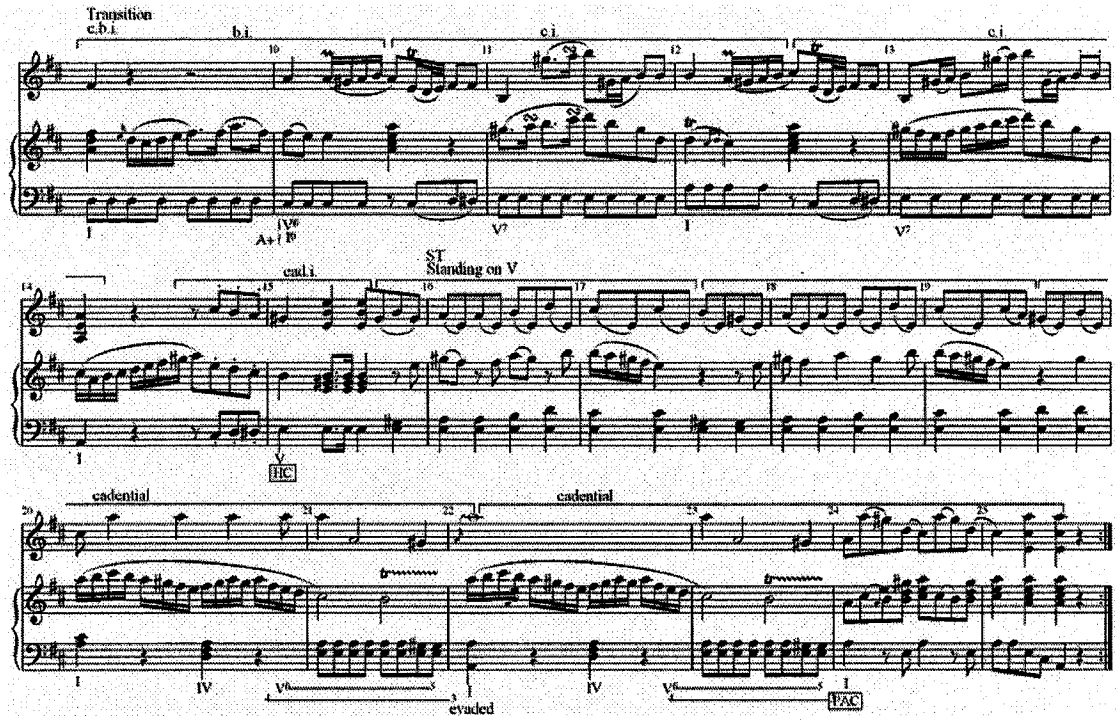
Example 4-12 Main theme of Bach's Op. 5 No. 1, mm. 1-8



In K.29, Mozart loosens the subordinate theme by beginning with standing on the dominant. After the modulating transition (mm. 9-15) concludes with a half-cadence, the

subordinate theme prolongs the dominant of the new key and concludes with a cadential phrase (see Example 4-13).

Example 4-13 Transition and subordinate theme of K. 29, mm. 9-25.



The above construction highly resembles Bach's Op. 17 No. 3 (discussed in Chapter 1, Appendix A-53).[83] Bach's non-modulating transition concludes with a half cadence, followed by the beginning of the subordinate theme as a standing on the dominant of the new key.

K. 29 also resembles many of Bach's sonatas through the use of the subordinate theme loosening technique of extension. After an evaded cadence in measure 22, the cadential phrase is repeated, leading to the concluding perfect authentic cadence in measure 24. In earlier sonatas, Mozart does not utilize specific subordinate theme

[83] Bach's Op. 17 sonatas were not published until 1773-4, but the Mozart library did contain an early autograph version of Op. 17 No. 3. See Cliff Eisen and Simon P. Keefe, *The Cambridge Mozart Encyclopedia* (Cambridge: Cambridge University Press, 2006): 37.

loosening techniques. The subordinate theme of KV 8 was actually shorter than the main theme, and the continuation of the subordinate theme of KV 6 utilized excessive fragmentation.

Just two years after his pieces written in London, Mozart's sonatas reveal specific refinements from earlier attempts. Main theme and subordinate theme functions become more coherent by adopting particular phrase-structural organizations and harmonic changes found in Bach's Op. 5 sonatas. Mozart's six piano sonatas (K. 279-284) written in 1774 are significantly more extensive. In the discussion following, I illustrate how Mozart formally enlarges the phrase-structural framework of the earlier sonatas and how the individual movements closely resemble the design of the Op. 5 (1767) and Op. 17 (1773-4) sonatas by Bach.[84] First, Mozart extends and expands the phrase functions of main theme and the subordinate theme, especially within continuations and post-cadential areas. Second, the transitions are significantly lengthened by utilizing sentential design or by model-sequence technique. Finally, Mozart begins to write extensive development sections featuring a core, fragmentation and standing on the dominant.

KV 279 provides an example of how Mozart enlarges the phrase-structural framework of his earlier sonatas. Mozart extends the main theme to twelve measures (see Example 4-14) through four measures of fragmentation in the continuation (mm. 5-8) and the repeat of the cadential phrase after a deceptive cadence. In Bach's sonatas, this type of extension is commonly found in subordinate theme as a loosening technique, but not so frequently in main themes. The subordinate theme is also extended and expanded further

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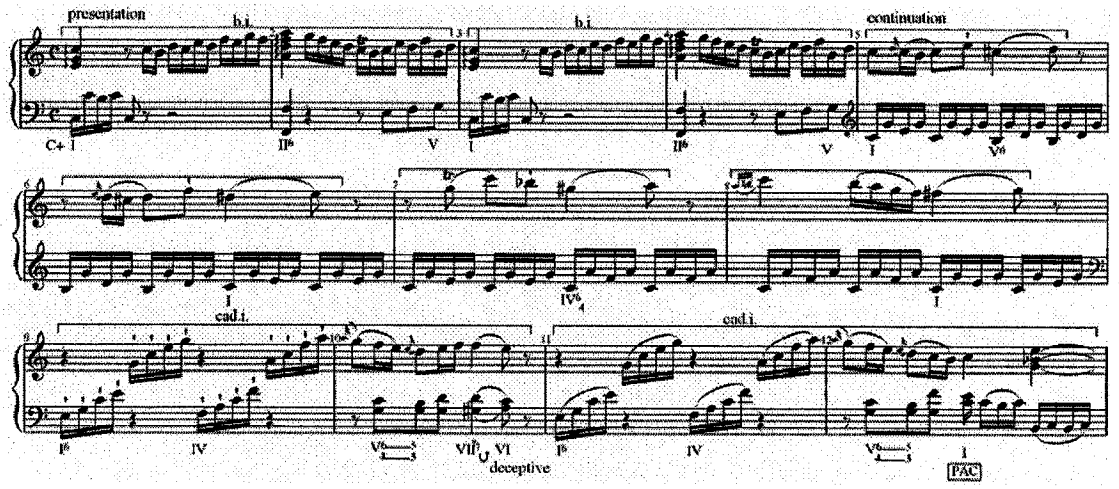
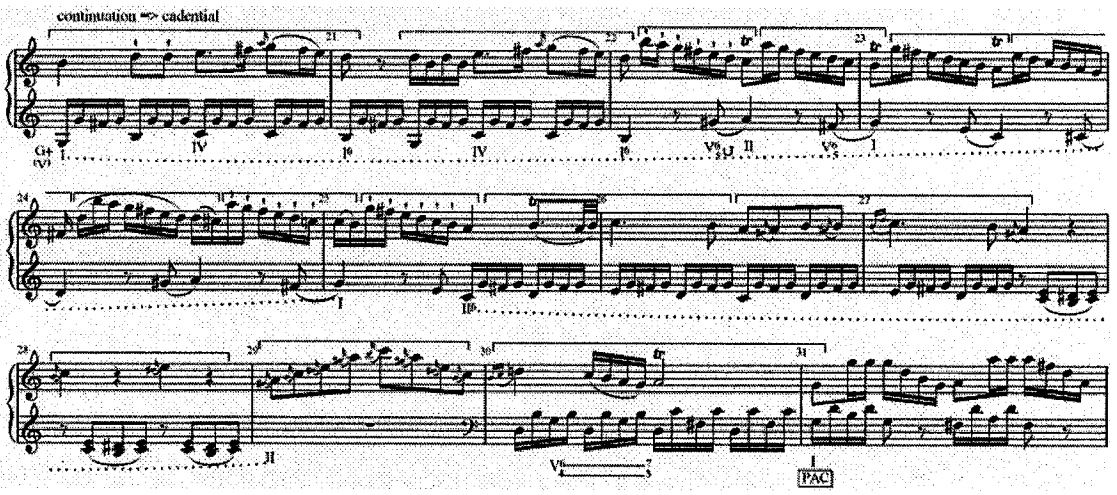
[84] Irving states it is unlikely that the Mozart's had published versions of the Op. 17 sonatas until 1778, but provides evidence that Mozart uses similar large-scale formal design in the 1774 sonatas, see pp. 28-29. Eisen and Keefe also state that Mozart had an early autograph version of Op. 17 No. 3 in the family library, p. 37.

through fragmentation and an expanded cadential progression in the continuational phrase (mm. 20-31). As shown in Example 4-15 below, the overall harmonic motion of the continuation consists of I-II-V-I (marked with dotted brackets), creating a large continuation => cadential phrase.

Example 4-14 Main theme of KV 279, mm. 1-12



Example 4-15 Subordinate theme of KV 279 continuation, mm. 20-31

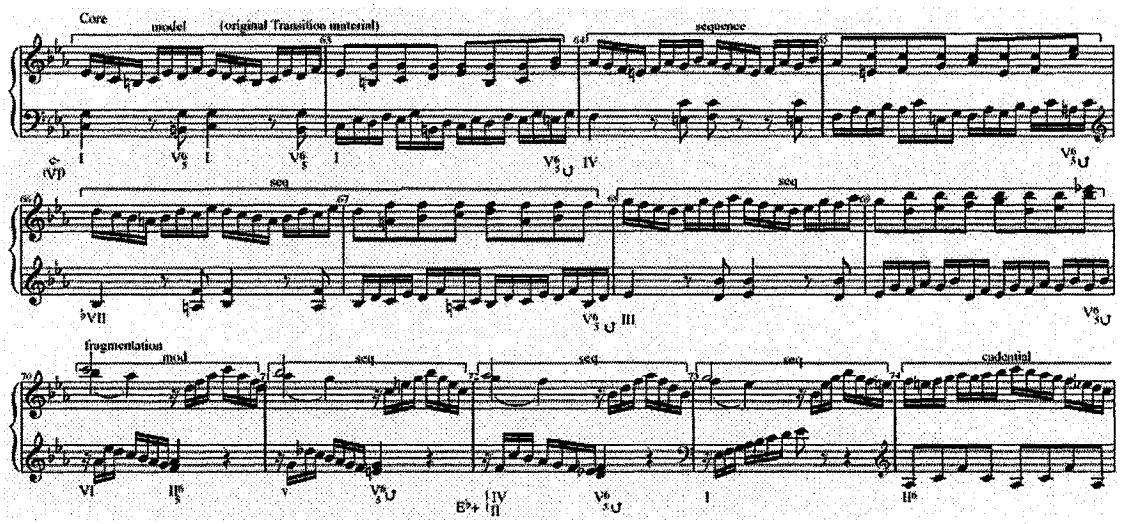


Since Mozart extends both the main theme and subordinate theme, the resulting exposition is comparable in size or larger than many of Bach's expositions. Rather than writing repetitive fragments found in earlier works, Mozart enlarges the overall phrase-

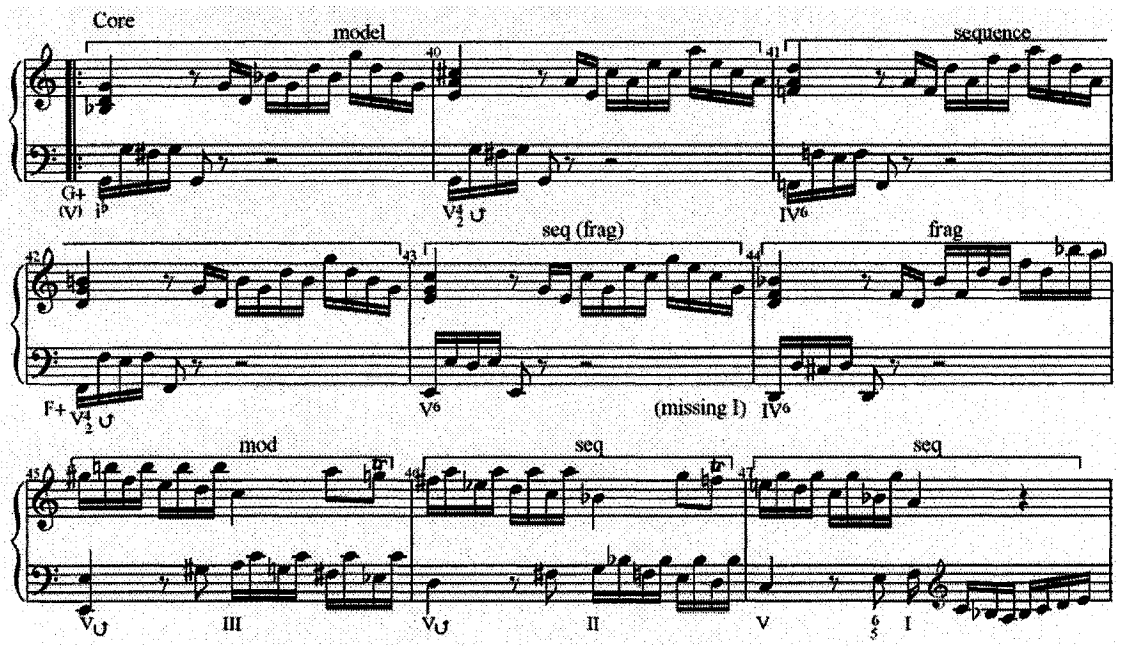
structural framework through phrase deviation and loosening techniques frequently used by Bach.

The second half of Mozart's sonatas increase in size with the addition of a development section. In KV 279, the organization of the core in the development resembles the core of Bach's Op. 17 No. 3. Both sonatas feature model-sequence technique of two-measure units, which fragment into one-measure units (compare Examples 4-16 and 4-17). Bach's core features the chromatic circle of fifths, which increases from one chord change per measure to two. Bach modulates back to the tonic within the sequence. Mozart also uses a chromatic circle of fifths, which modulates to the subdominant key (mm. 39-43), at which point the sequence fragments and the rate of change increases with a new model (mm. 45-47). A retransition ensues, which leads to the dominant of the home key (not shown, mm. 48-51), followed by a post-cadential standing on the dominant. In both cores, the goal is dominant harmony of the home key, highlighted by standing on the dominant.

Example 4-16 Core of Op. 17 No. 3 by Bach, mm. 62-74



Example 4-17 Core of KV 279 by Mozart, mm. 39-47

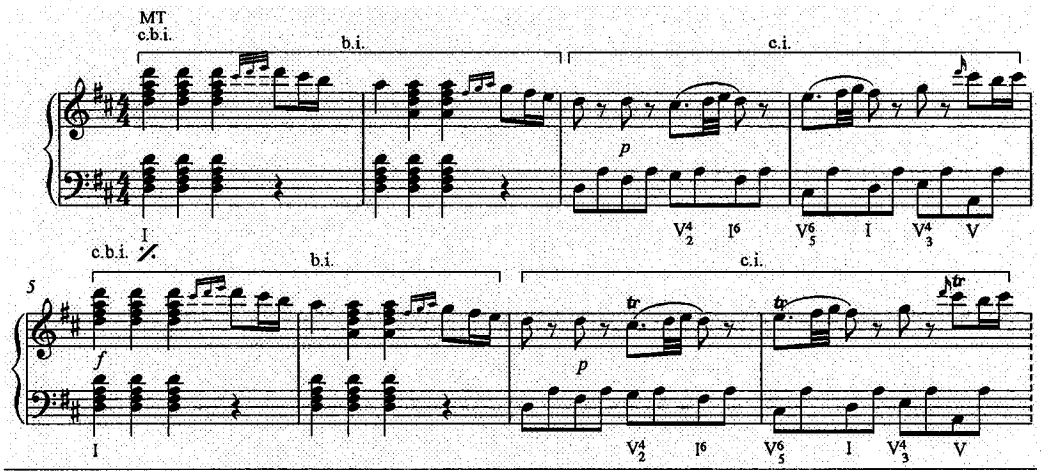


As shown in the above examples, Mozart enlarges the phrase-structural framework of KV 279 compared to earlier sonatas by adopting phrase deviation and loosening techniques as well as the core design frequently used by Bach. In KV 284, Mozart very closely bases his design on Bach's Op. 5 No. 2: melodically, texturally and phrase structurally. In *Mozart's Piano Sonatas,* John Irving also comments on some similarities between these two sonatas.[85] In both, the basic idea of the main theme emphasizes scale degrees of the tonic chord (compare Examples 4-18 and 4-19). Bach repeats the tonic chord in root position, while Mozart states the tonic chord and outlines the triad melodically. Both composers feature the rhythmic figure of an eighth note and two sixteenth notes (found in the first measure of both sonatas). In addition, Bach's contrasting idea (mm. 3-4) and Mozart's standing on the dominant (mm. 4-6) both utilize

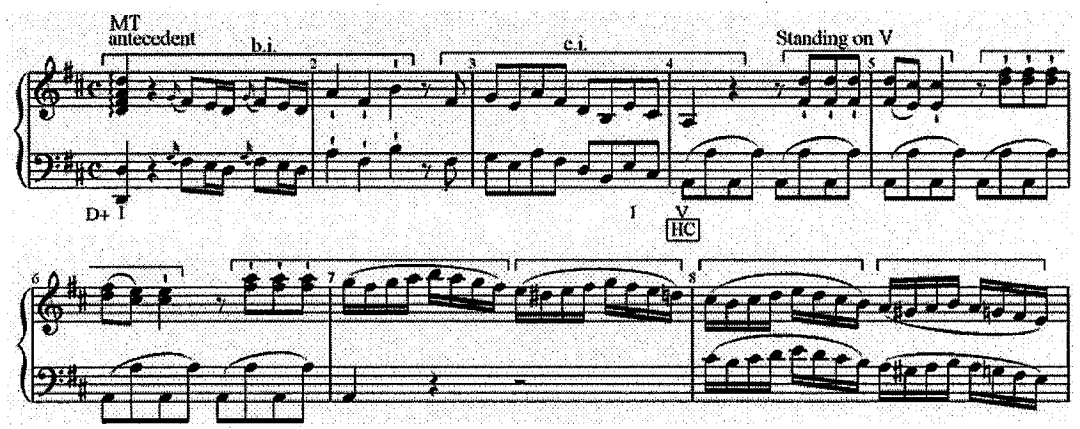
[85] See Irving, 25-28. Irving suggests some phrase-structural correspondences, but mainly surface similarities.

a pedal on scale degree 5 in the tenor voice. More significantly, the semi-periodic structural design is very similar; Mozart's main theme is comprised as an antecedent phrase, while Bach's consists of a compound basic idea.[86]

Example 4-18 Main theme of Bach's Op. 5 No. 2, mm. 1-8.



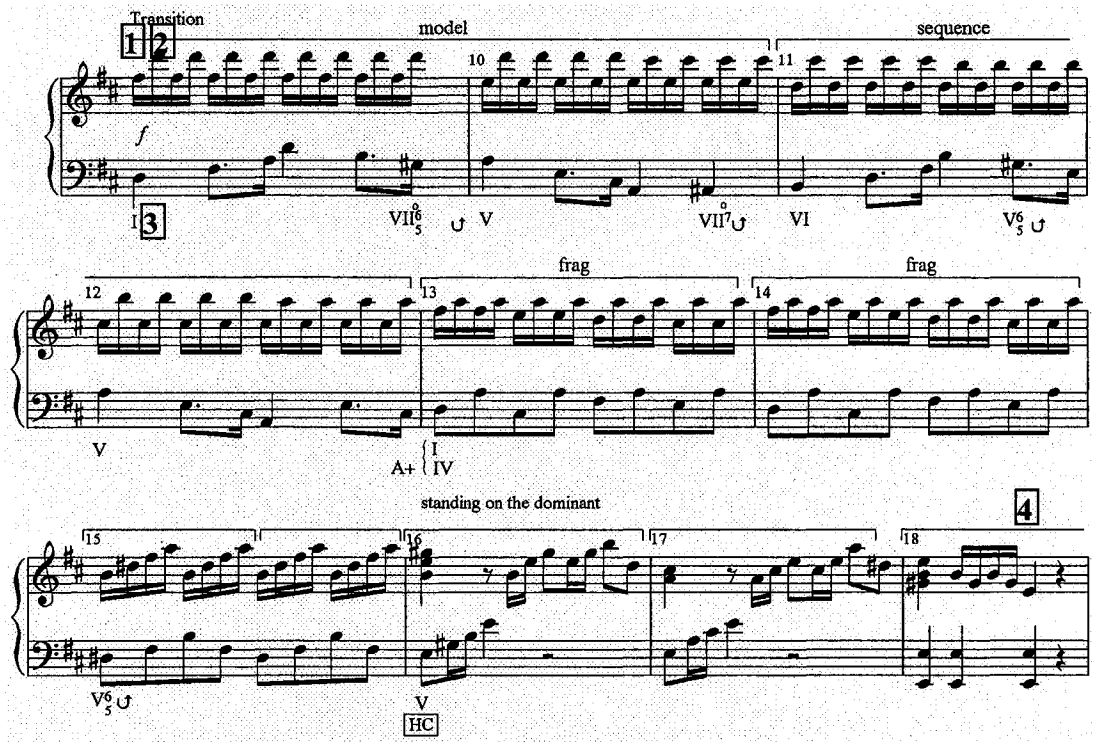
Example 4-19 Main theme of Mozart's KV 284, mm. 1-8



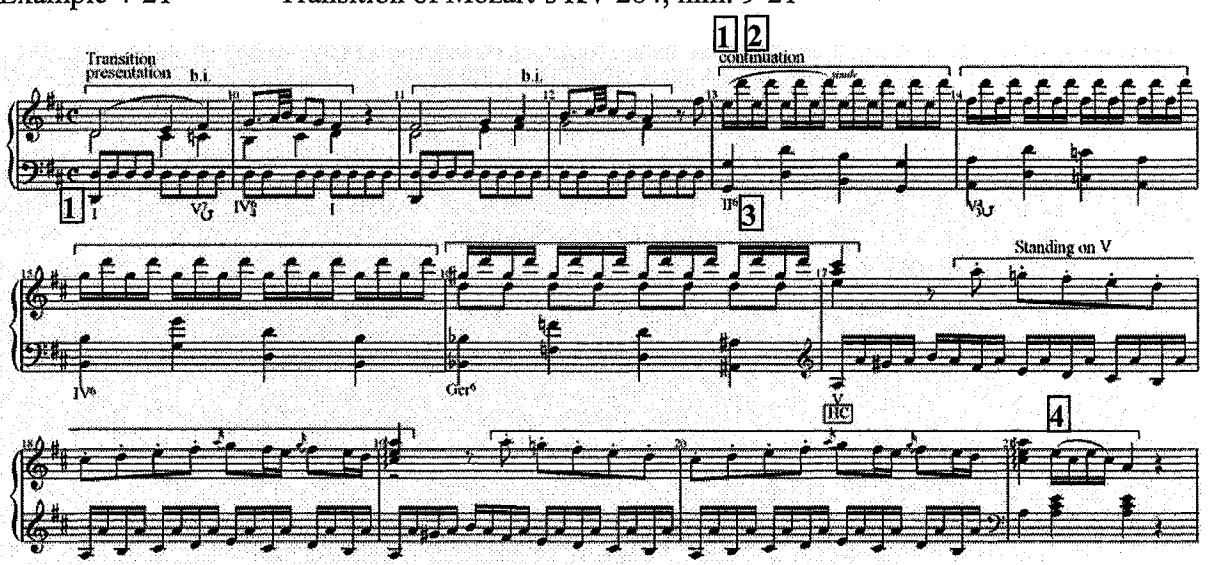
The transition of KV 284 also has striking melodic and textural similarities to the transition of Bach's Op. 5 No. 2 (compare Examples 4-20 and 4-21).

[86] In *Classical Form,* Caplin refers to the main theme of this piece, p. 280, n. 20. In comparison to high-classical norms, the organization of the main theme does not sufficiently express a periodic design. The antecedent asserts initiation function, while measures 4-8 are post cadential.

Example 4-20 Transition of Bach's Op. 5 No. 2, mm. 9-18



Example 4-21 Transition of Mozart's KV 284, mm. 9-21

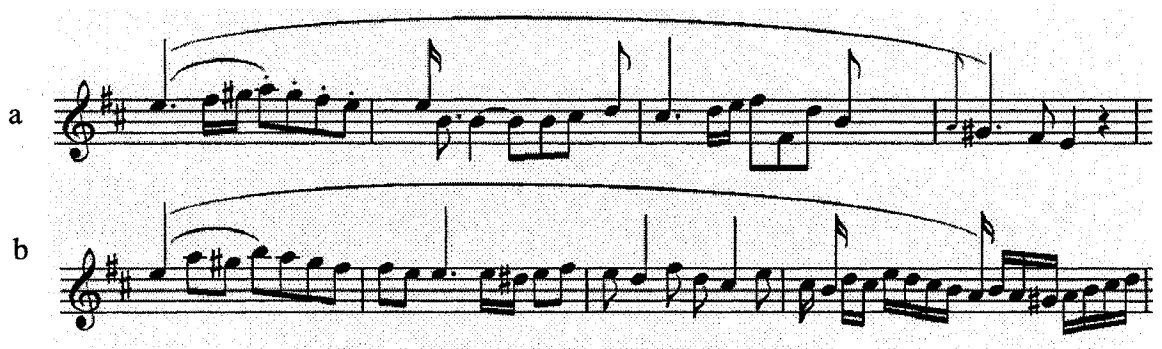


Both feature a tonic pedal, marked by (1). (Mozart's pedal begins in the bass and transfers to the soprano). In Example 4-21, the oscillating right-hand figure with a tonic pedal (beginning in measure 13) closely resembles the figuration of the transition of Op. 5 No.

2 (2). The left-hand moves in triadic, conjunct motion (3). The concluding measure of the standing on the dominant in measure 21 of Mozart recalls the comparable measure in Bach (m. 18), marked by (4). In addition to these melodic and textural comparisons, the phrase-structural construction of the transition of KV 284 is similar to Op. 5 No. 2. Both feature fragmentation leading towards a half-cadence, followed by a post-cadential standing on the dominant. Mozart enlarges the transition by using a sentential design versus Bach's use of model-sequence technique.

The subordinate theme of KV 284 resembles the subordinate theme of Op. 5 No. 2 melodically and phrase-structurally (see Appendix A-27 and Example 4-22 below). The contour of the soprano line closely follows Bach's model. Both descend stepwise from scale degree 5, as shown in Figure 4-2 with lengthened note stems and long slurs.

Figure 4-2 Comparison of the melodic profile of the subordinate theme by a) Bach and b) Mozart



Regarding the phrase construction, Mozart's repeated compound basic idea resembles Bach's antecedent and failed consequent phrases in their pseudo-periodic design, as shown in Table 4-3. Both sonatas also contain a standing on the dominant after a half-cadence and feature the resumption of a continuation => cadential phrase.

Example 4-22 Subordinate theme of Mozart's KV 284, mm. 22-44

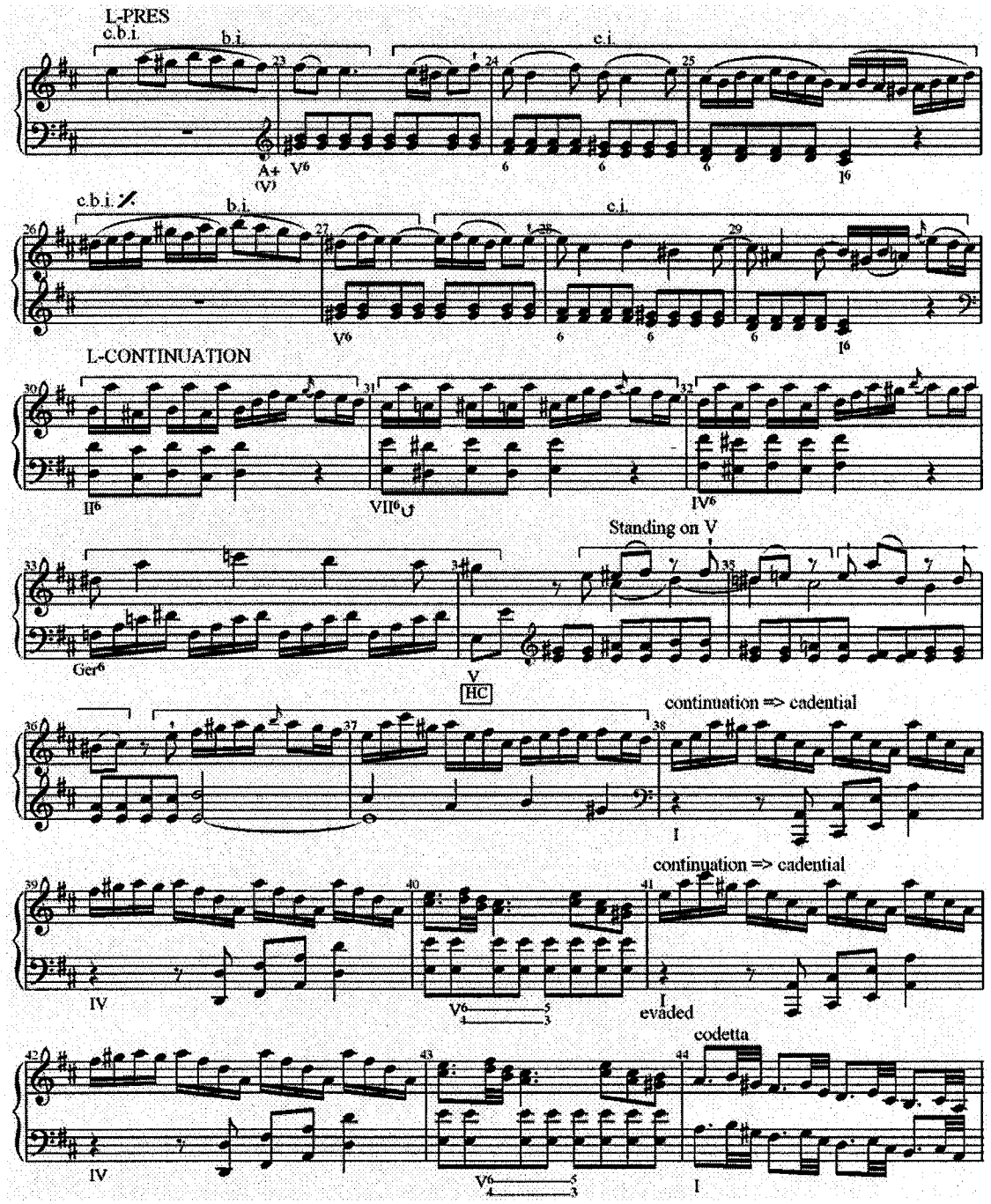


Table 4-3 Subordinate themes by Mozart (KV 284) and Bach (Op. 5 No. 2)

Mozart	b.i.	c.i.	b.i.	c.i.	continuation (HC)	St on V	cont => cad
Bach	b.i.	c.i. (HC)	b.i.	c.i. (HC)	⟶	St on V	cont => cad

Mozart enlarges Bach's framework by adding a continuation before the standing on the dominant, thereby creating a larger thematic structure: a compound sentence. Mozart further extends the subordinate theme by using an evaded cadence, forcing the repeat of part of the continuation => cadential phrase.

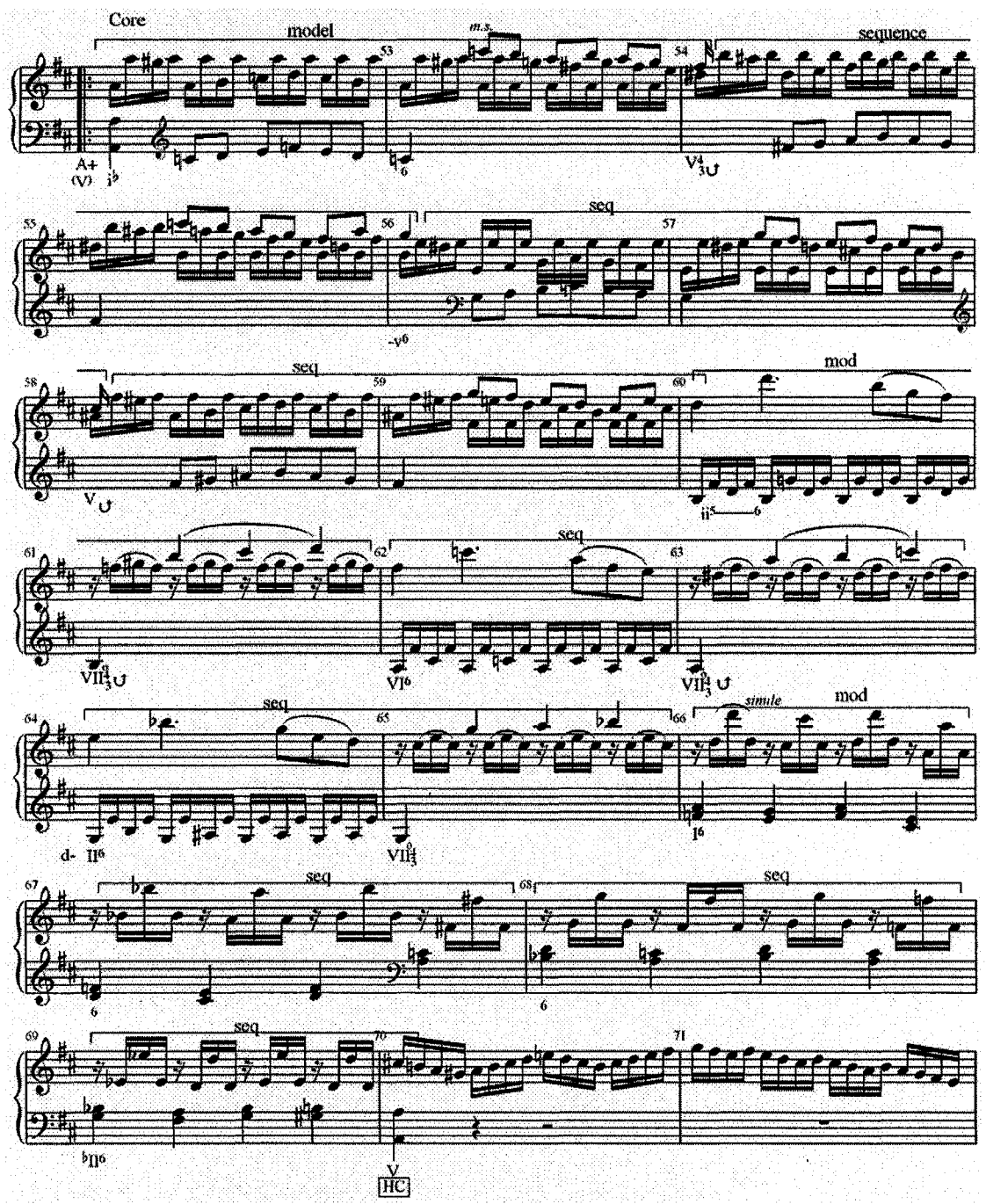
The development section of KV 284 closely resembles Op. 5 No. 2. In addition to similar sixteenth-note figuration in the right hand with a stepwise moving left hand, both composers feature model-sequence technique of chromatic ascending fifths, with a two-measure model (compare Examples 4-23 and Appendix A-27). Mozart enlarges the core by extending the sequence further than Bach. Table 4-4 illustrates the harmonic analysis of the two cores. Each cell represents one measure in Bach's Op. 5 No. 2 and two measures for Mozart's KV 284.

Table 4-4 Comparison of core technique Bach mm. 48-52, Mozart mm. 52-64

Bach	I	[V]	-v	[V]	ii				
Mozart	I	[V]	-v	[V]	ii	[VII$^{o4}_{3}$]	vi	[VII$^{o4}_{3}$]	-v

At the point where Bach finishes the sequence and begins with fragmentation on ii, Mozart continues the sequence by beginning a new model, thereby progressing further on the ascending circle of fifths. Mozart closely follows the melodic and phrase-structural organization of Bach's sonata and likely used Bach's version as a model that he enlarges in key respects.

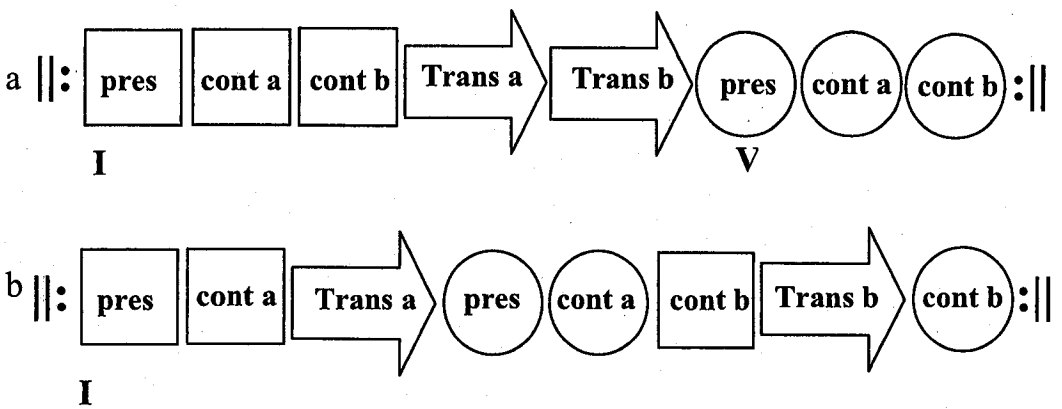
Example 4-23 Core of KV 284 by Mozart



In the 1774 sonatas, Mozart more clearly defines the phrase-structural framework and enlarges the constituent elements of the thematic functions. In KV 279, Mozart also explicitly demonstrates his ability to manipulate the phrase functions, by rearranging their

order in the recapitulation. Figure 4-3a outlines the component segments of the expositional main theme (squares), transition (arrows) and subordinate theme (circles). I label the beginning and ending sections of the continuation and transition as 'a' and 'b,' respectively. In the recapitulation (Figure 4-3b), Mozart first presents the beginning and medial functions of the main theme, transition and subordinate theme, followed by their respective ending functions. Mozart leads the initiating section of the subordinate theme continuation to the concluding section of the main theme continuation. The second half of the transition follows, which brings about the conclusion of the subordinate theme continuation.

Figure 4-3 Comparison of a) exposition and b) recapitulation of KV 279.



Mozart deliberately withholds the home key perfect authentic cadence until the end of the recapitulation.[87] The entire recapitulation resembles the early Pre-London sonatas in that the overall concatenation of phrase structures moves from initiating segments to concluding segments. The difference resides in Mozart's explicit manipulation of phrase functionality.

In this chapter, I have demonstrated Mozart's development of phrase and thematic functions in the exposition, development and recapitulation. In Mozart's earliest sonatas,

[87] A half-cadence replaces the main theme perfect authentic cadence.

main theme and subordinate theme functions are not defined as explicit units and as a result the expositions and second halves have a fluid design. Mozart refines his sonatas by adopting particular phrase-structural organizations, phrase deviation and loosening techniques and designs of the second half (including core, retransition and recapitulation) frequently used by Bach. Using Bach's Op. 5 and 17 sonatas as a foundation, the sonatas written after 1774 become more extensive through formal enlargement of the phrase-structural framework of the earlier sonatas. First, Mozart extends and expands the phrase functions of main theme and the subordinate theme, especially within continuations and post-cadential areas. Second, the transitions significantly lengthen by utilizing sentential design or by model-sequence technique. Finally, Mozart begins to write extensive development sections, featuring a core, fragmentation and standing on the dominant. Certainly Mozart was exposed to many musical styles and genres, especially during his world tour. Here, I have shown that Bach's influence goes beyond stylistic impact, by specifically providing a model for Mozart of sonata form at the level of phrase, theme and large-scale design.

CONCLUSION

In his lifetime, Johann Christian became the most well-known musician of the Bach family. He was Handel's successor as the music master of the royal family and a dominant figure in the musical life of London.[88] As Stanley Sadie describes, "Christian's open Italianate style, his genial cantabile melodies cast in rounded phrases, and his impeccable taste and craft represented the best of the coquettish, brittle galant."[89] Apart from recent analytical studies, the importance of Bach as a pre-classical composer has been largely overlooked.[90] In this study, I demonstrate that Bach's sonatas do not progress from 'deviant forms' to an ideal classical model.[91] Over the course of his compositional career, Bach contributes to the evolution of sonata form through the gradual refinement of formal functions, regardless of the overall large-scale formal type.

Through analysis of the expositions of first-movement sonatas, I show distinct phrase-structural refinements from the early to later sonatas. In the early sonatas, Bach does not clearly define the boundaries and functions of the phrase and thematic units nor aligns the melodic and harmonic processes at cadential points. In the Op. 5 sonatas, the expositions become more conventional with clearer functionality, but are more compact than earlier attempts. Bach writes distinct cadential phrases and controlled fragmentation in the continuations. Compared to earlier sonatas, Bach uses subordinate theme loosening techniques more effectively, although to a more limited extent. In the Op. 17 sonatas, Bach enlarges the framework of the Op. 5 collection and further refines the phrase and thematic functions. Main themes become more extensive and, as a result, Bach writes

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[88] Sadie, *Mozart: The Early Years 1751-1781*, 184.
[89] *Ibid.*, 118.
[90] Roe (1989); Staral (1986); Bieler (2002).
[91] Charles Rosen states that "for most of the eighteenth century, sonata form does not exist as a separate, clearly definable form." See pages 16-18.

more loosening techniques in the subordinate themes. The use of an internal half-cadence demonstrates an effective technique to lengthen the subordinate theme, rather than superfluous repetition found in the earlier sonatas.

In chapter two, I demonstrate Bach's distinctive phrase-structural evolution in development sections. In earlier sonatas, Bach repeats large thematic units, while in the later sonatas he increasingly favours using model-sequences, shown in the change from using subordinate theme-like units to core technique. By the later sonatas, Bach's choice of recapitulation strategy results from his experimentation with using new or previous material. He often reinterprets the functions of thematic units in the second half to avoid redundancy. If Bach does not include a development section, the first-movement sonata must retain the polarity of dominant and tonic in the second half.

Bach uses various methods to ensure that the second and third movements are less weighted than the first movement. In the early sonatas, Bach eliminates the development, truncates the recapitulation, and compresses or eliminates thematic functions in the later movements to provide more emphasis to the first movement. In the Op. 5 sonatas, Bach substantially compresses or eliminates thematic functions or writes non-sonata types (theme and variations, minuet and trio or rondo forms) in the later movements. In the Op. 17 sonatas, Bach aims for more balance between the movements by explicitly reducing the weight of the later movements or using a faster tempo. I suggest that the third movement of Op. 5 No. 6 was written at a later date than the first two movements based on its large-scale formal type (rondo) and its phrase-structural organization.

The above analyses provide specific evidence of the development of Bach's music. Spanning more than twenty years, Bach's keyboard sonatas reveal the refinement of component phrase and thematic units within several different large-scale formal types.

Bach was forced to cater stylistically to the London audiences, but his manipulation of formal functions demonstrates his mastery with the dynamic processes of sonata form. Daniel E. Freeman states: "Ironically, it was at the hands of the German-born Johann Christian Bach that the traditions of the early Classical Italian keyboard composition reached their culmination."[92]

In the last chapter, I trace the development of phrase and thematic functions in Mozart's early piano sonatas. The expositions of the pre-London sonatas contain the beginnings of main theme and subordinate theme functions, but the phrase-functional organization resembles a single thematic unit (beginning, middle and end). The lack of forward momentum in the exposition is caused by extensive fragmentation and static harmonic progressions. In the second half, Mozart does not set up the return to the home key. In the London compositions, the sonatas begin to resemble phrase-structural designs by Bach. Mozart begins to more clearly differentiate the main theme from the subordinate theme. He also more effectively loosens the subordinate theme and provides more goal-oriented fragmentation. I identify direct similarities between Mozart's post-London sonatas and Bach's Op. 5 and 17 collections. Mozart uses phrase and thematic constructions of the main theme and subordinate theme (and subordinate theme loosening techniques) found in Bach's sonatas. Mozart's development sections contain similar core technique to Bach's examples, but Mozart enlarges these areas further. Through my analyses, I contribute new evidence to the discourse on Bach's stylistic influence on Mozart's music. I demonstrate that Mozart refines the phrase and thematic functions of his sonatas between 1763 and 1774 through adopting specific constructions used in Bach's Op. 5 and 17 collections.

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[92] Freeman, 257.

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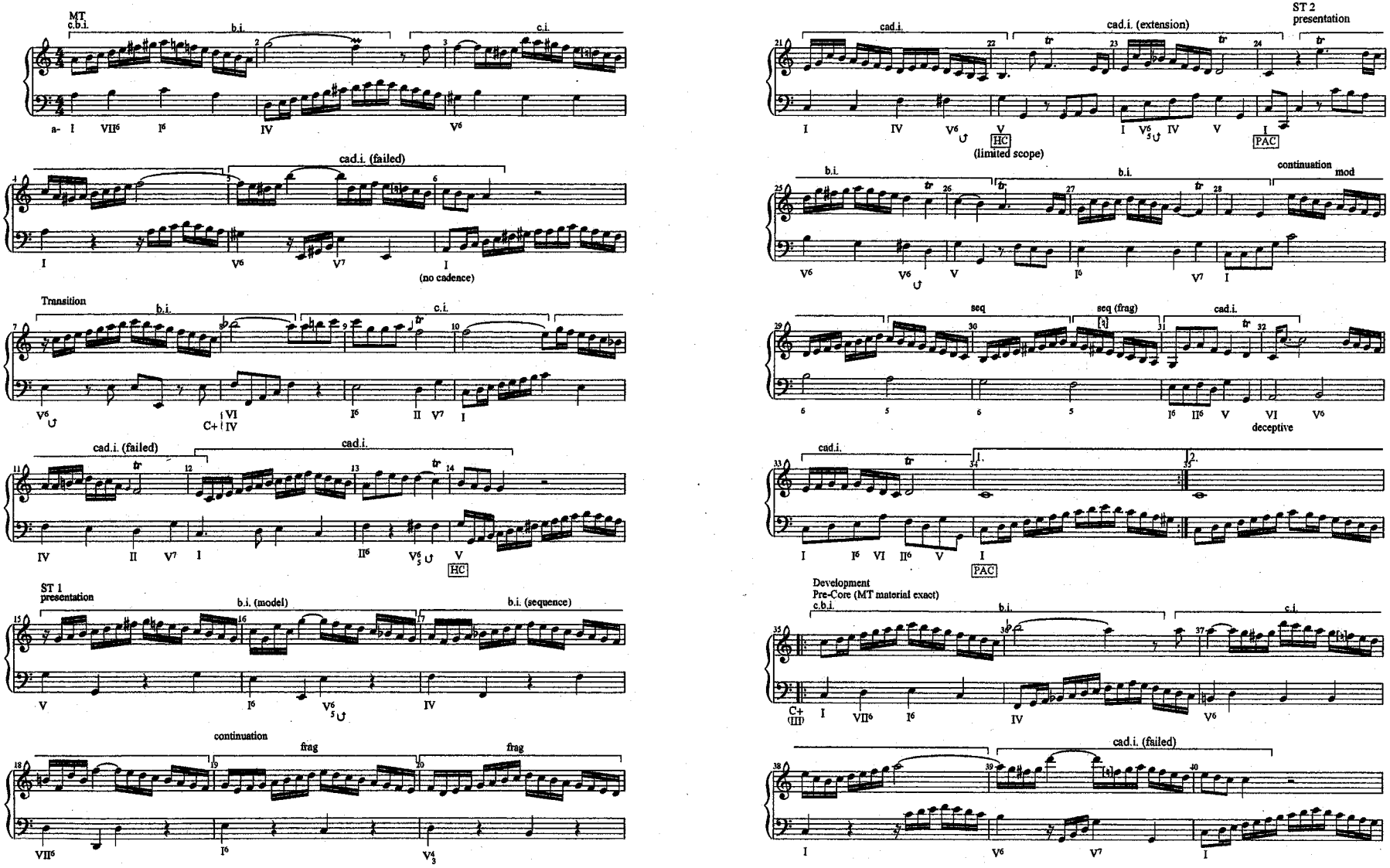
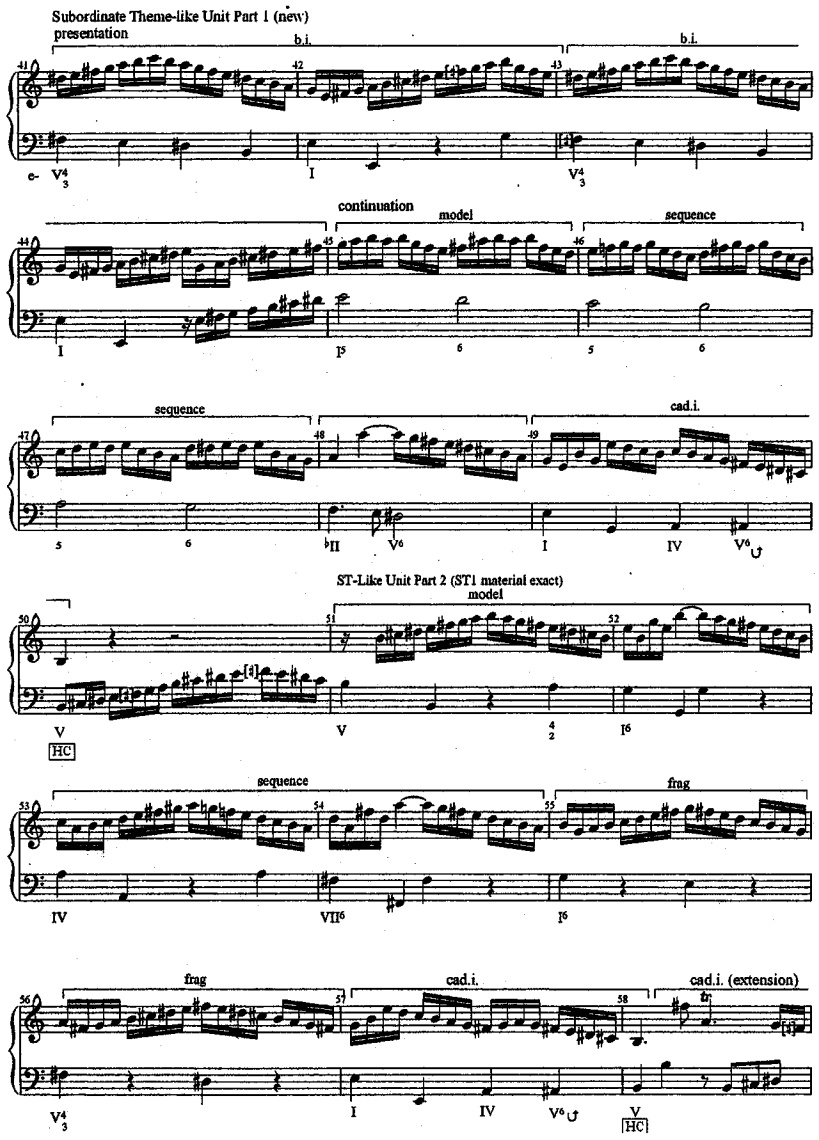
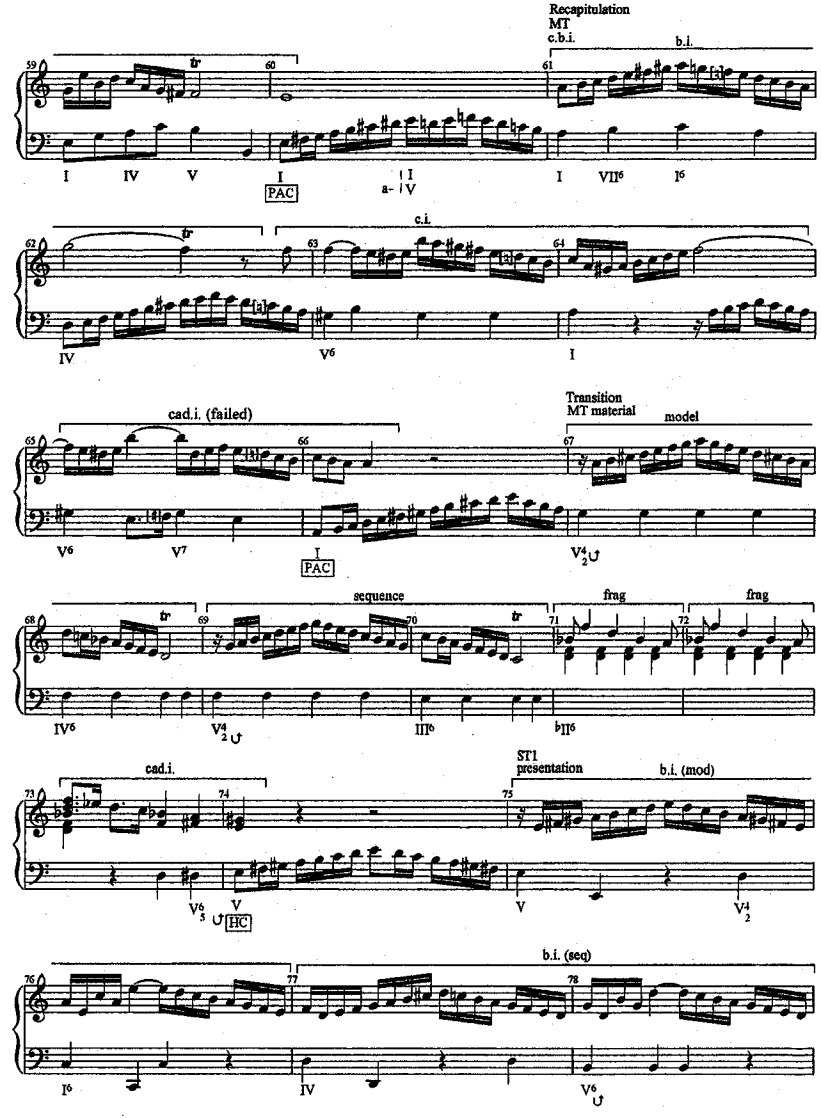
TABLE OF APPENDICES

A-1

Solo in A-minor I




Subordinate Theme-like Unit Part 1 (new)
presentation
b.i.
b.i.
continuation
model
sequence
sequence
cad.i.
ST-Like Unit Part 2 (ST1 material exact)
model
HC
sequence
frag
frag
cad.i.
cad.i. (extension)
HC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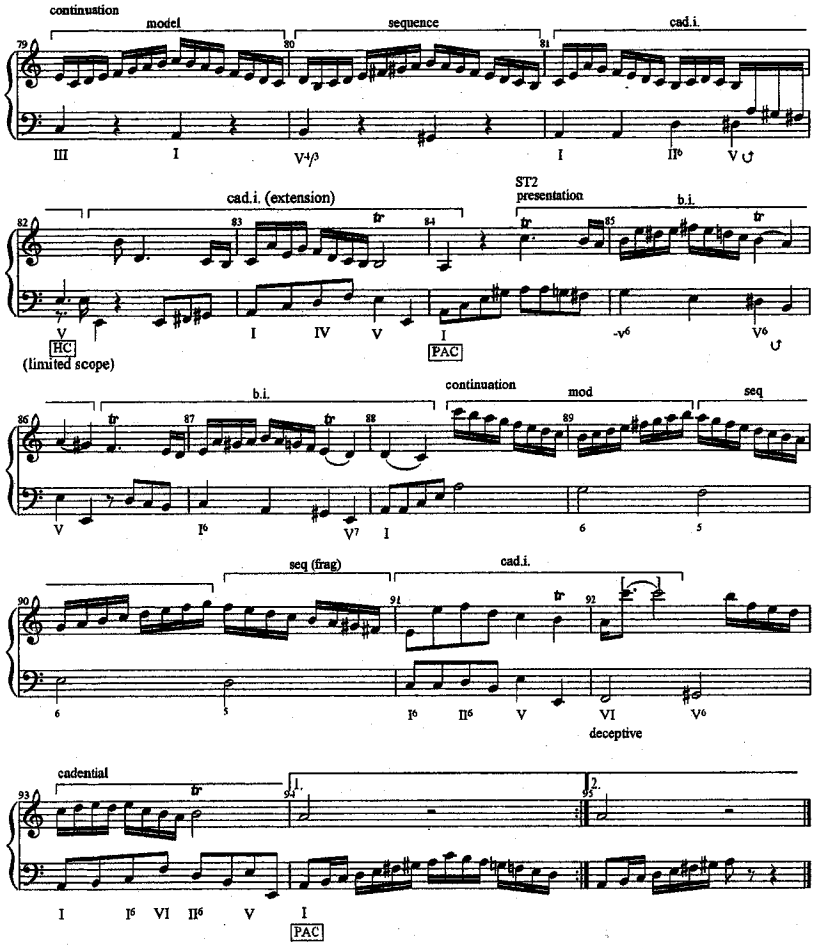
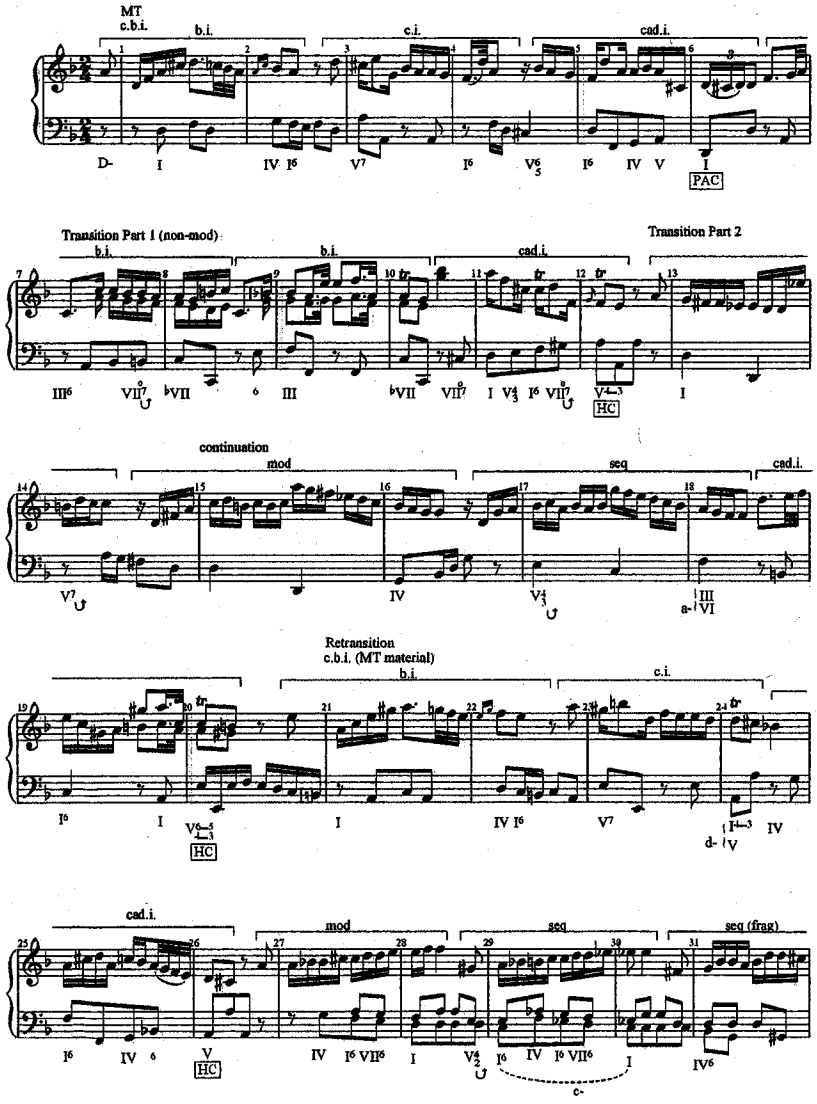
MT
c.b.i.
b.i.
PAC
c.i.
cad.i. (failed)
Transition
MT material
model
PAC
sequence
frag
frag
cad.i.
ST1
presentation
b.i. (mod)
HC
b.i. (seq)

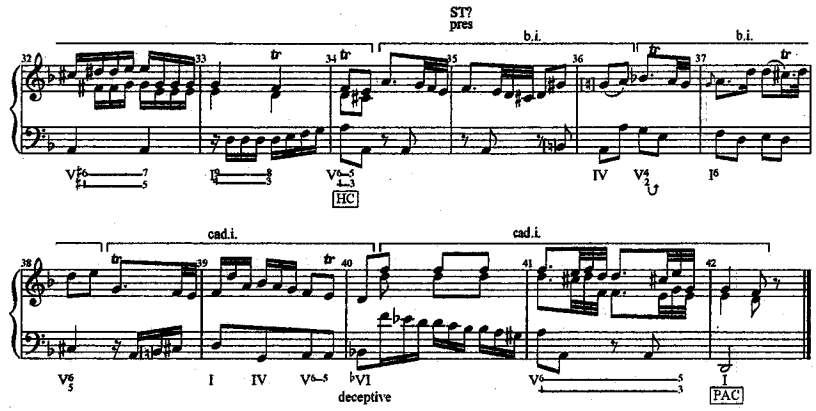
A-3


continuation
model
sequence
cad.i.
79
80
81
III
I
V+/β
I
II6
V
cad.i. (extension)
ST2
presentation
b.i.
82
83
84
85
V
I
IV
V
I
-v6
V6
HC
(limited scope)
PAC
b.i.
continuation
mod
seq
86
87
88
89
V
I6
V7
I
6
5
seq (frag)
cad.i.
90
91
92
6
5
I6
II6
V
VI
V6
deceptive
cadential
93
94
1.
2.
I
I6
VI
II6
V
I
PAC

A-4

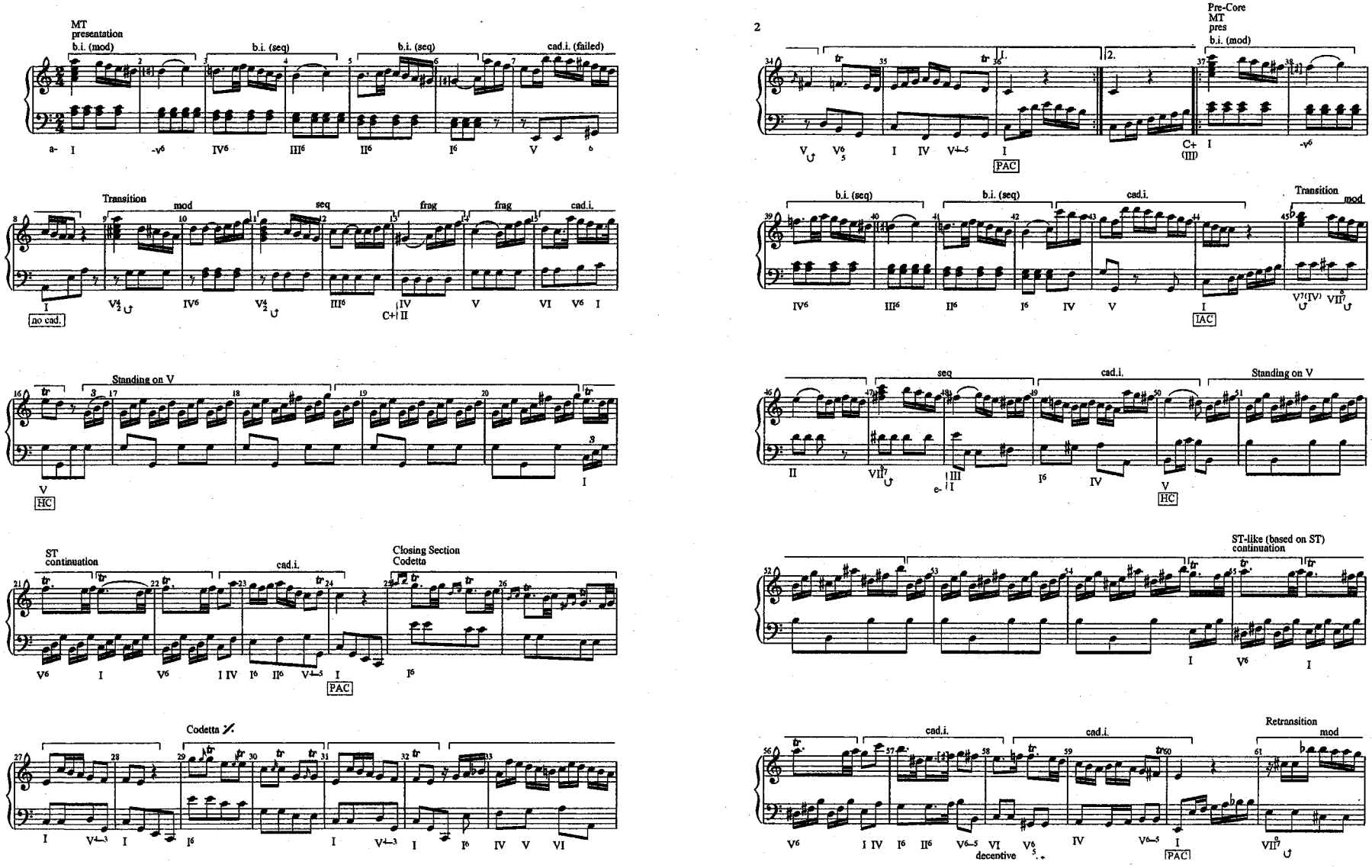
Solo in A-minor II

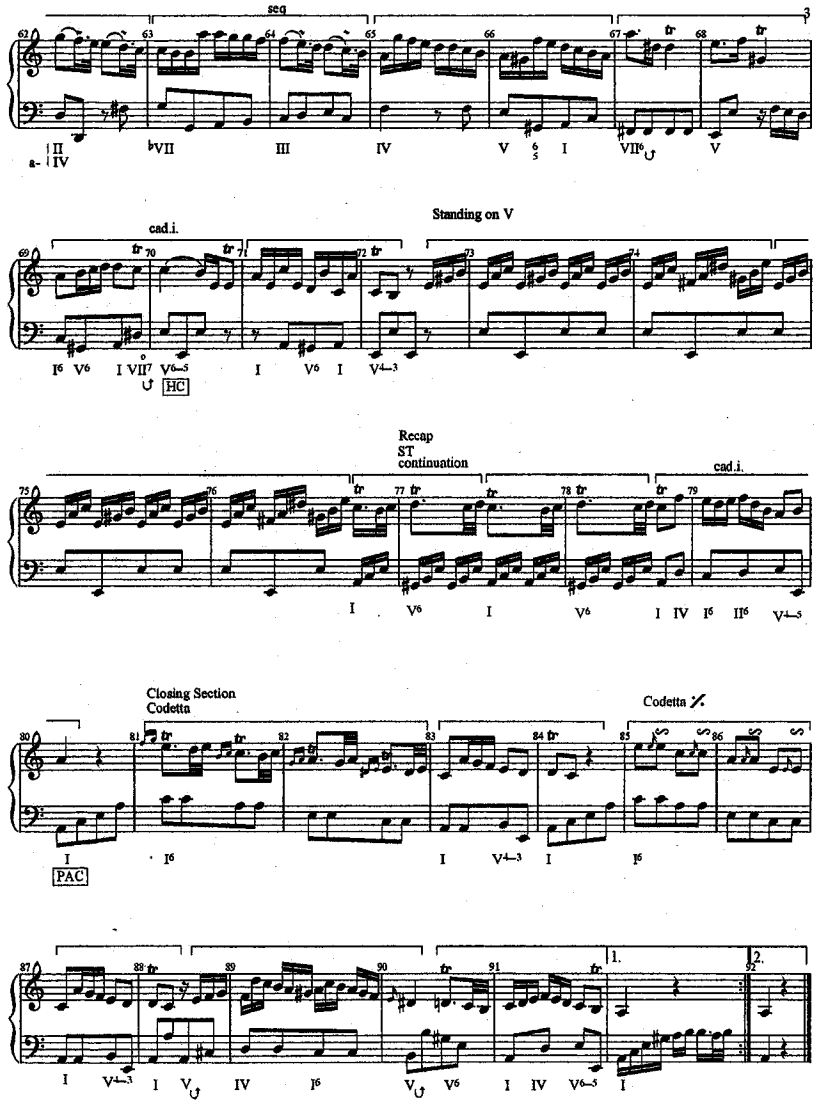




A-5

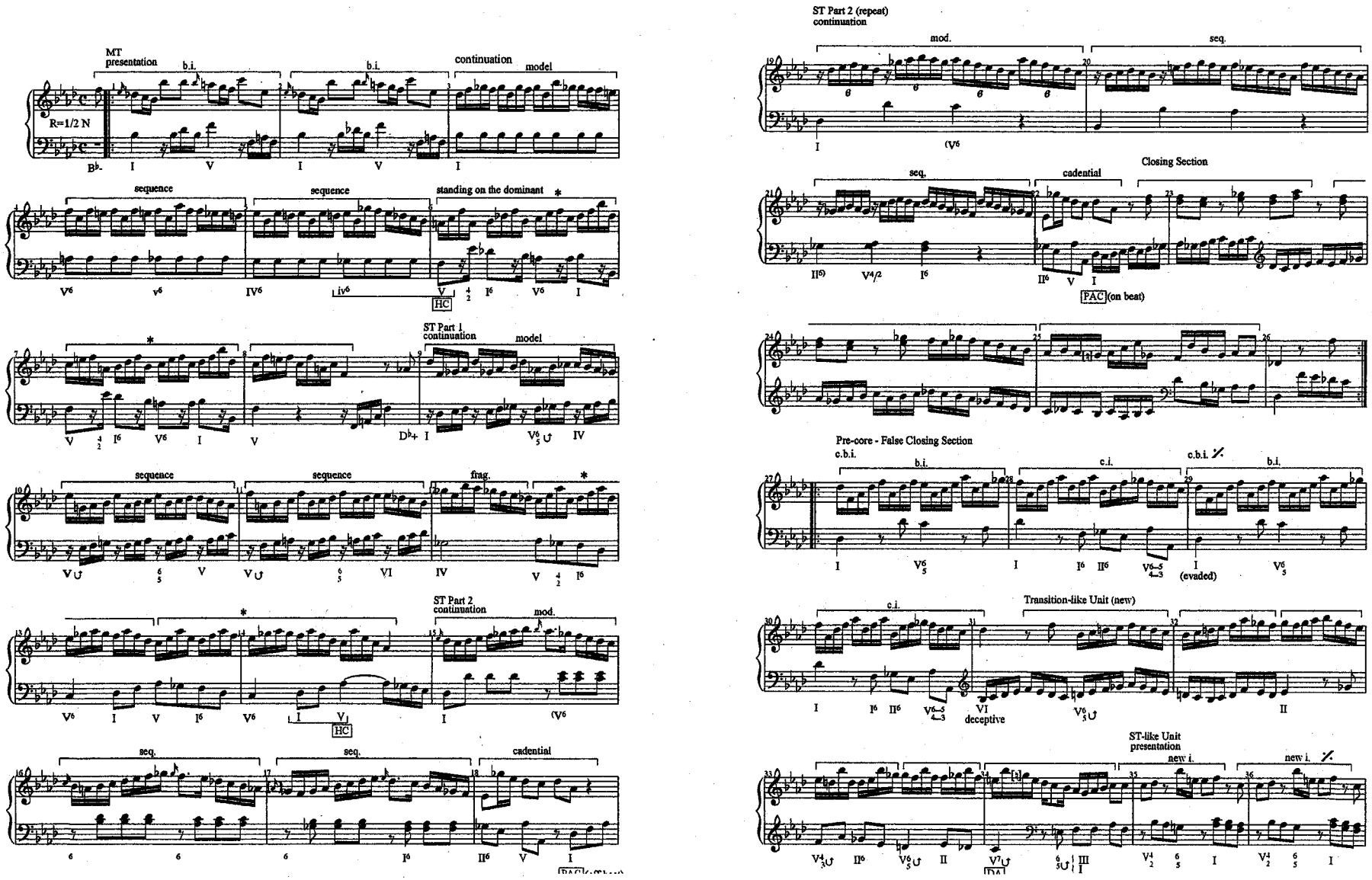
Solo in A-minor III

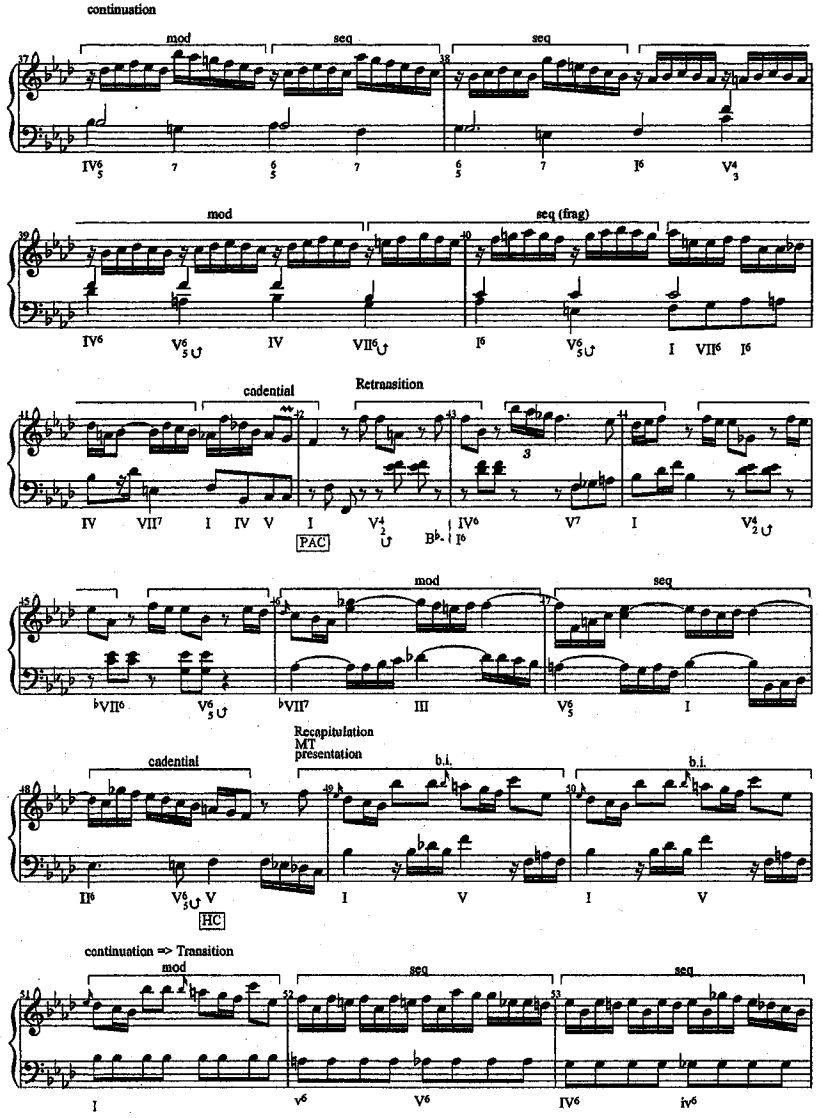


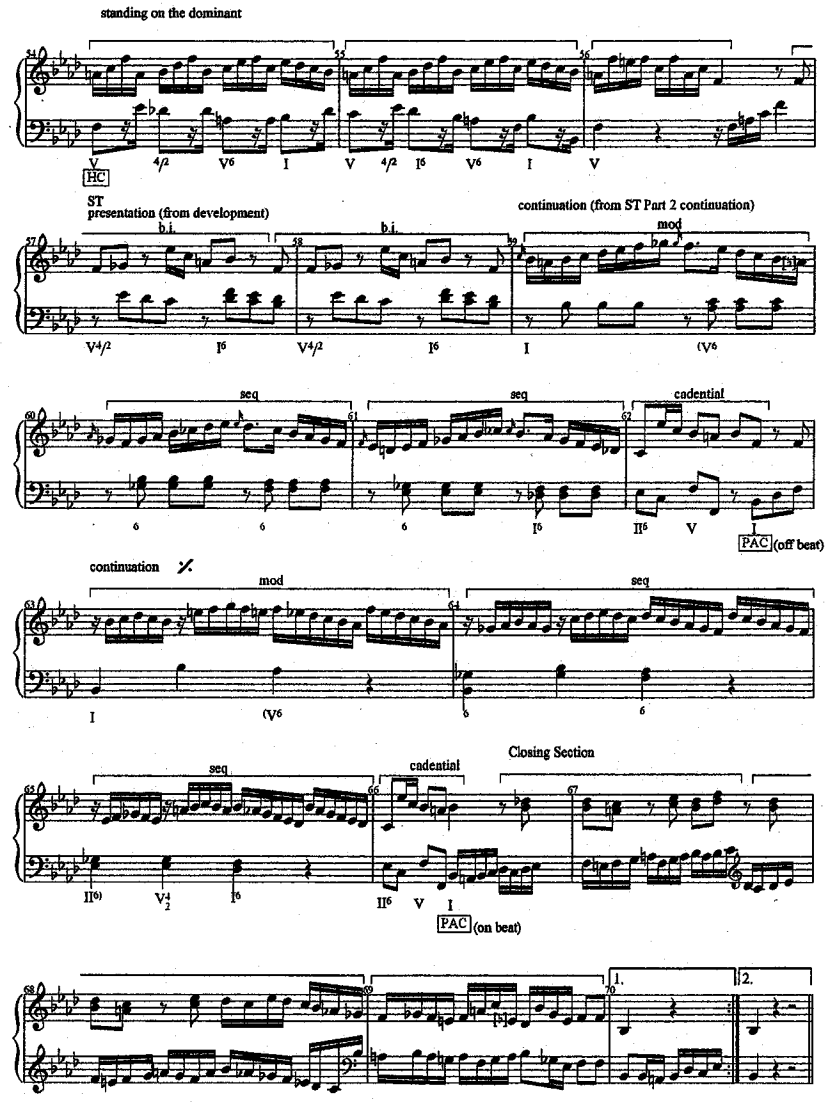

seq
cad.i.
Standing on V
Recap
ST
continuation
cad.i.
Closing Section
Codetta
Codetta
HC
PAC
1.
2.

A-7

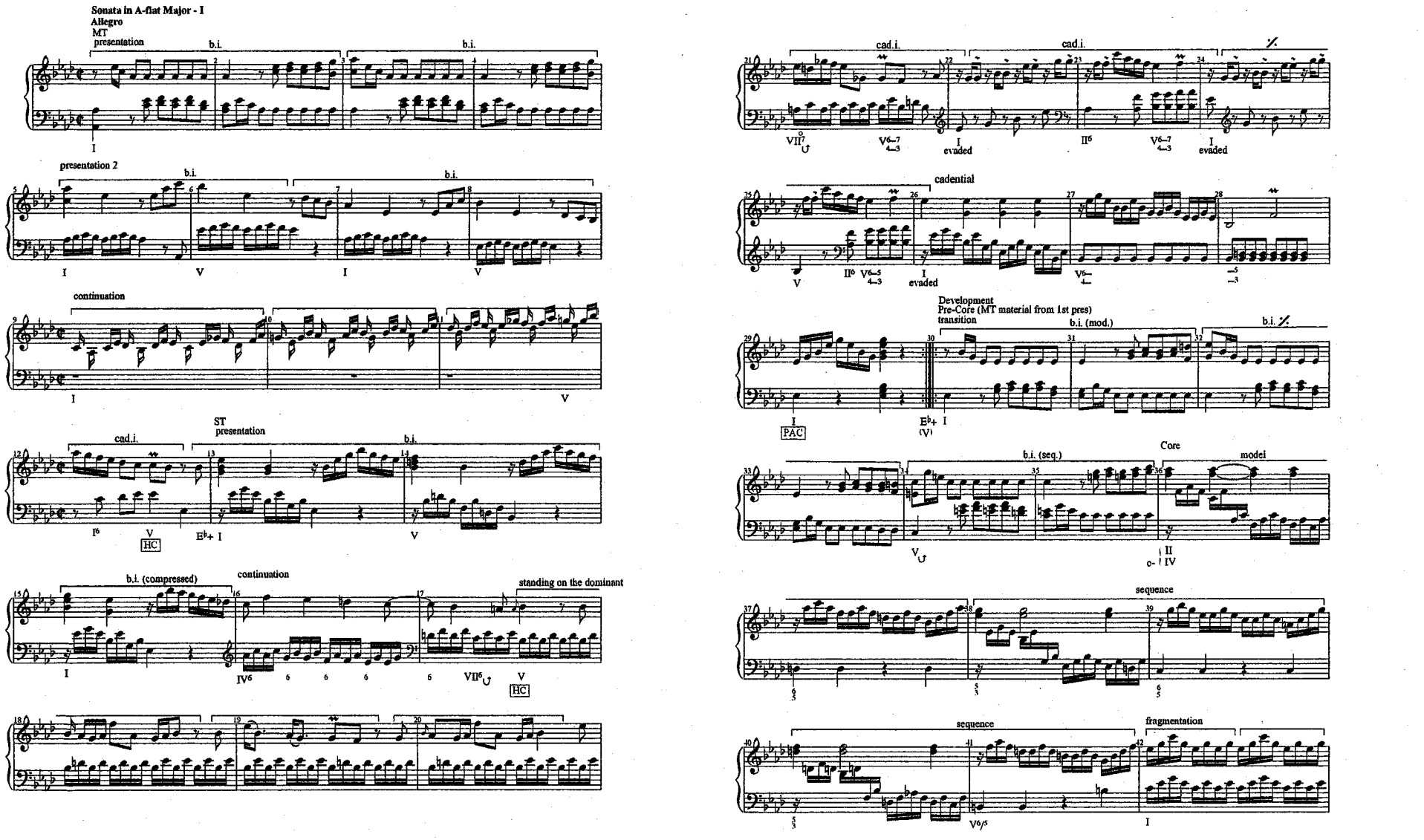
Toccata in Bb-minor

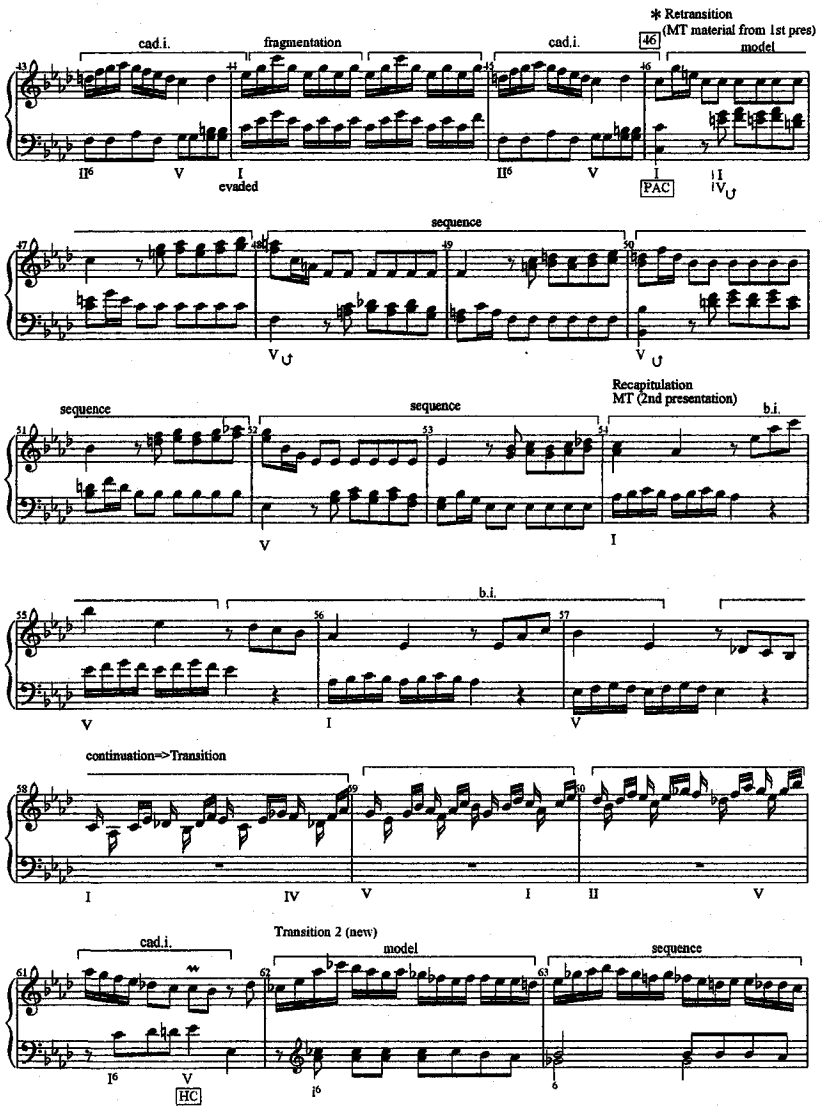


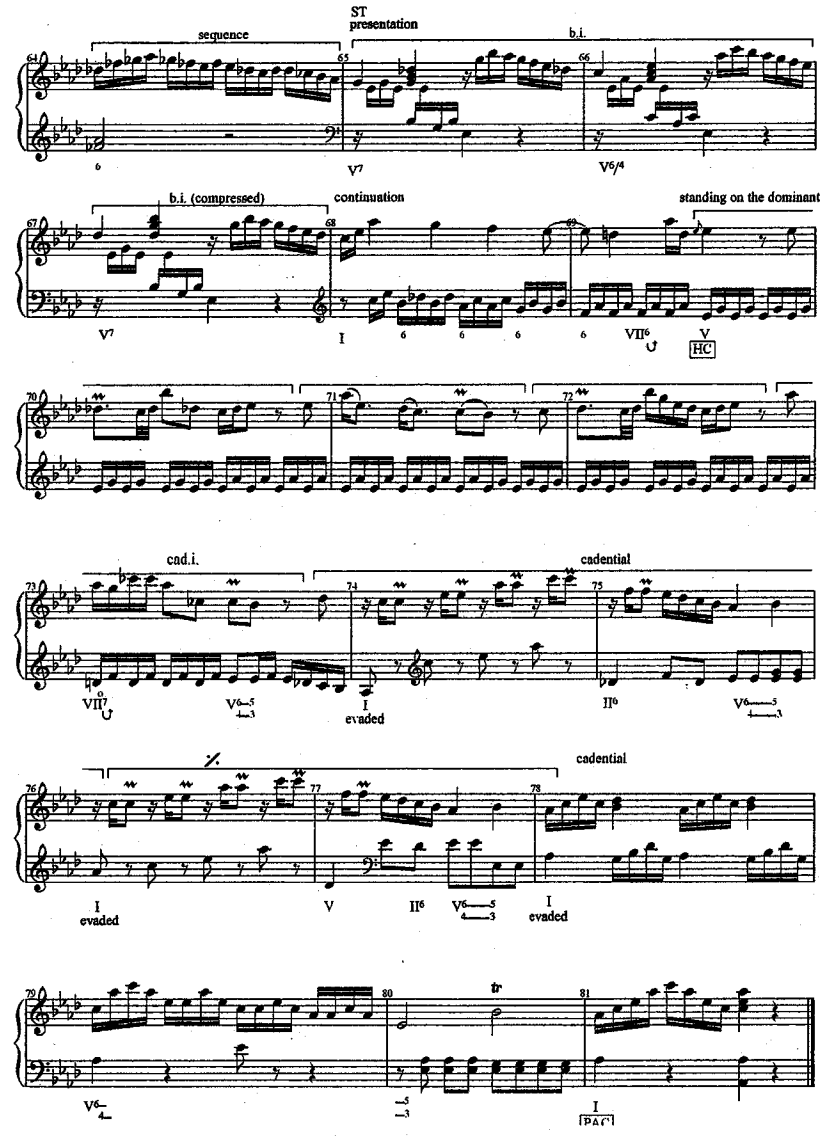

continuation
mod
seq
seq
IV6 5
7
6 5
7
6 5
7
I6
V4 3
mod
seq (frag)
IV6
V6 5
IV
VII6
I6
V6 5
I
VII6
I6
cadential
Retransition
IV
VII7
I
IV
V
I
PAC
V4 2
B♭: I IV6
I6
V7
I
V4 2
mod
seq
♭VII6
V6 5
♭VII7
III
V6 5
I
Recapitulation
MT
presentation
cadential
b.i.
b.i.
II6
V6 5
V
HC
I
V
I
V
continuation => Transition
mod
seq
seq
I
v6
V6
IV6
iv6


standing on the dominant
V
HC
4/2
V6
I
V
4/2
I6
V6
I
V
ST
presentation (from development)
b.i.
b.i.
V4/2
I6
V4/2
I6
continuation (from ST Part 2 continuation)
mod
I
(V6
seq
seq
cadential
6
6
6
I6
II6
V
I
PAC (off beat)
continuation
mod
seq
I
(V6
6
6
Closing Section
seq
cadential
II6
V4 2
I6
II6
V
I
PAC (on beat)
1.
2.

Sonata in Ab-Major I

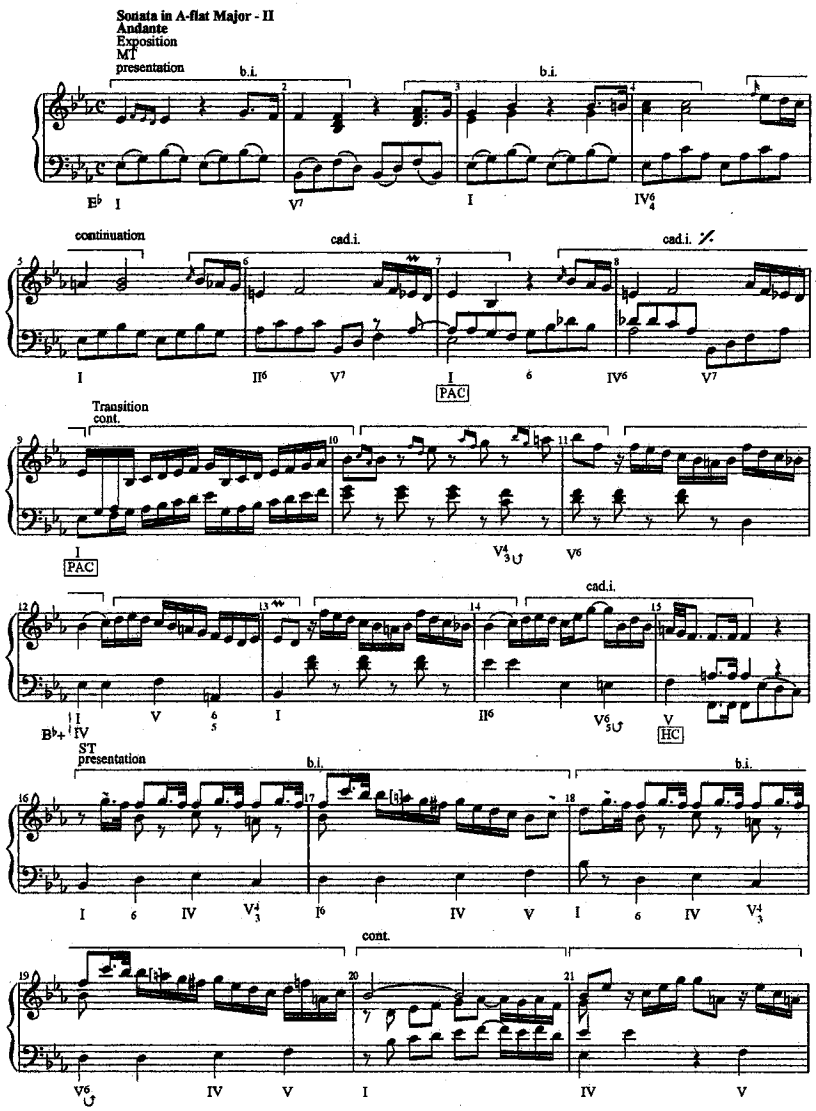


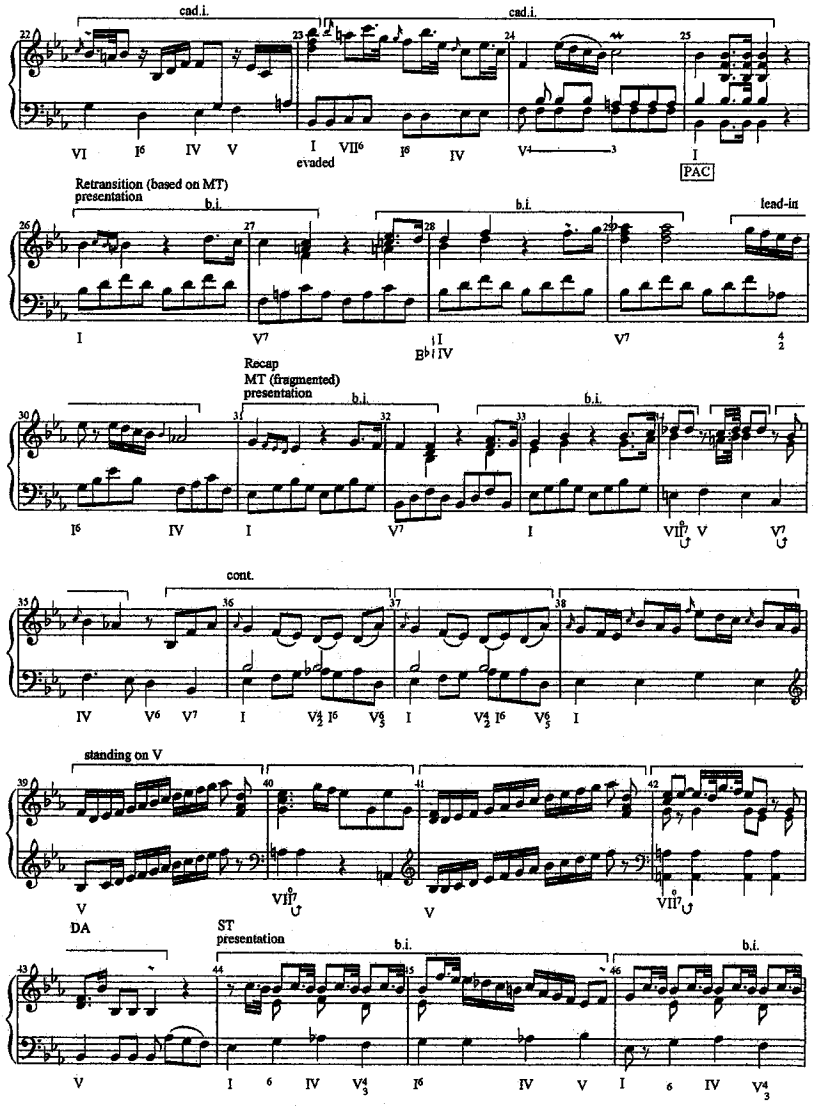

* Retransition
(MT material from 1st pres)
cad.i.
fragmentation
cad.i.
model
II6
V
I
evaded
II6
V
I
PAC
I
V
sequence
V
V
sequence
sequence
Recapitulation
MT (2nd presentation)
b.i.
V
I
b.i.
V
I
V
continuation=>Transition
I
IV
V
I
II
V
Transition 2 (new)
cad.i.
model
sequence
I6
V
HC
I6


ST
presentation
sequence
b.i.
V7
V6/4
b.i. (compressed)
continuation
standing on the dominant
V7
I
VII6
V
HC
cad.i.
cadential
VII7
V6—5
I
evaded
II6
V6—5
I
evaded
cadential
I
evaded
V
II6
V6—5
I
evaded
V6
I
PAC

A-11

Sonata in Ab-Major II





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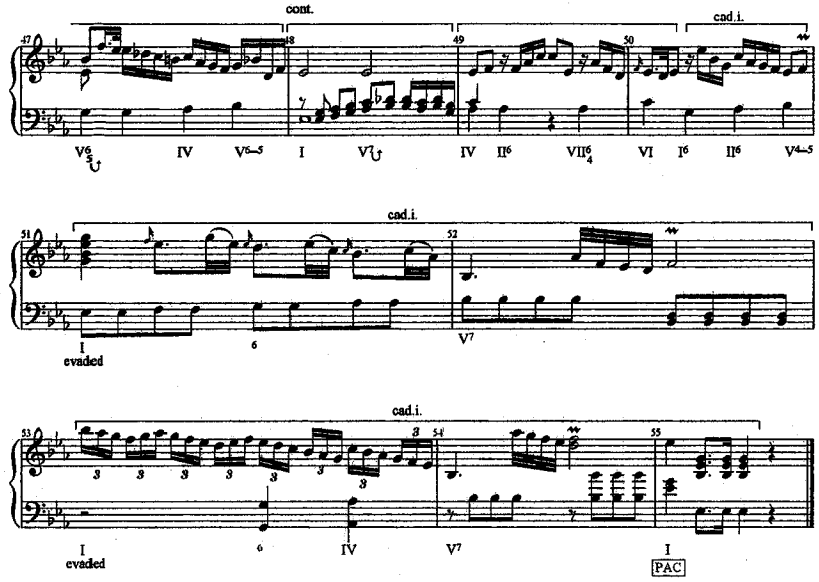
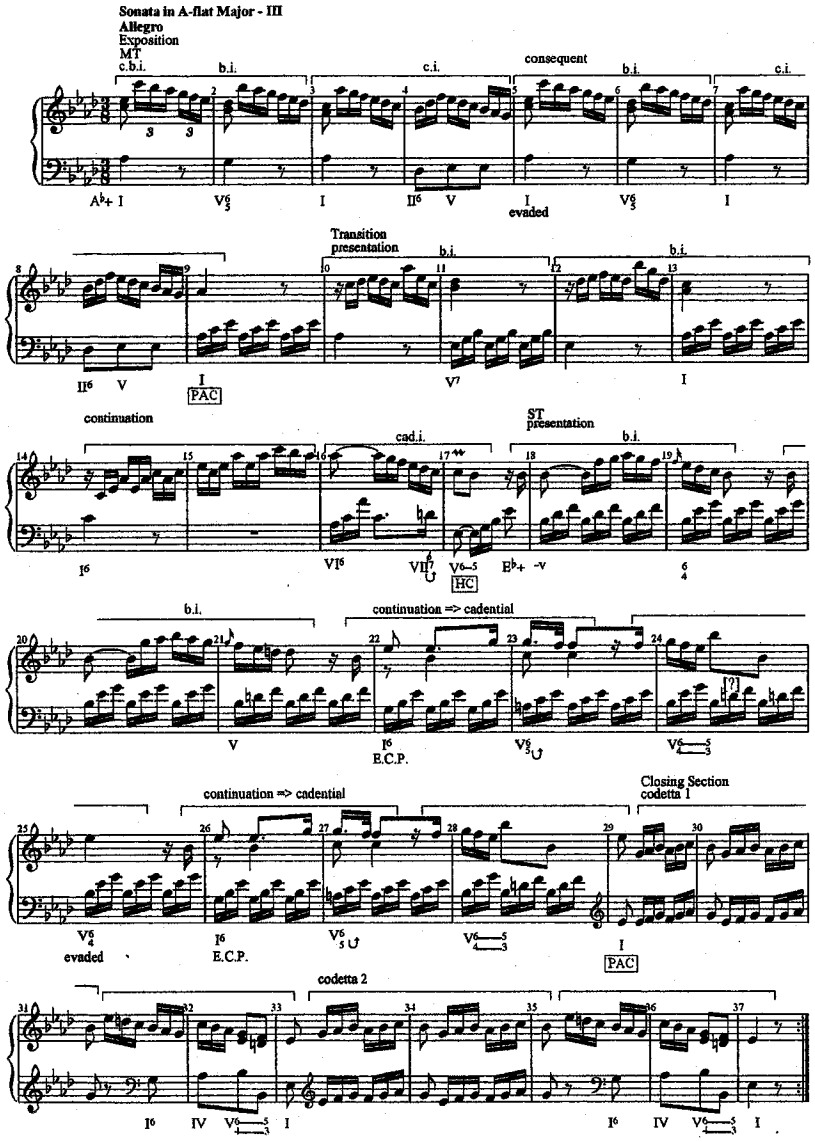
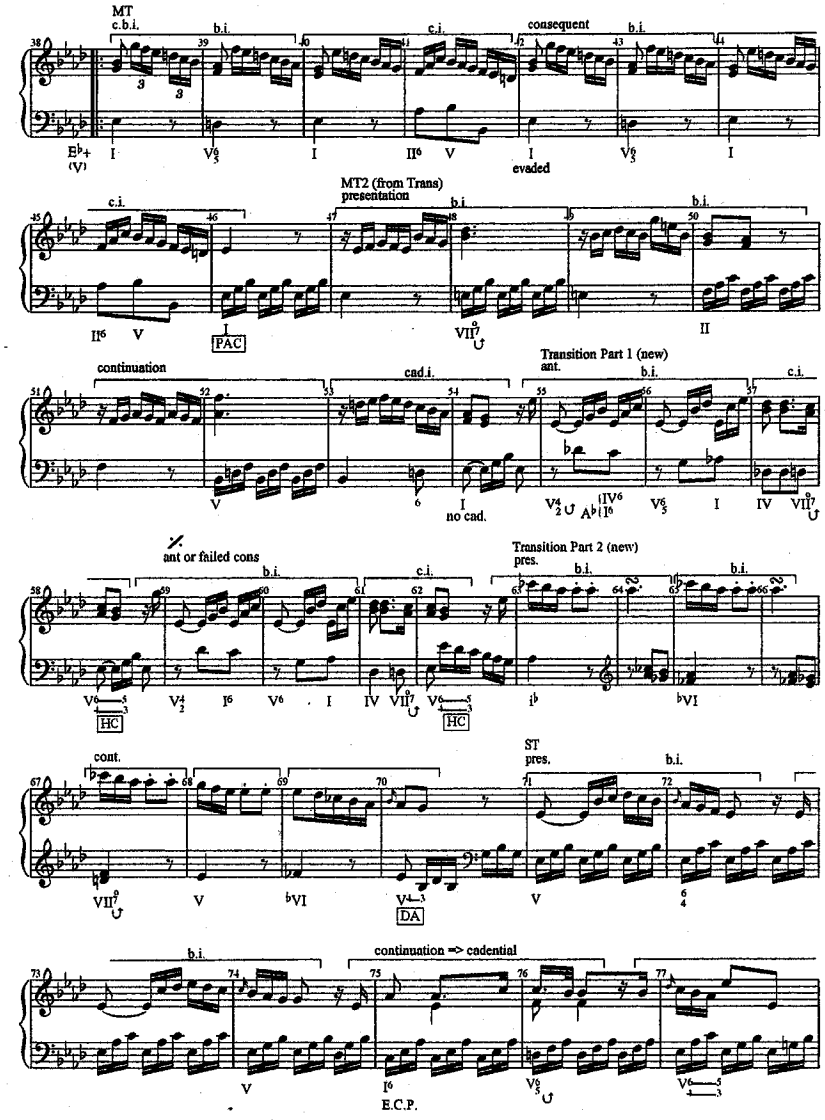
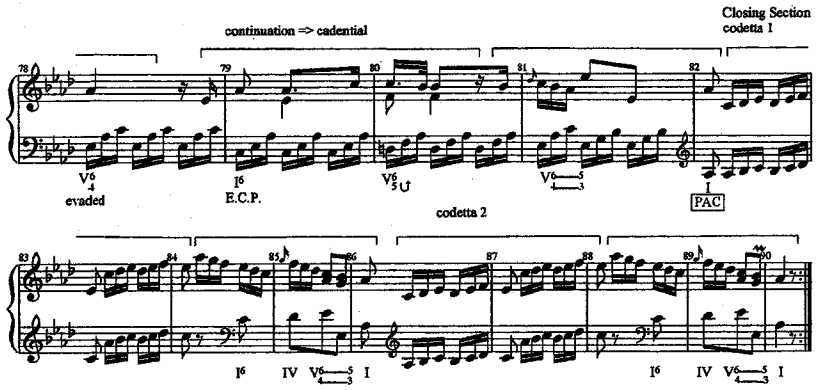

cont.
cad.i.
47
48
49
50
V6 5
IV
V6–5
I
VI
IV
II6
VII6 4
VI
I6
II6
V4–5
cad.i.
51
52
I
evaded
6
V7
cad.i.
53
54
55
I
evaded
6
IV
V7
I
PAC

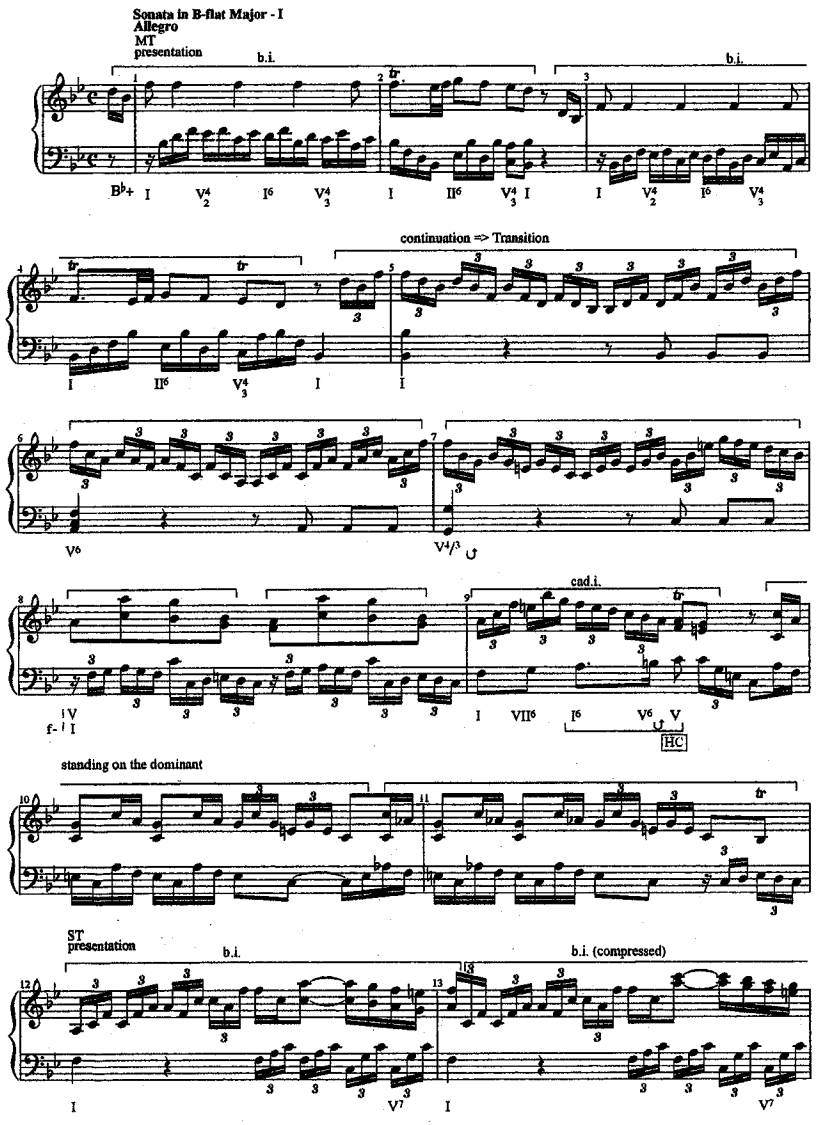
Sonata in Ab-Major III

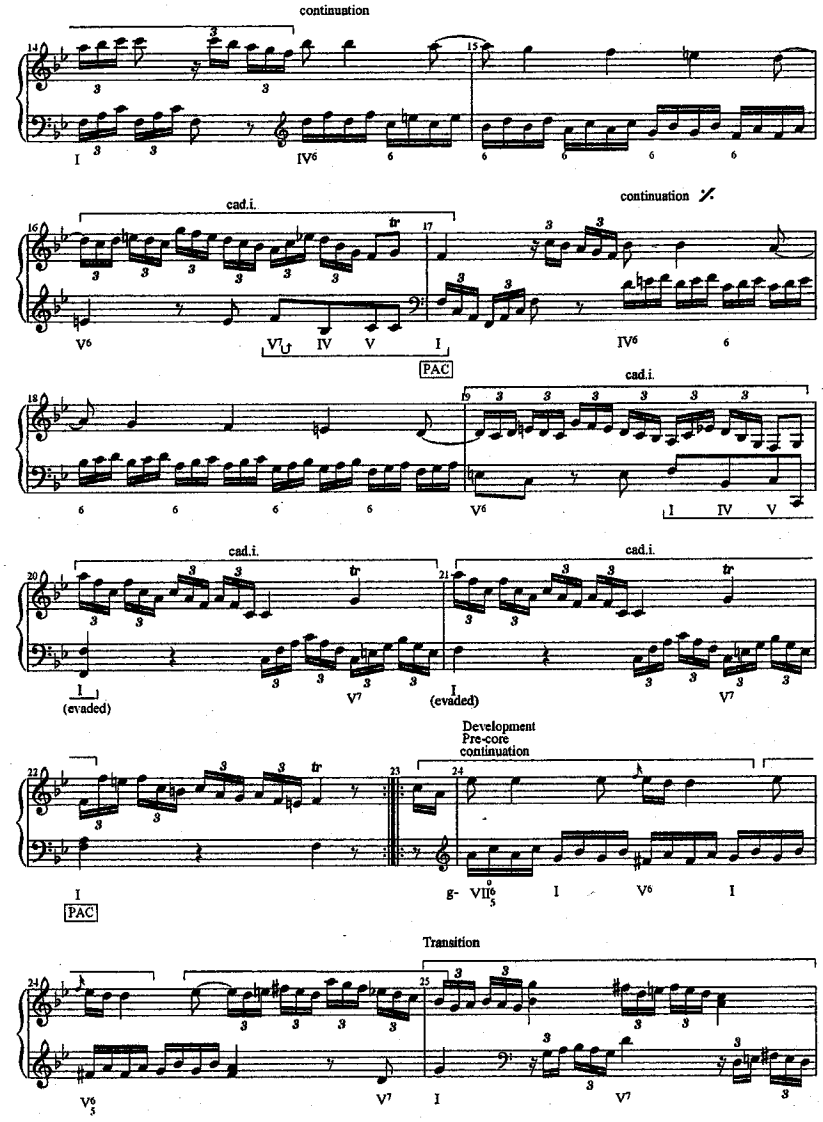


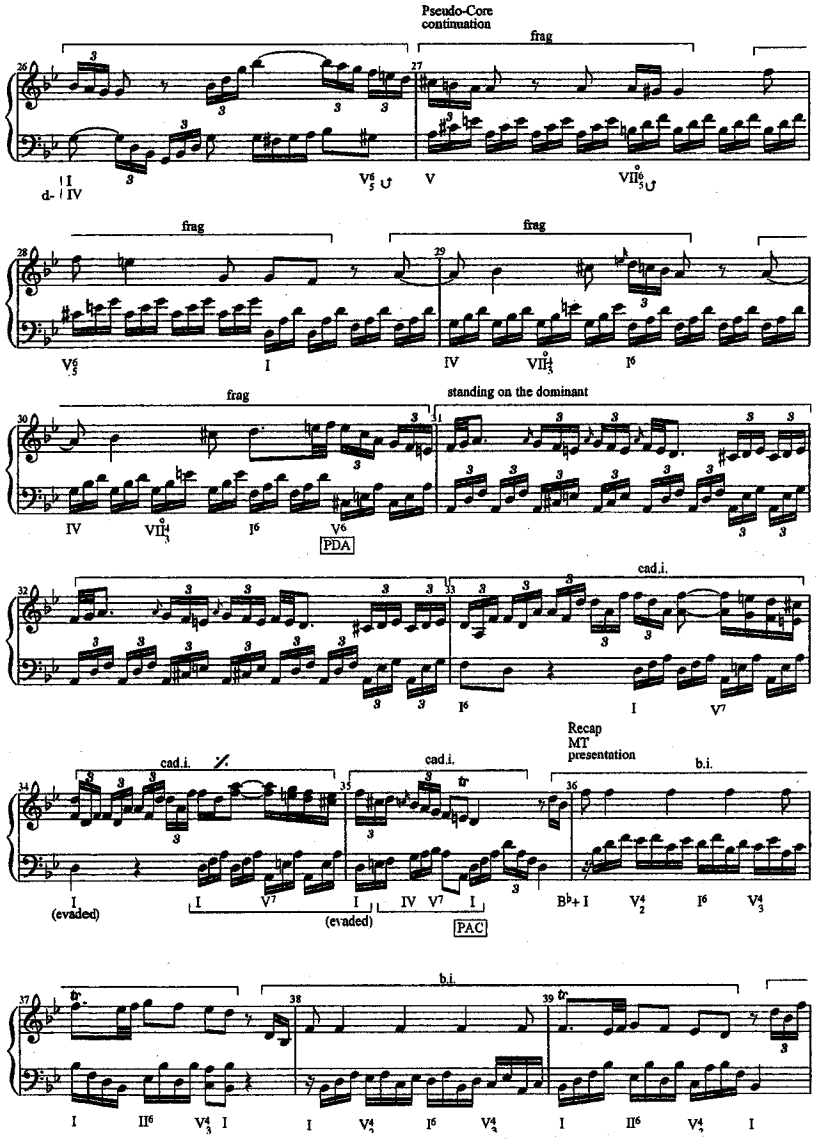


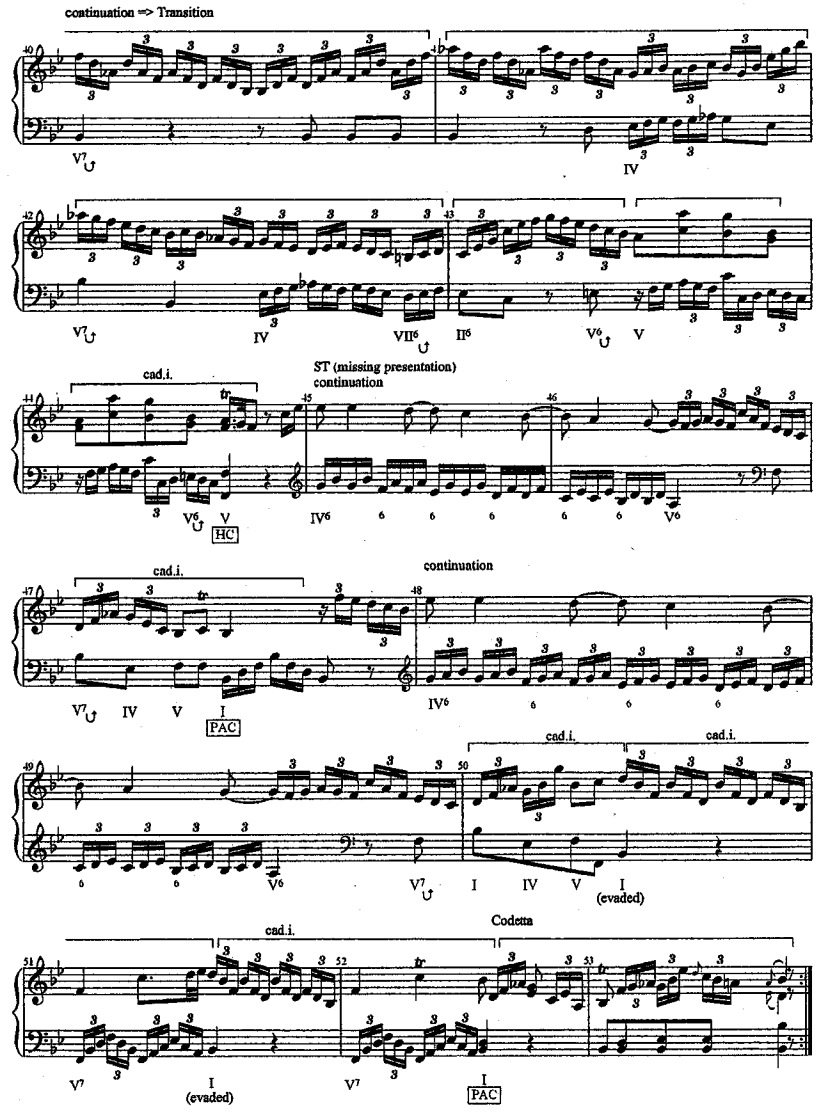

continuation => cadential
Closing Section
codetta 1
78
79
80
81
82
V6/4
evaded
I6
E.C.P.
V6/5
V6 5/4 3
I
PAC
codetta 2
83
84
85
86
87
88
89
90
I6
IV
V6 5/4 3
I
I6
IV
V6 5/4 3
I

Sonata in Bb-Major I

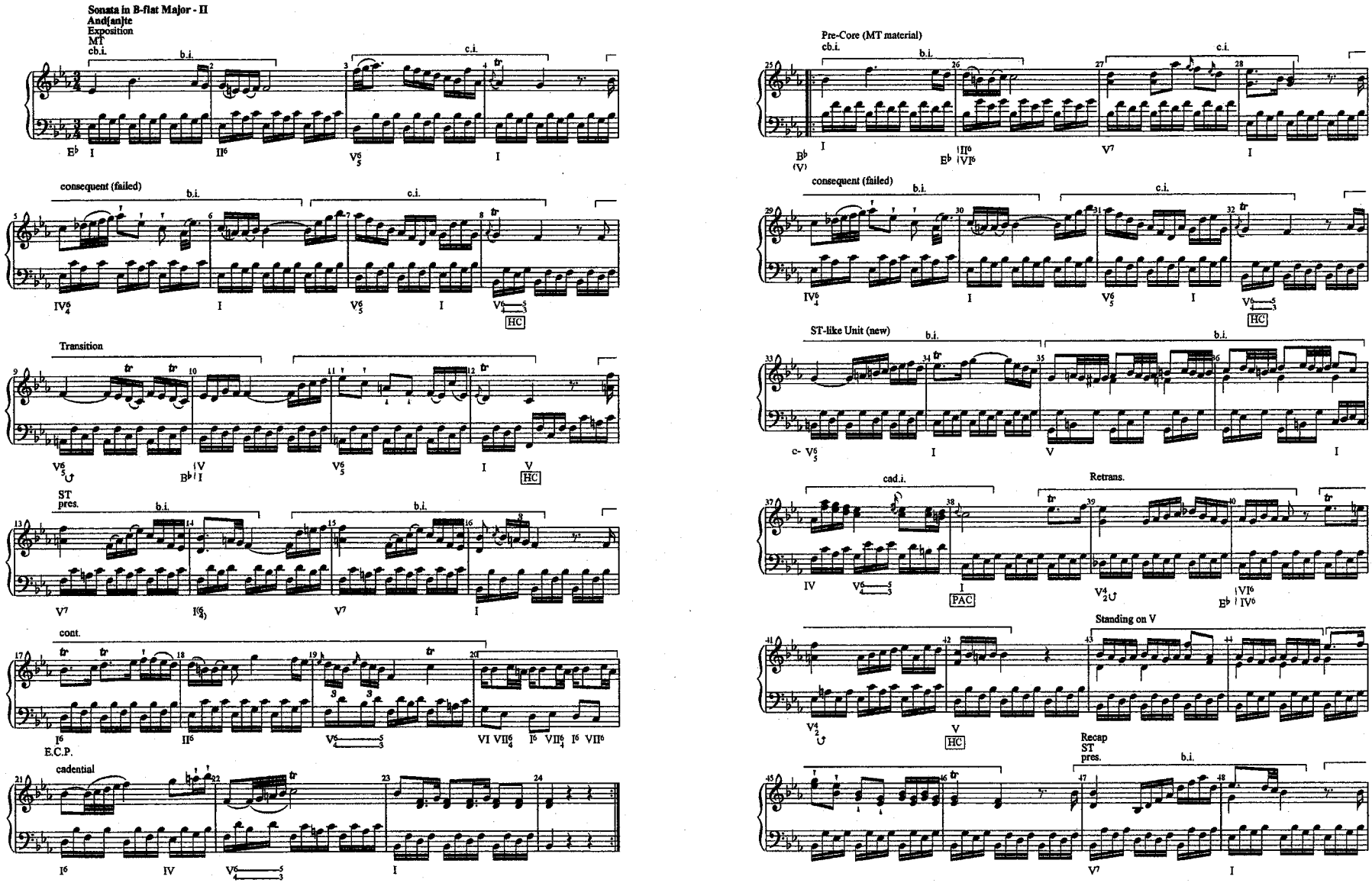


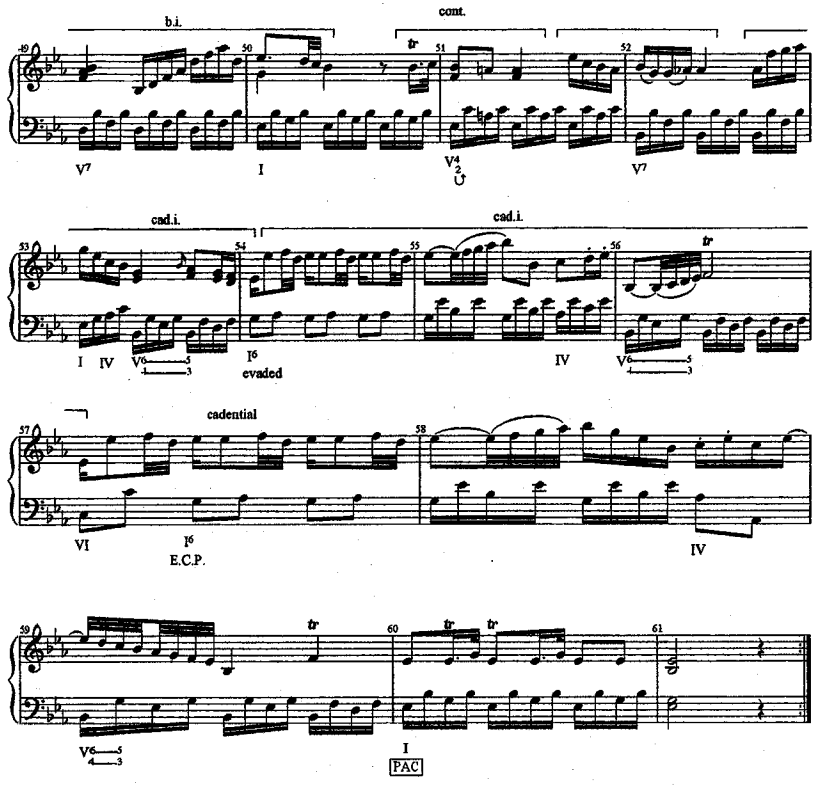



Pseudo-Core
continuation
frag
frag
frag
frag
standing on the dominant
cad.i.
cad.i.
cad.i.
Recap
MT
presentation
b.i.
b.i.
PDA
PAC
(evaded)
(evaded)

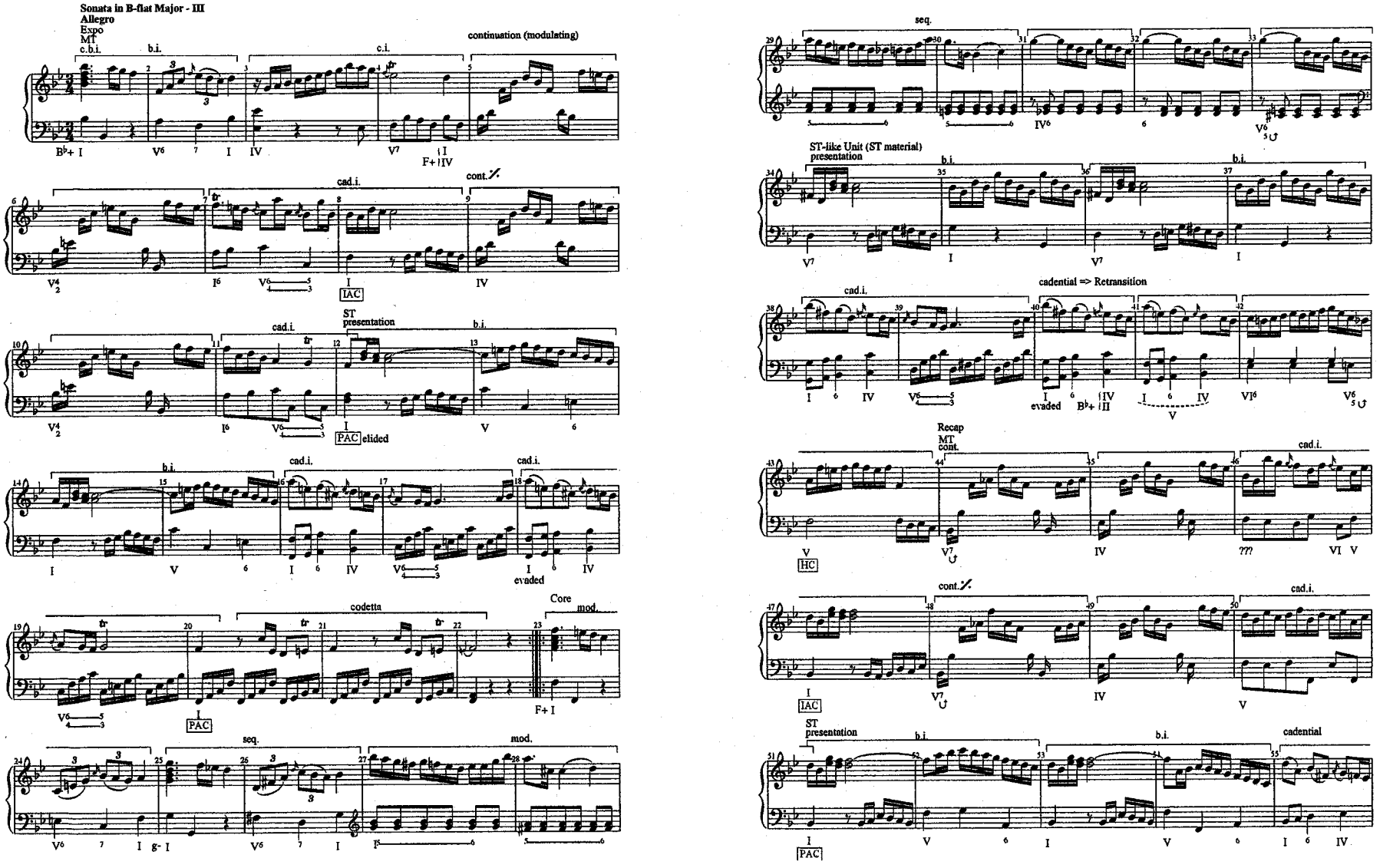

continuation => Transition
cad.i.
ST (missing presentation)
continuation
HC
cad.i.
continuation
PAC
cad.i.
cad.i.
(evaded)
Codetta
cad.i.
(evaded)
PAC

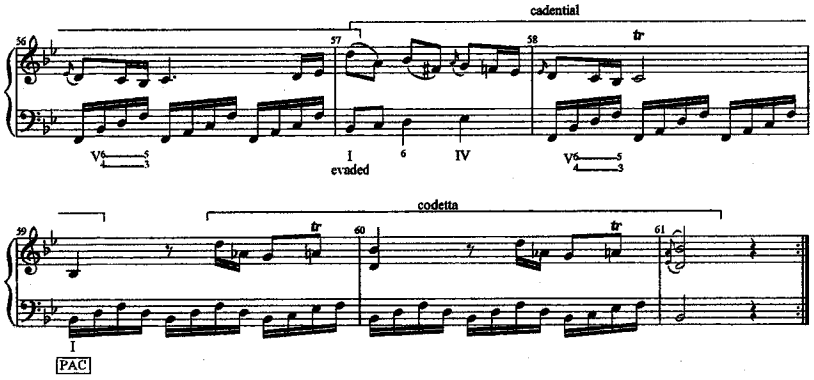
Sonata in Bb-Major II



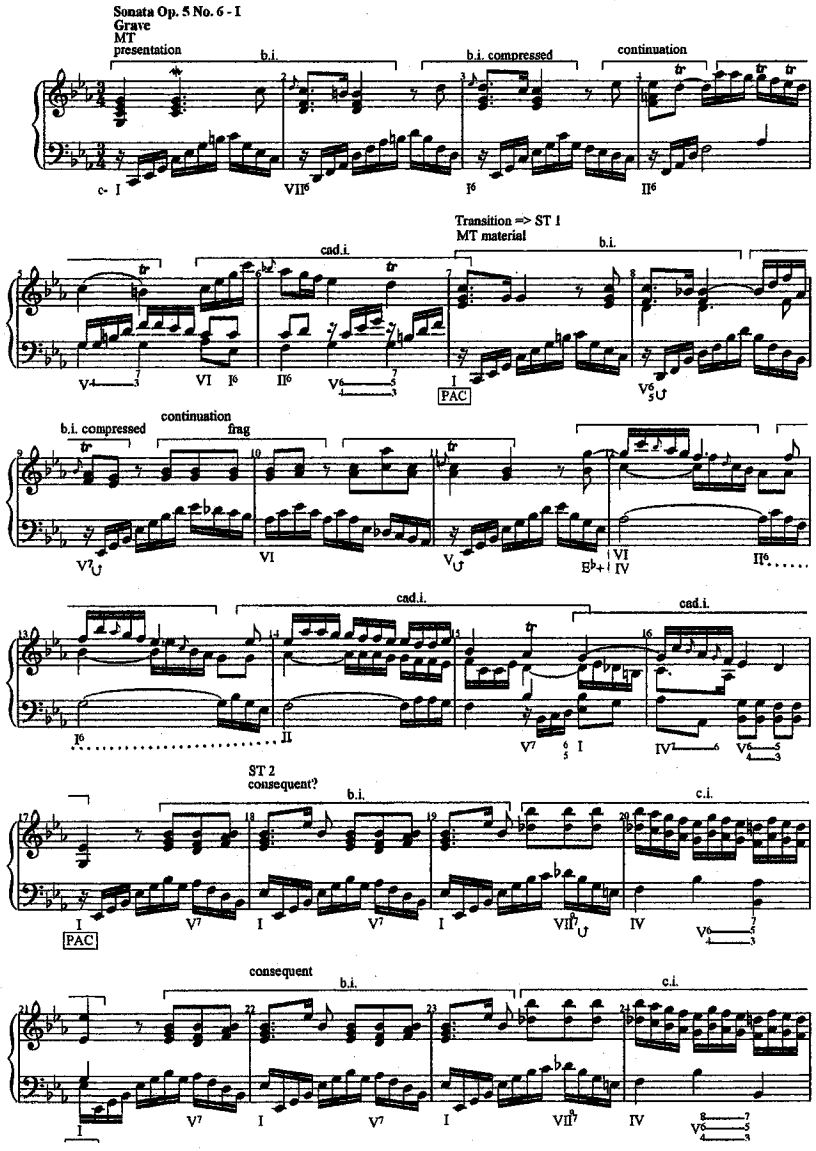

b.i.
cont.
49
50
51
52
V7
I
V4 2
V7
cad.i.
cad.i.
53
54
55
56
I IV V6 5 3
I6
evaded
IV
V6 5 3
cadential
57
58
VI
I6
E.C.P.
IV
59
60
61
V6 5 3
I
PAC

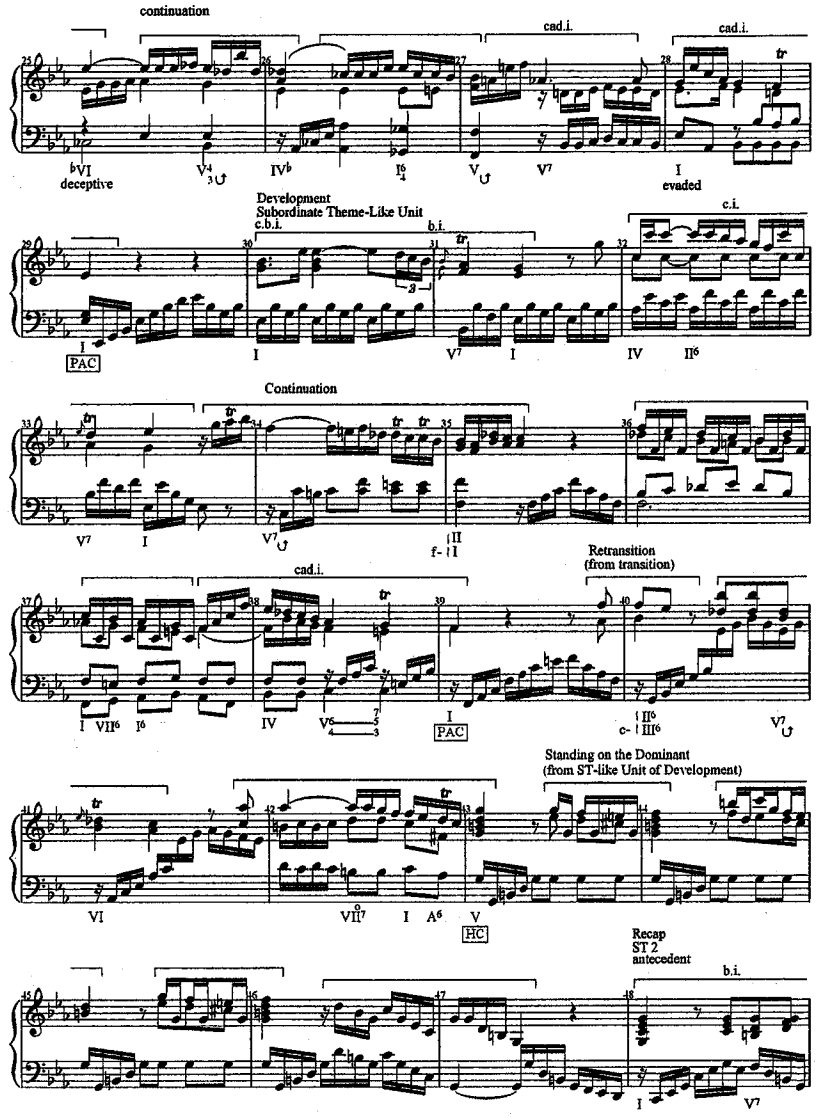
Sonata in Bb-Major III

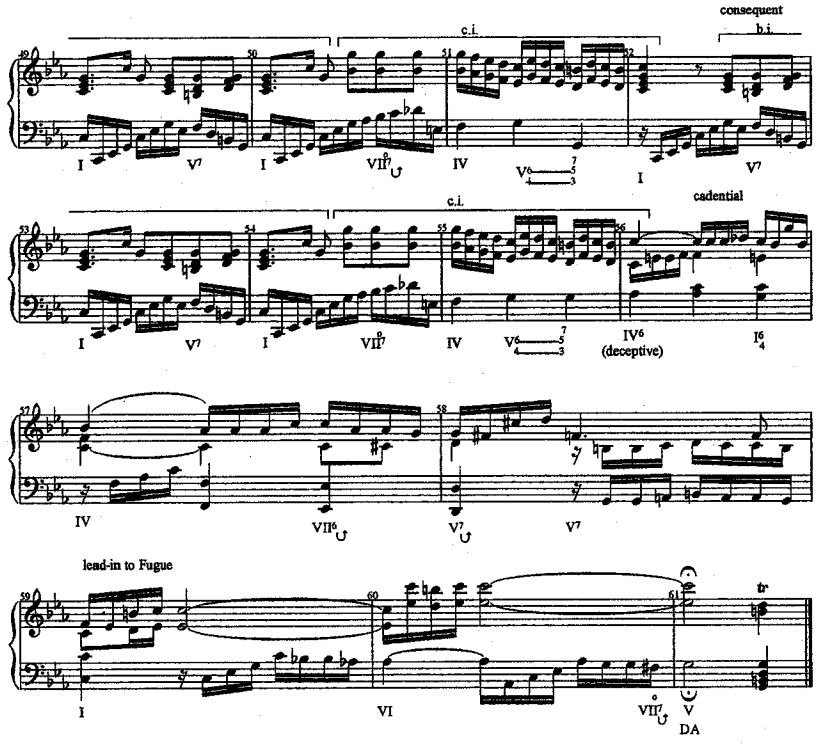



cadential
56
57
58
tr
V6 5 4 3
I
evaded
6
IV
V6 5 4 3
codetta
59
tr
60
tr
61
I
PAC

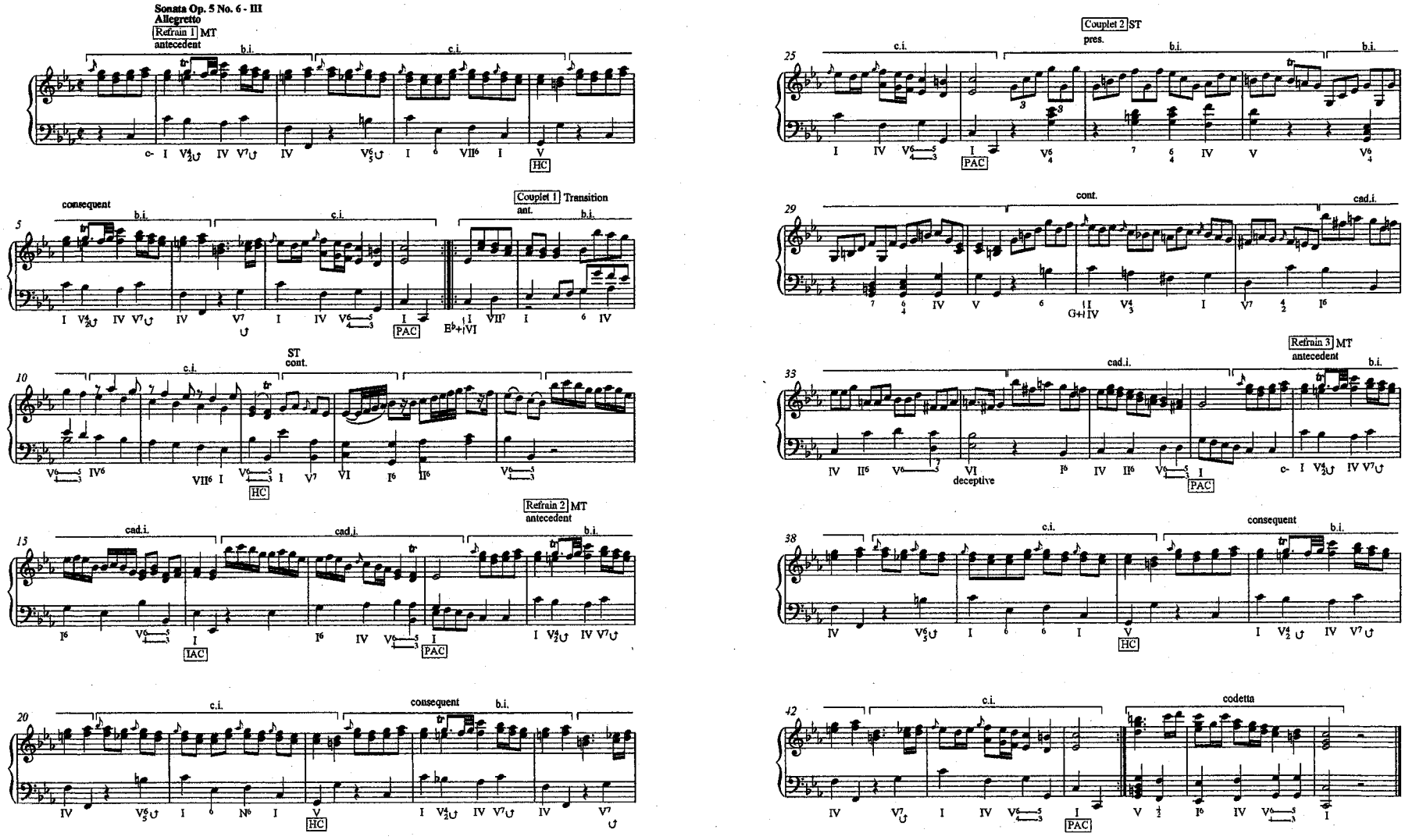
Sonata Op. 5 No.6 I



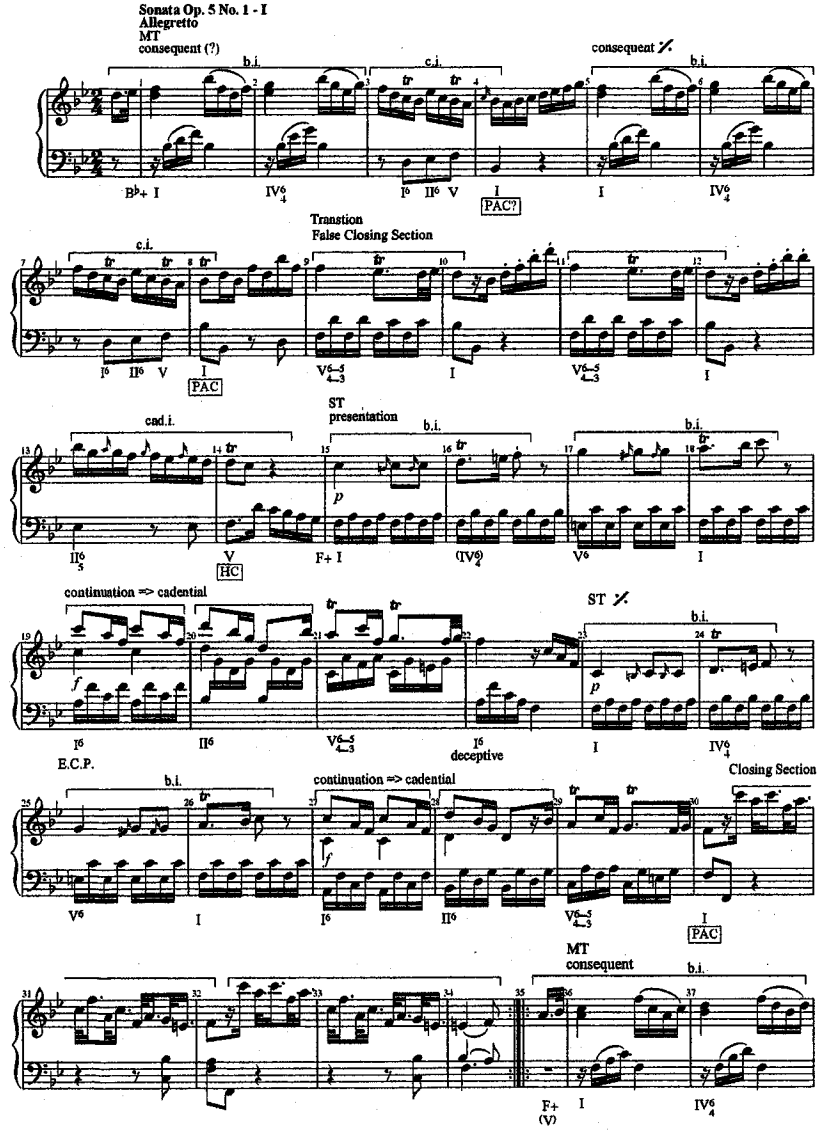


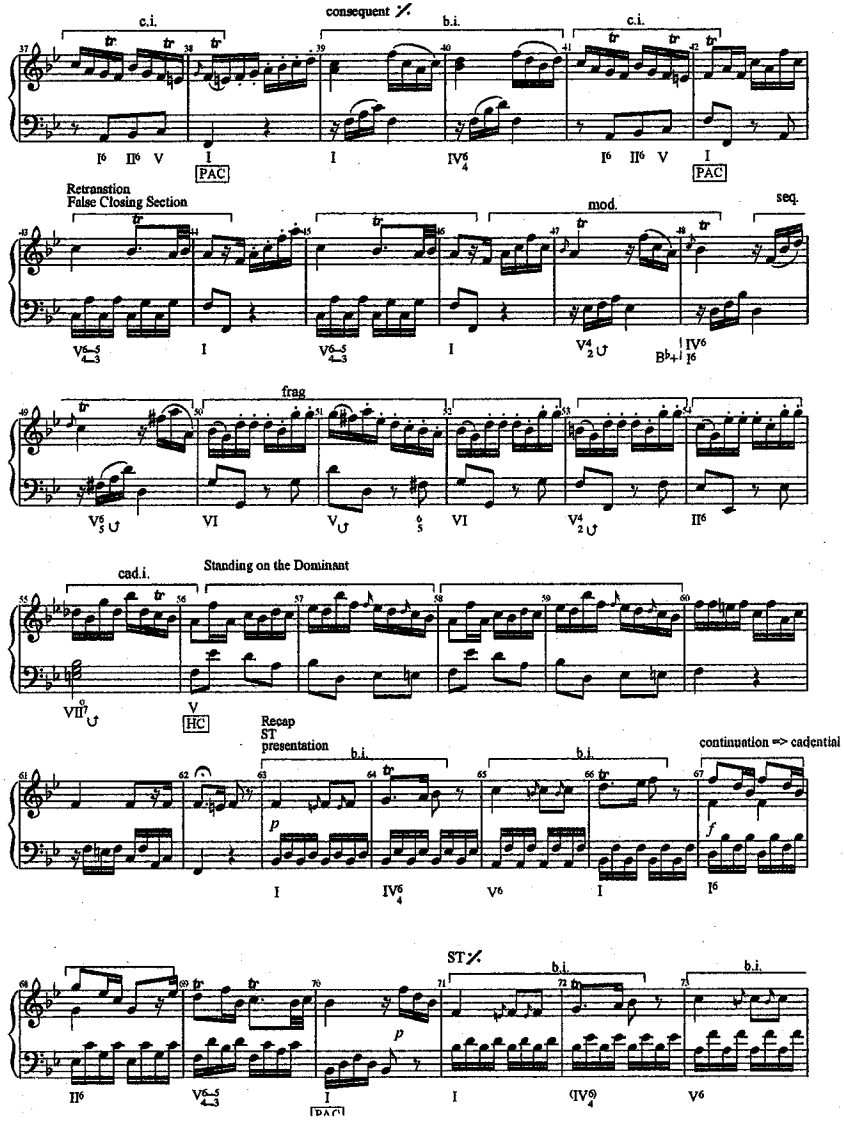

consequent
c.i.
b.i.
I V7 I VII°7 IV V6 7 5 4 3 I V7
c.i.
cadential
I V7 I VII°7 IV V6 7 5 4 3 IV6 (deceptive) I6 4
IV VII°6 V7 V7
lead-in to Fugue
tr
I VI VII°7 V DA

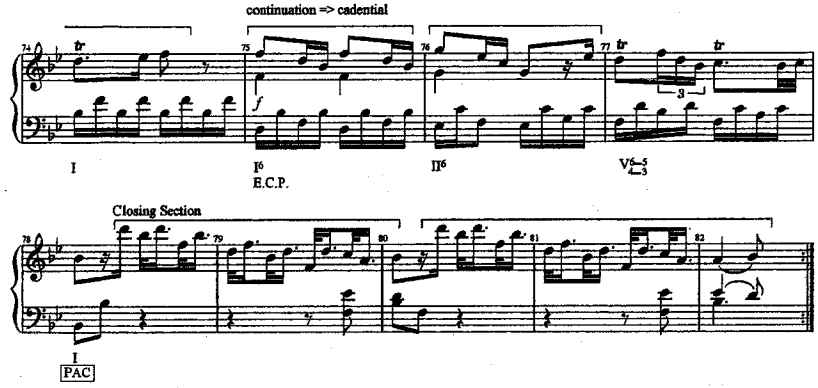
Sonata Op. 5 No. 6 III



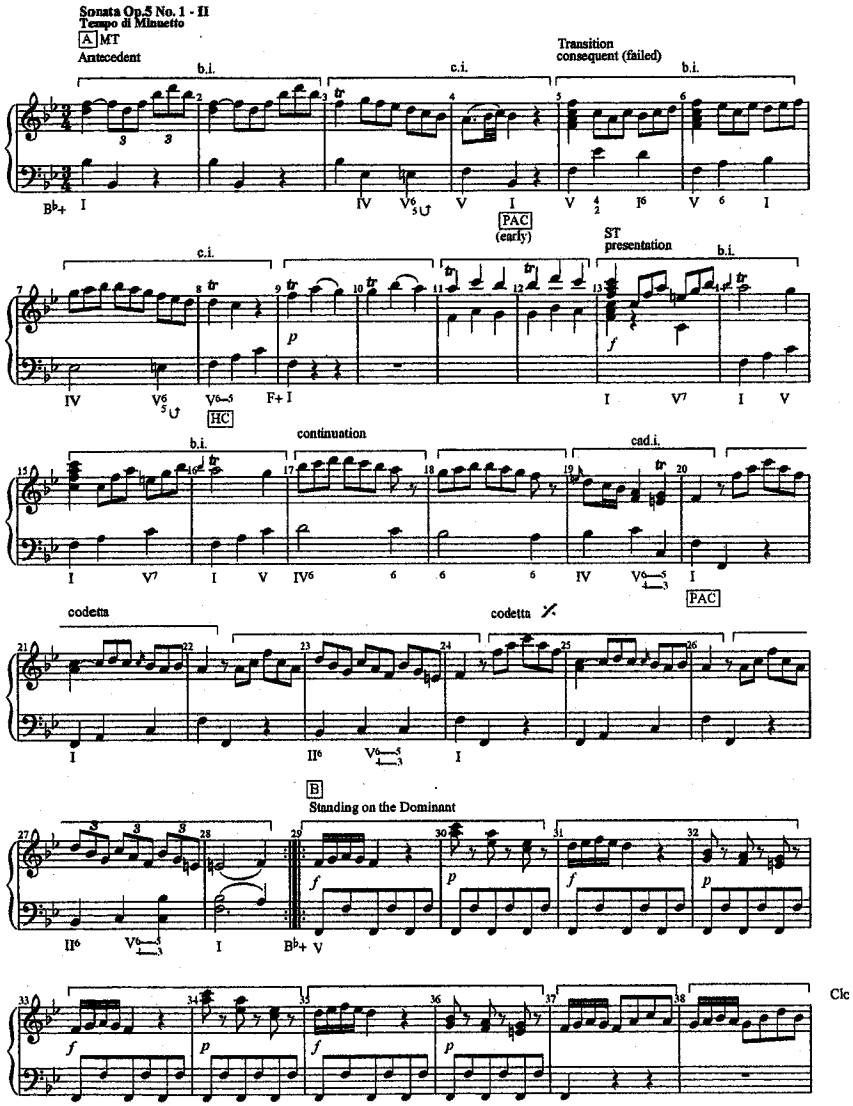
Sonata Op 5 No.1 I

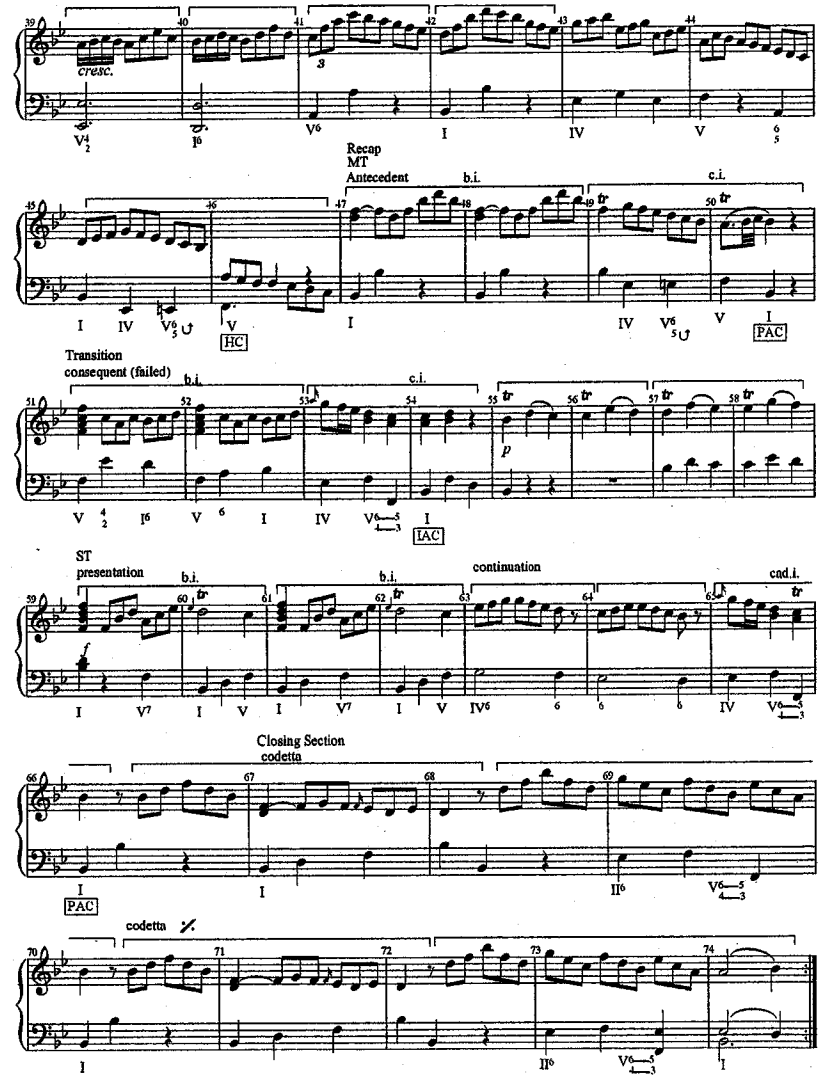




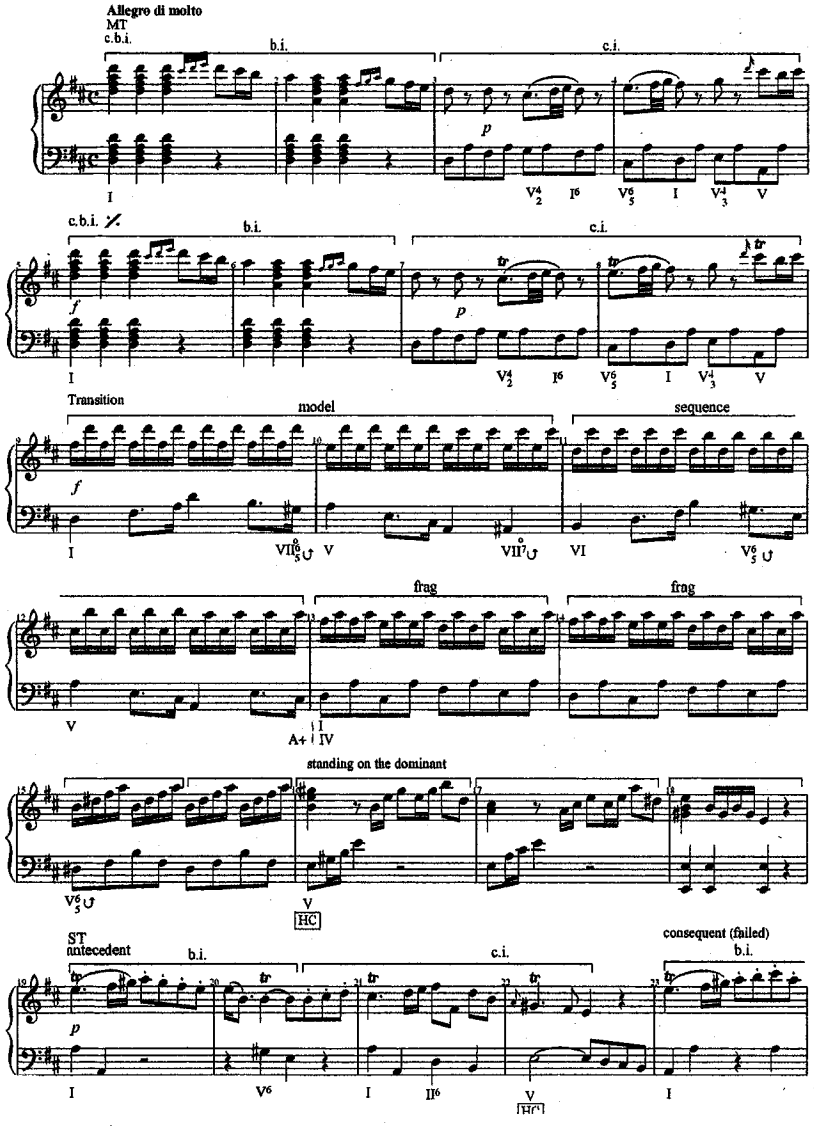

continuation => cadential
I
I6
E.C.P.
II6
V6–5
–3
Closing Section
I
PAC

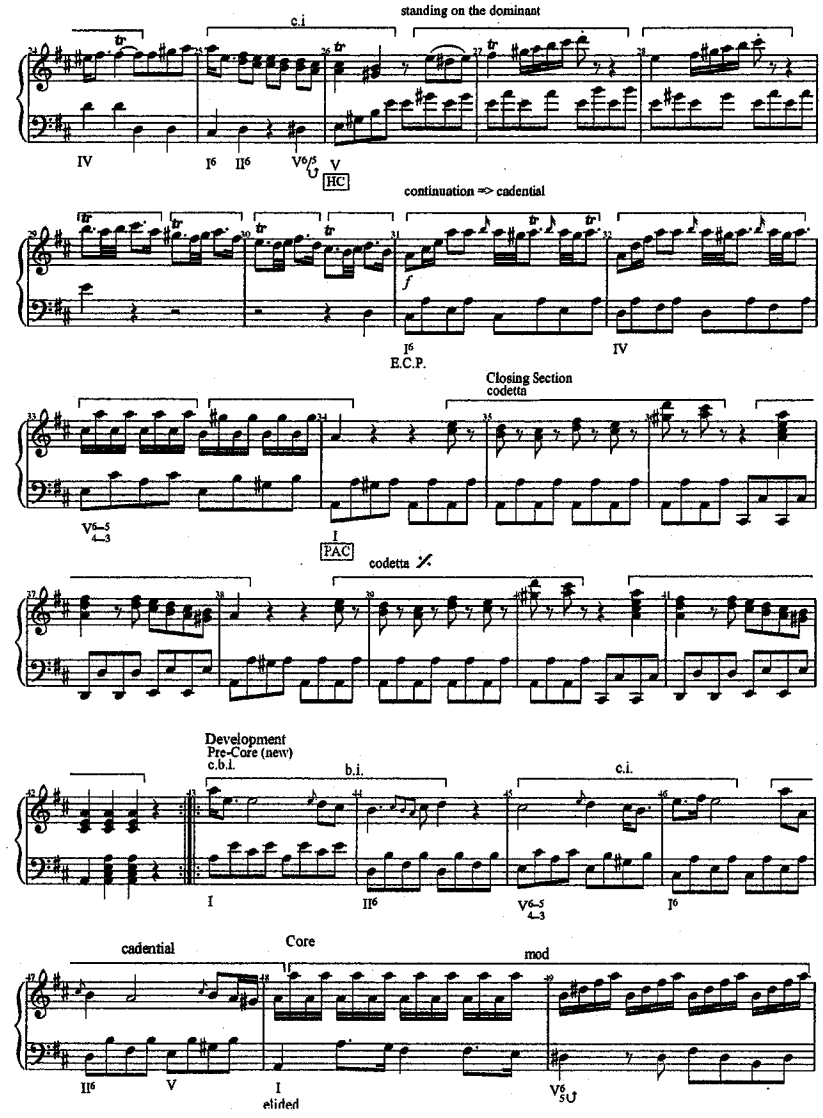
Sonata Op 5 No.1 II

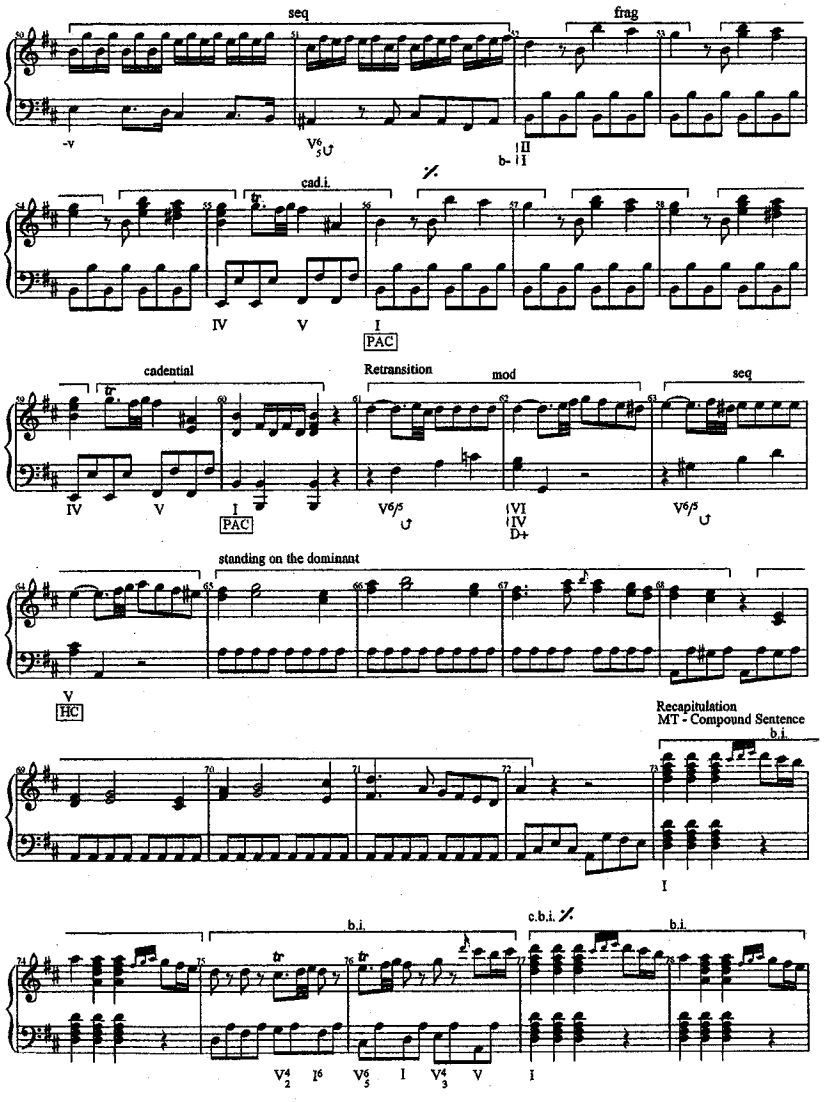


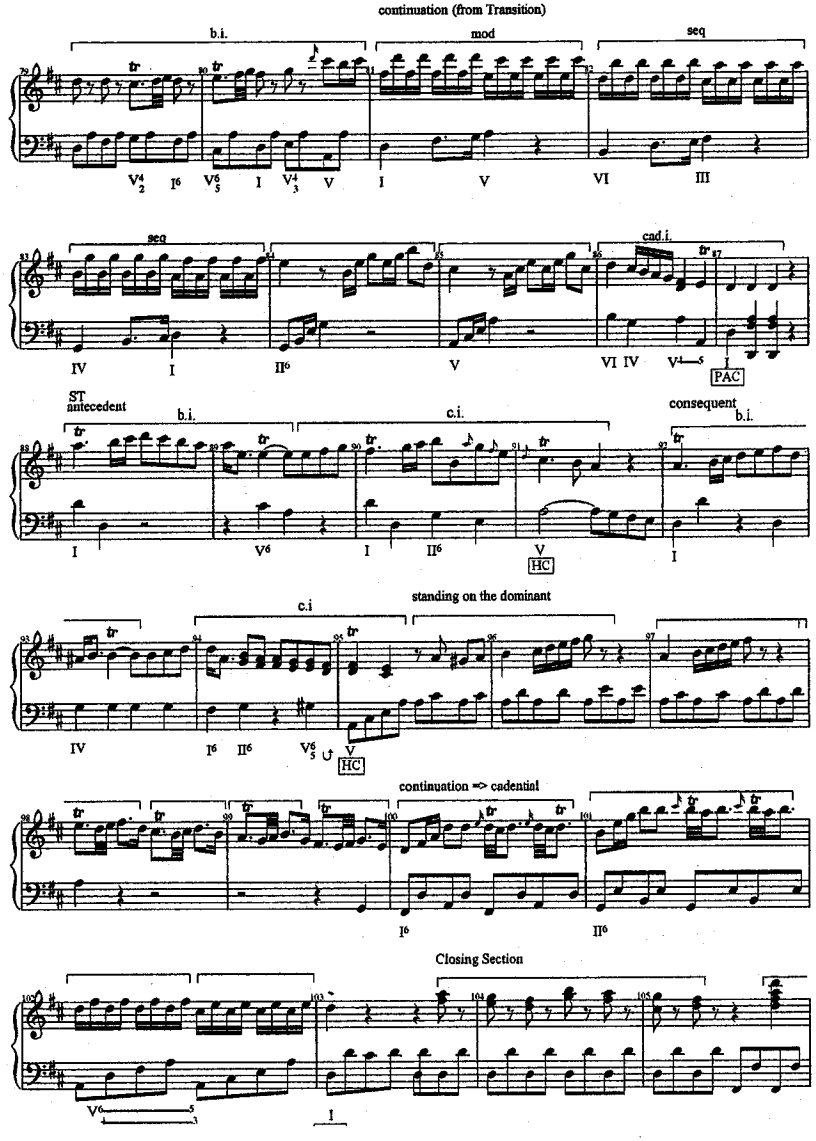


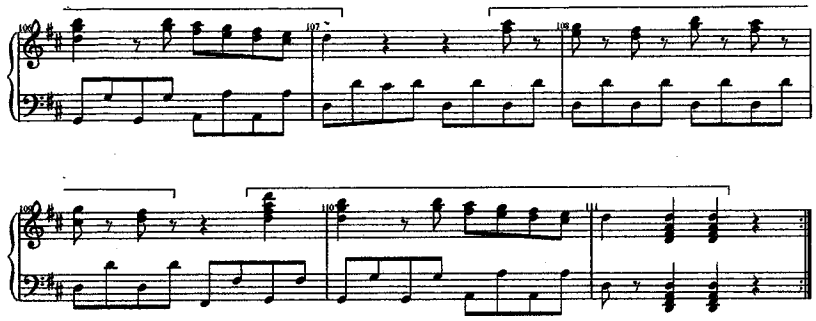
Sonata Op 5 No.2 I



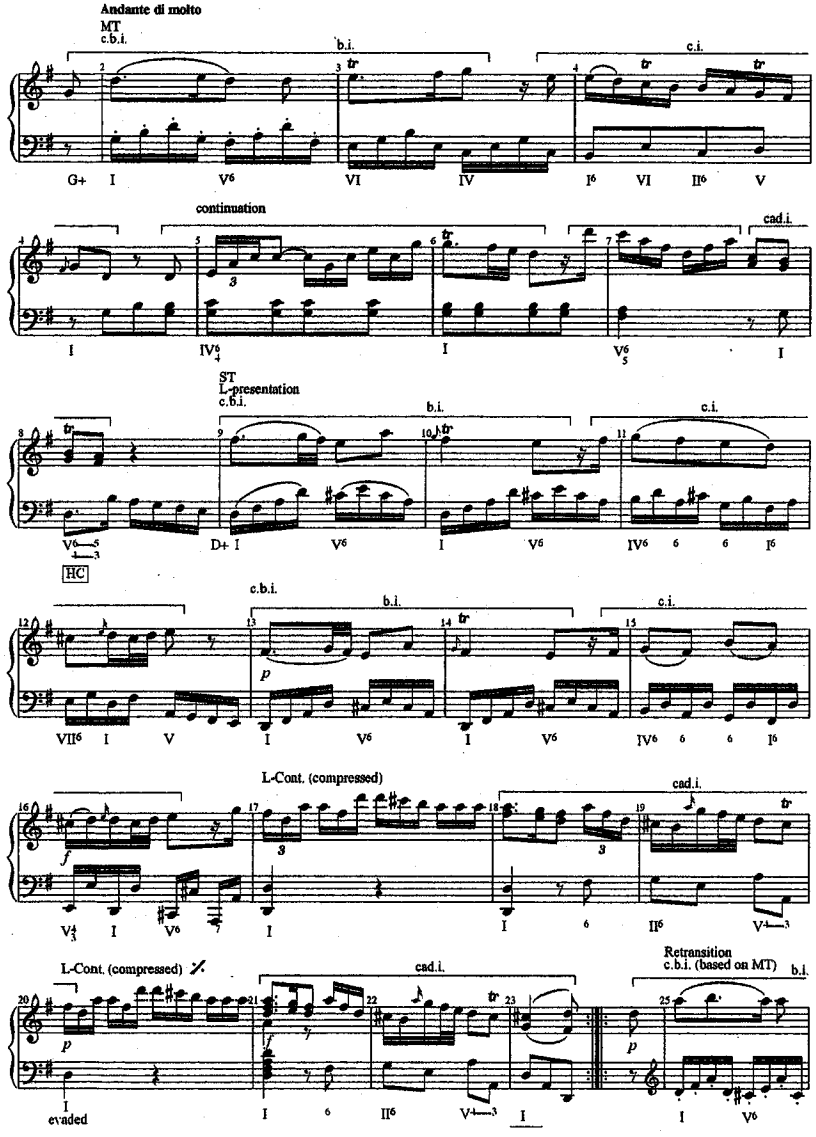


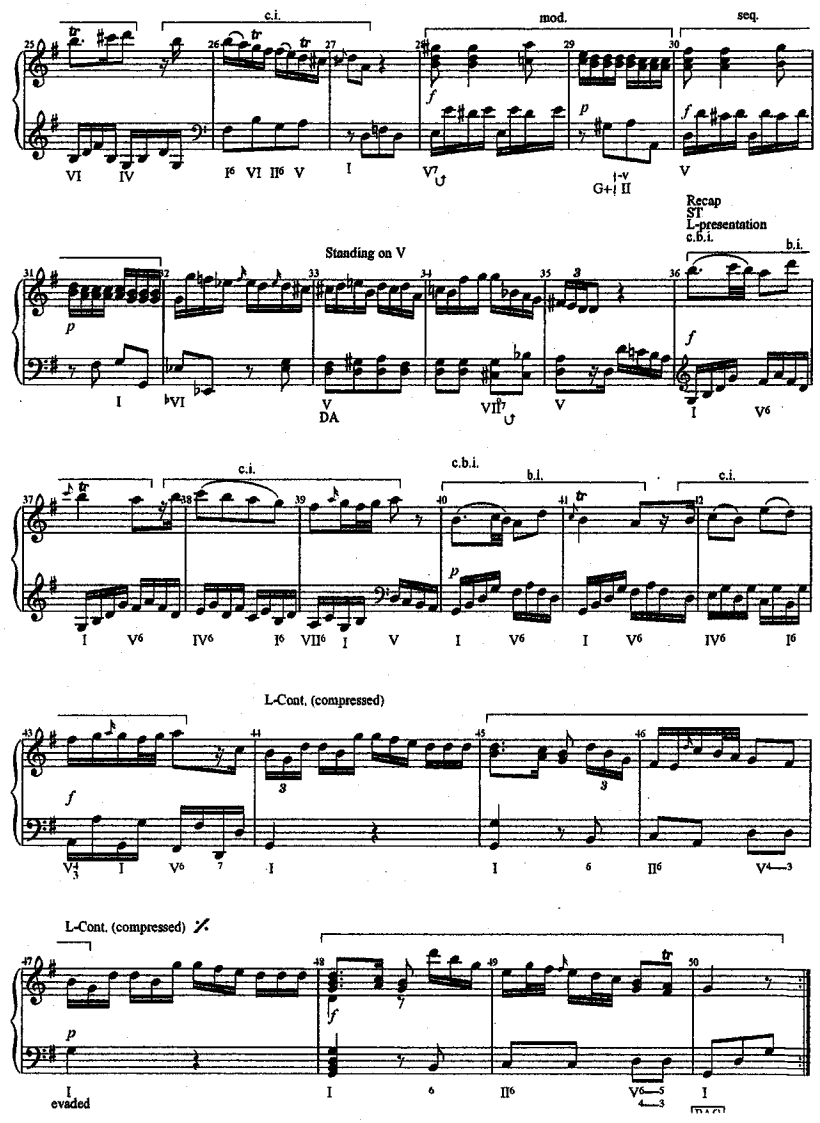

seq
frag
cad.i.
PAC
cadential
Retransition
mod
seq
PAC
D+
standing on the dominant
HC
Recapitulation
MT - Compound Sentence
b.i.
c.b.i.
b.i.
b.i.


continuation (from Transition)
b.i.
mod
seq
cad.i.
PAC
ST
antecedent
b.i.
c.i.
consequent
b.i.
HC
c.i
standing on the dominant
HC
continuation => cadential
Closing Section

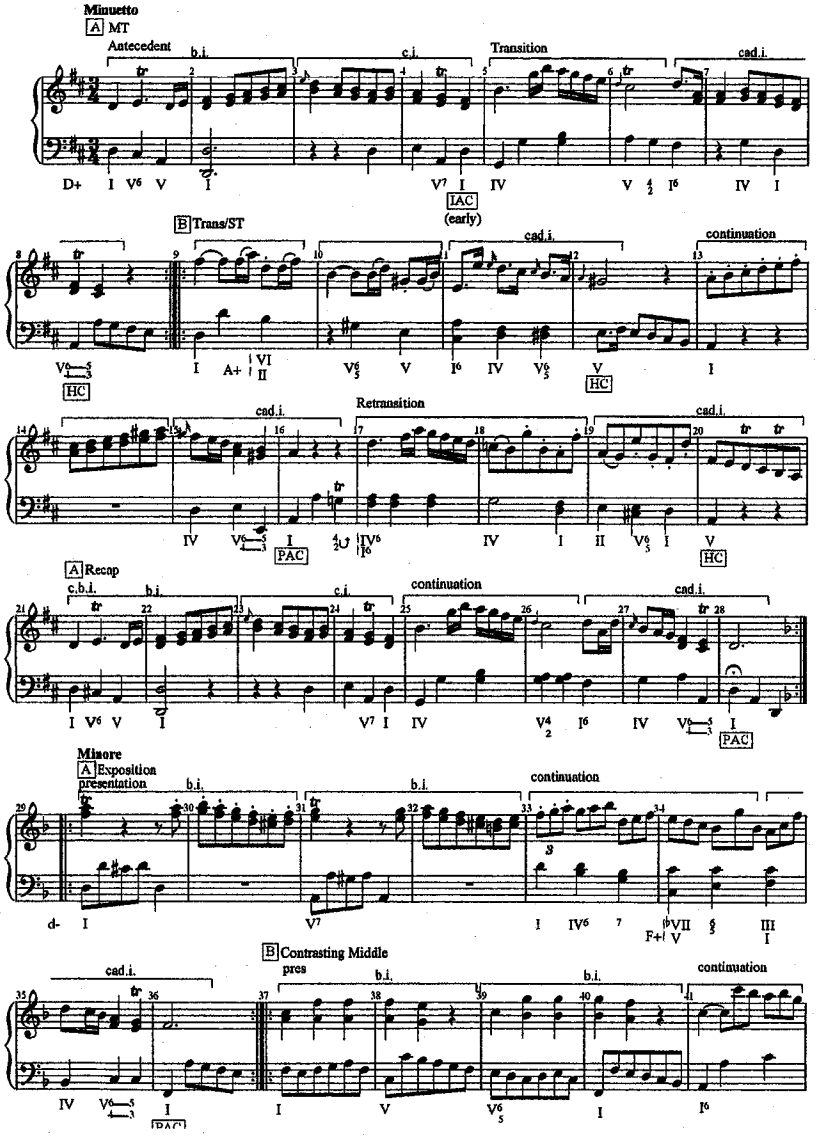


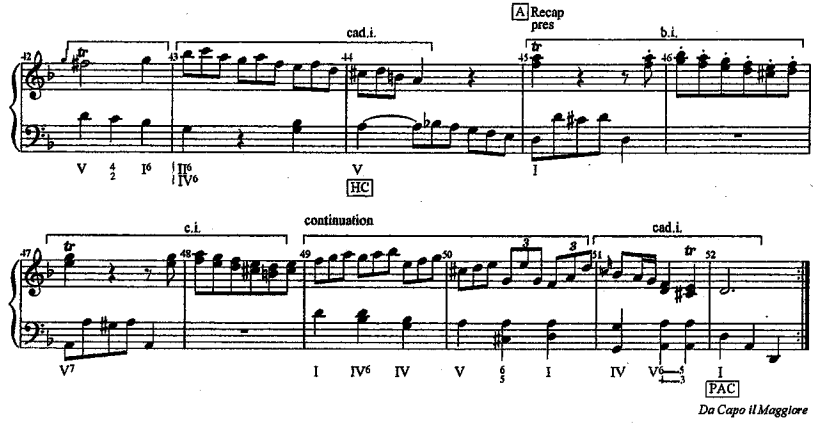
Sonata Op 5 No.2 II





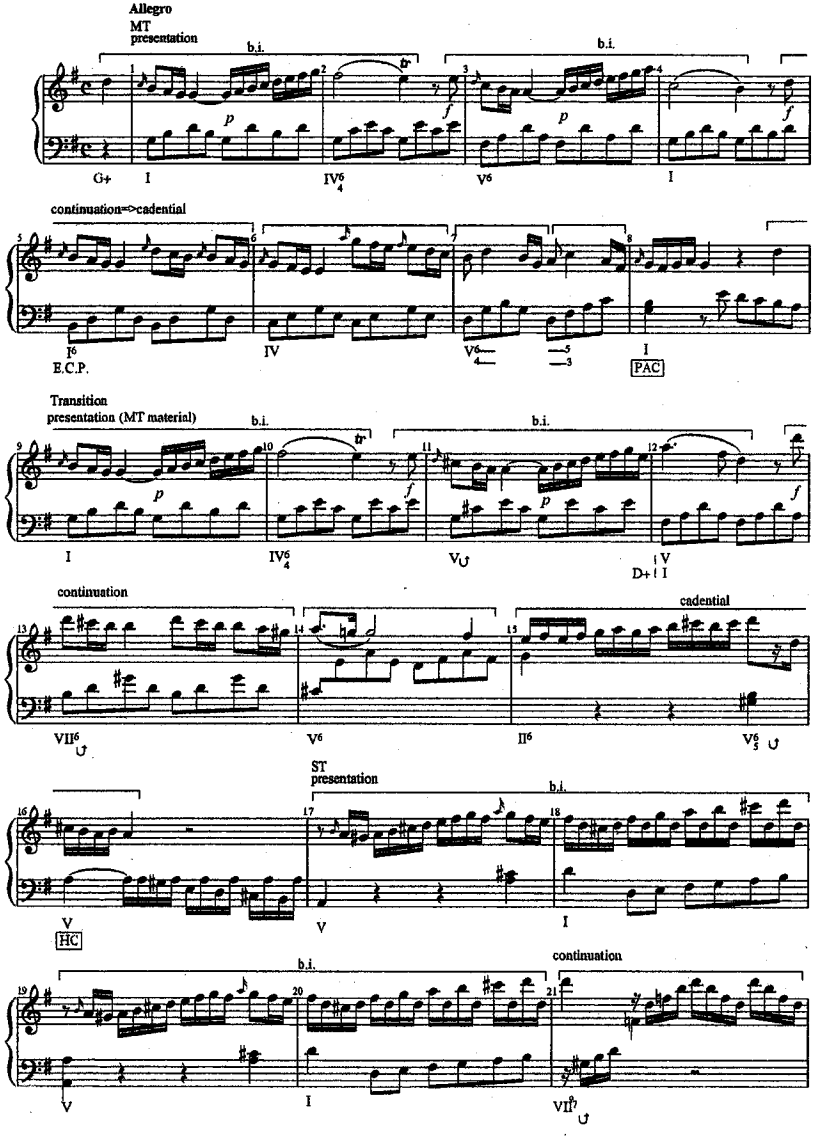
Sonata Op 5 No.2 III

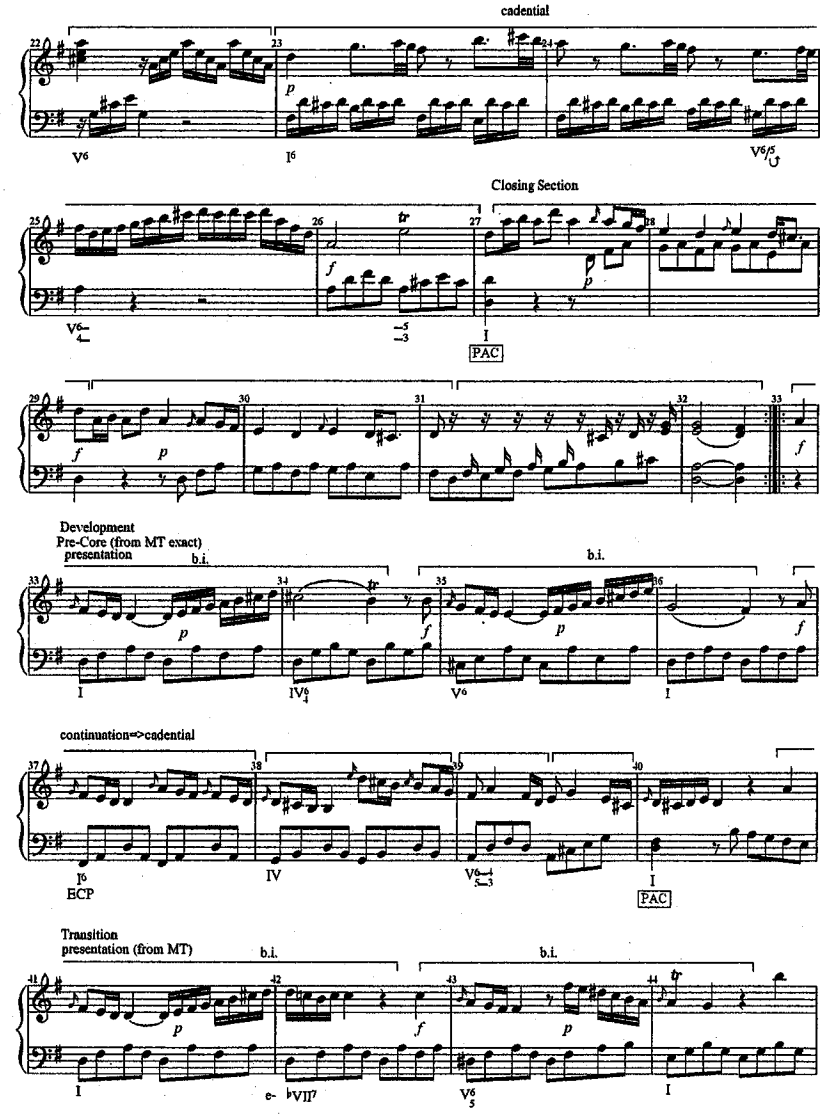


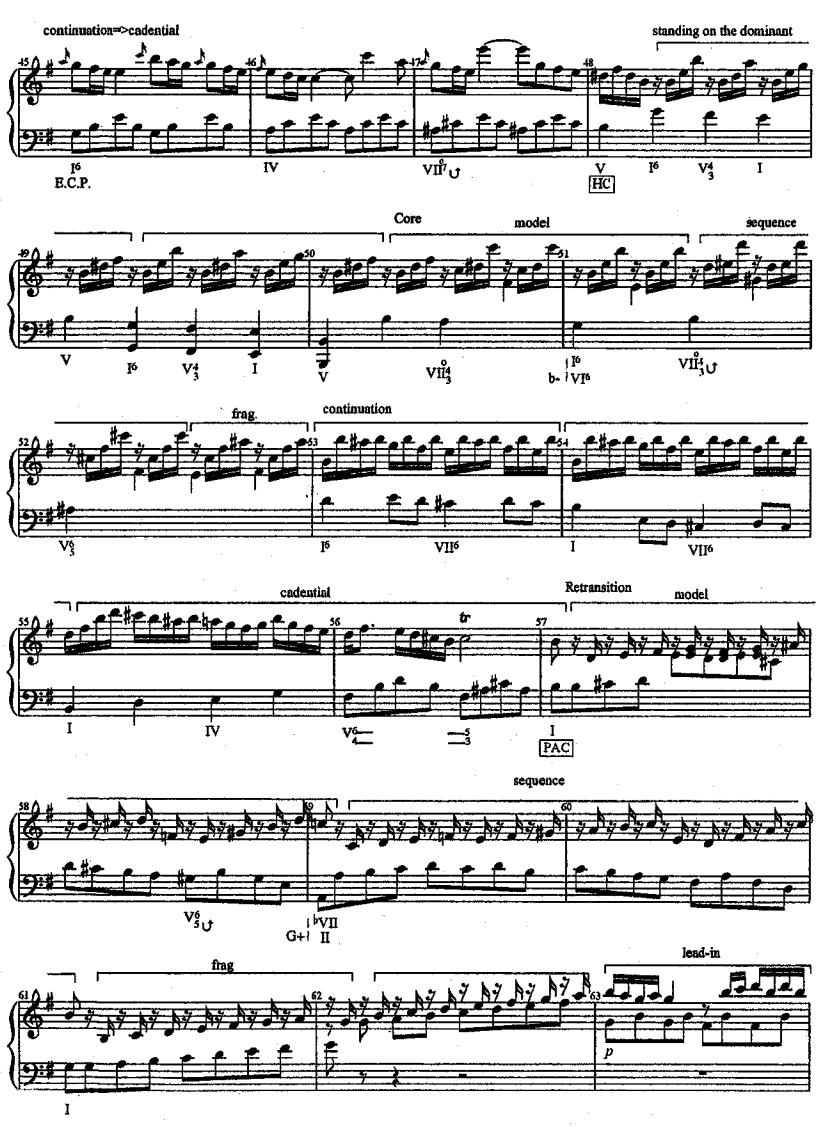


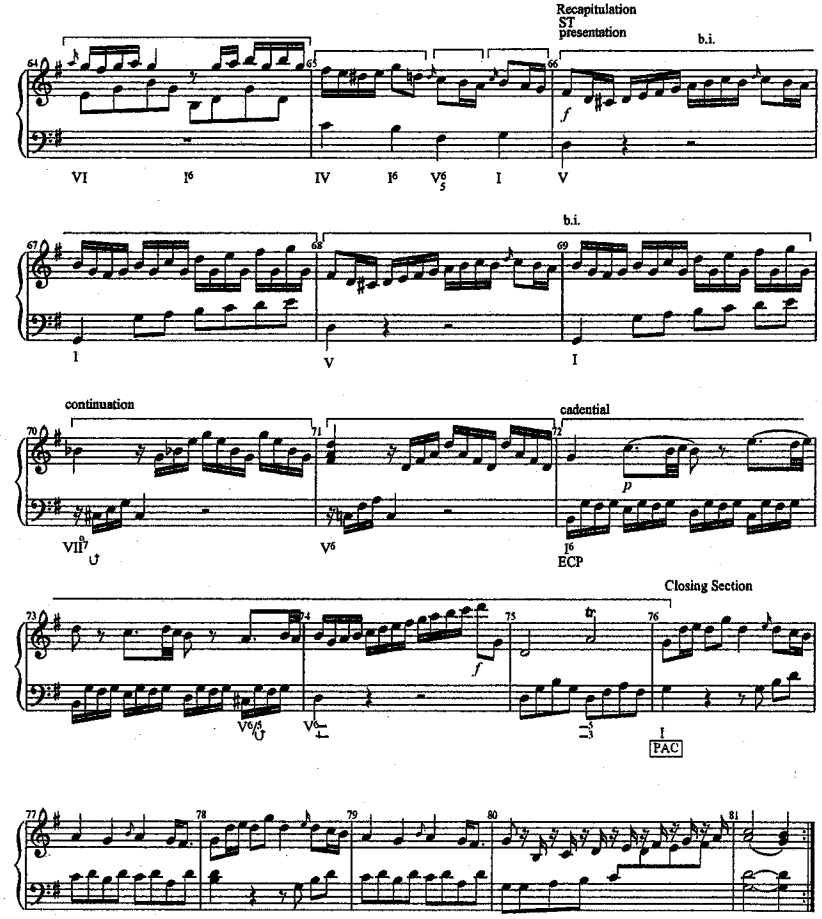
Da Capo il Maggiore

Sonata Op 5 No.3 I

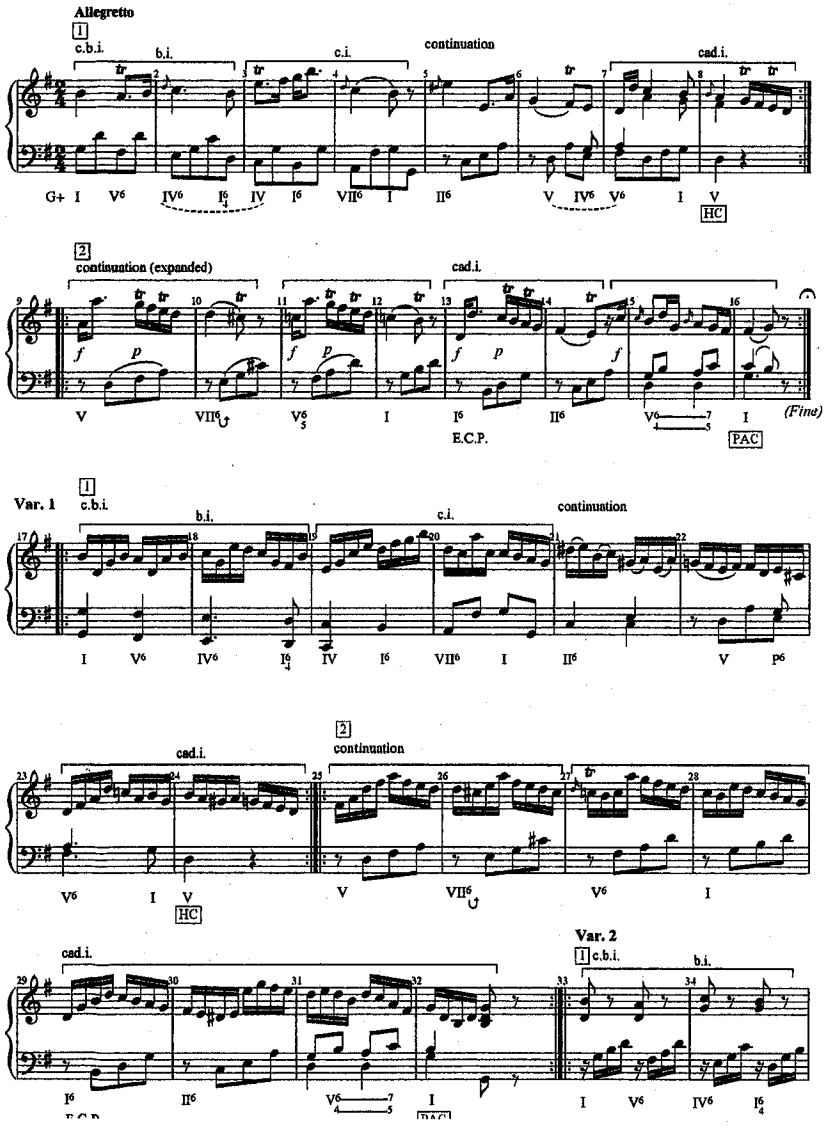


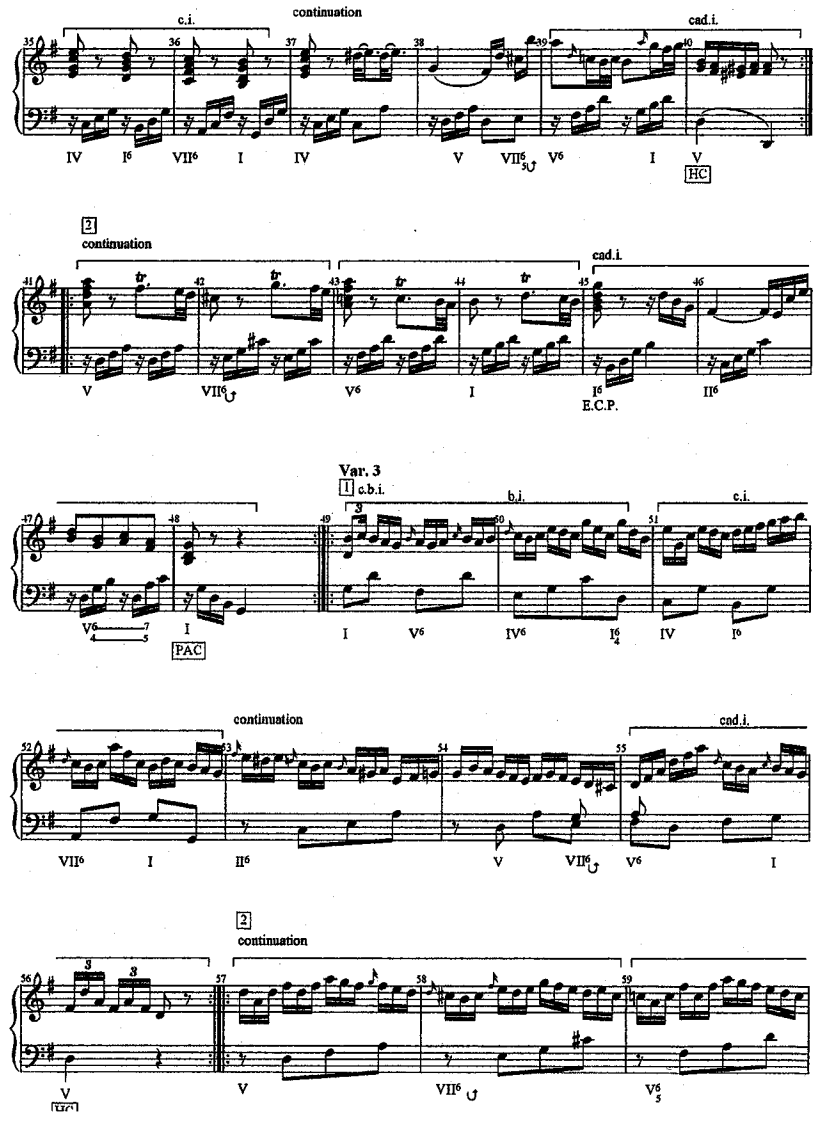


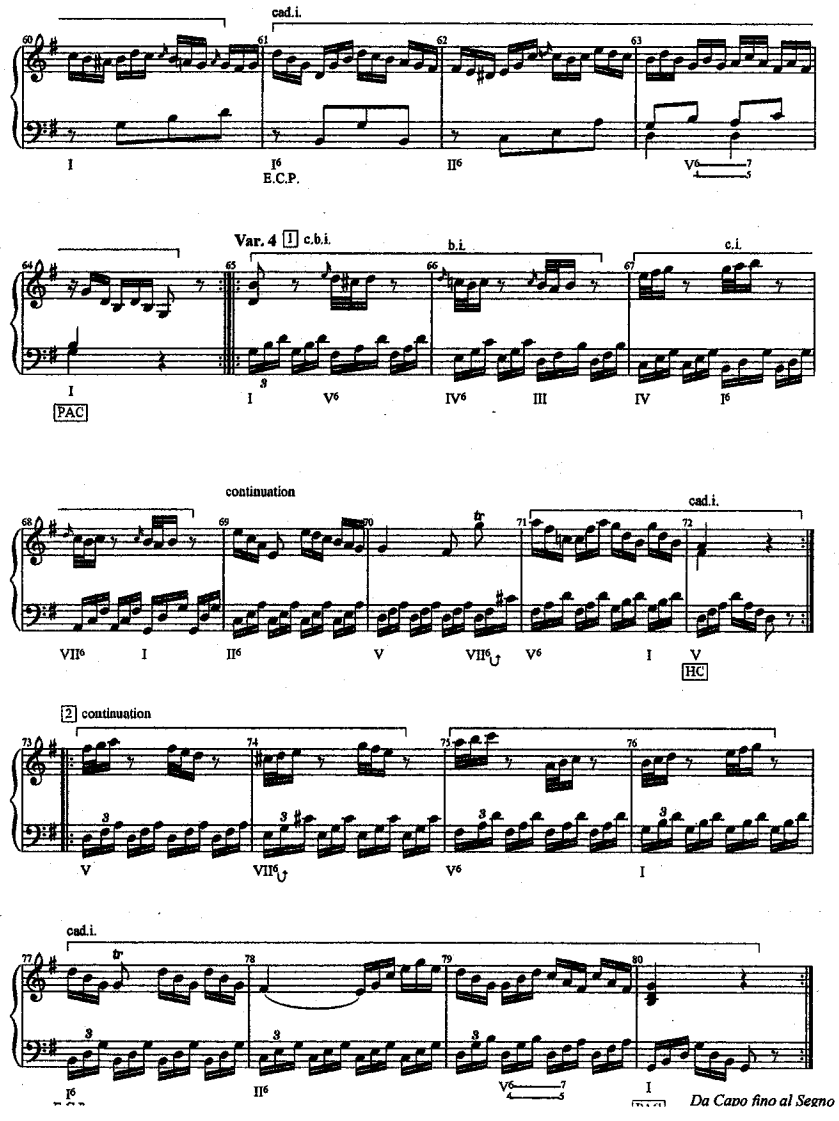

continuation=>cadential
standing on the dominant
E.C.P.
HC
Core
model
sequence
frag.
continuation
cadential
Retransition
model
PAC
sequence
frag
lead-in


Recapitulation
ST
presentation
b.i.
b.i.
continuation
cadential
ECP
Closing Section
PAC

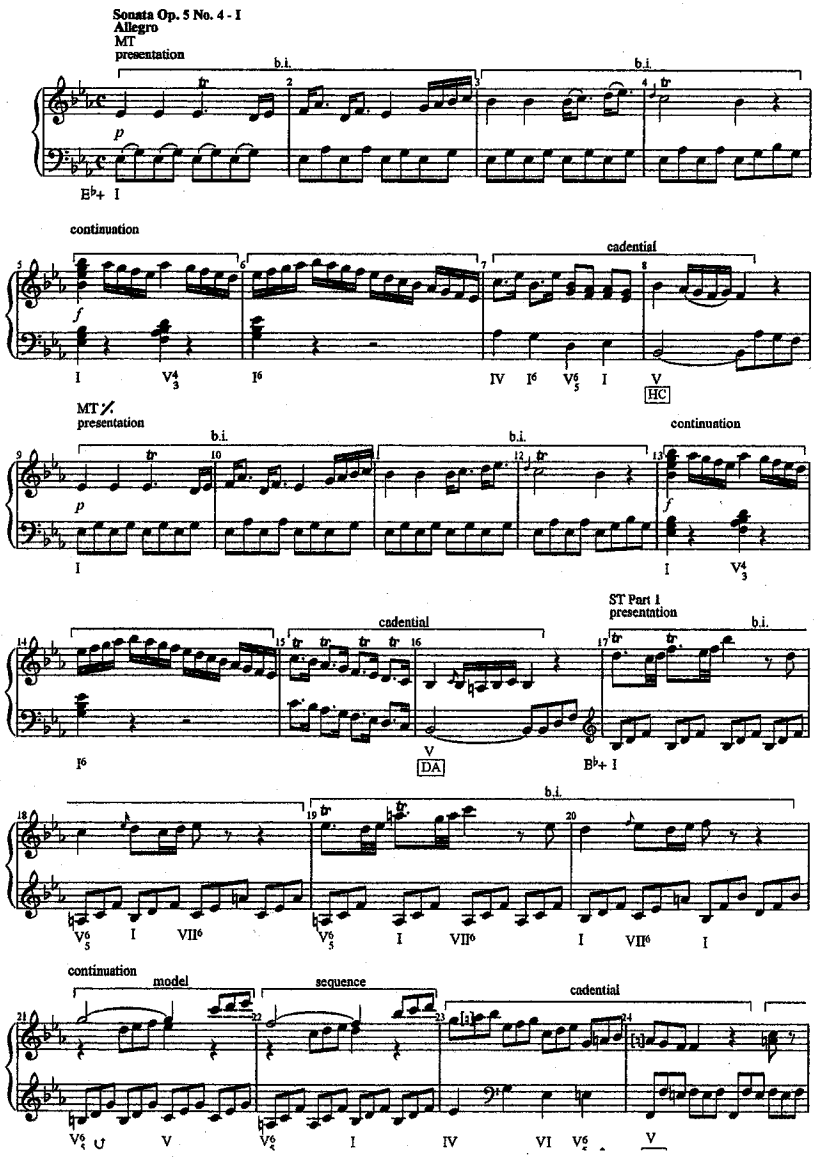
Sonata Op 5 No.3 II

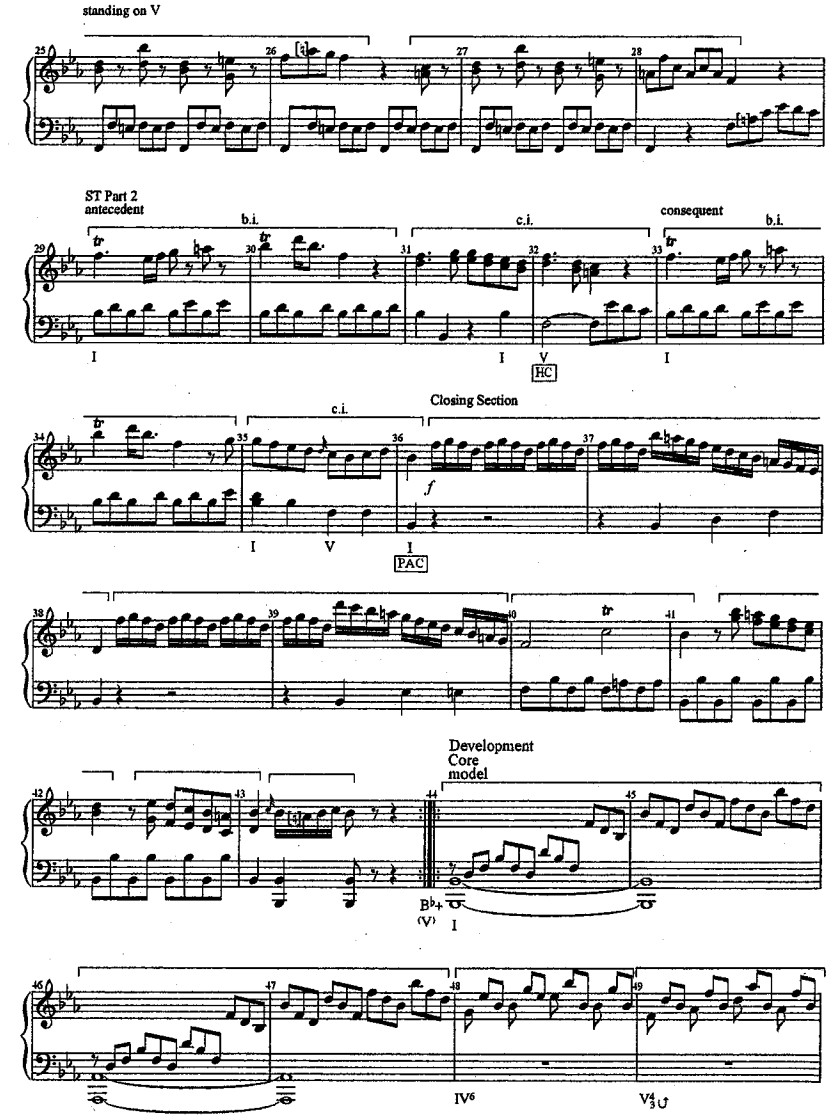


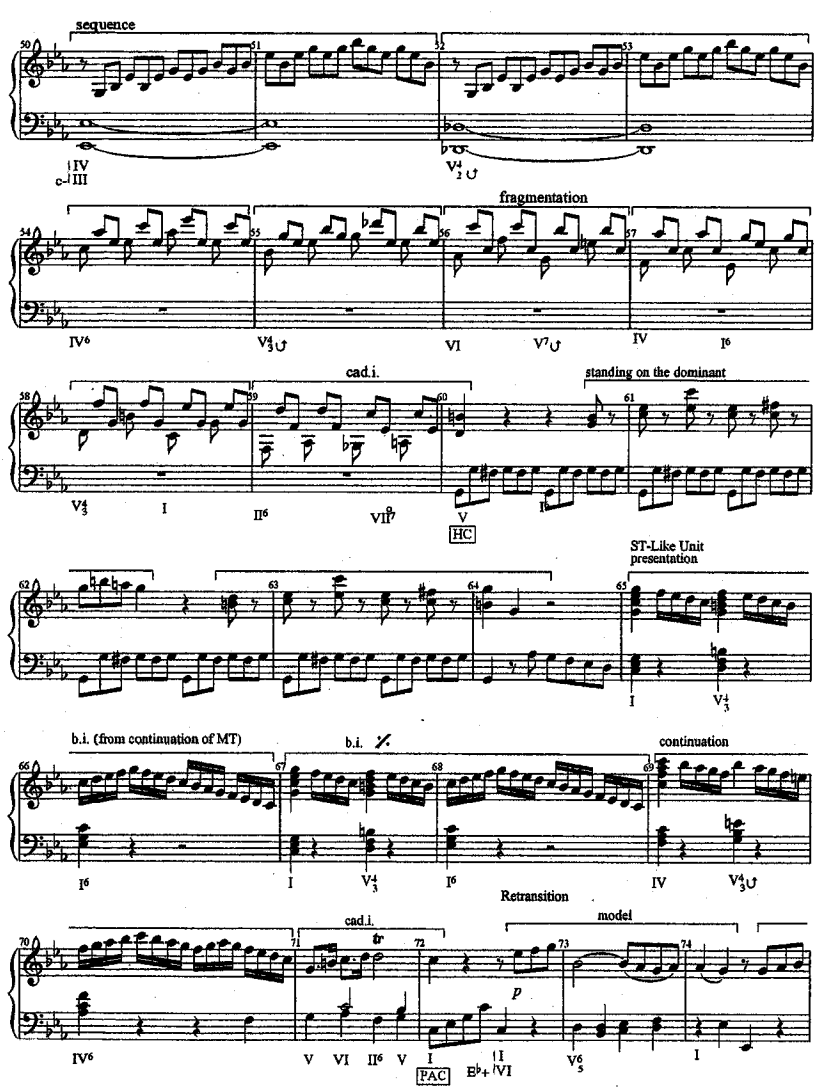


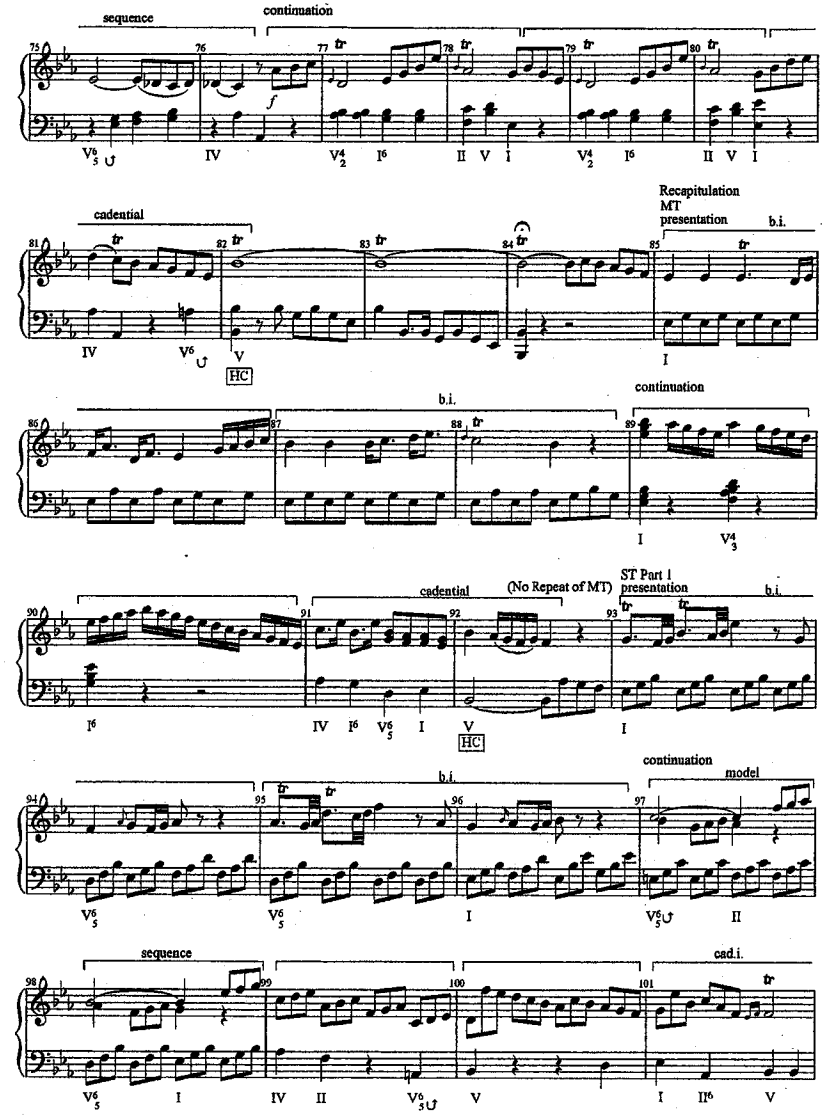

cad.i.
I
I6
E.C.P.
II6
V6 7 4 5
Var. 4 1 c.b.i.
b.i.
c.i.
I
PAC
I
V6
IV6
III
IV
I6
continuation
cad.i.
VII6
I
II6
V
VII6
V6
I
V
HC
2 continuation
V
VII6
V6
I
cad.i.
I6
II6
V6 7 4 5
I
Da Capo fino al Segno

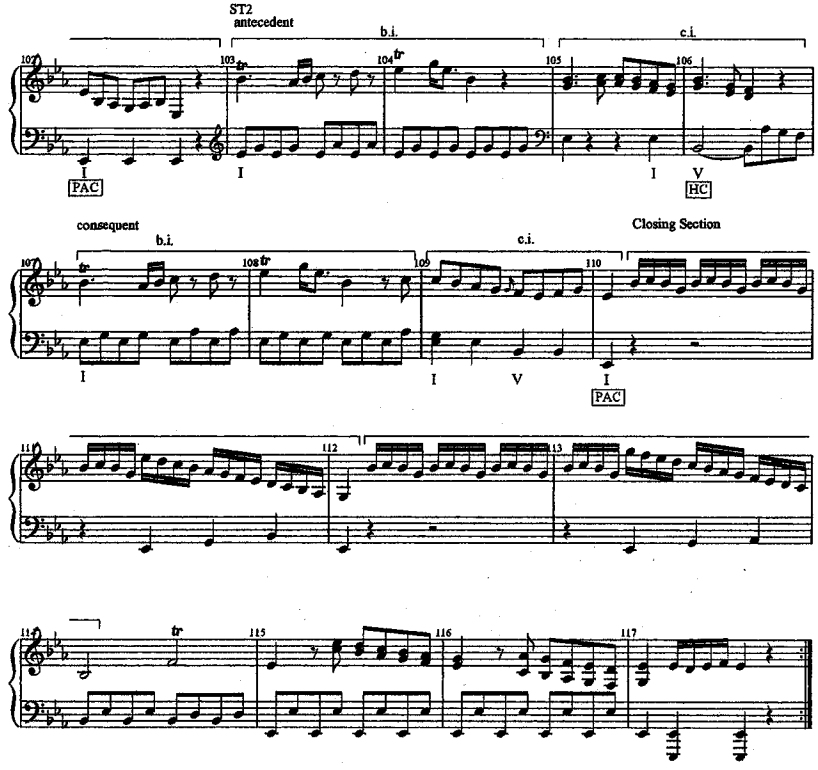
Sonata Op 5 No.4 I



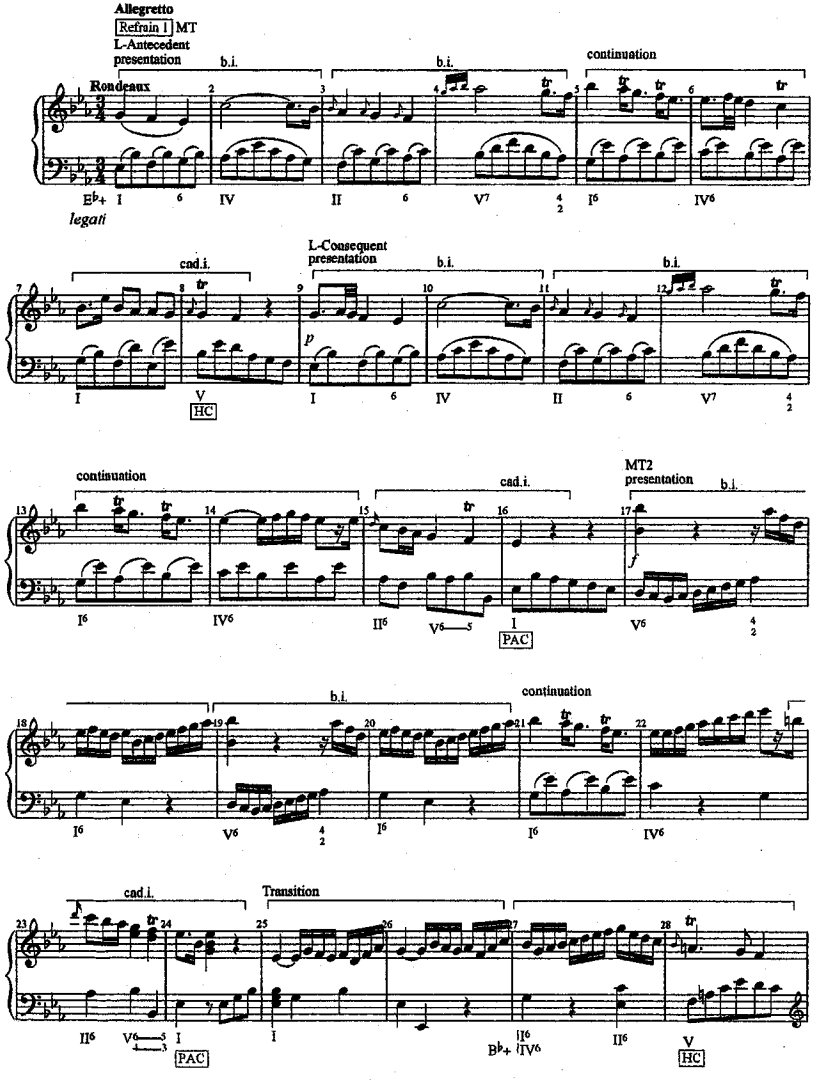


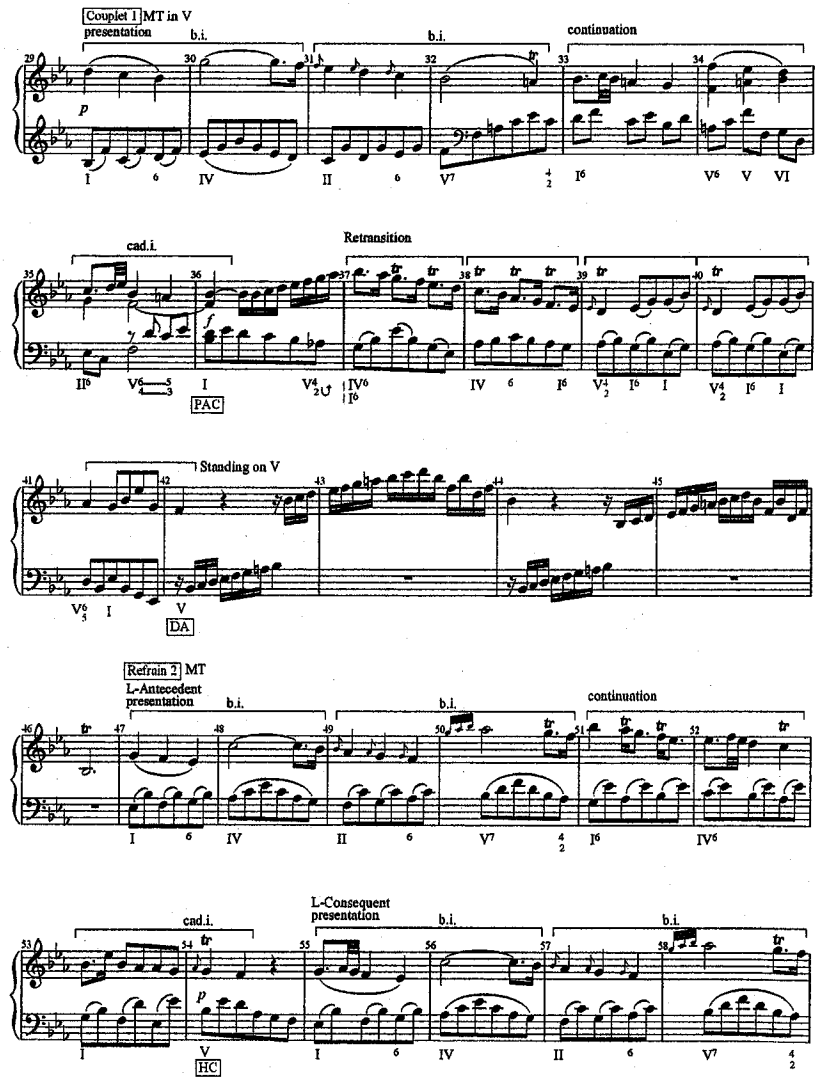

sequence
fragmentation
cad.i.
standing on the dominant
ST-Like Unit presentation
b.i. (from continuation of MT)
b.i.
continuation
Retransition
cad.i.
model
HC
PAC

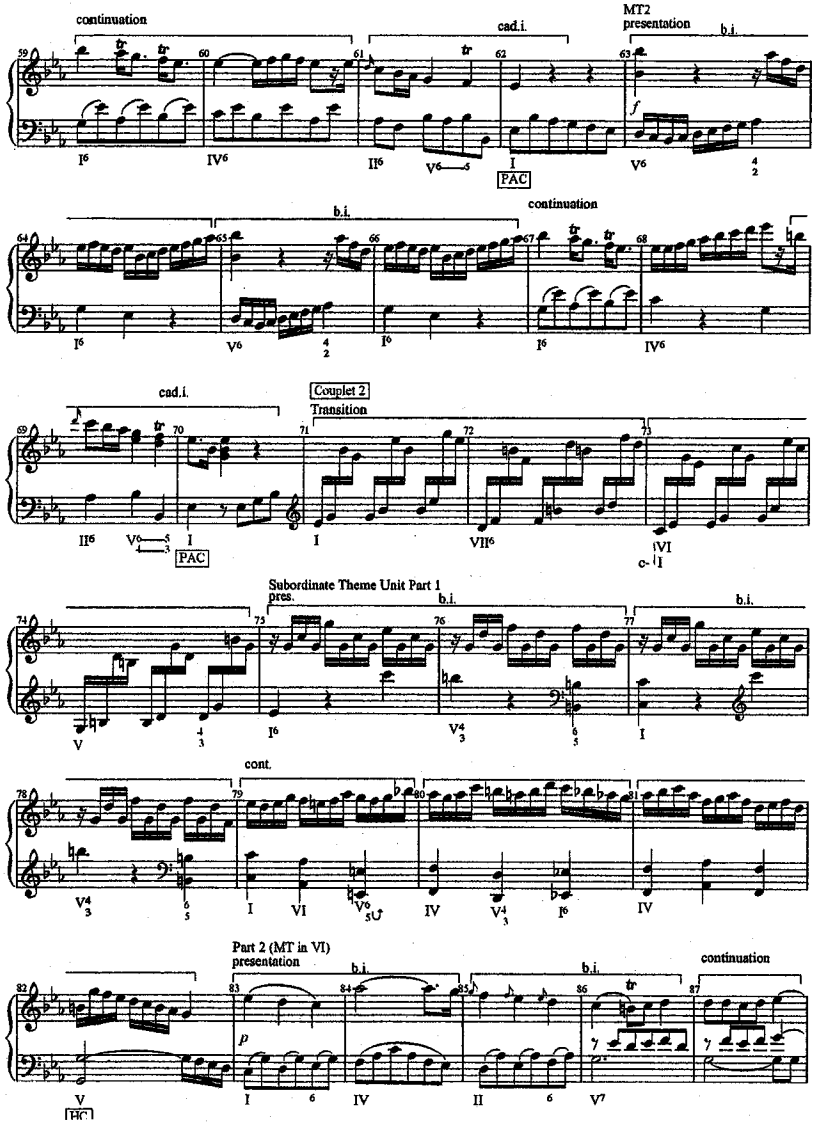

sequence
continuation
cadential
Recapitulation MT presentation
b.i.
HC
b.i.
continuation
cadential
(No Repeat of MT)
ST Part 1 presentation
b.i.
HC
continuation
b.i.
model
sequence
cad.i.

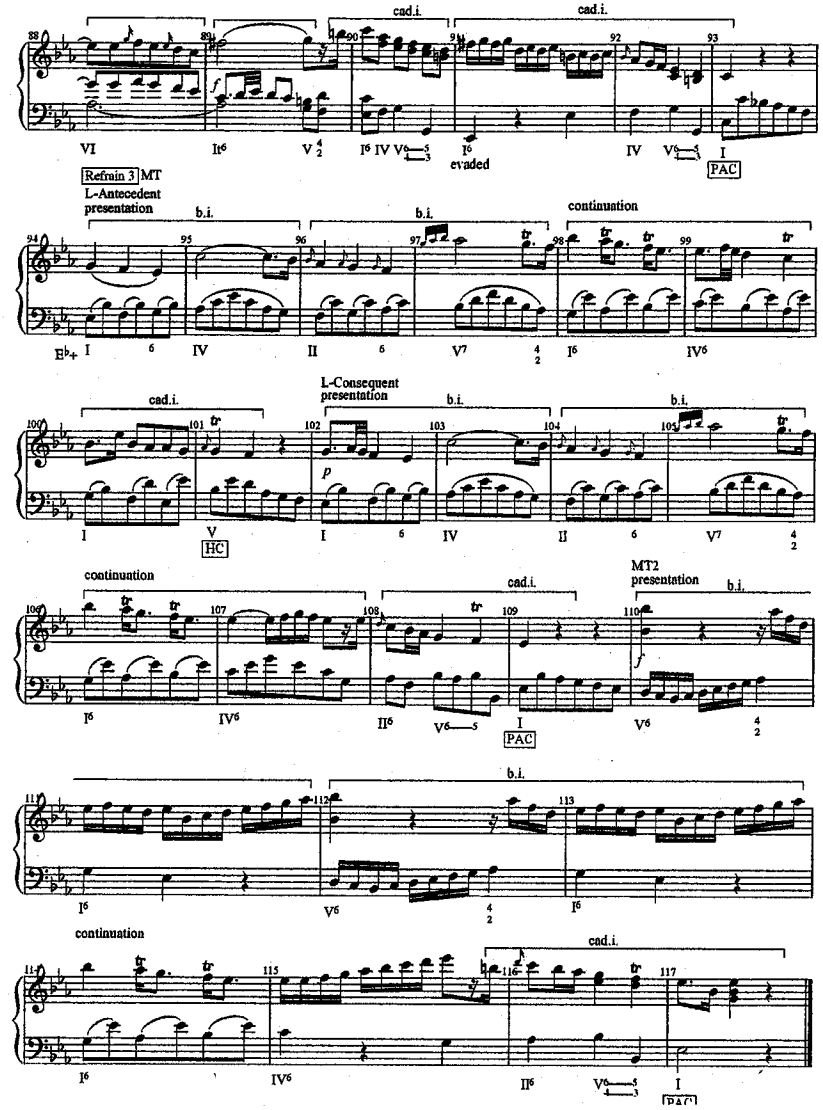

ST2
antecedent
b.i.
c.i.
I
PAC
I
I
V
HC
consequent
b.i.
c.i.
Closing Section
I
I
V
I
PAC

Sonata Op 5 No.4 II

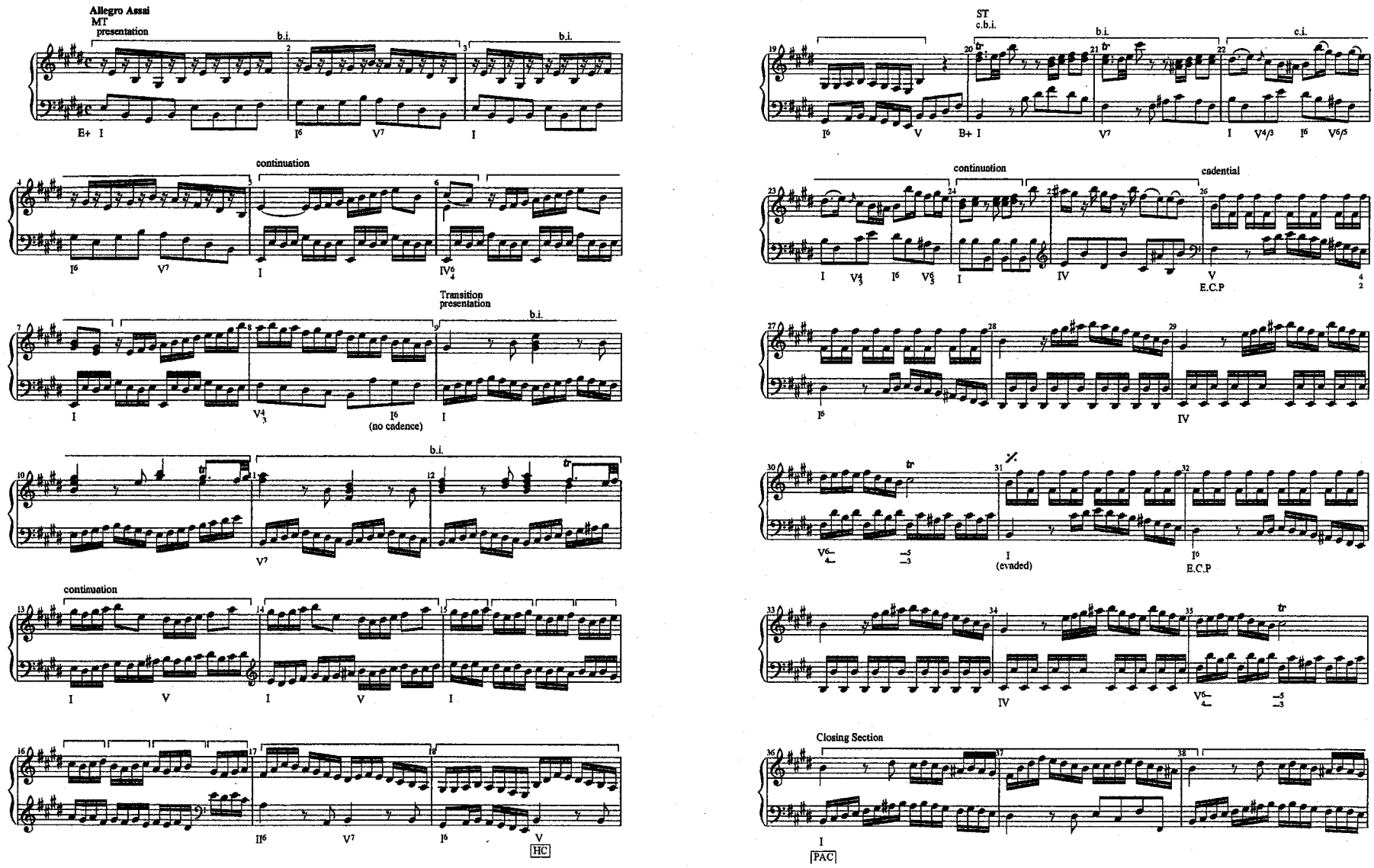


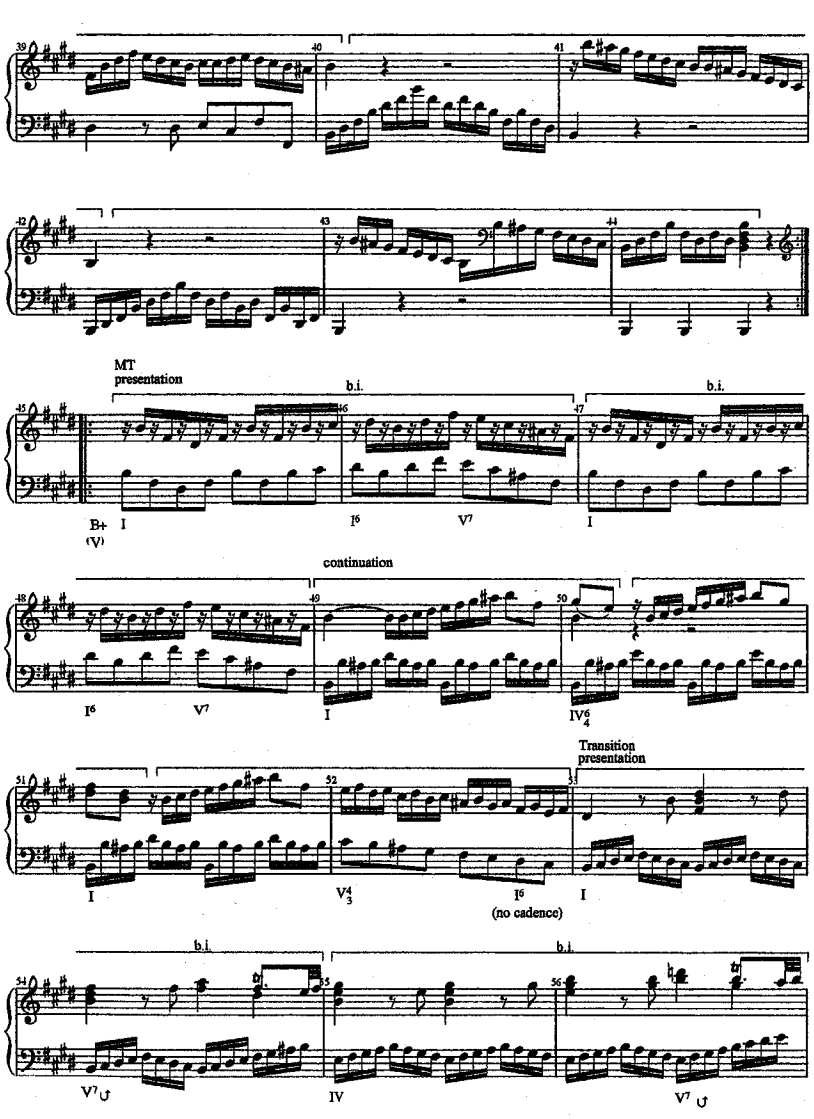


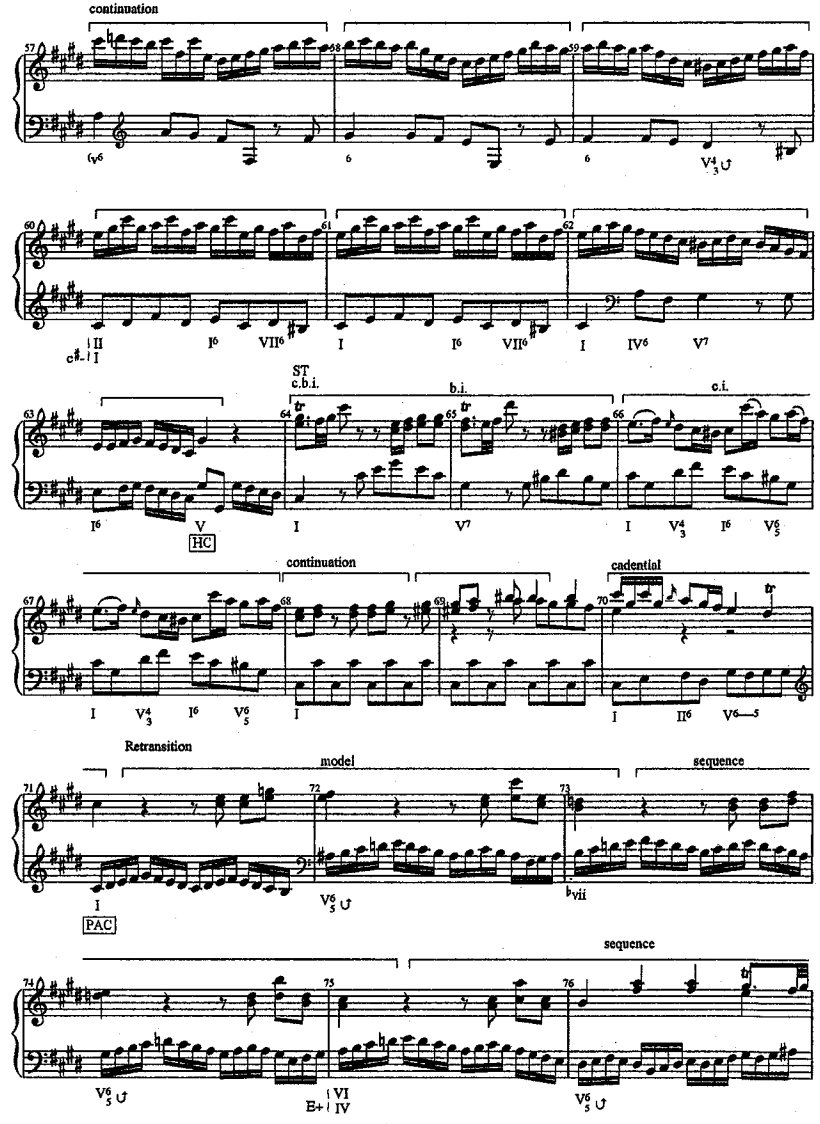

continuation
cad.i.
MT2
presentation
b.i.
59
60
61
62
63
I6
IV6
II6
V6 5
I
PAC
V6
4 2
b.i.
continuation
64
65
66
67
68
I6
V6
4 2
I6
I6
IV6
cad.i.
Couplet 2
Transition
69
70
71
72
73
II6
V6 5 3
I
PAC
I
VII6
IVI
c-I
Subordinate Theme Unit Part 1
pres.
b.i.
b.i.
74
73
76
77
V
4 3
I6
V4 3
6 5
I
cont.
78
79
80
V4 3
6 5
I
VI
V6 5
IV
V4 3
I6
IV
Part 2 (MT in VI)
presentation
b.i.
b.i.
continuation
82
83
84
85
86
87
p
V
HC
I
6
IV
II
6
V7

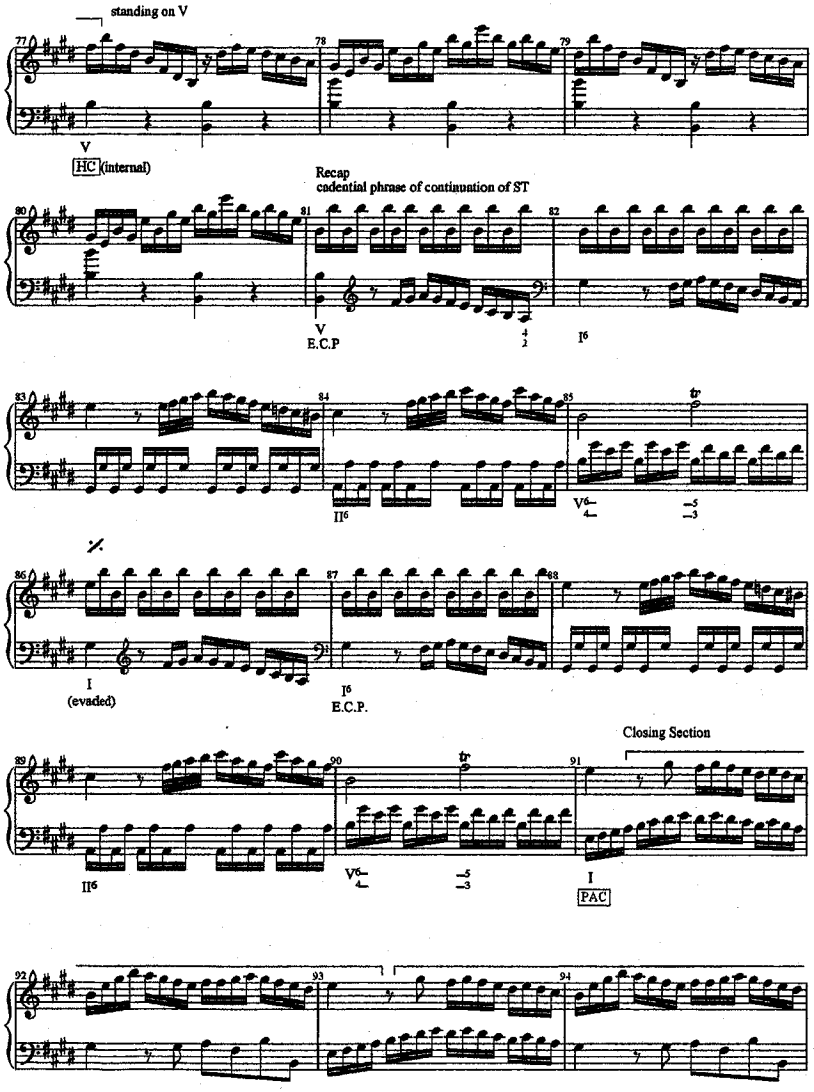

cad.i.
cad.i.
88
89
90
91
92
93
VI
II6
V 4 2
I6 IV V6 5 3
I6
evaded
IV
V6 5 3
I
PAC
Refrain 3 MT
L-Antecedent
presentation
b.i.
b.i.
continuation
94
95
96
97
98
99
E♭+
I
6
IV
II
6
V7
4 2
I6
IV6
L-Consequent
presentation
cad.i.
b.i.
b.i.
100
101
102
103
104
105
p
I
V
HC
I
6
IV
II
6
V7
4 2
continuation
cad.i.
MT2
presentation
b.i.
106
107
108
109
110
I6
IV6
II6
V6 5
I
PAC
V6
4 2
b.i.
111
112
113
I6
V6
4 2
I6
continuation
cad.i.
114
115
116
117
I6
IV6
II6
V6 5 3
I
PAC

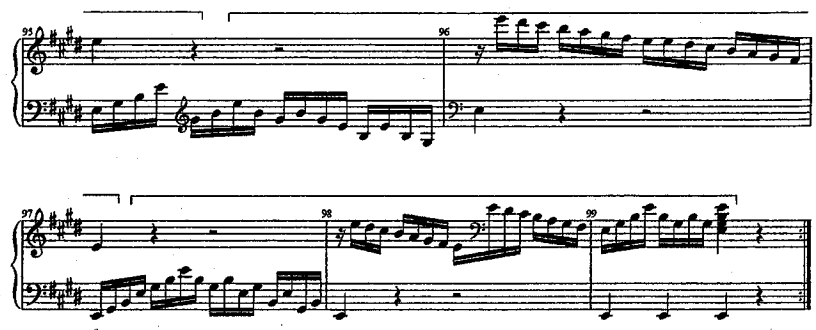
Sonata Op 5 No.5 I



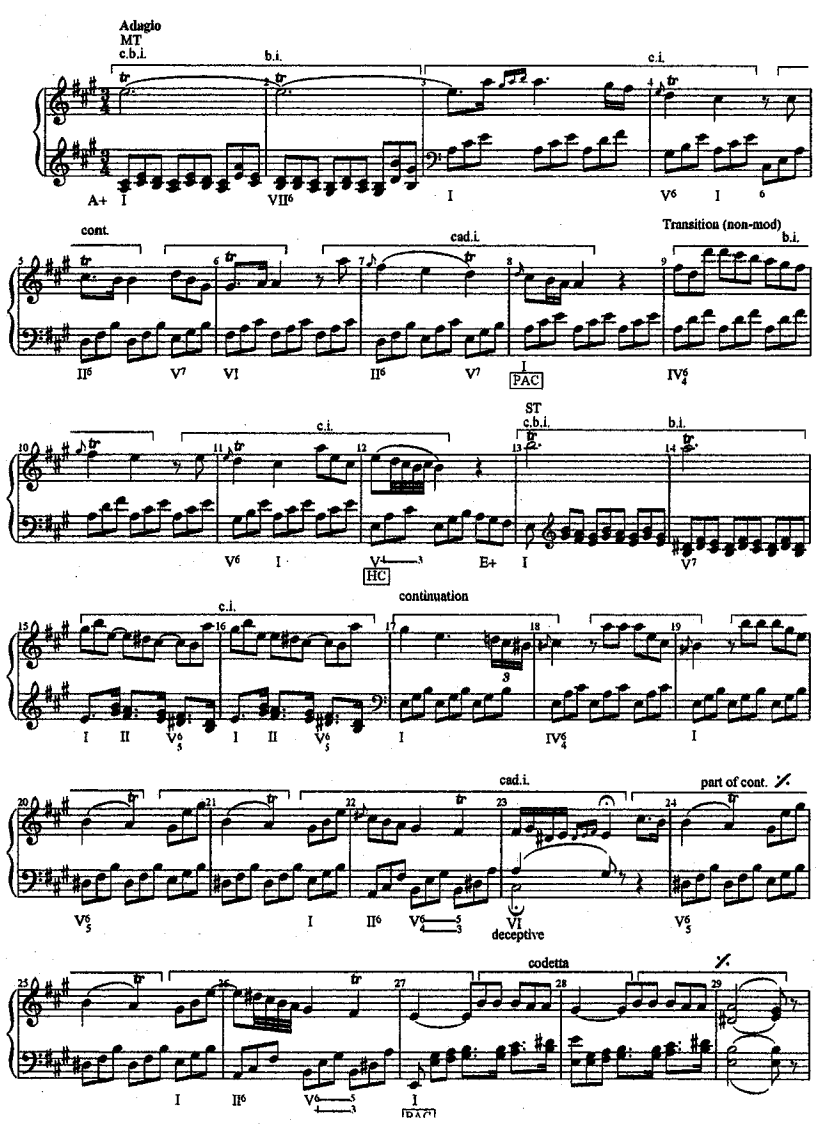

MT
presentation
b.i.
b.i.
continuation
Transition
presentation
(no cadence)
b.i.
b.i.

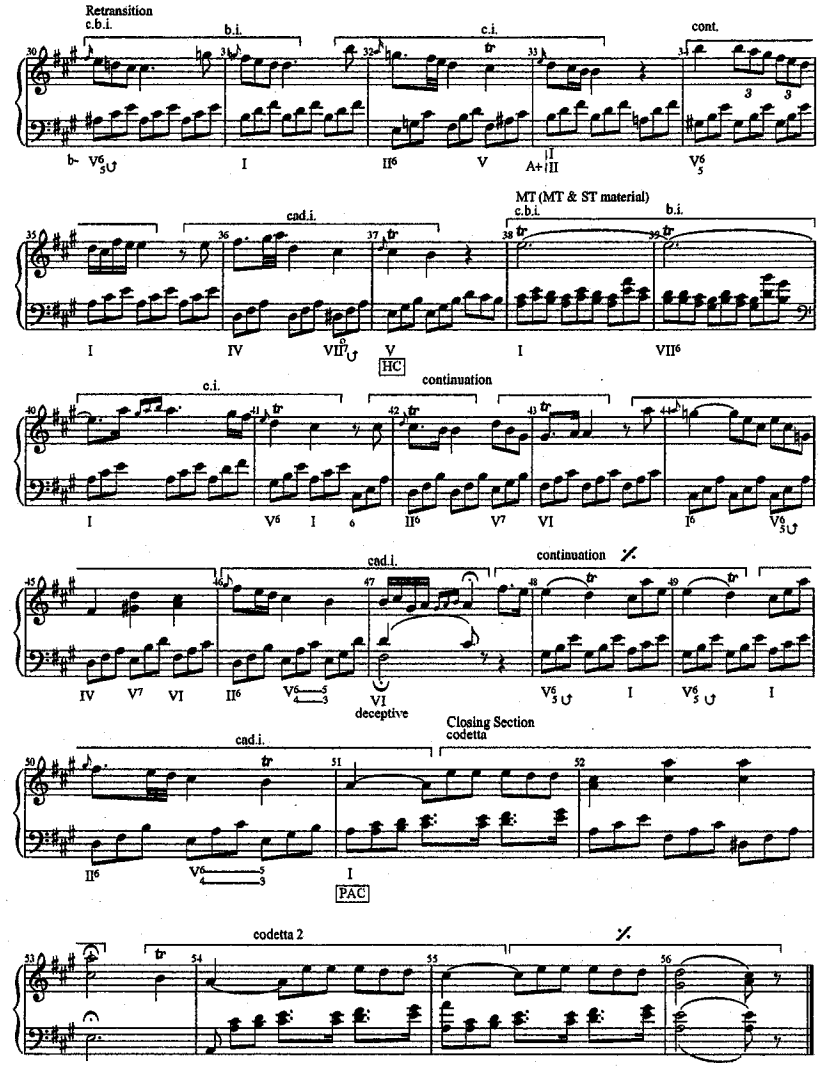

continuation
ST
c.b.i.
b.i.
c.i.
HC
continuation
cadential
Retransition
model
sequence
PAC
sequence


standing on V
77
78
79
V
HC (internal)
Recap
cadential phrase of continuation of ST
80
81
82
V
E.C.P
I6
83
84
85
II6
V6
5
3
86
87
88
I
(evaded)
I6
E.C.P.
89
90
91
II6
V6
5
3
Closing Section
I
PAC
92
93
94

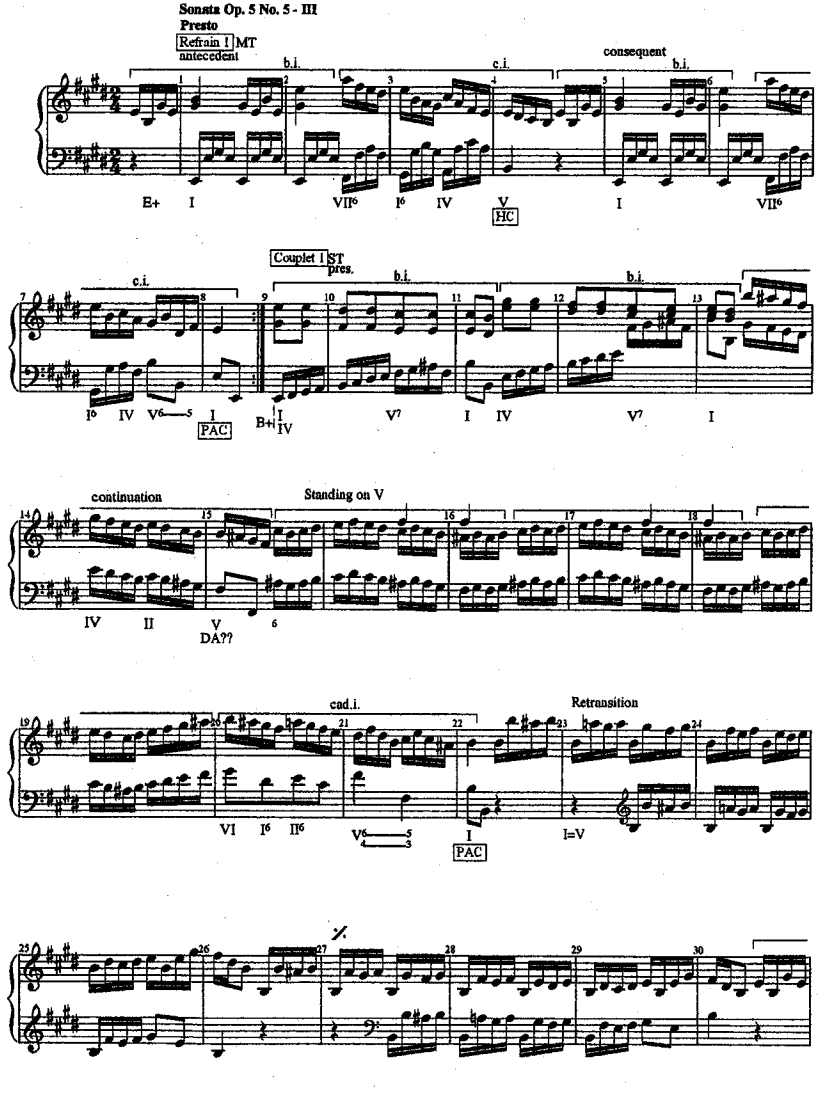

95
96
97
98
99

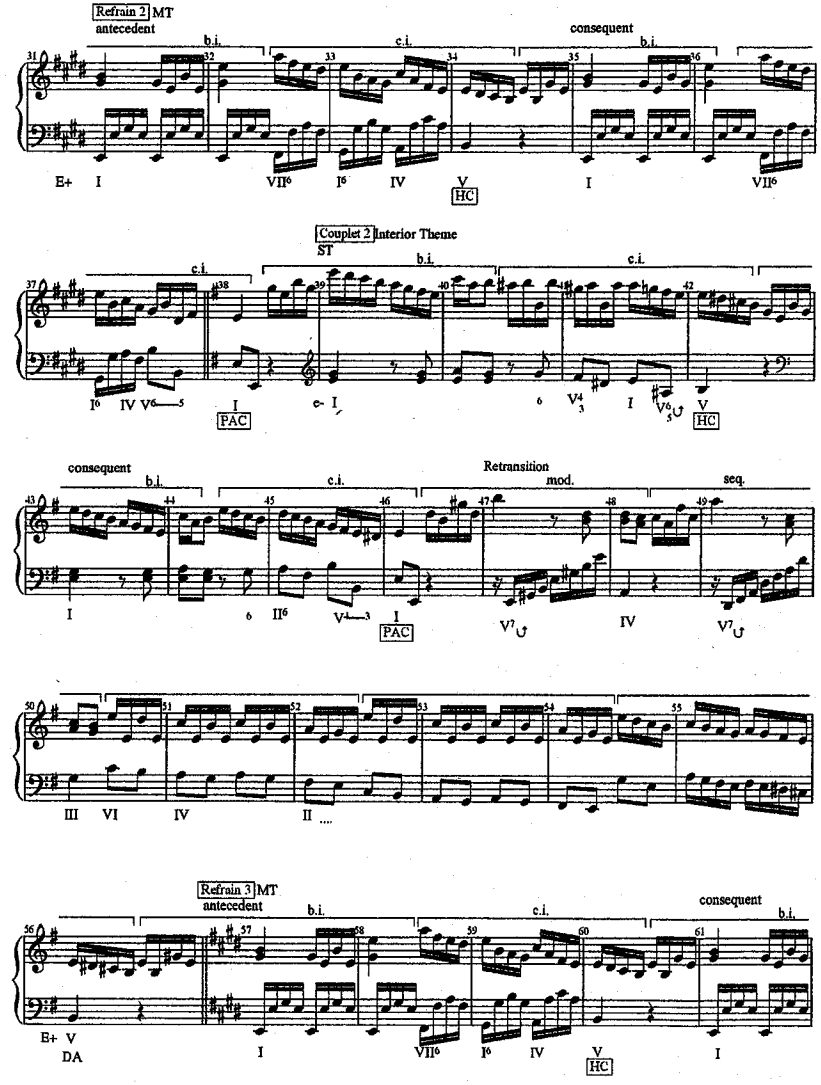
Sonata Op 5 No.5 II

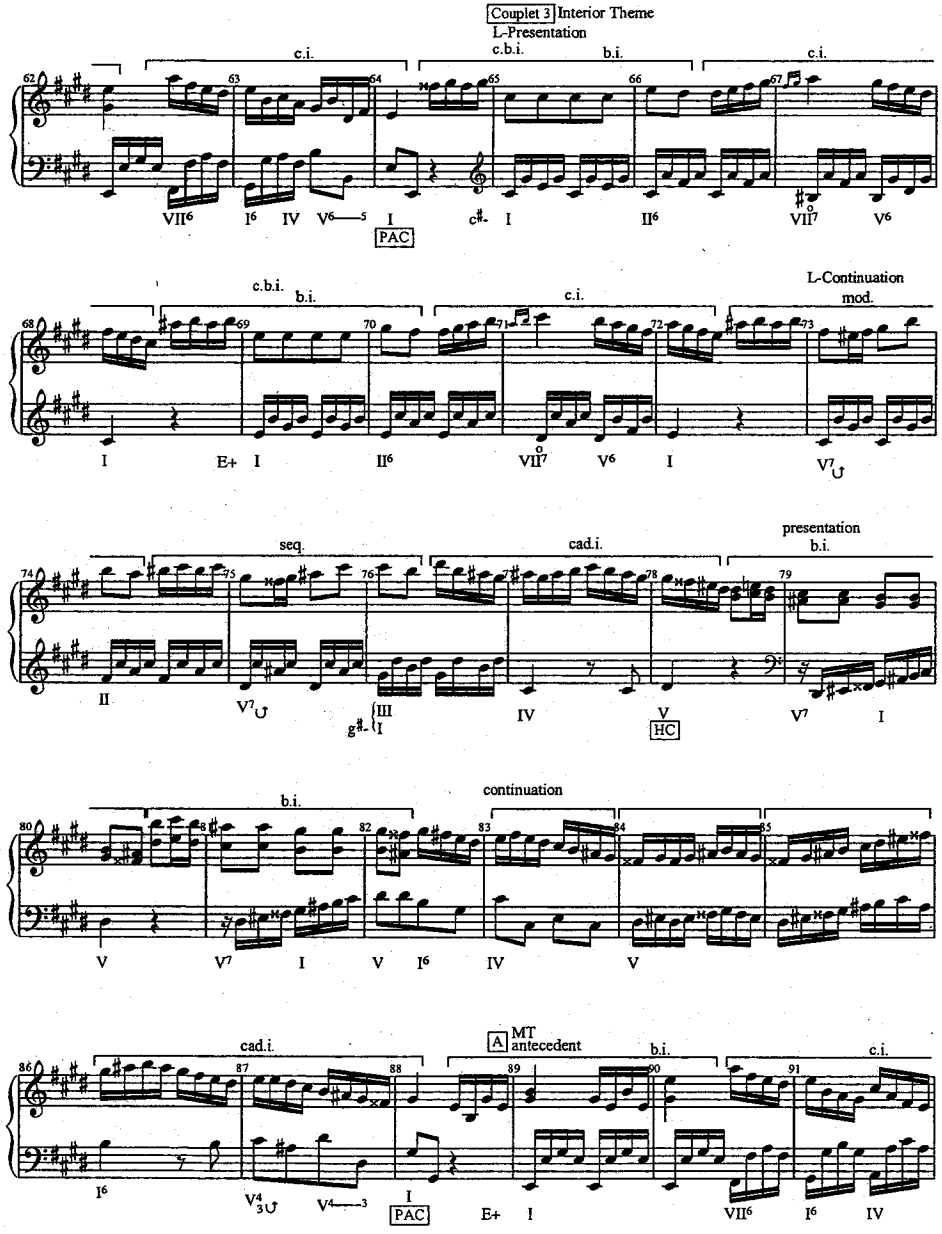


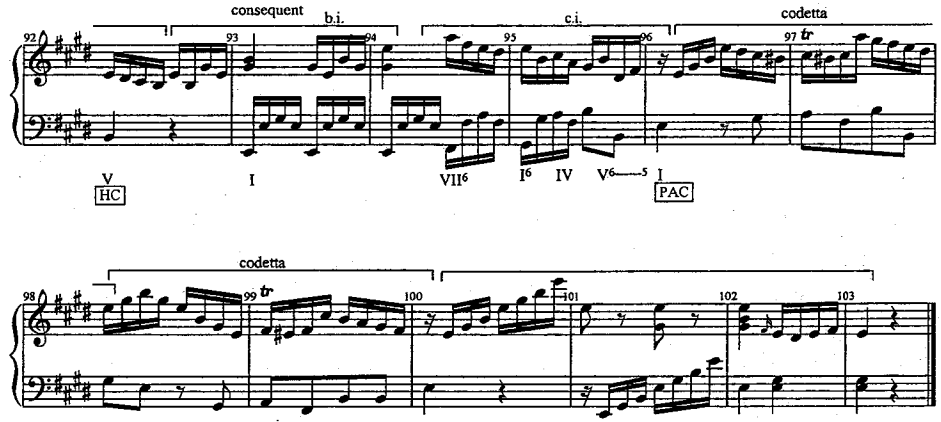


Sonata Op 5 No.5 III

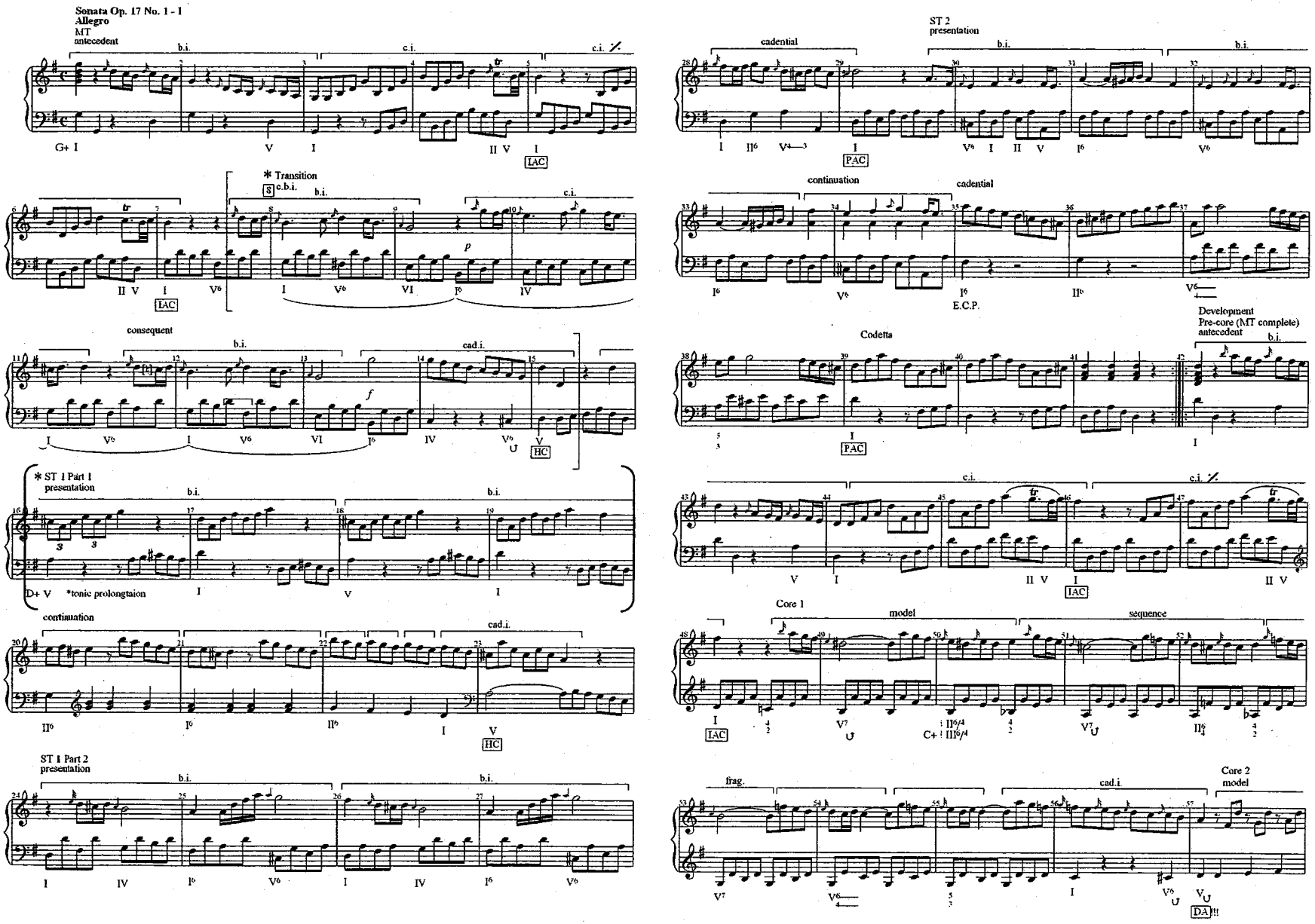


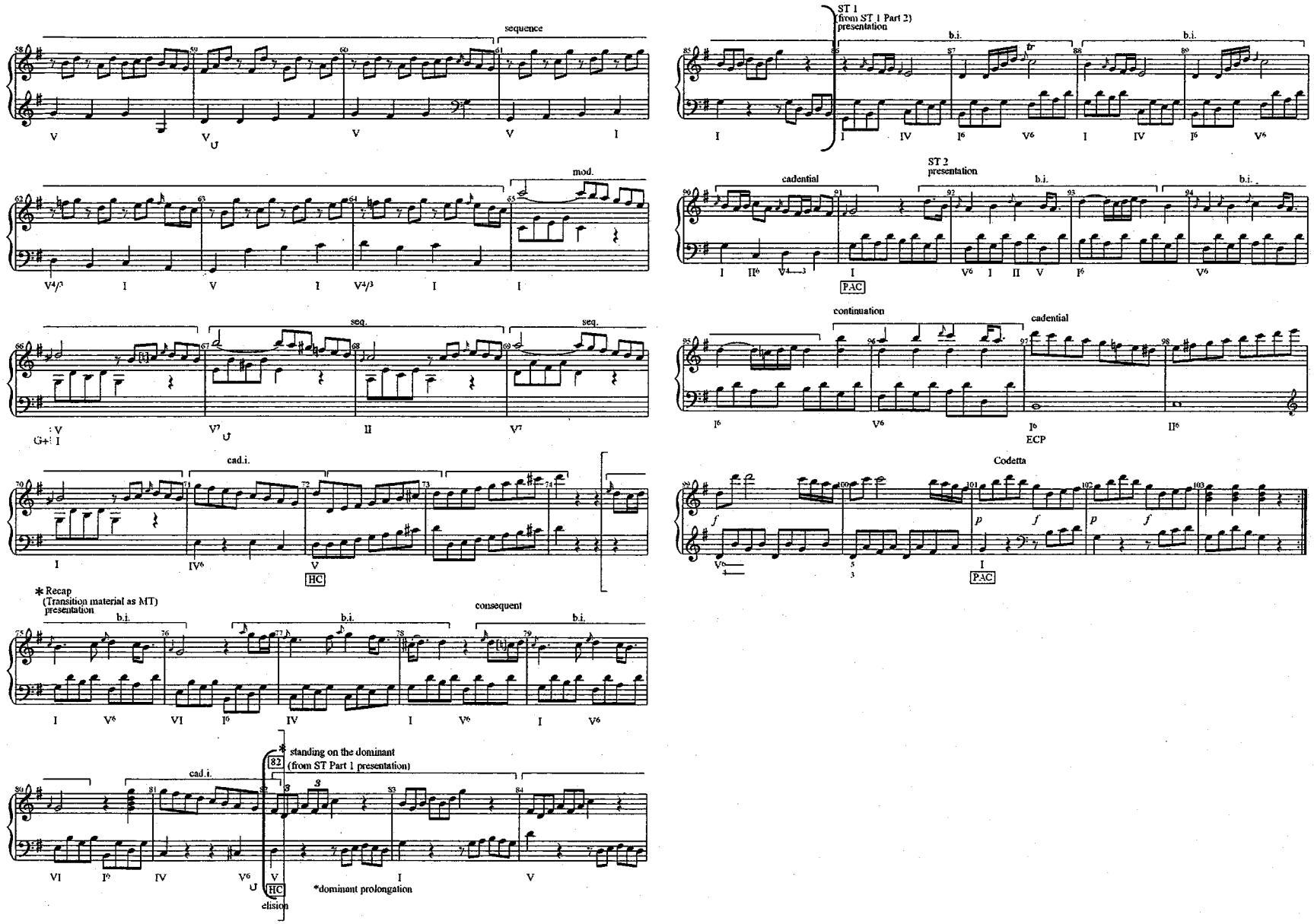



Couplet 3 Interior Theme
L-Presentation
c.i.
c.b.i.
b.i.
c.i.
VII6 I6 IV V6—5 I PAC c#- I II6 VII7 V6
c.b.i.
b.i.
c.i.
L-Continuation
mod.
I E+ I II6 VII7 V6 I V7
seq.
cad.i.
presentation
b.i.
II V7 III I IV V HC V7 I
b.i.
continuation
V V7 I V I6 IV V
cad.i.
A MT
antecedent
b.i.
c.i.
I6 V4 3 V4—3 I PAC E+ I VII6 I6 IV


consequent
b.i.
c.i.
codetta
V HC I VII6 I6 IV V6—5 I PAC
codetta

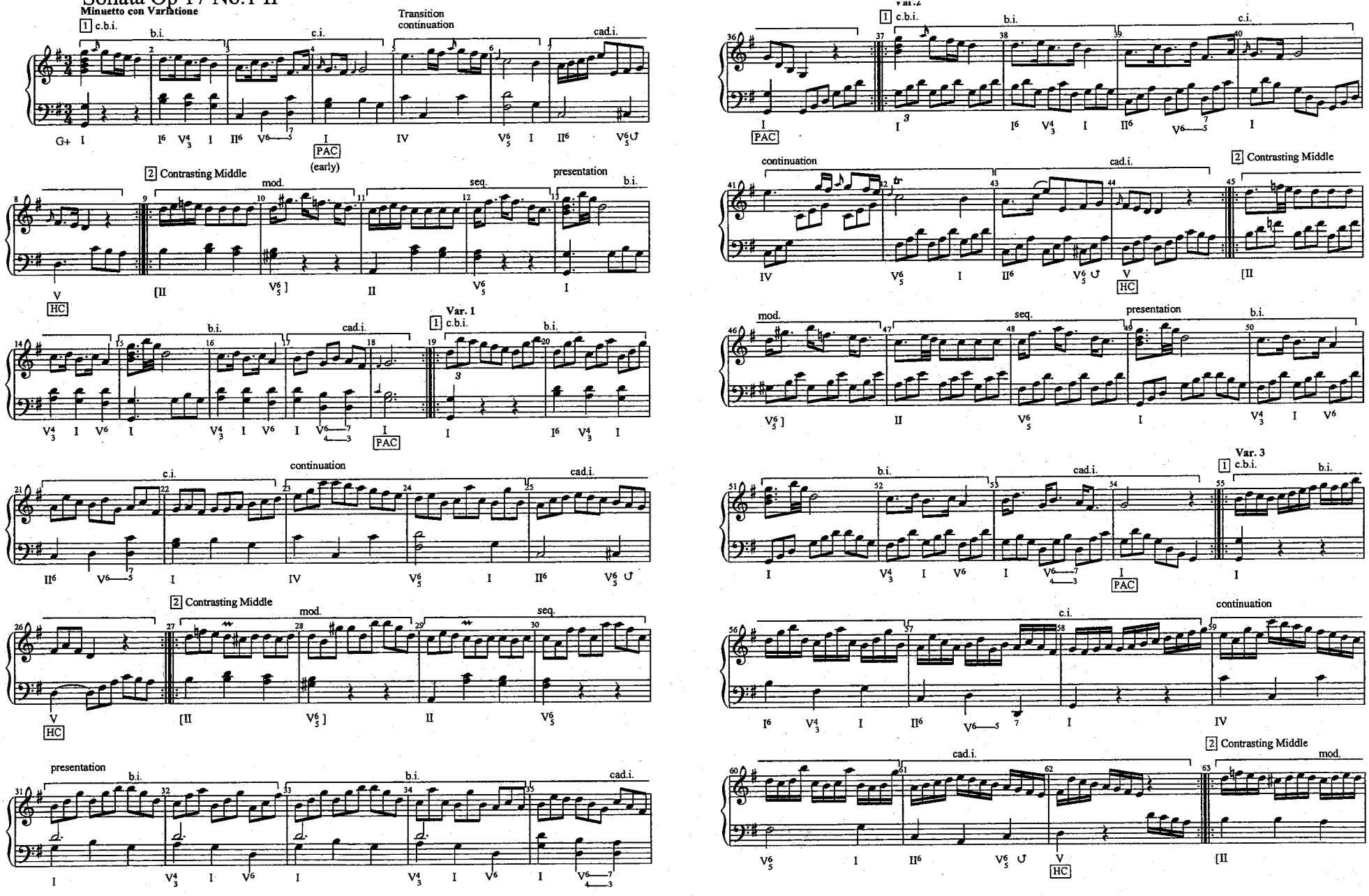
Sonata Op 17 No.1 I

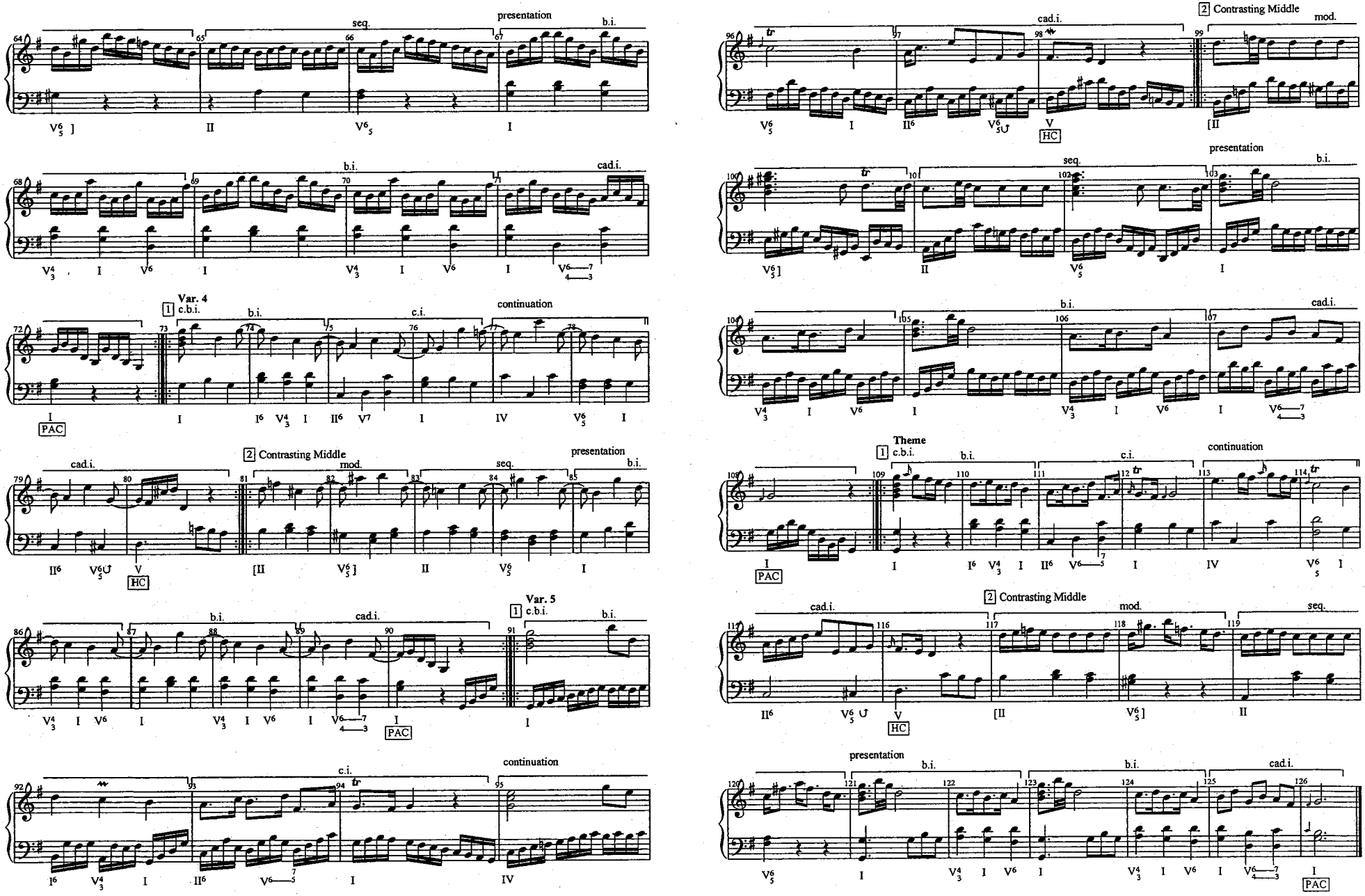



sequence
mod.
seq.
seq.
cad.i.
* Recap
(Transition material as MT)
presentation
b.i.
consequent
cad.i.
standing on the dominant
(from ST Part 1 presentation)
HC
elision
*dominant prolongation
ST 1
(from ST 1 Part 2)
presentation
ST 2
presentation
cadential
PAC
continuation
cadential
ECP
Codetta
PAC

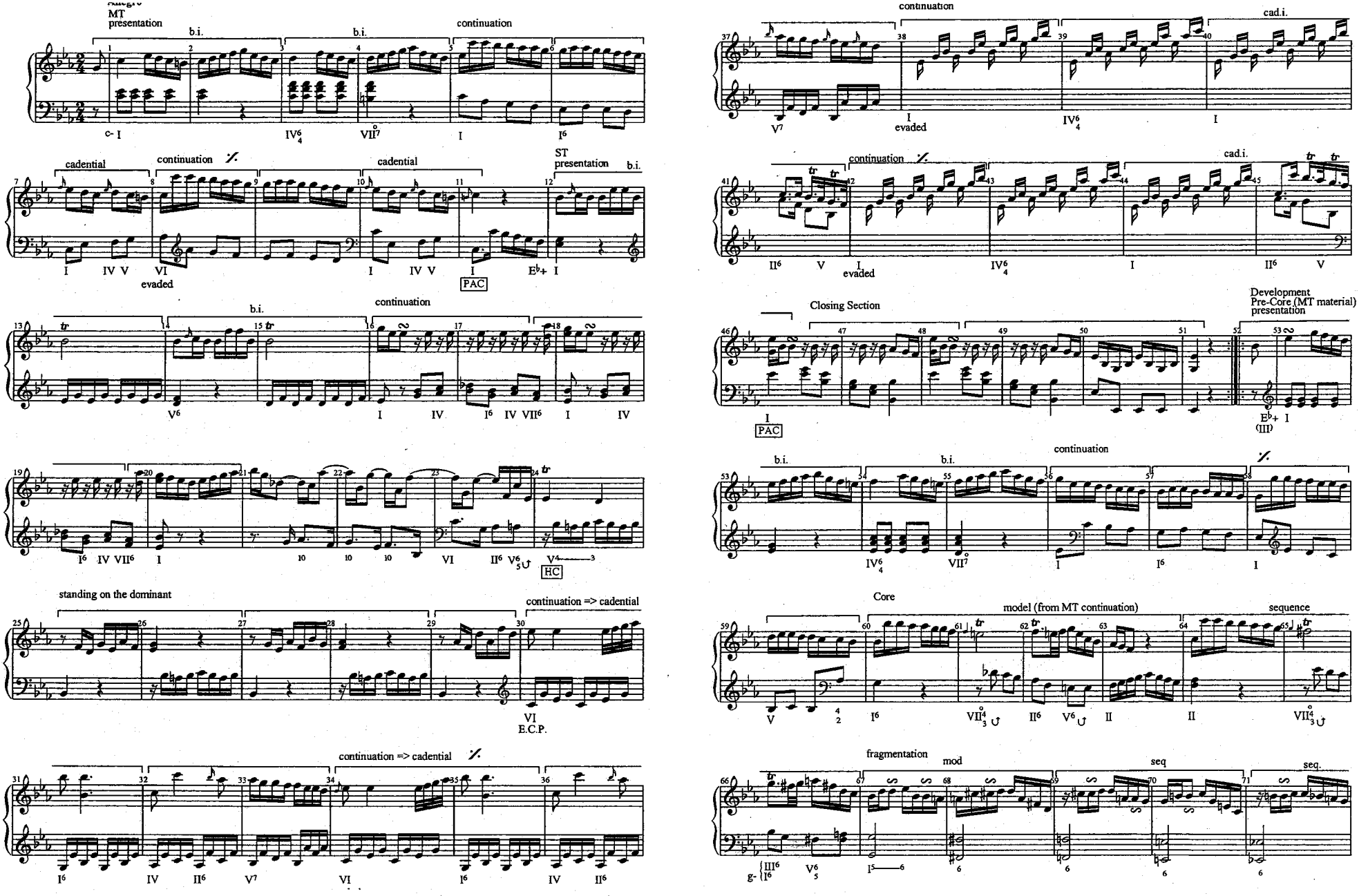
Sonata Op 17 No.1 II

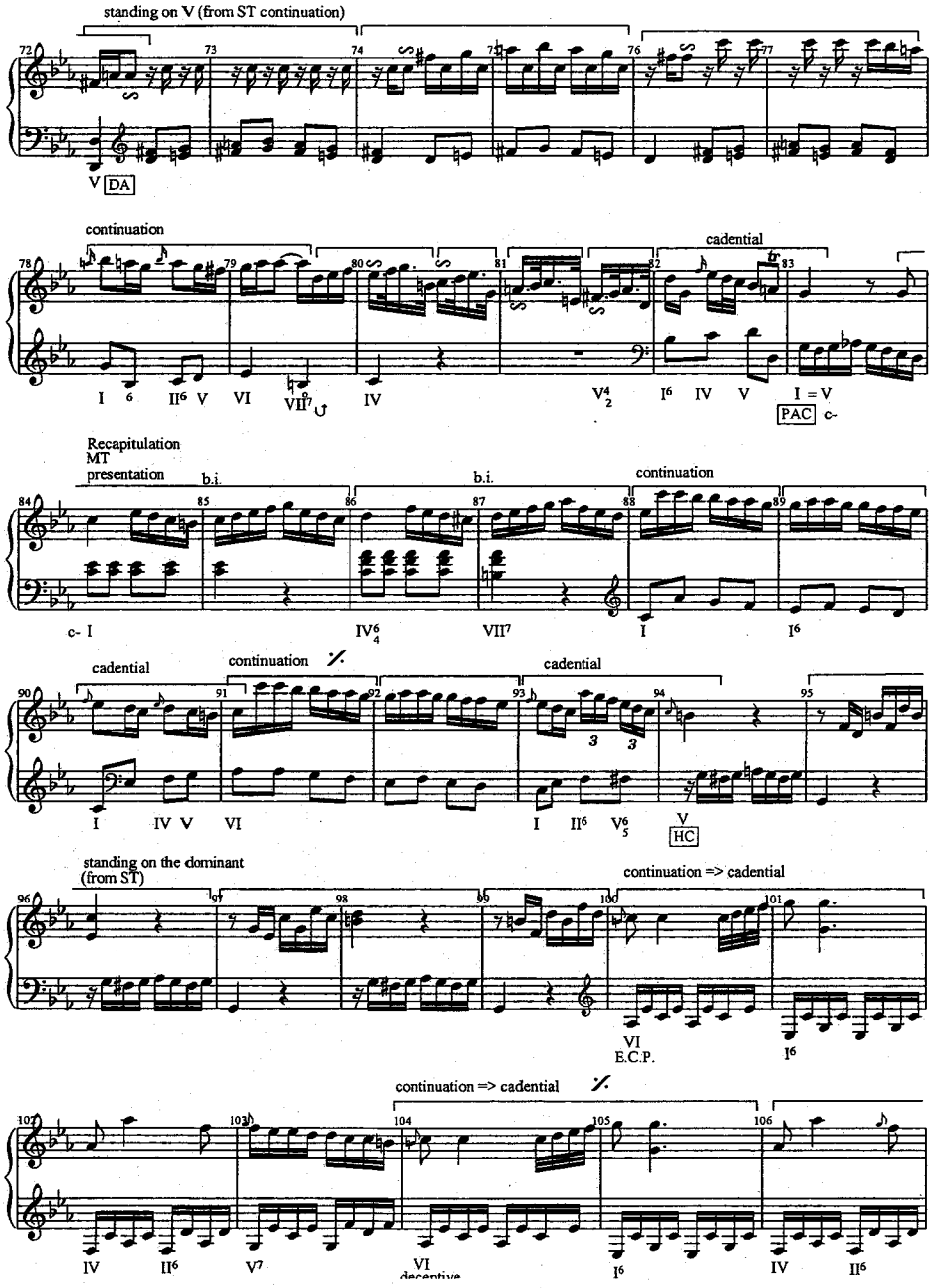
Minuetto con Variatione

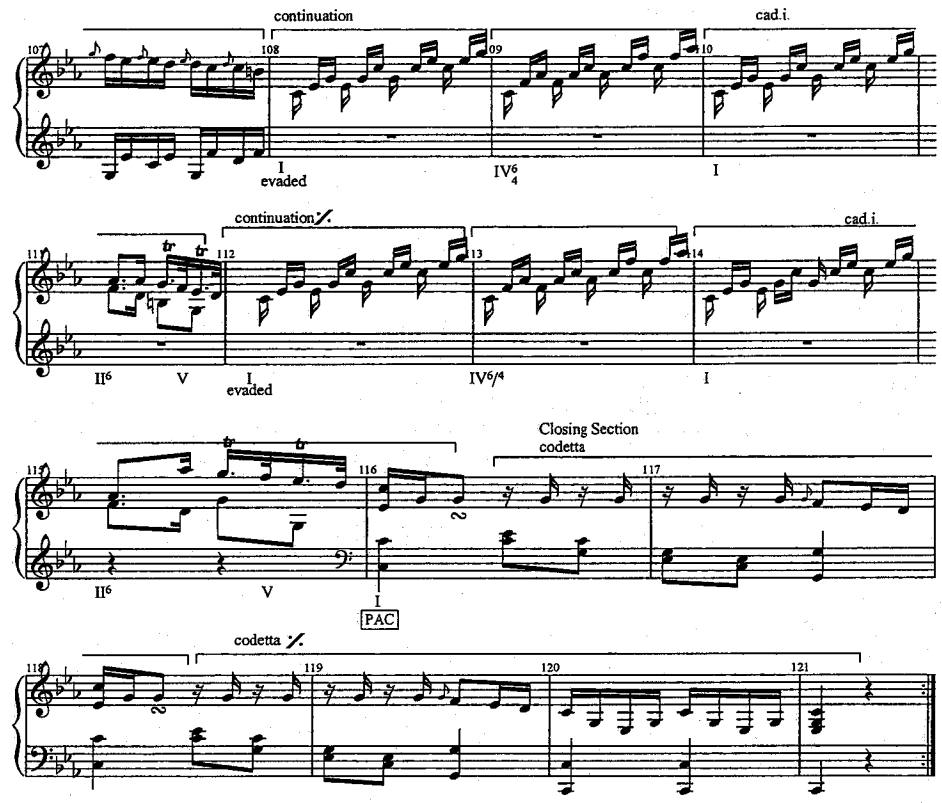



presentation
seq.
b.i.
cad.i.
Var. 4
1 c.b.i.
continuation
c.i.
2 Contrasting Middle
mod.
Var. 5
Theme
PAC
HC

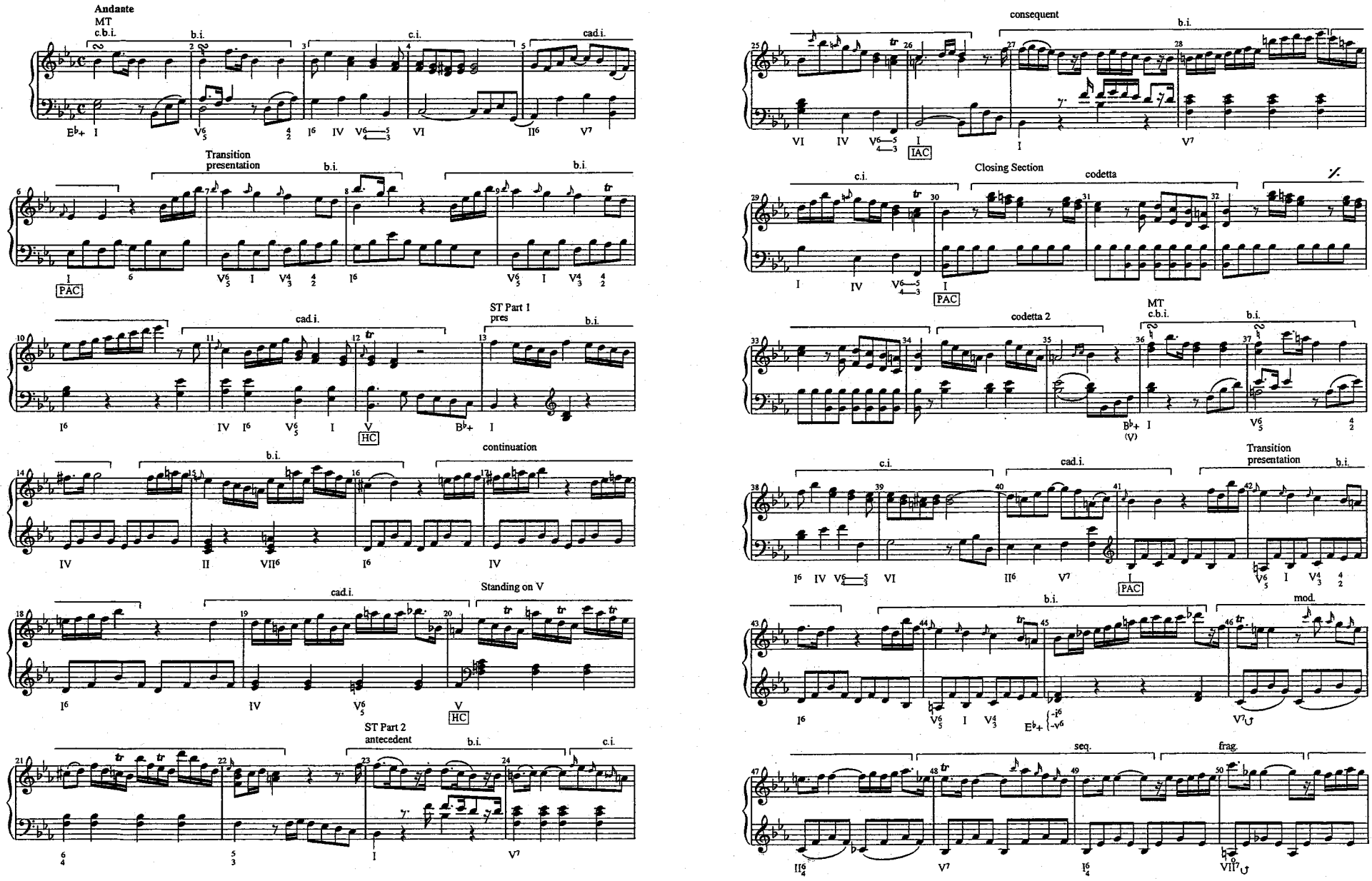
Sonata Op 17 No.2 I

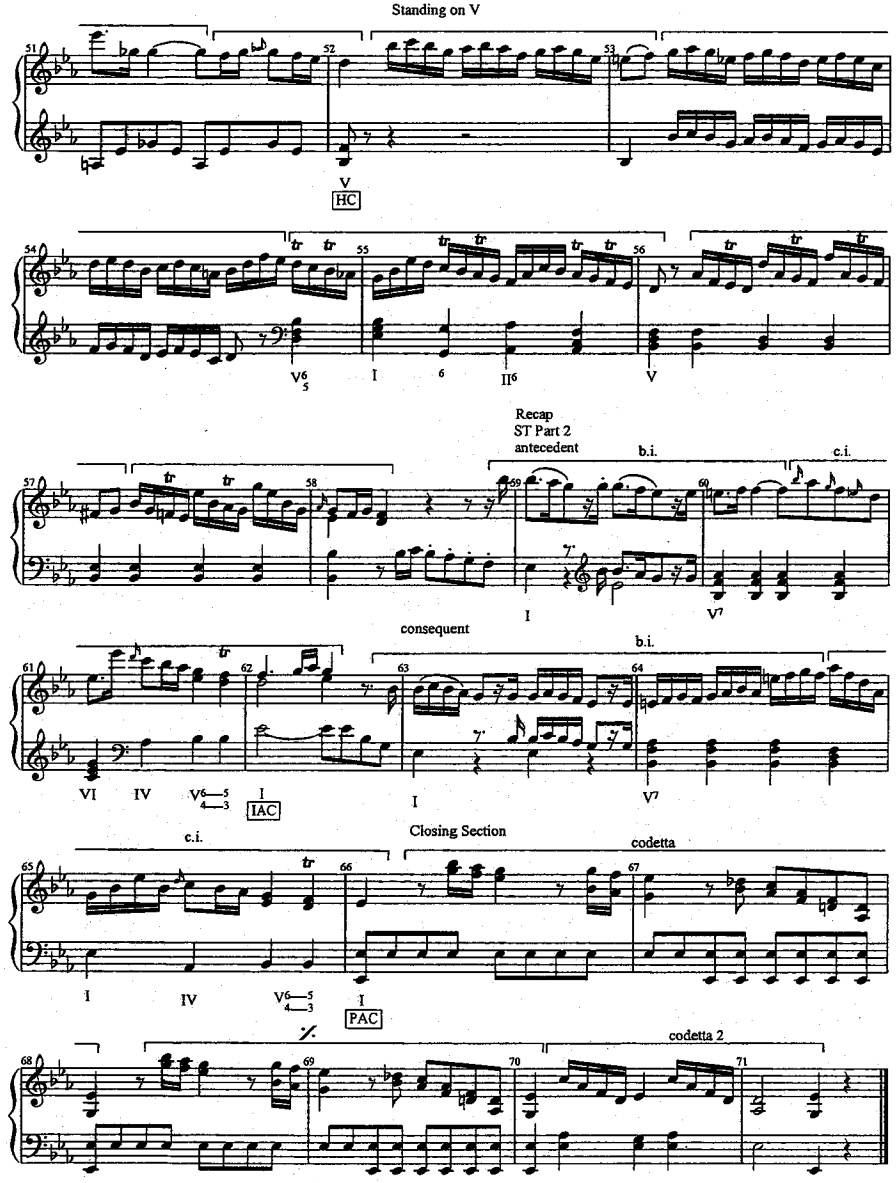



standing on V (from ST continuation)
V DA
continuation
cadential
I 6 II6 V VI VII7 IV V4 2 I6 IV V I = V PAC c-
Recapitulation
MT
presentation
b.i.
b.i.
continuation
c- I IV6 4 VII7 I I6
cadential
continuation
cadential
I IV V VI I II6 V6 5 V HC
standing on the dominant
(from ST)
continuation => cadential
VI E.C.P. I6
continuation => cadential
IV II6 V7 VI deceptive I6 IV II6

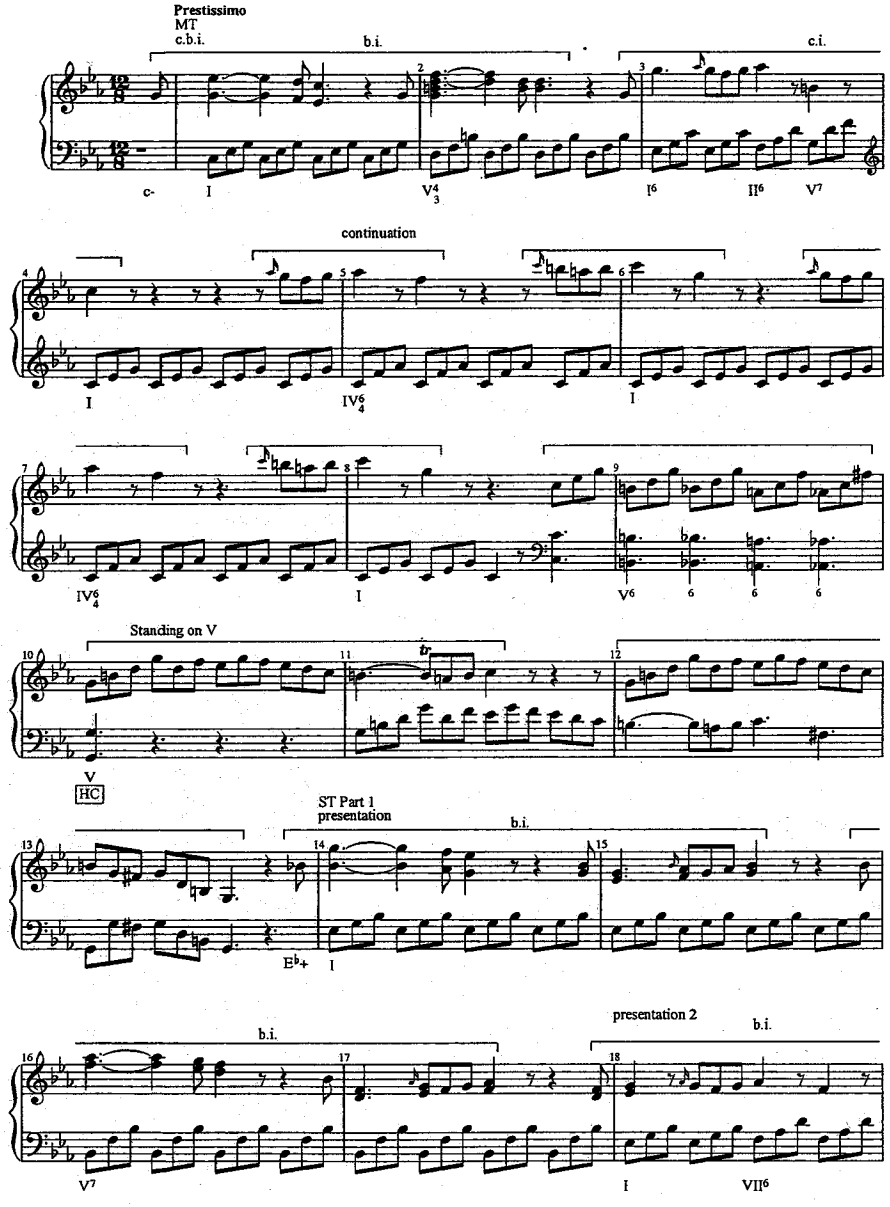

continuation
cad.i.
I evaded IV6 4 I
continuation
cad.i.
II6 V I evaded IV6/4 I
Closing Section
codetta
II6 V I PAC
codetta

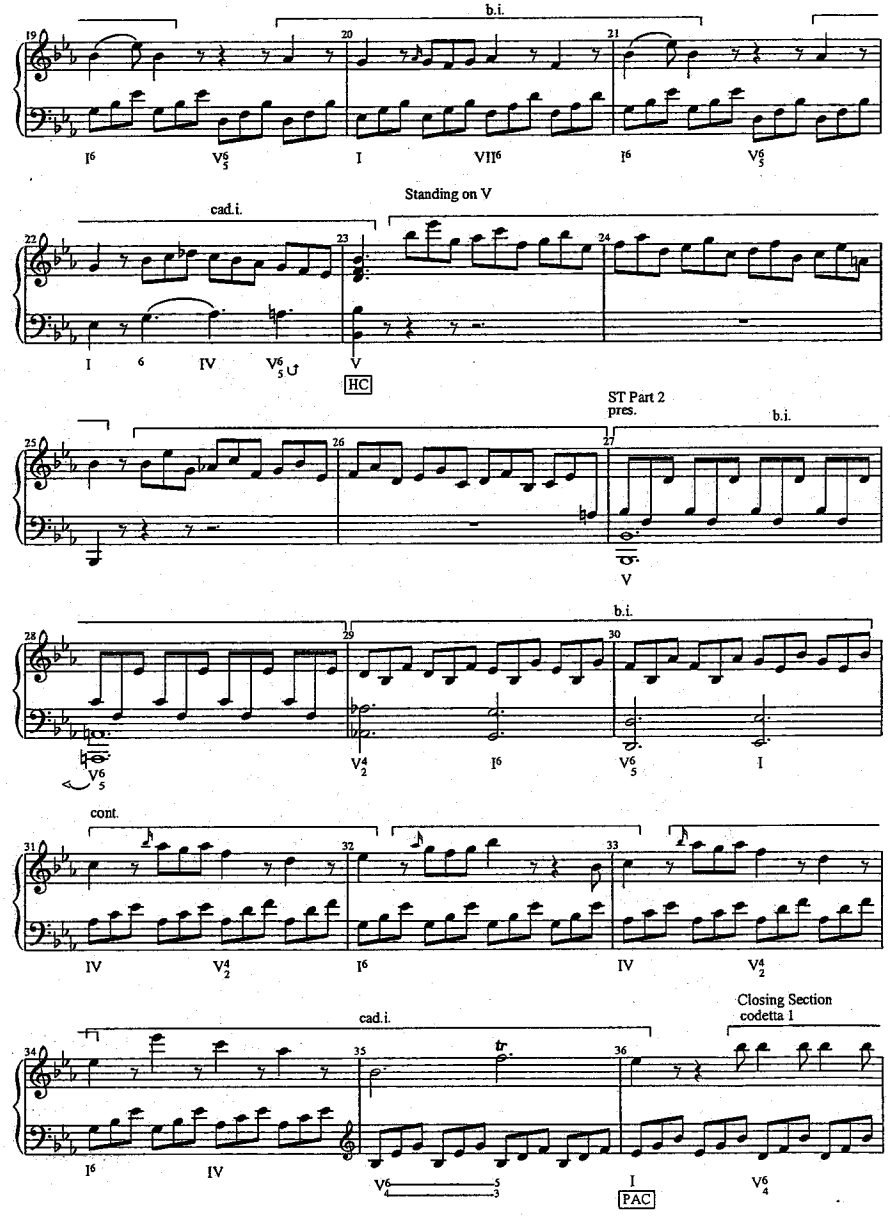
Sonata Op 17 No.2 II

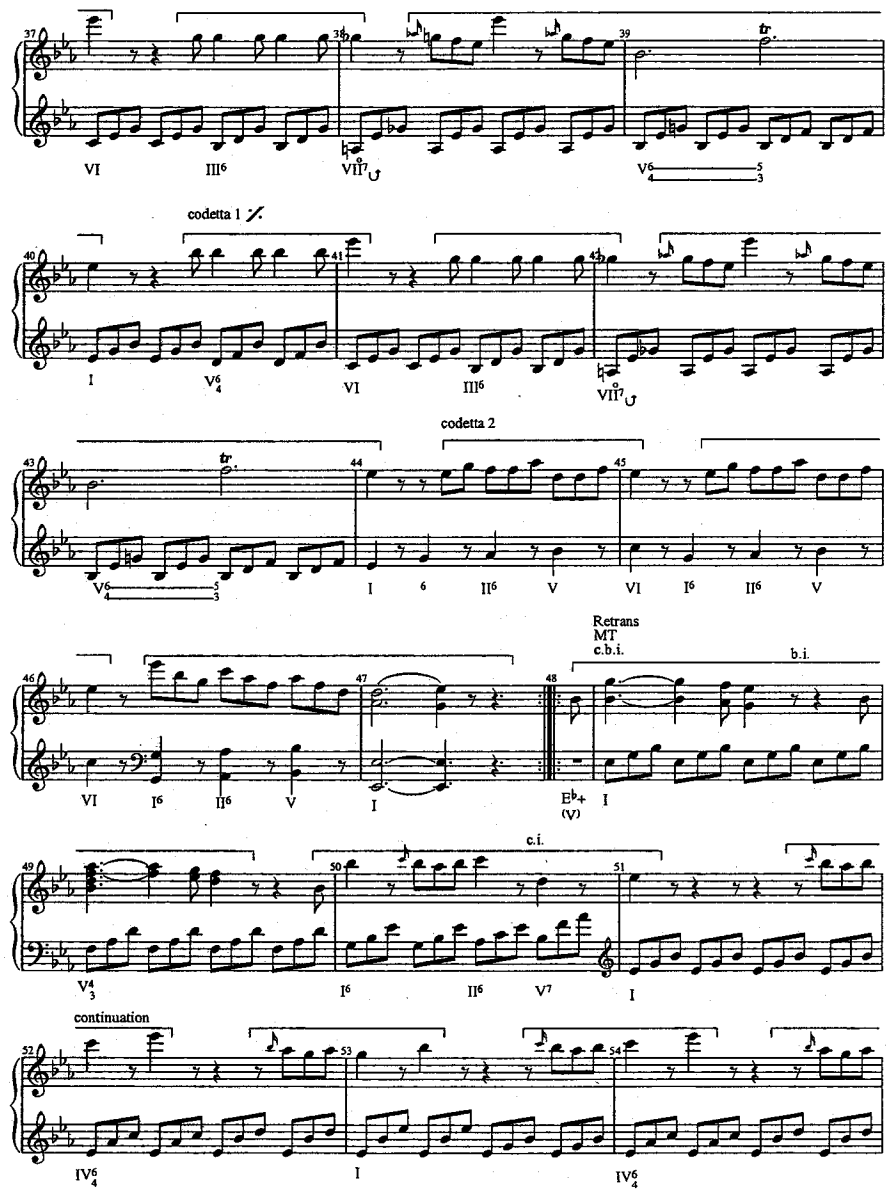


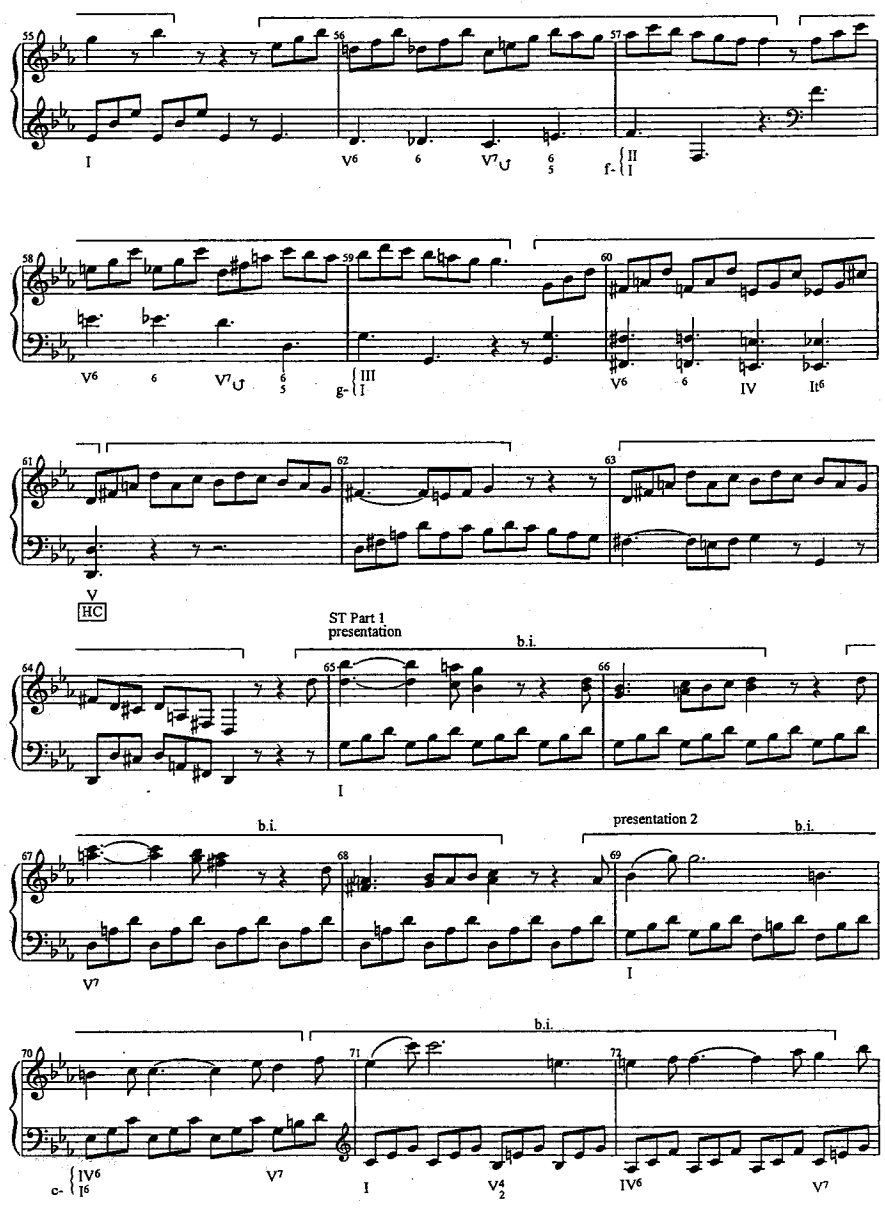

Standing on V
V
HC
V6/5
I
6
II6
V
Recap
ST Part 2
antecedent
b.i.
c.i.
I
V7
consequent
b.i.
VI
IV
V6—5/4—3
I
IAC
I
V7
c.i.
Closing Section
codetta
I
IV
V6—5/4—3
I
PAC
codetta 2

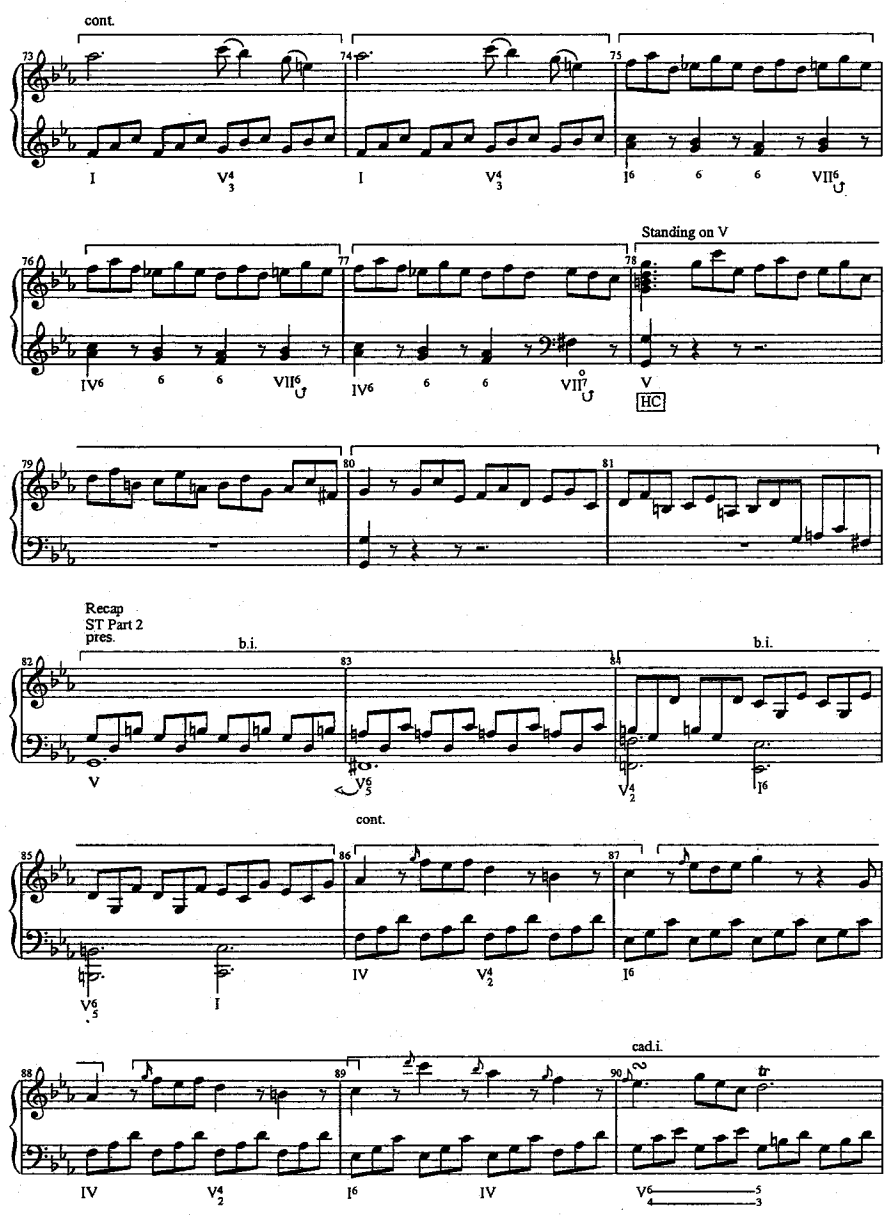
Sonata Op 17 No.2 III

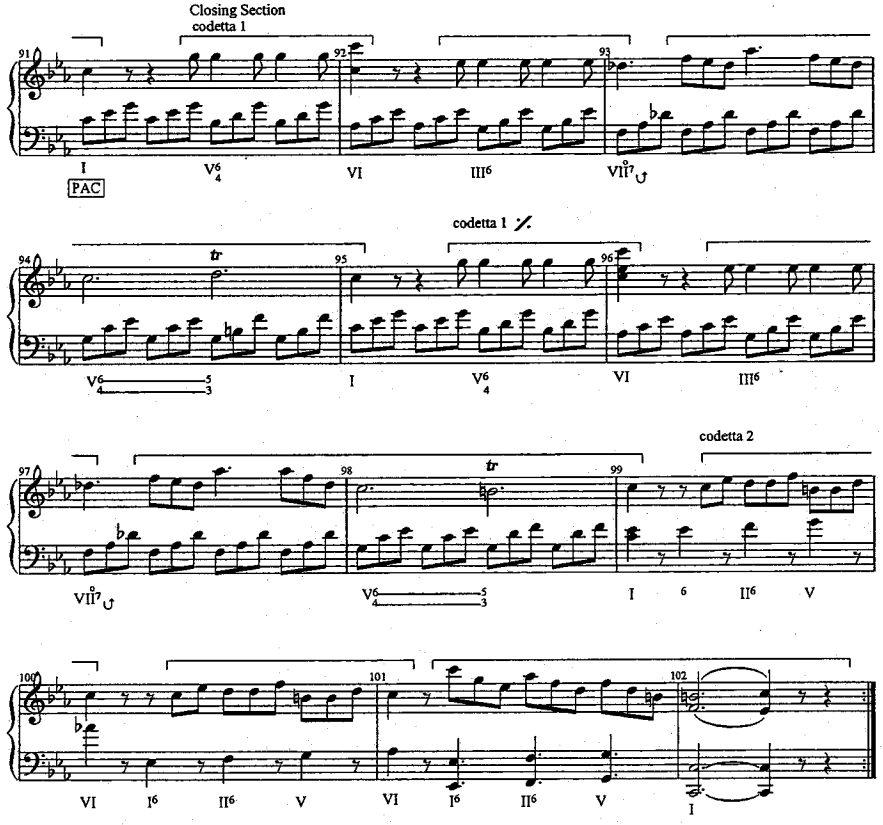




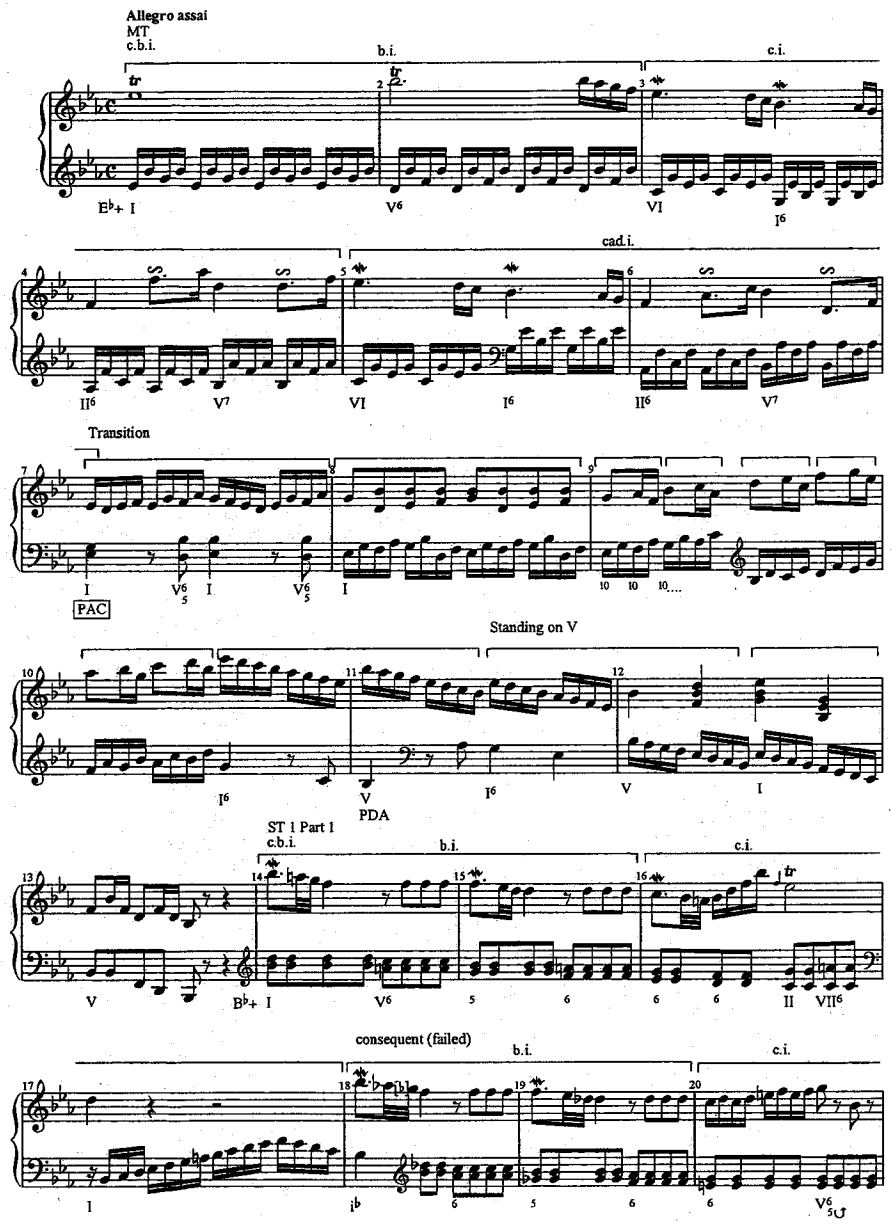

codetta 1
codetta 2
Retrans
MT
c.b.i.
b.i.
c.i.
continuation

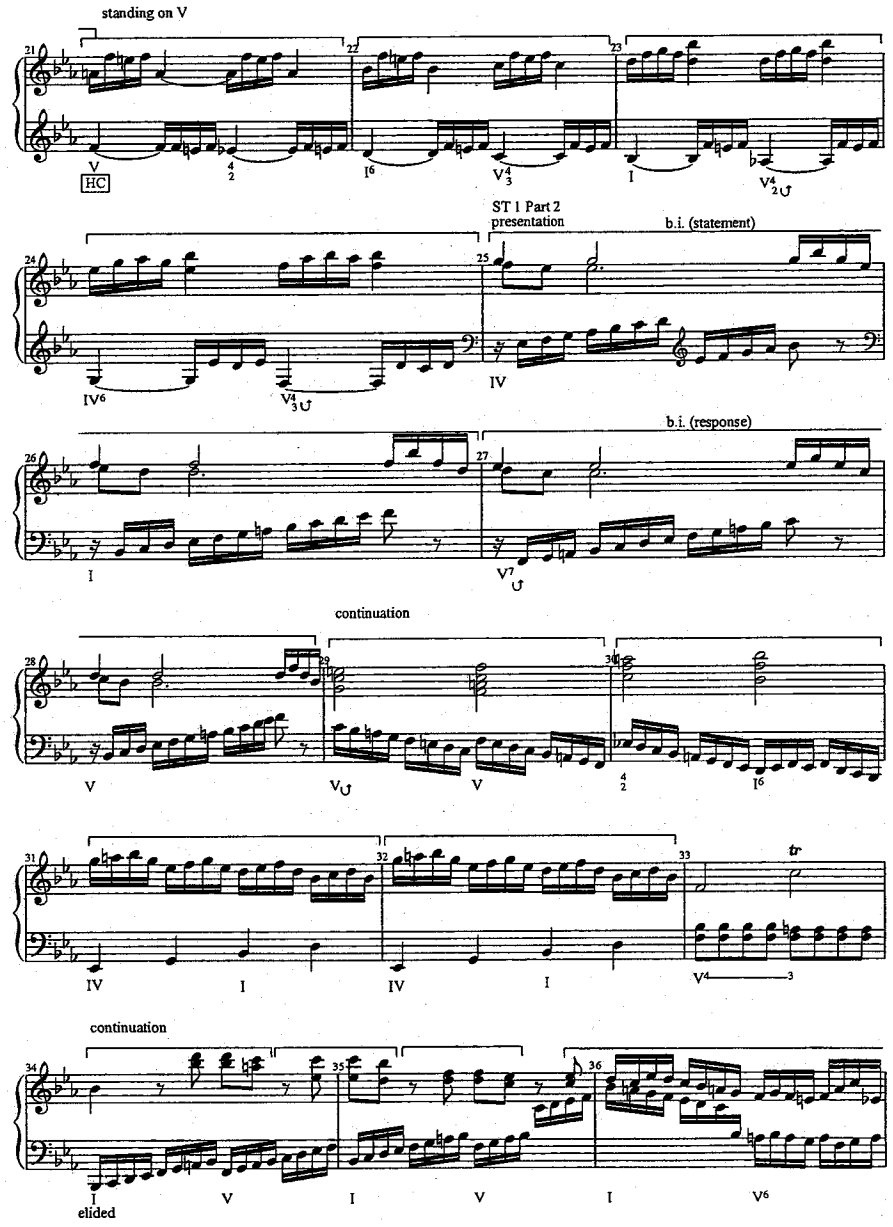

ST Part 1
presentation
b.i.
presentation 2
HC

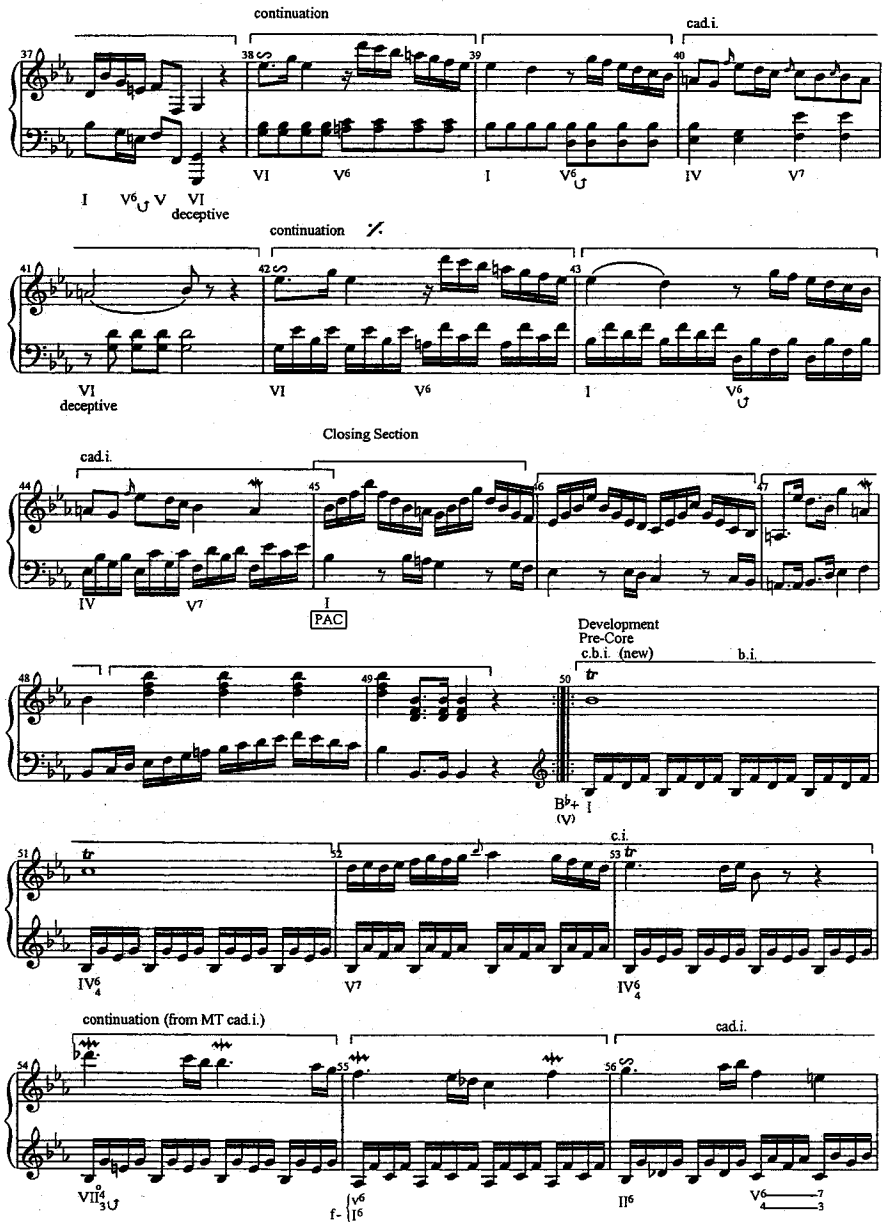

cont.
I V4/3 I V4/3 I6 6 6 VII6
Standing on V
IV6 6 6 VII6 IV6 6 6 VII7 V
HC
Recap
ST Part 2
pres.
b.i.
b.i.
V V6/5 V4/2 I6
cont.
V6/5 I IV V4/2 I6
cad.i.
IV V4/2 I6 IV V6/4 5/3

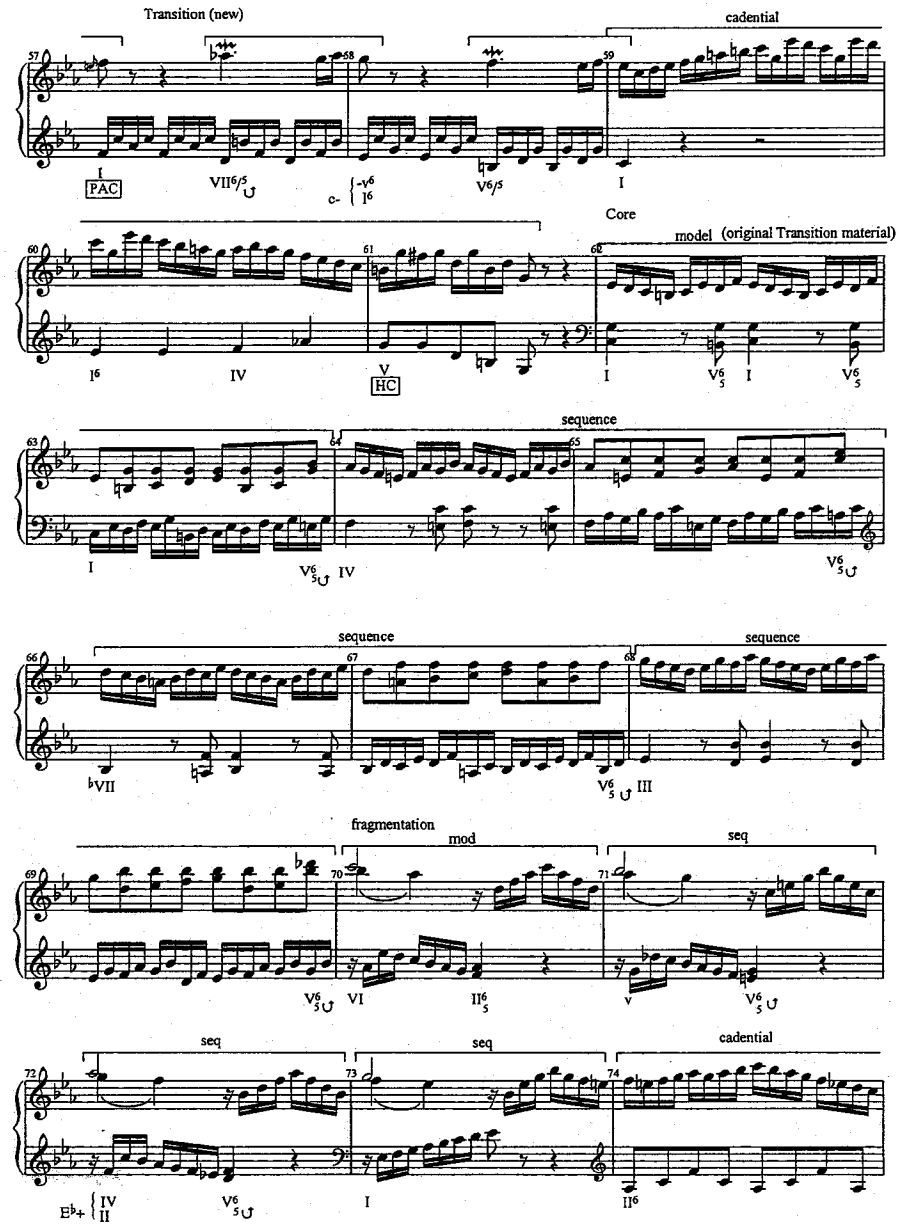

Closing Section
codetta 1
I PAC V6/4 VI III6 VII7
codetta 1
V6/4 5/3 I V6/4 VI III6
codetta 2
VII7 V6/4 5/3 I 6 II6 V
VI I6 II6 V VI I6 II6 V I

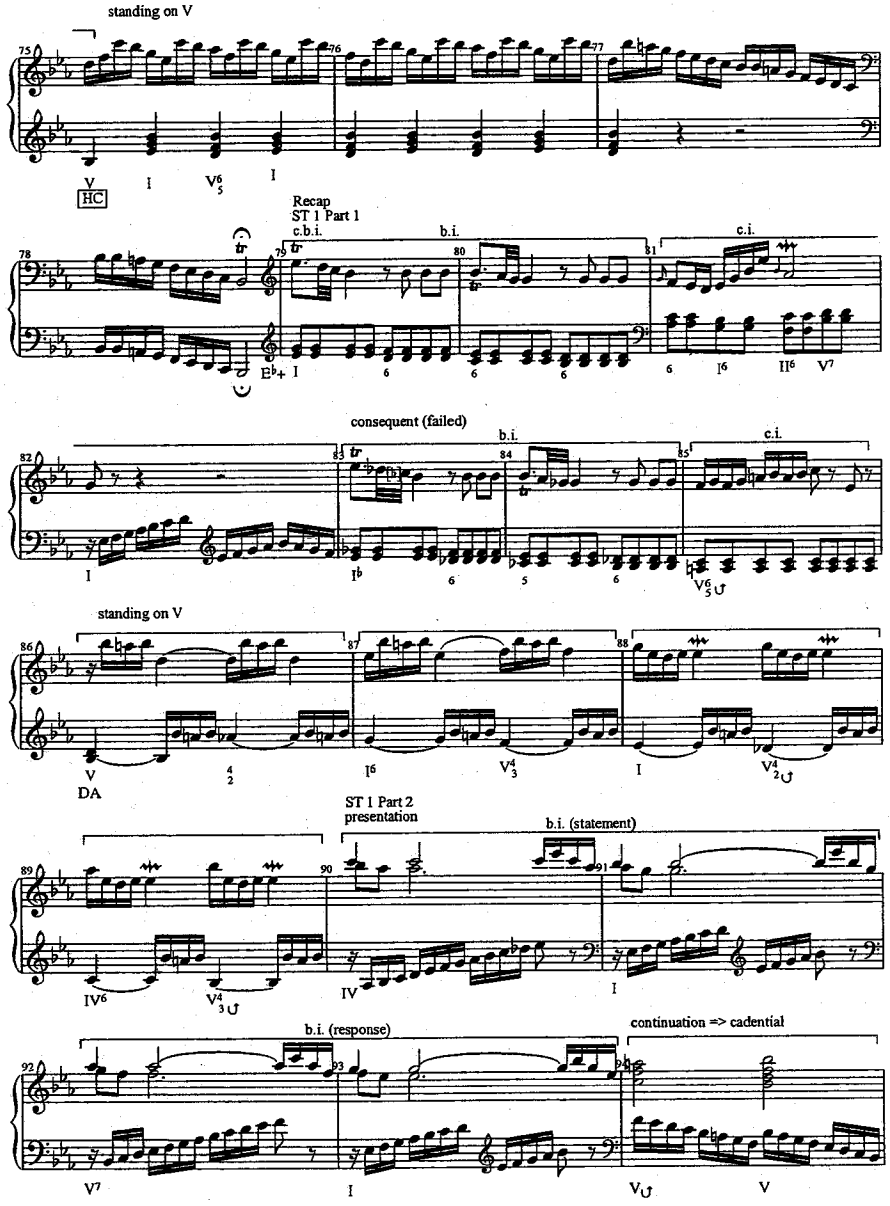
Sonata Op 17 No.3 I

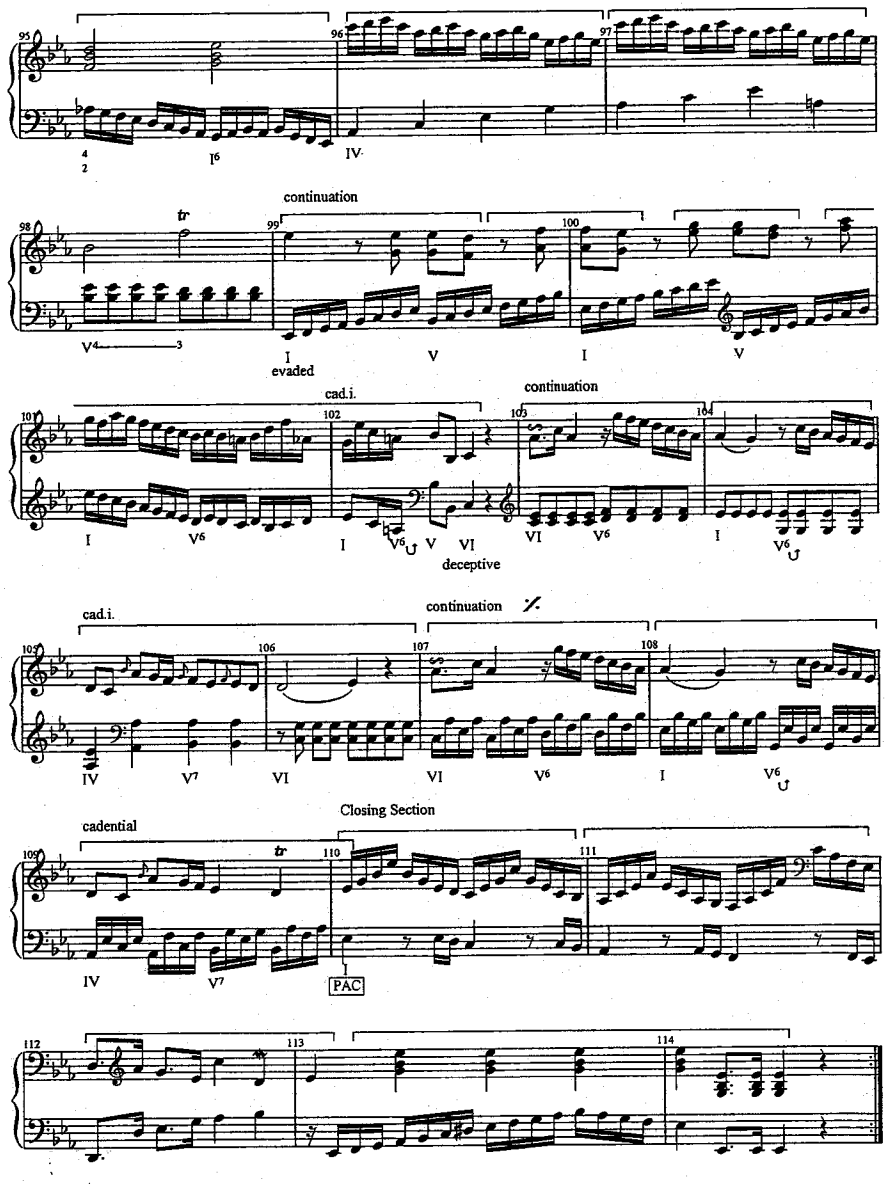




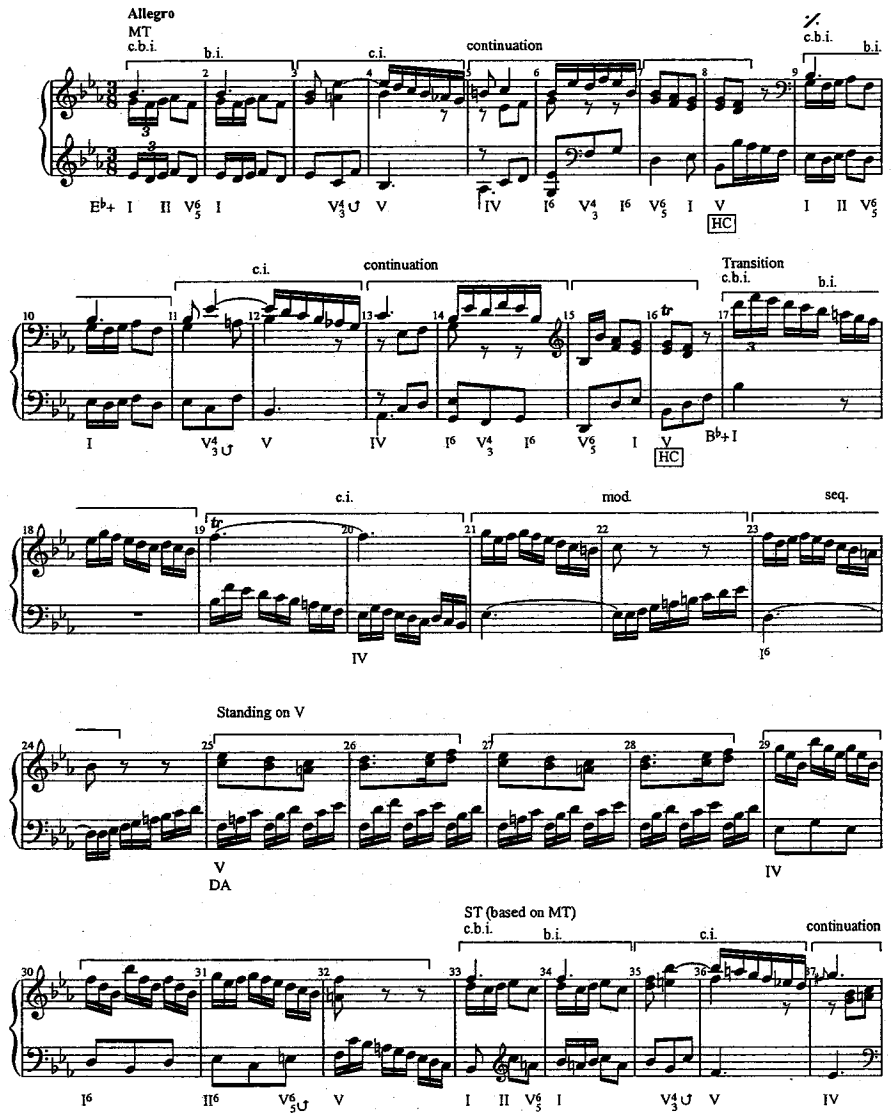

continuation
cad.i.
37
38
39
40
I
V6
V
VI
deceptive
VI
V6
I
V6
IV
V7
continuation
41
42
43
VI
deceptive
VI
V6
I
V6
Closing Section
cad.i.
44
45
46
47
IV
V7
I
PAC
Development
Pre-Core
c.b.i. (new)
b.i.
48
49
50
tr
B♭+
(V)
I
c.i.
51
52
53
tr
tr
IV6
4
V7
IV6
4
continuation (from MT cad.i.)
cad.i.
54
55
56
VII°4
3
f-
v6
I6
II6
V6
4
7
3

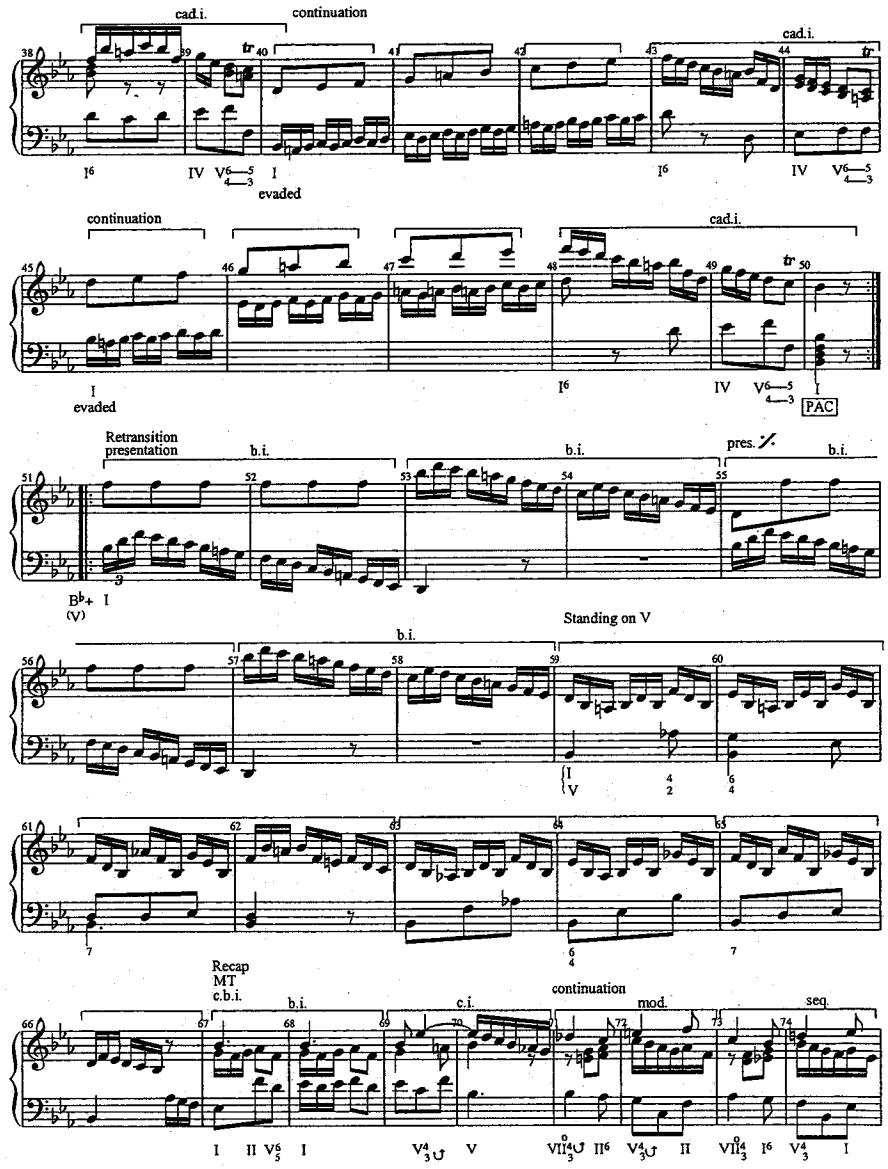

Transition (new)
cadential
57
58
59
I
PAC
VII6/5
c-
-v6
I6
V6/5
I
Core
model (original Transition material)
60
61
62
I6
IV
V
HC
I
V6
5
I
V6
5
sequence
63
64
65
I
V6
5
IV
V6
5
sequence
sequence
66
67
68
♭VII
V6
5
III
fragmentation
mod
seq
69
70
71
V6
5
VI
II6
5
v
V6
5
seq
seq
cadential
72
73
74
E♭+
IV
II
V6
5
I
II6

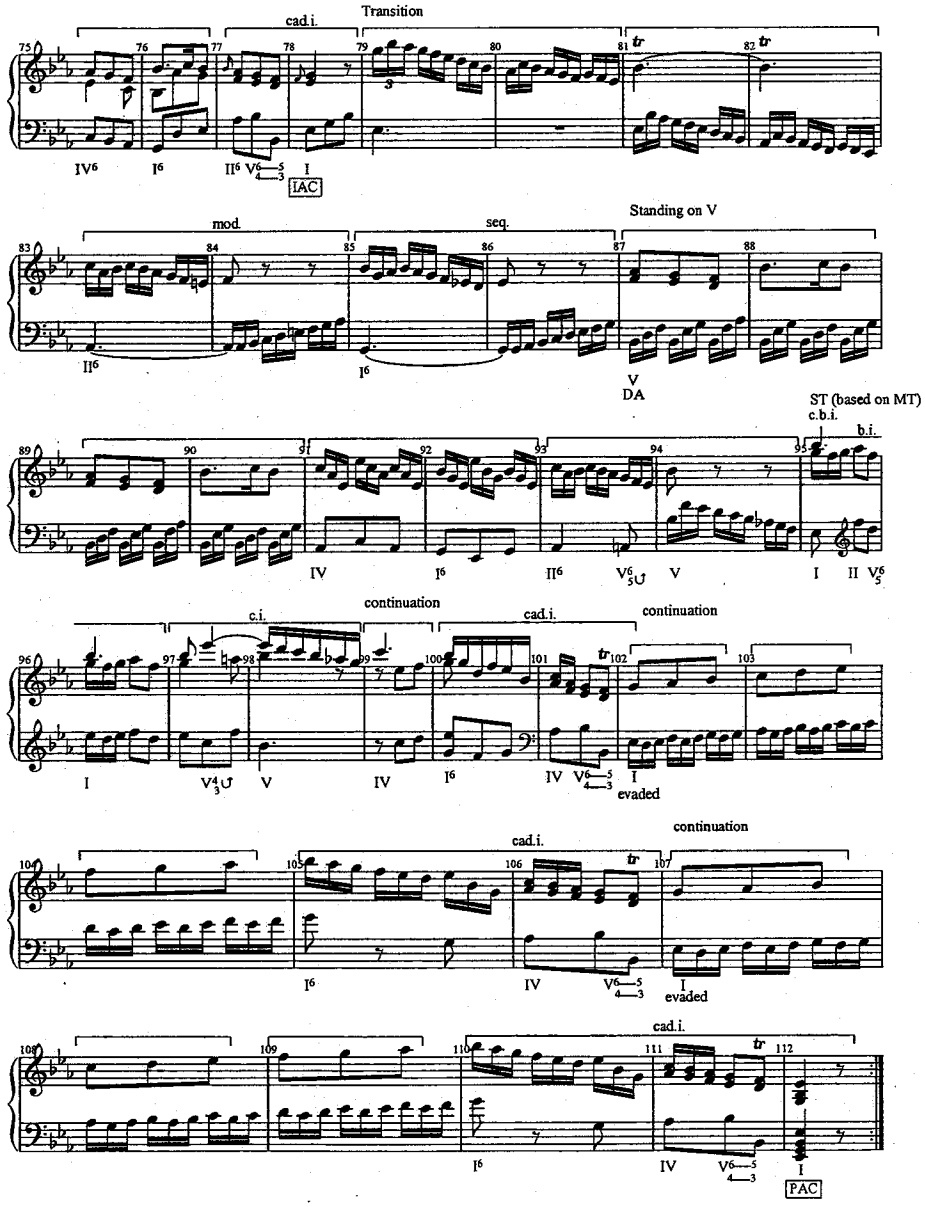

standing on V
HC
Recap
ST 1 Part 1
c.b.i.
b.i.
c.i.
consequent (failed)
standing on V
DA
ST 1 Part 2
presentation
b.i. (statement)
b.i. (response)
continuation => cadential


continuation
evaded
cad.i.
continuation
deceptive
cad.i.
continuation
cadential
Closing Section
PAC

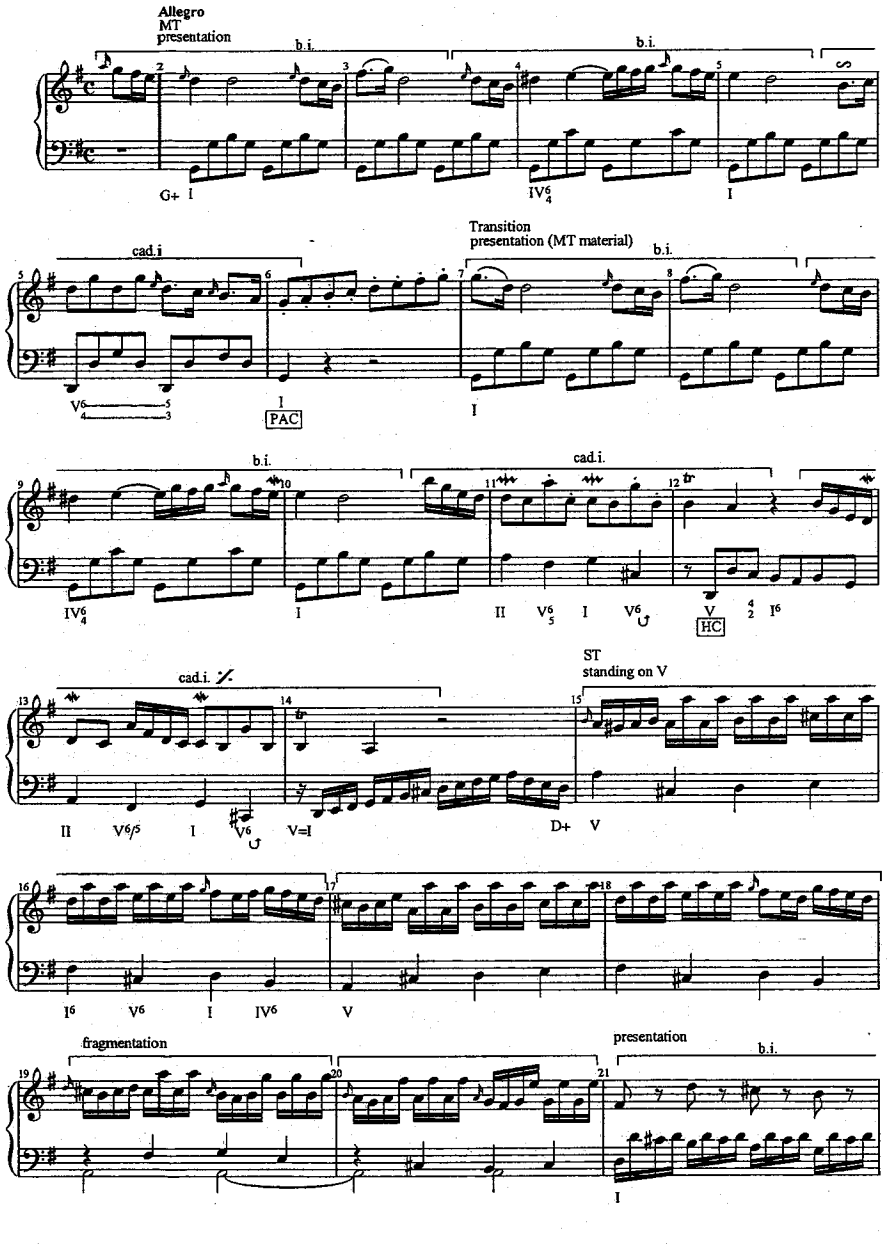
Sonata Op 17 No.3 II

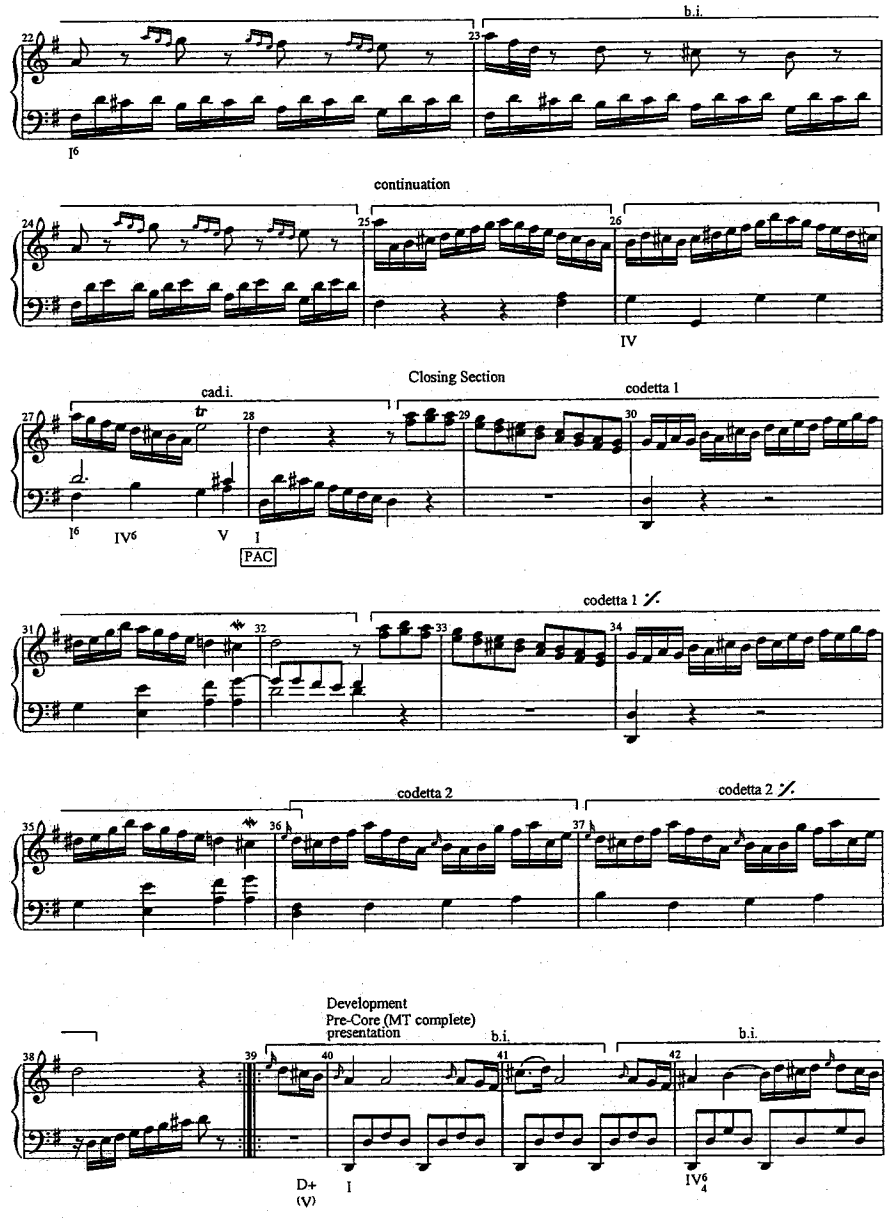


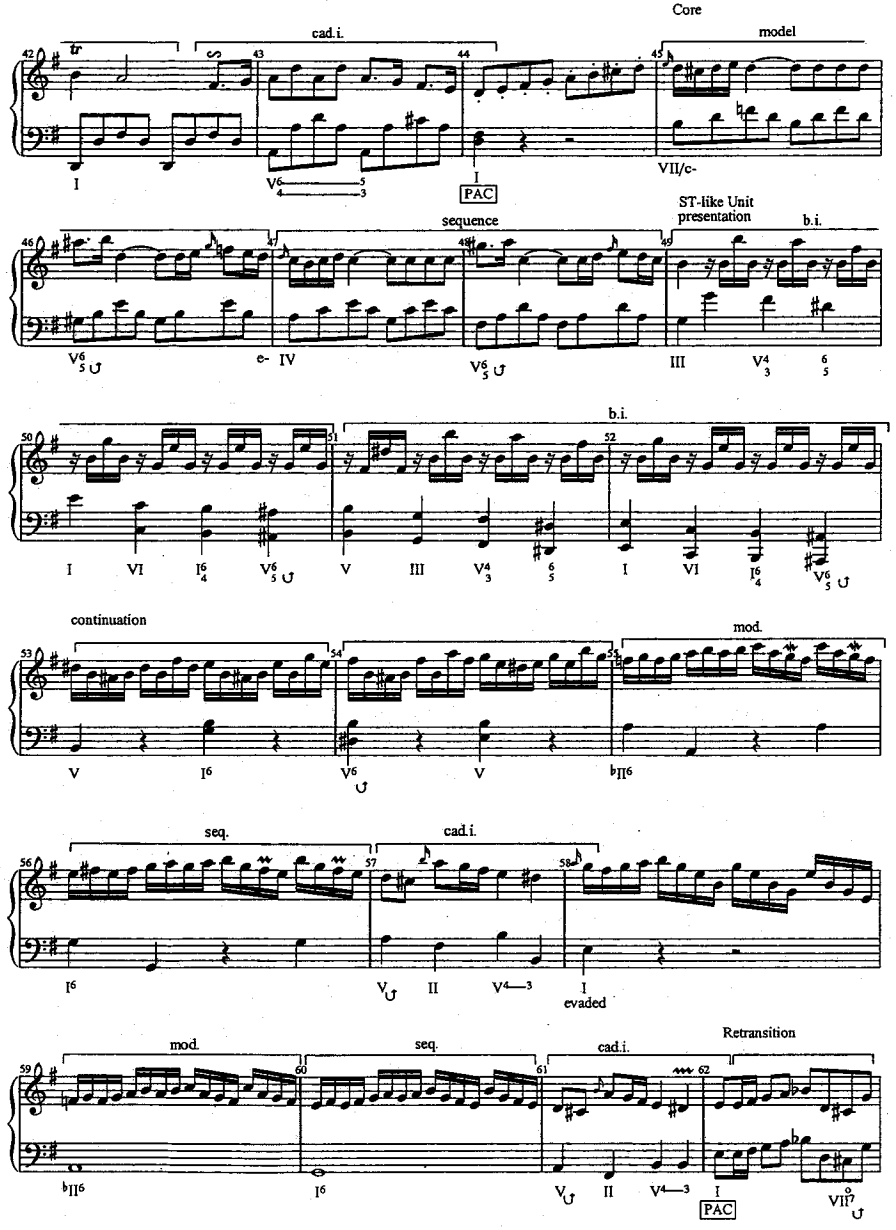


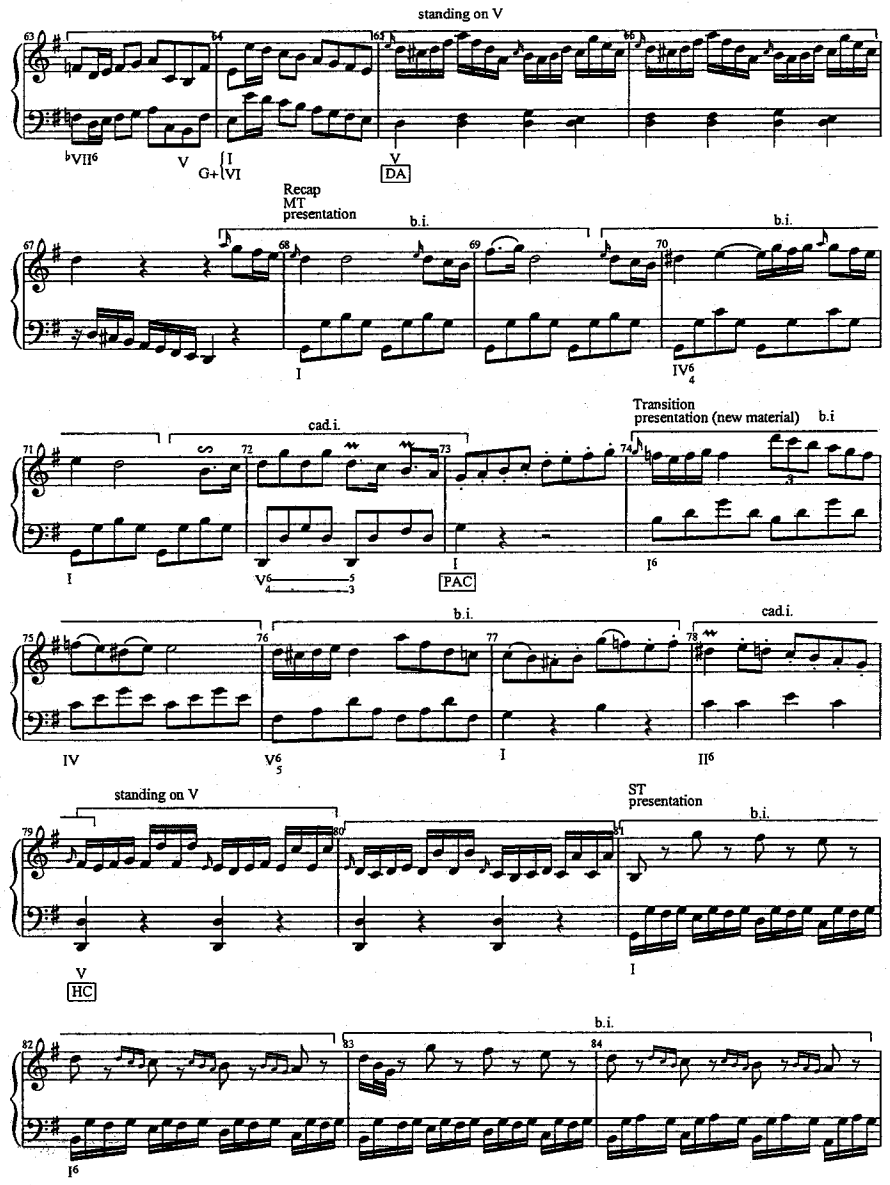

Transition
cad.i.
IV6 I6 II6 V6 5 4 3 I
IAC
mod.
seq.
Standing on V
II6 I6 V
DA
ST (based on MT)
c.b.i.
b.i.
IV I6 II6 V6 5 V I II V6 5
c.i.
continuation
cad.i.
continuation
I V4 3 V IV I6 IV V6 5 4 3 I
evaded
cad.i.
continuation
I6 IV V6 5 4 3 I
evaded
cad.i.
I6 IV V6 5 4 3 I
PAC

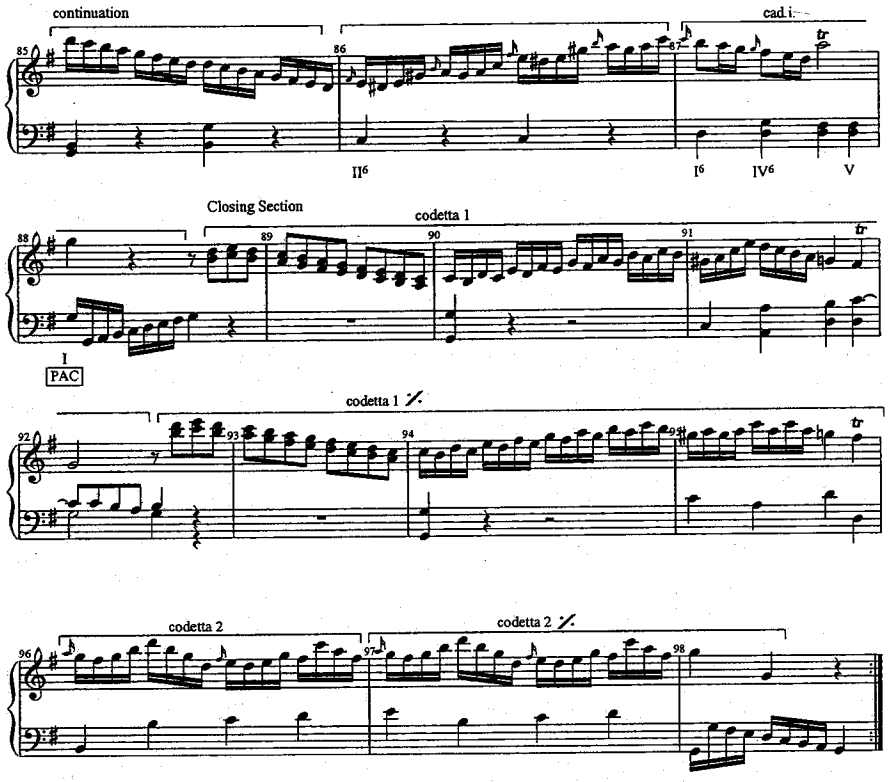
Sonata Op 17 No.4 I



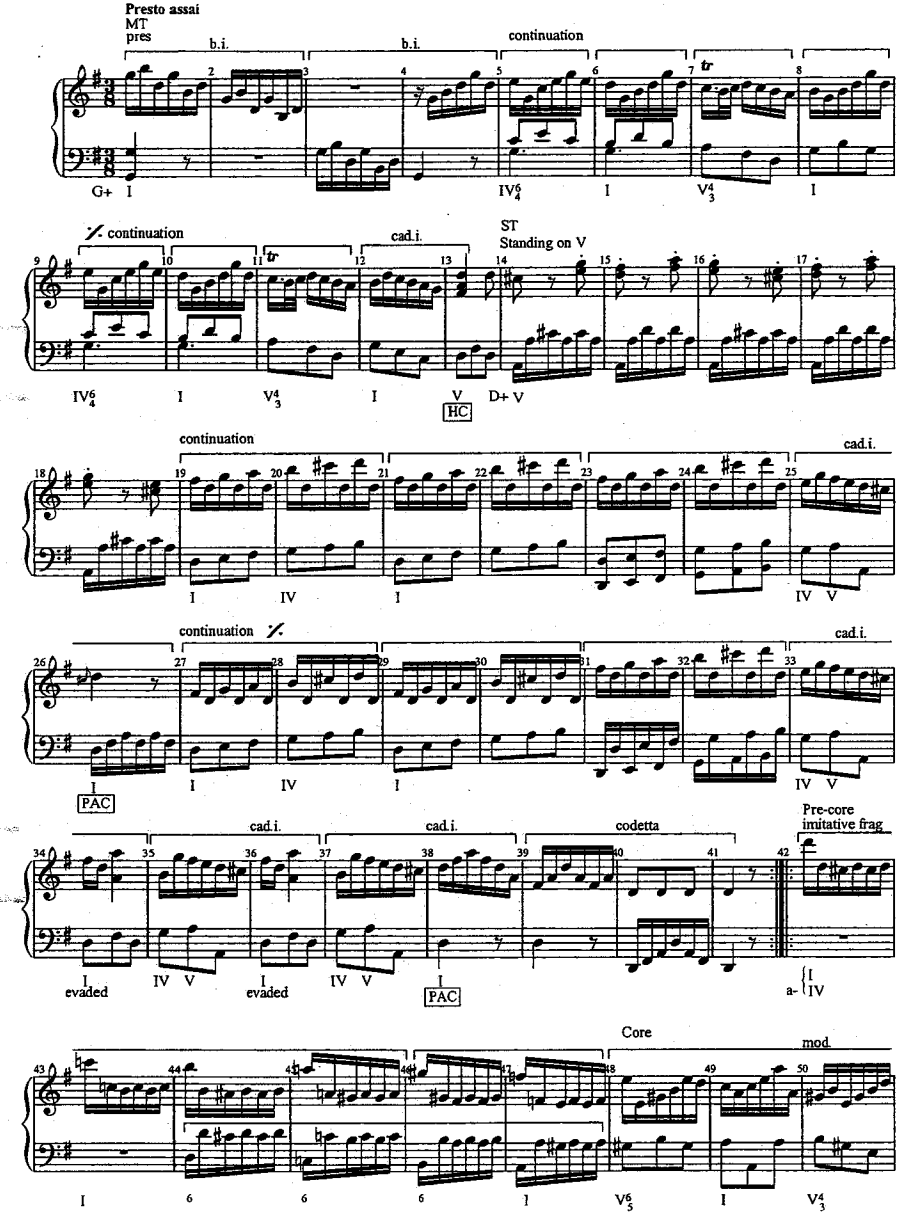


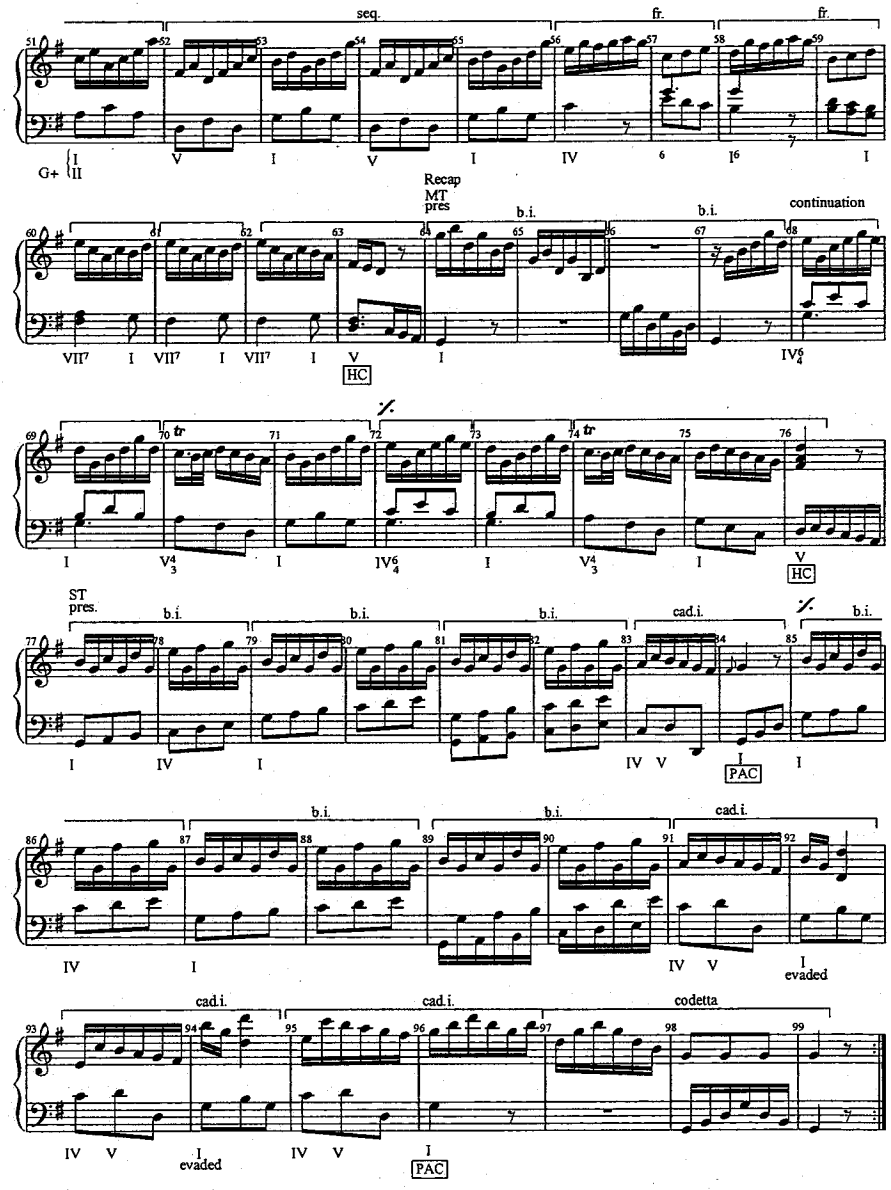

Core
cad.i.
model
PAC
VII/c-
sequence
ST-like Unit
presentation
b.i.
e-
continuation
mod.
seq.
cad.i.
evaded
mod.
seq.
cad.i.
Retransition
PAC


standing on V
DA
Recap
MT
presentation
b.i.
Transition
presentation (new material)
b.i
cad.i.
PAC
standing on V
ST
presentation
HC

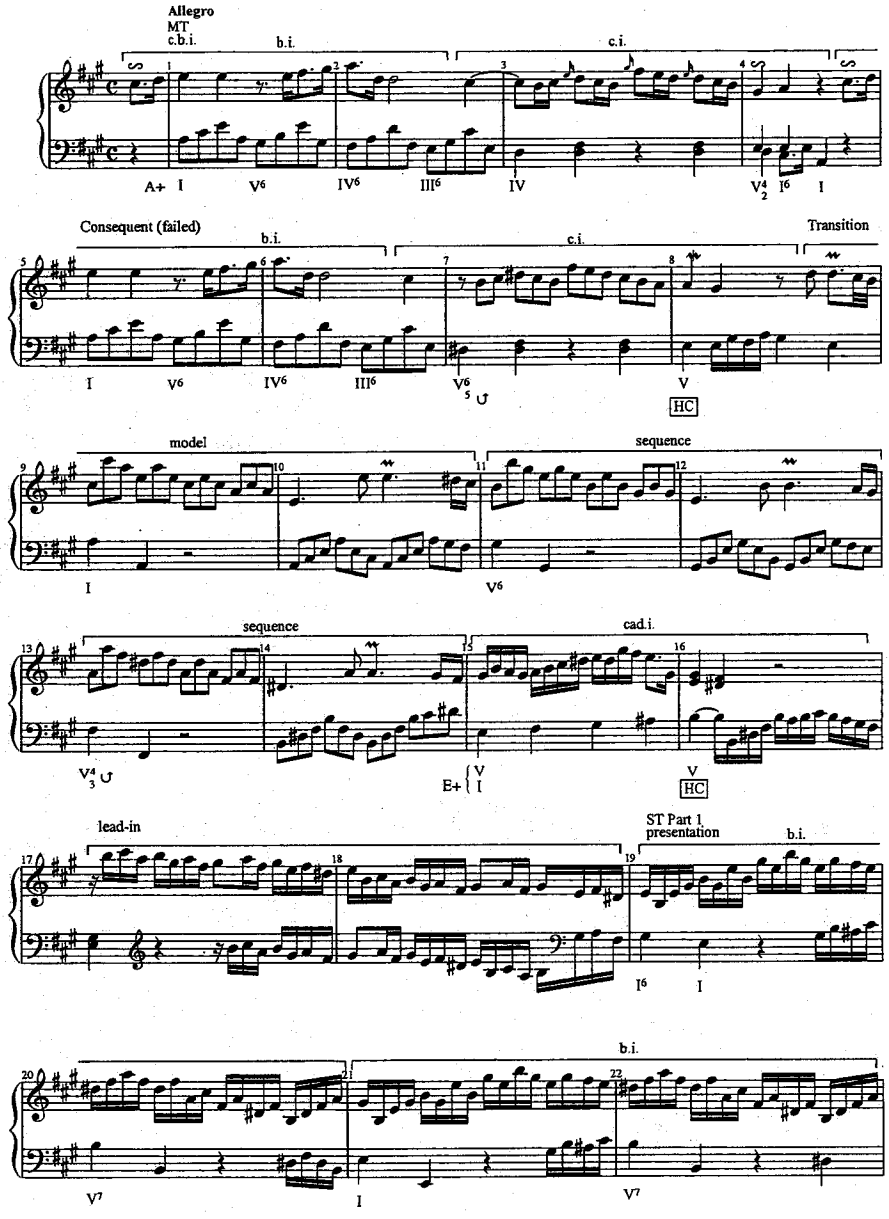

continuation
cad.i.
85
86
87
II6
I6
IV6
V
Closing Section
codetta 1
88
89
90
91
I
PAC
codetta 1
92
93
94
95
codetta 2
codetta 2
96
97
98

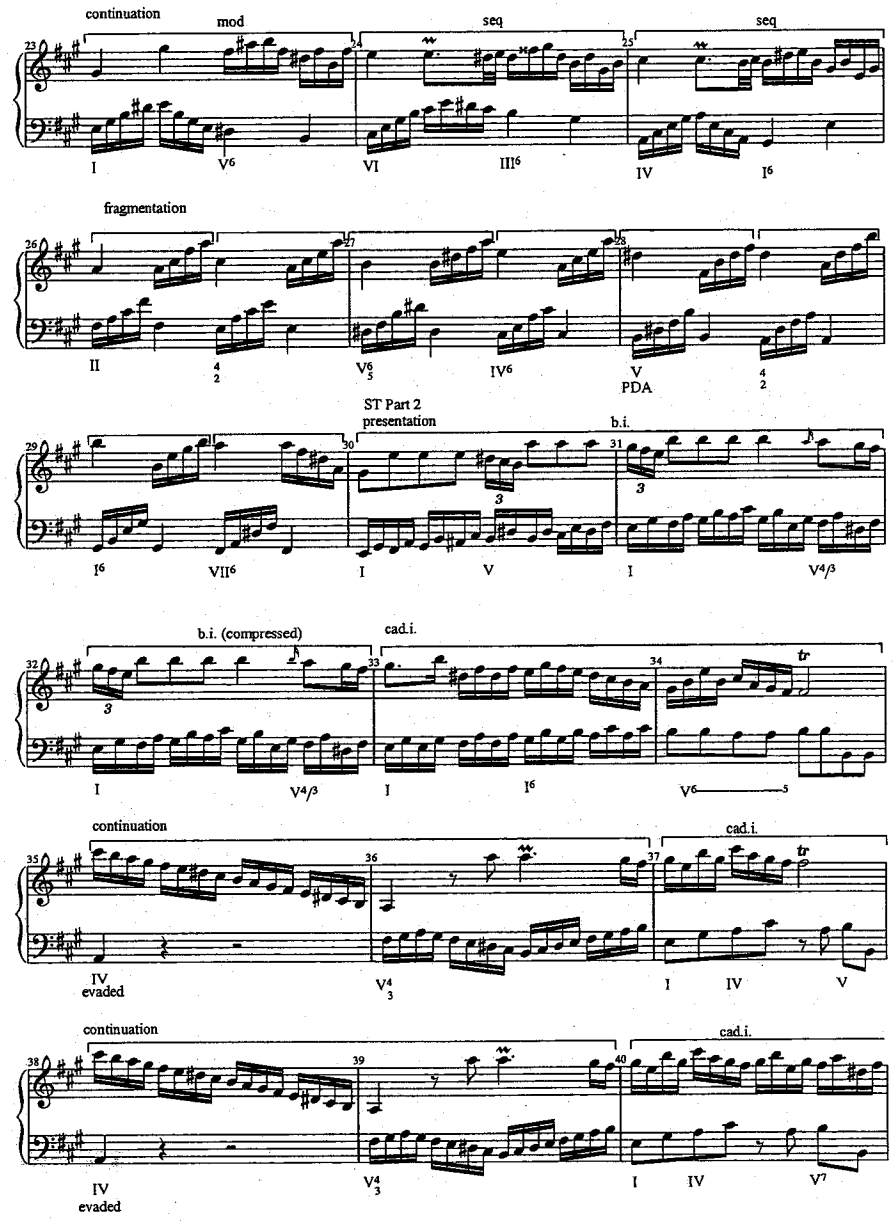
Sonata Op 17 No.4 II

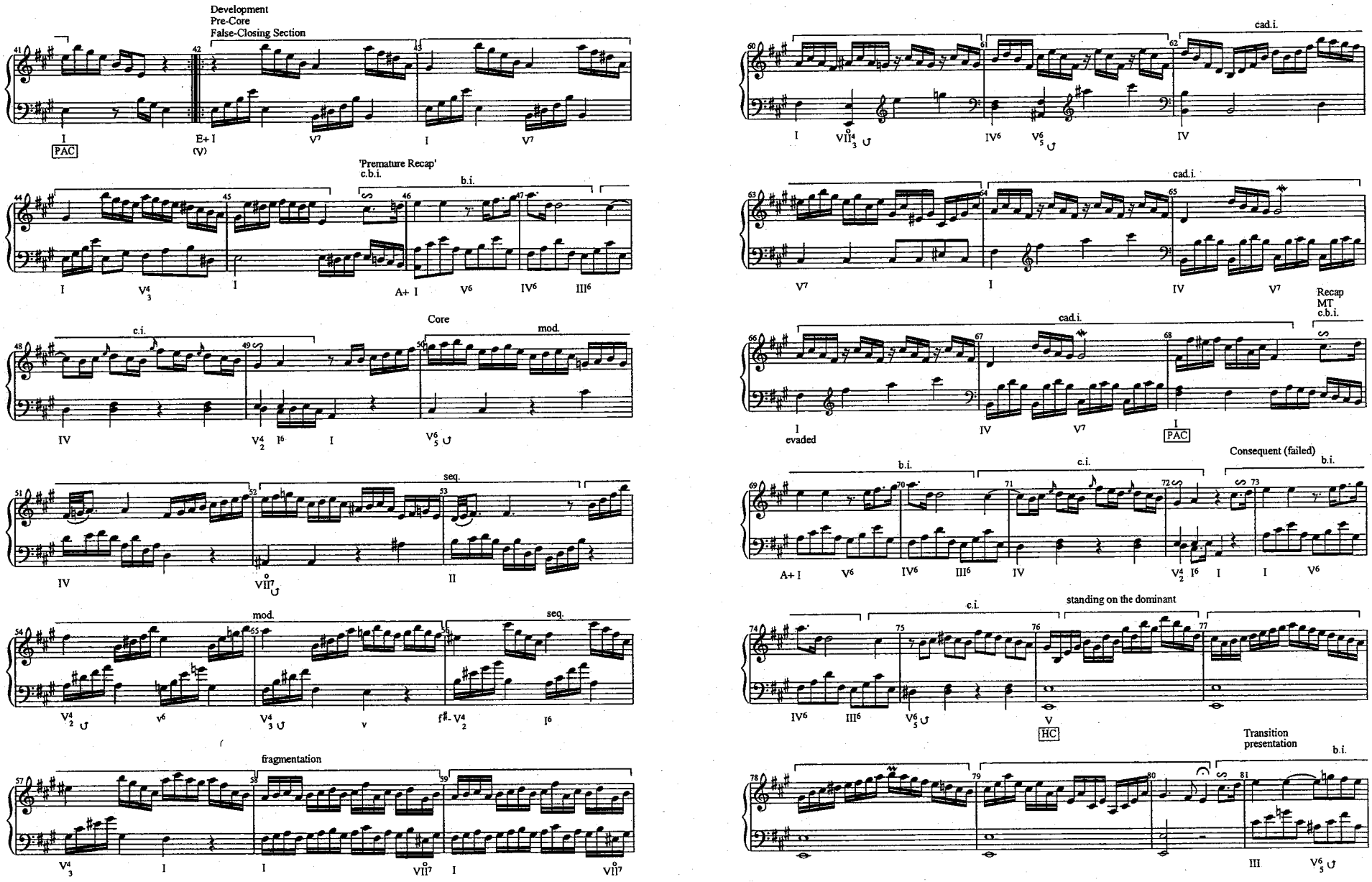


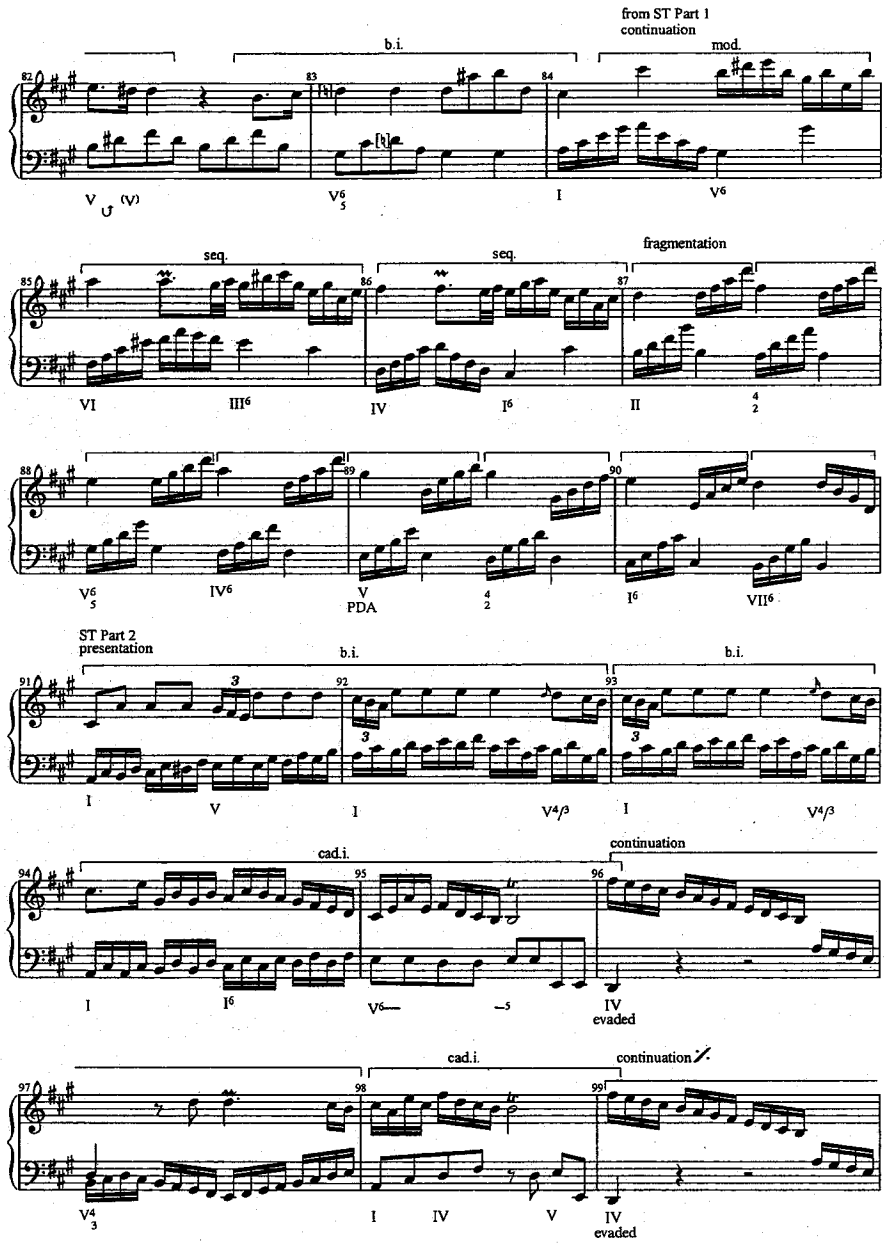


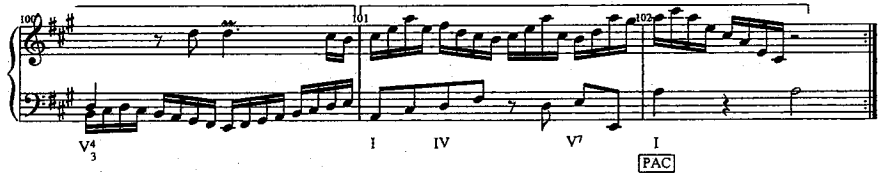
Sonata Op 17 No.5 I



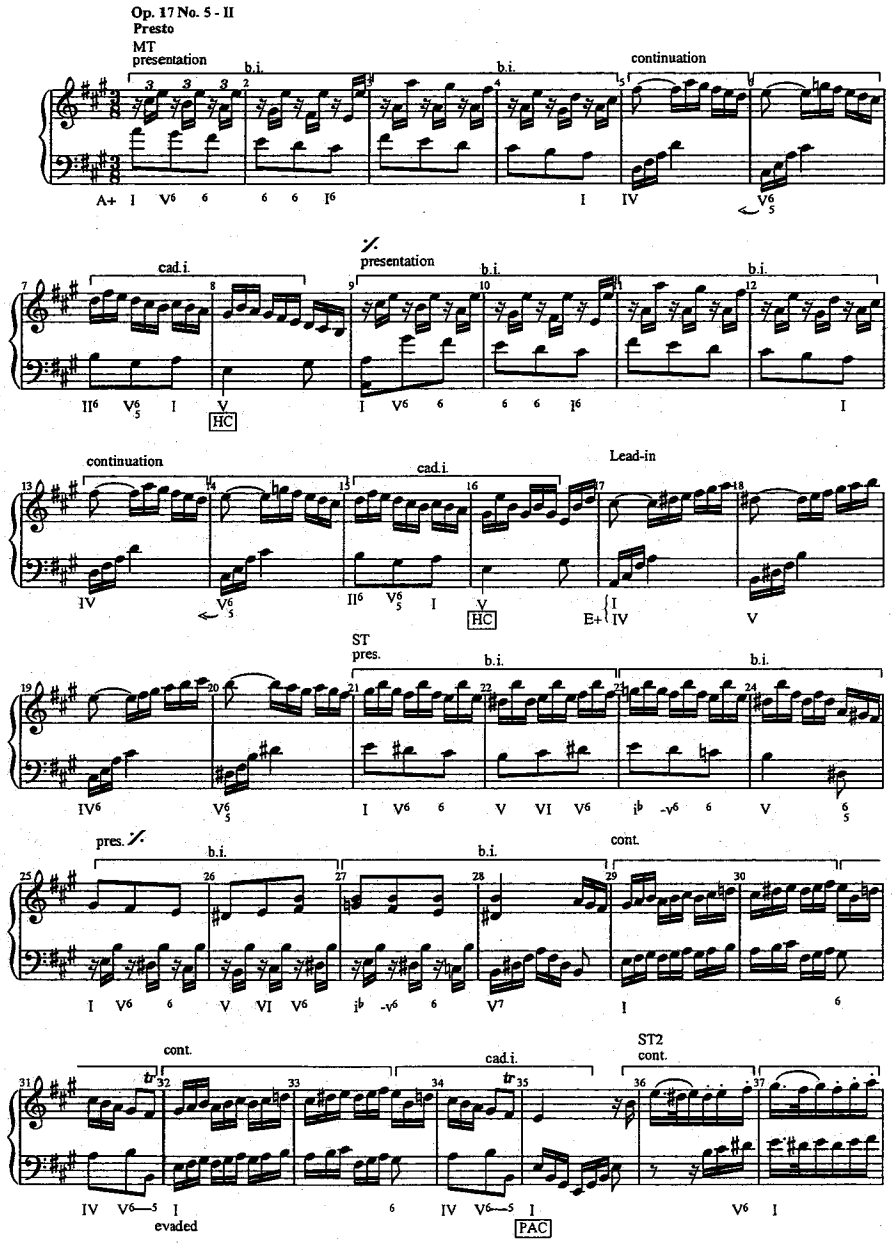


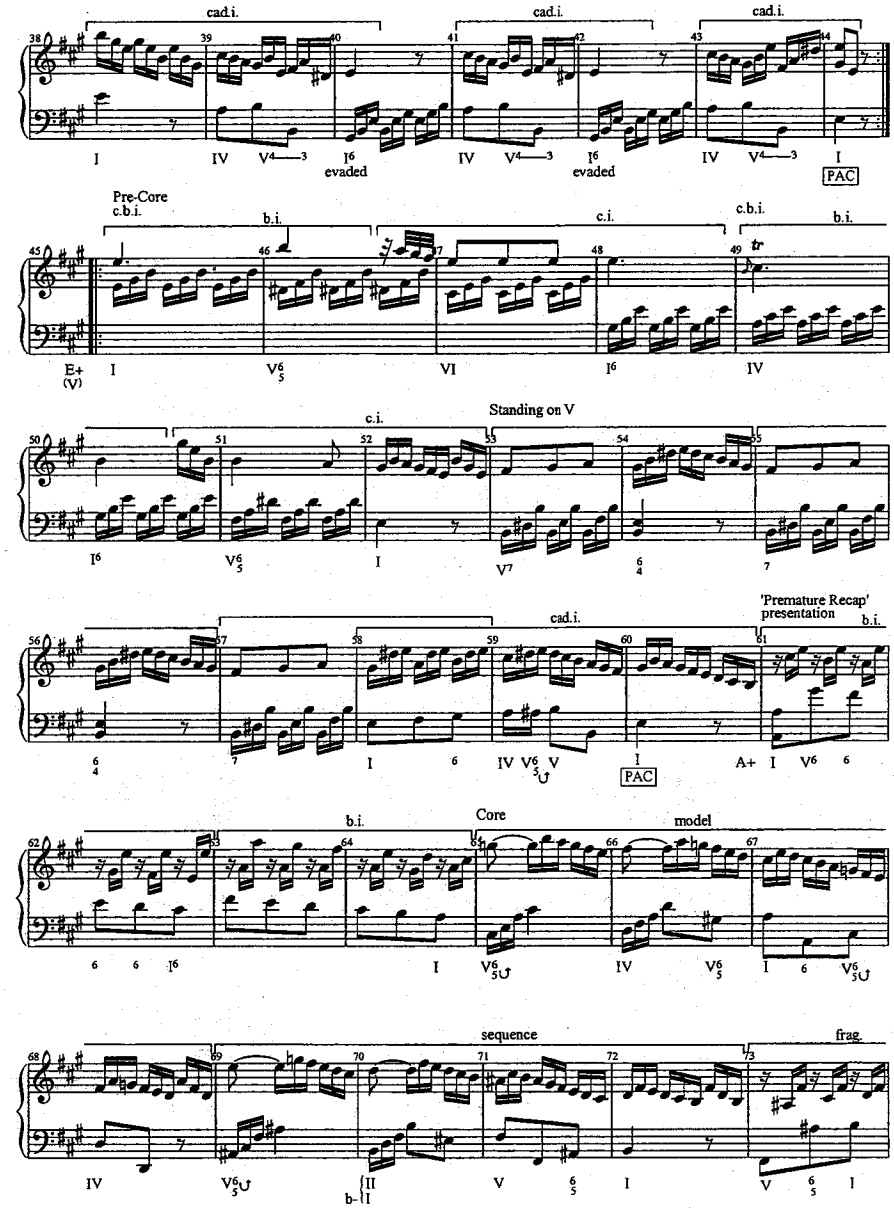

Development
Pre-Core
False-Closing Section
'Premature Recap'
c.b.i.
b.i.
c.i.
Core
mod.
seq.
mod.
seq.
fragmentation
cad.i.
cad.i.
cad.i.
Recap
MT
c.b.i.
evaded
b.i.
c.i.
Consequent (failed)
b.i.
c.i.
standing on the dominant
Transition
presentation
b.i.
PAC
HC
PAC

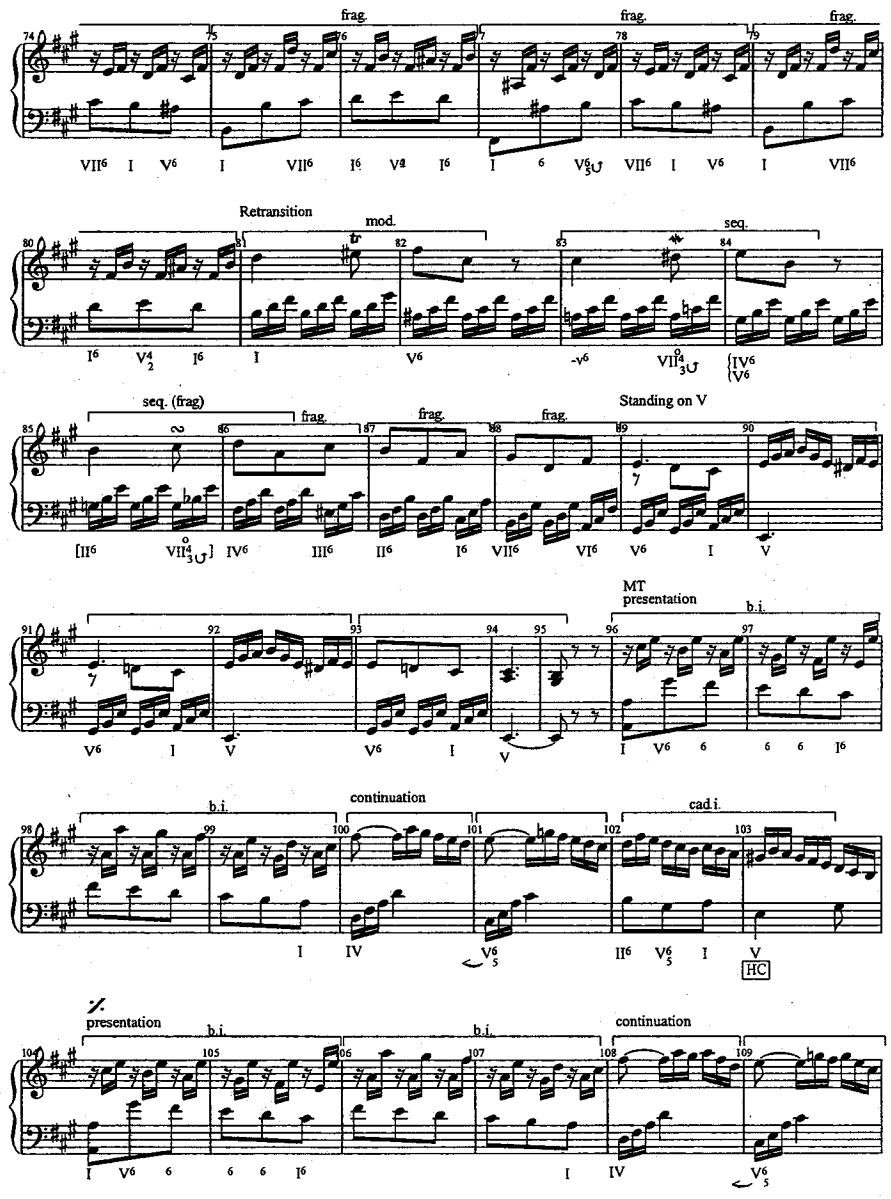

from ST Part 1
continuation
b.i.
mod.
82
83
84
V
(V)
V6
5
I
V6
seq.
seq.
fragmentation
85
86
87
VI
III6
IV
I6
II
4
2
88
89
90
V6
5
IV6
V
PDA
4
2
I6
VII6
ST Part 2
presentation
b.i.
b.i.
91
92
93
3
3
3
I
V
I
V4/3
I
V4/3
cad.i.
continuation
94
95
96
I
I6
V6
—5
IV
evaded
cad.i.
continuation
97
98
99
V4
3
I
IV
V
IV
evaded

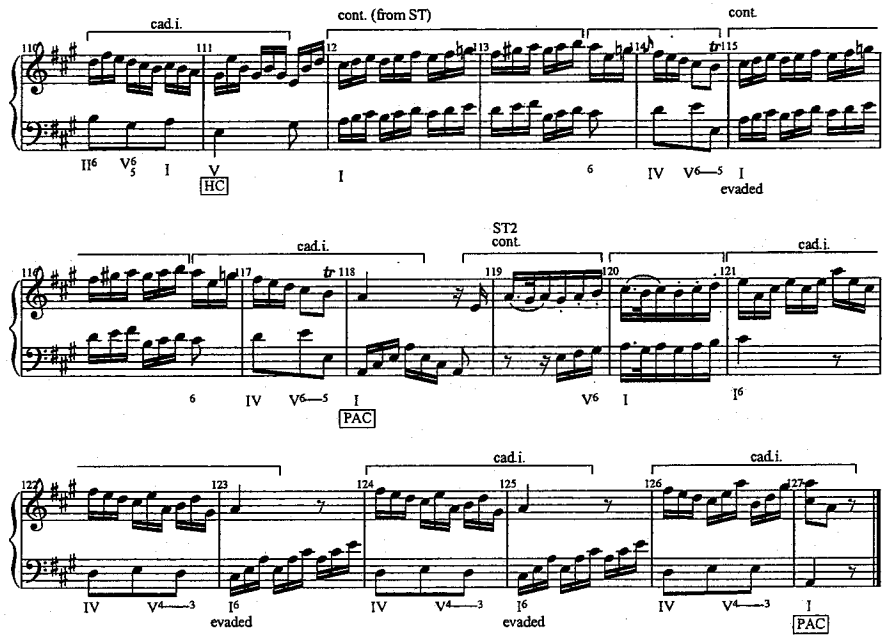

100
101
102
V4
3
I
IV
V7
I
PAC

Sonata Op 17 No.5 II

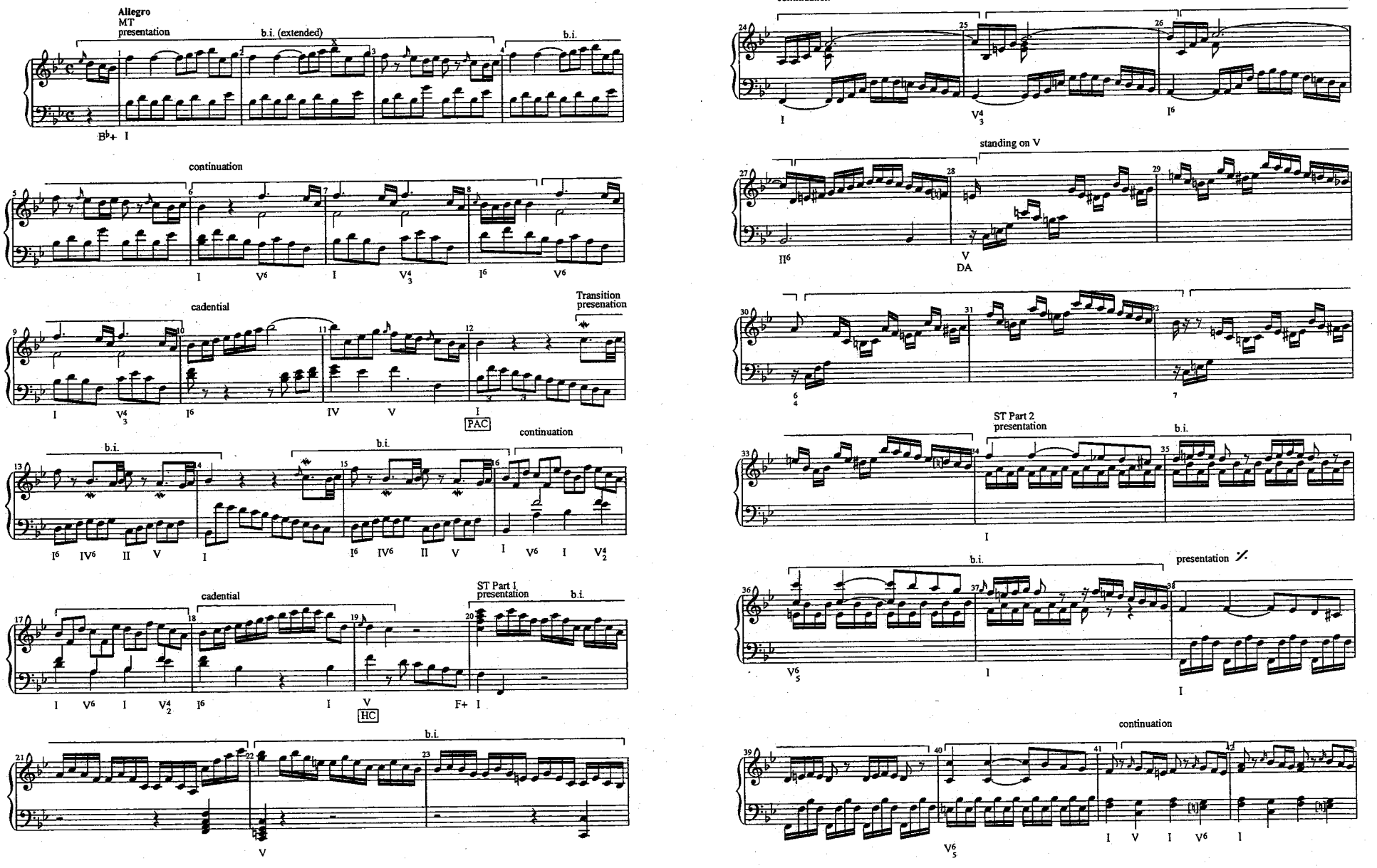


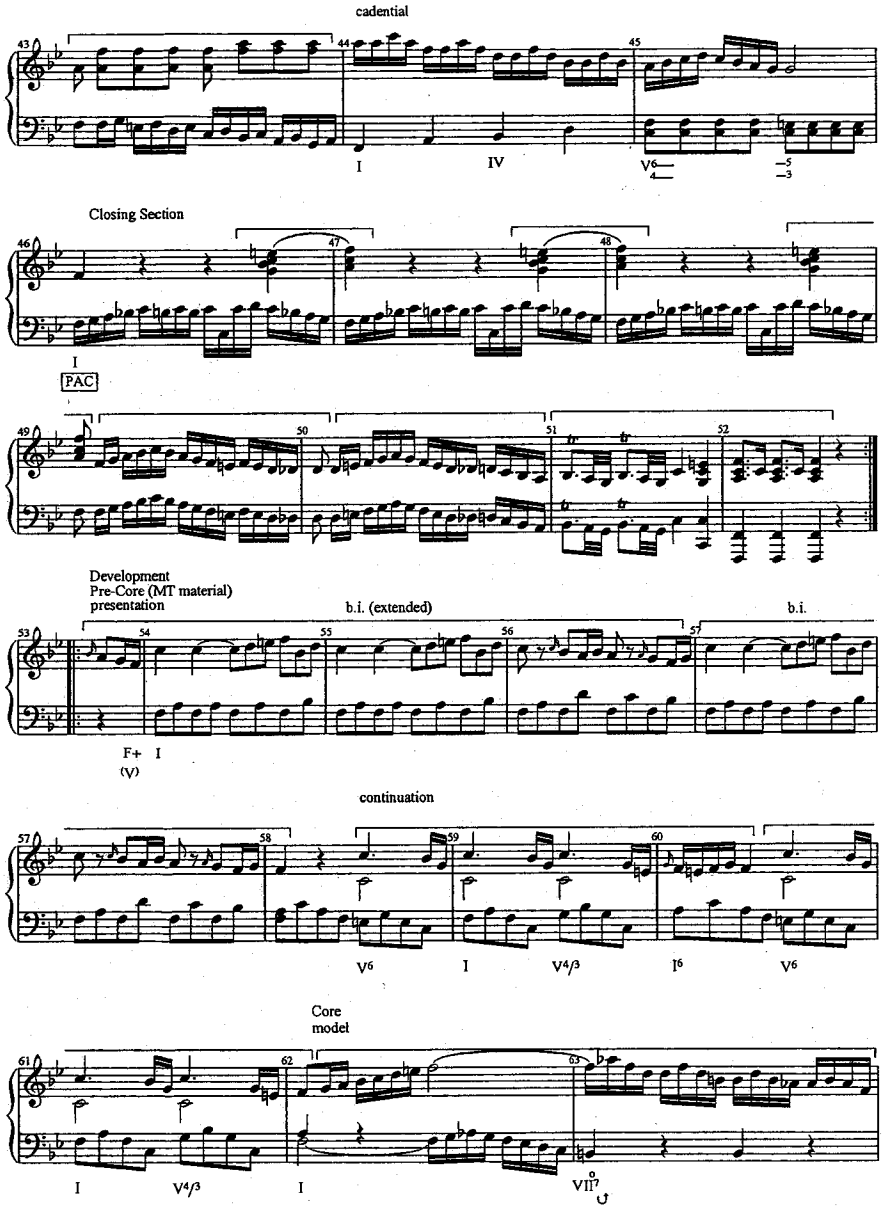


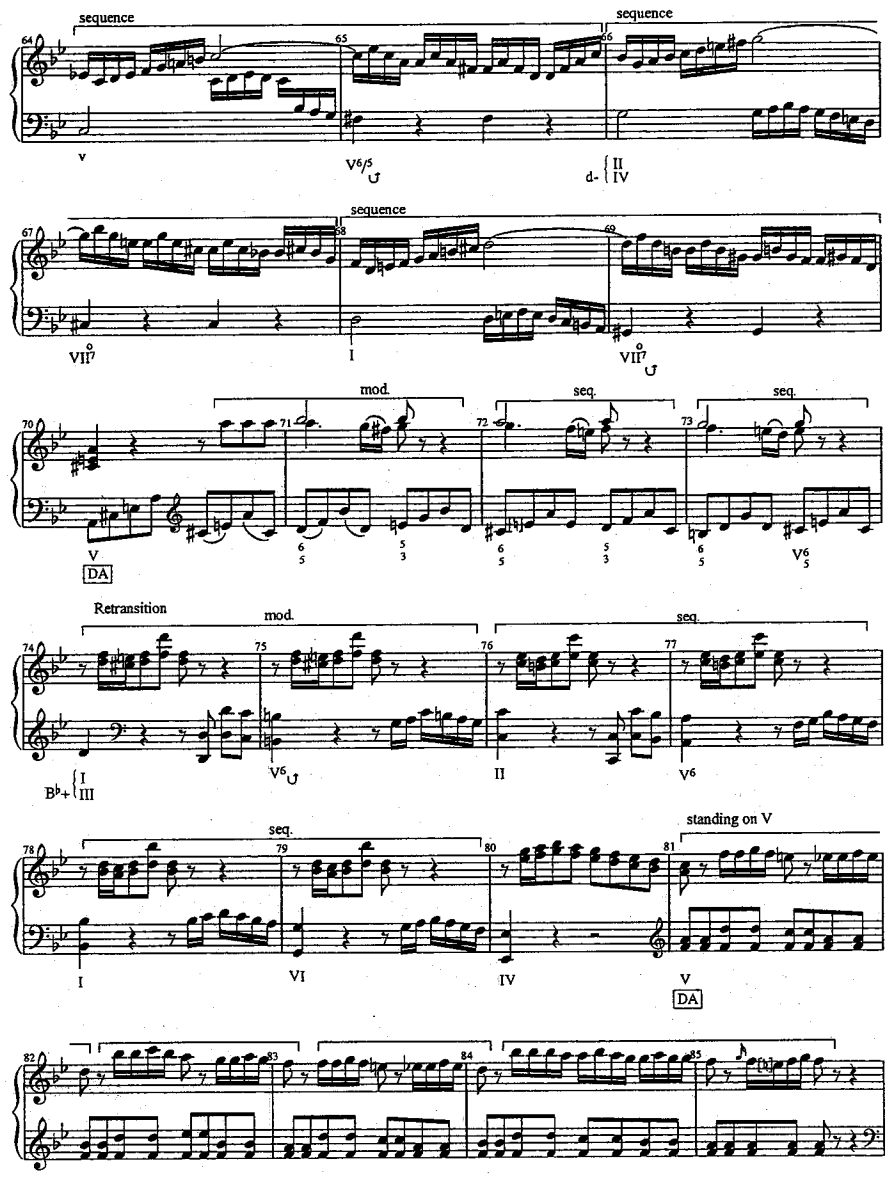

frag.
frag.
frag.
VII6 I V6 I VII6 I6 V4 I6 I 6 V65 VII6 I V6 I VII6
Retransition
mod.
seq.
I6 V42 I6 I V6 -V6 VII43 IV6 V6
seq. (frag)
frag.
frag.
frag.
Standing on V
II6 VII43 IV6 III6 II6 I6 VII6 VI6 V6 I V
MT
presentation
b.i.
V6 I V V6 I V I V6 6 6 6 I6
b.i.
continuation
cad.i.
I IV V65 II6 V65 I V HC
presentation
b.i.
b.i.
continuation
I V6 6 6 6 I6 I IV V65

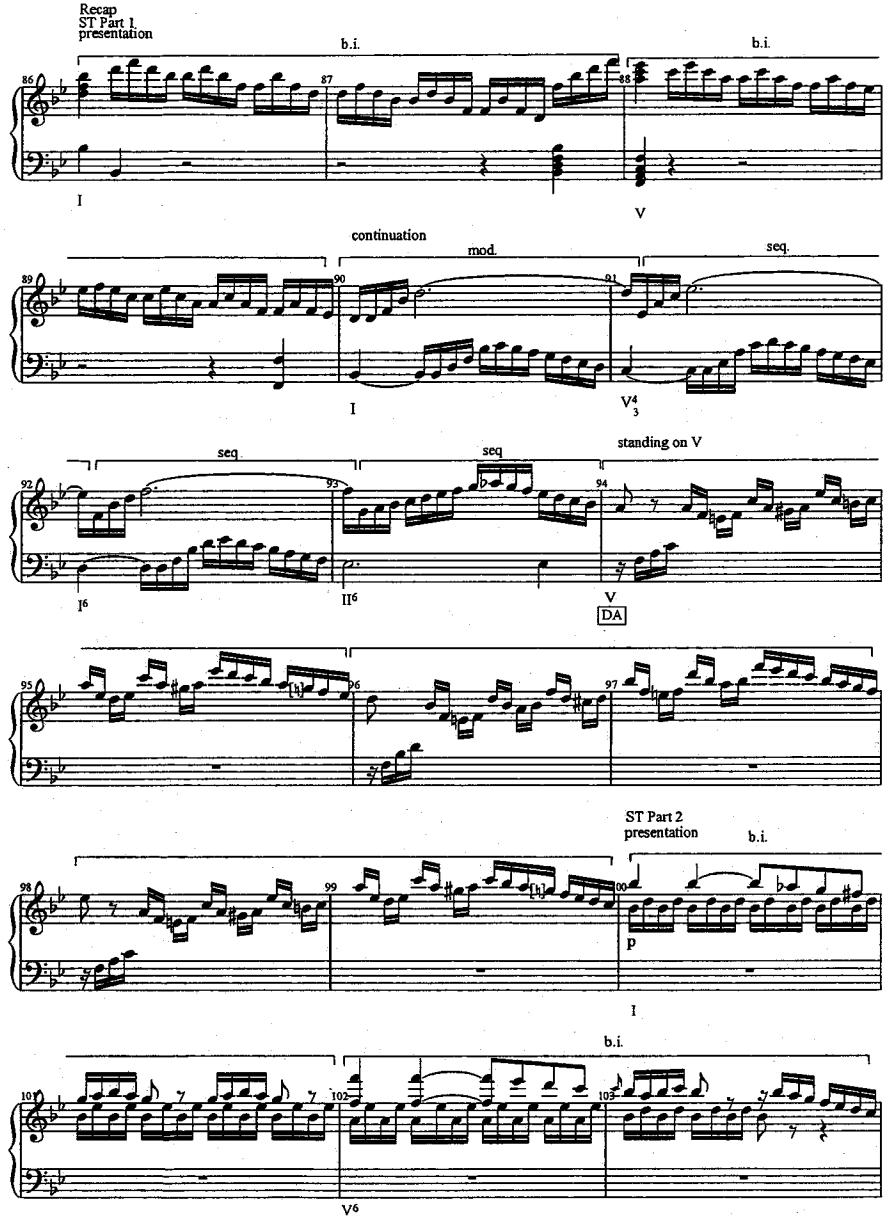

cad.i.
cont. (from ST)
cont.
II6 V65 I V HC I 6 IV V6—5 I evaded
ST2
cont.
cad.i.
cad.i.
6 IV V6—5 I PAC V6 I I6
cad.i.
cad.i.
IV V4—3 I6 evaded IV V4—3 I6 evaded IV V4—3 I PAC

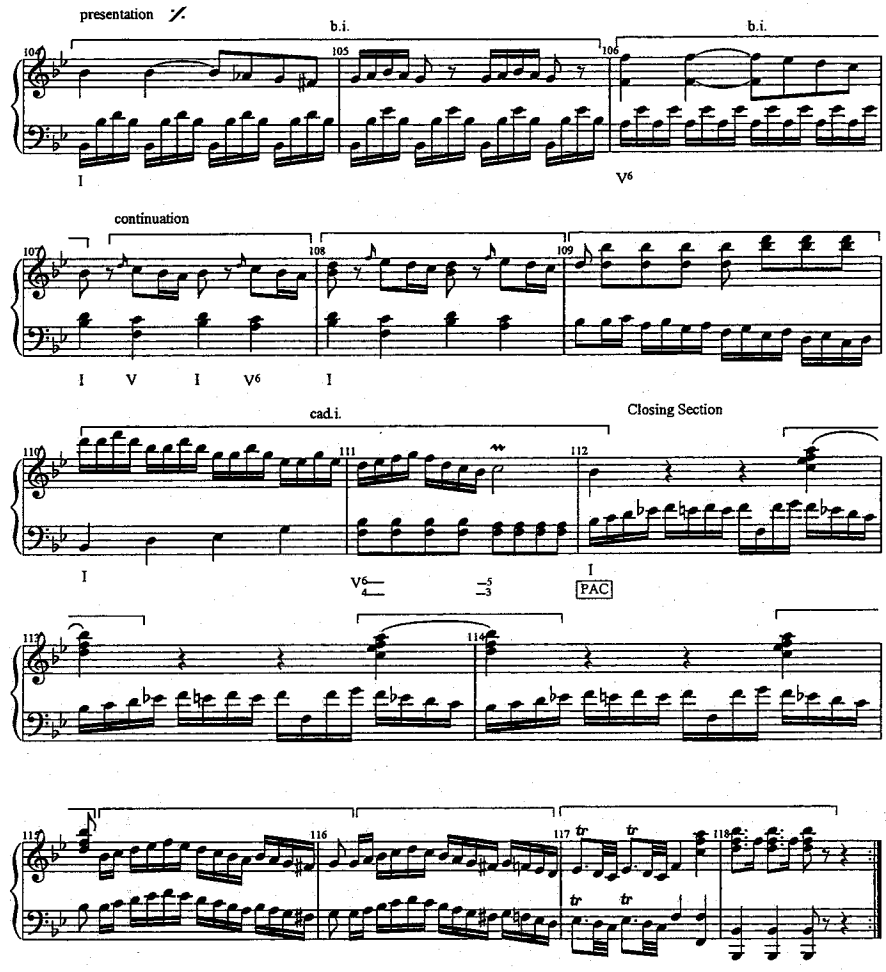
Sonata Op 17 No.6 I



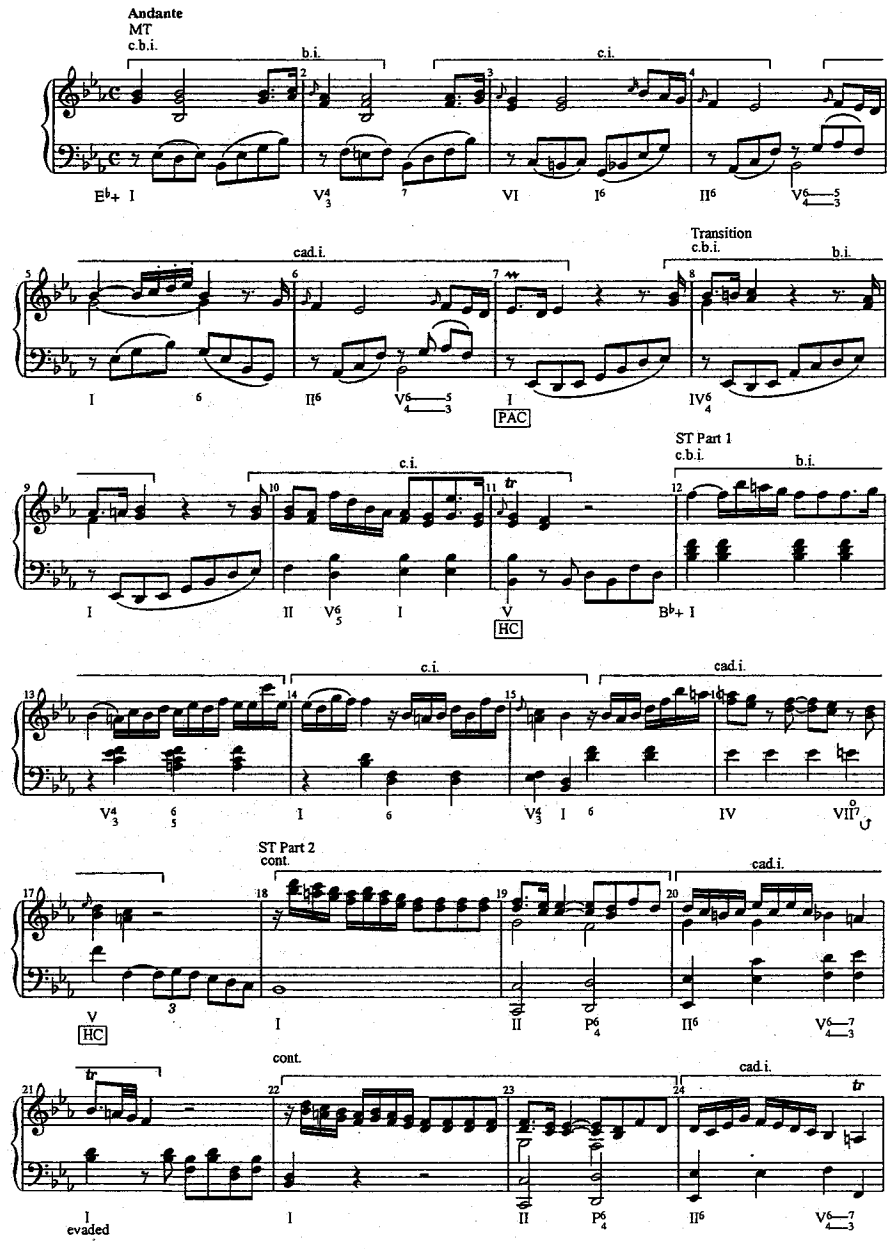

cadential
I
IV
V6
Closing Section
PAC
Development
Pre-Core (MT material)
presentation
b.i. (extended)
b.i.
F+
(V)
I
continuation
V6
I
V4/3
I6
V6
Core
model
I
V4/3
I
VII°7

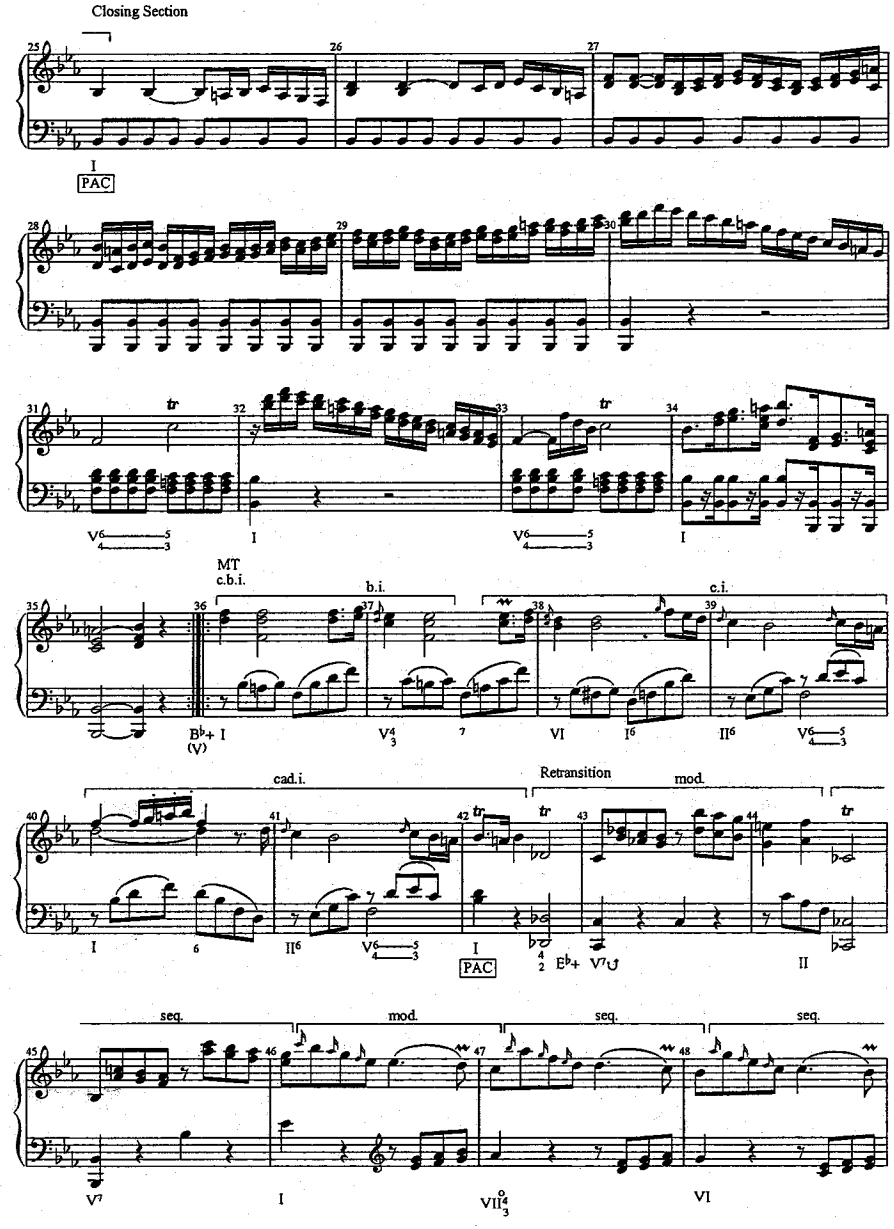

sequence
sequence
v
V6/5
d-
II
IV
sequence
VII°7
I
VII°7
mod.
seq.
seq.
V
DA
6/5
5/3
6/5
5/3
6/5
V6/5
Retransition
mod.
seq.
B♭+
I
III
V6
II
V6
seq.
standing on V
I
VI
IV
V
DA

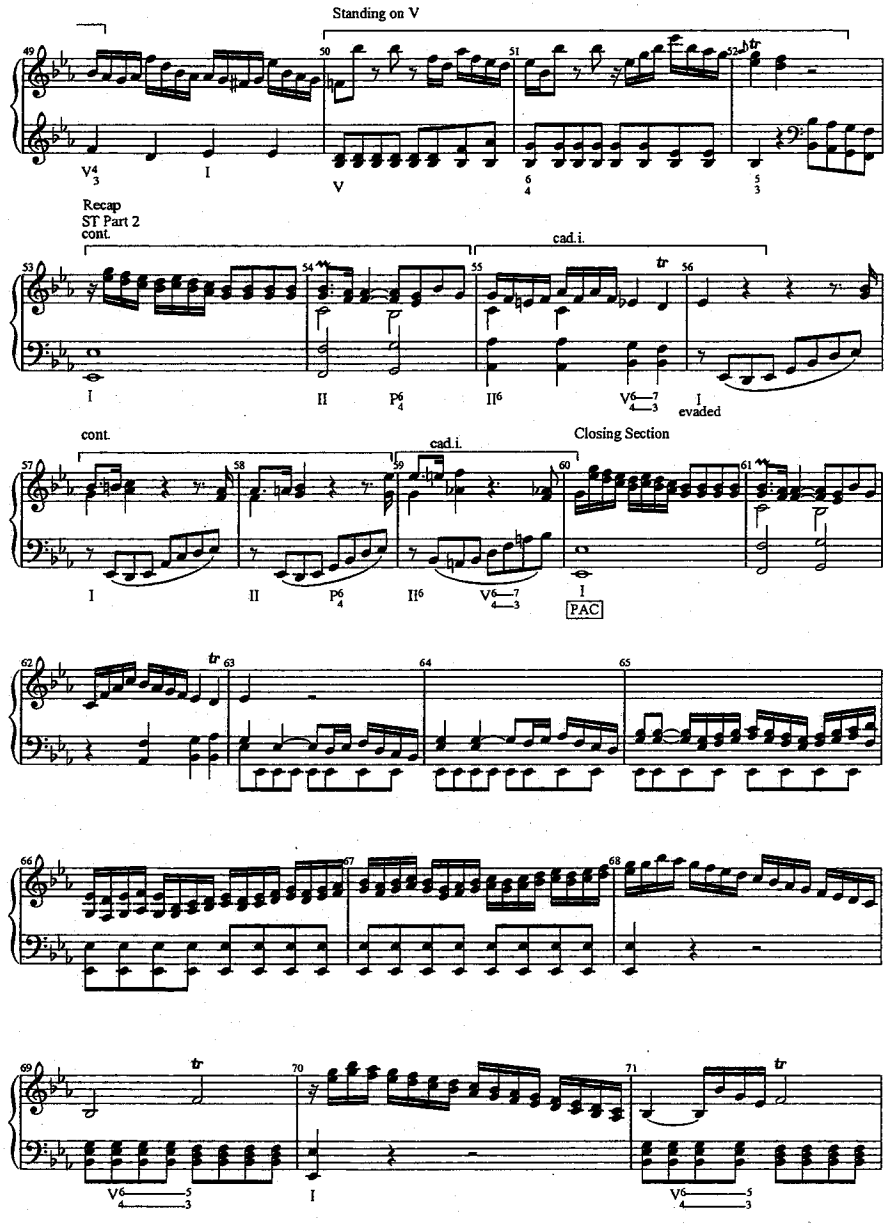

Recap
ST Part 1
presentation
b.i.
b.i.
I
V
continuation
mod.
seq.
I
V4 3
seq
seq
standing on V
I6
II6
V
DA
ST Part 2
presentation
b.i.
p
I
b.i.
V6

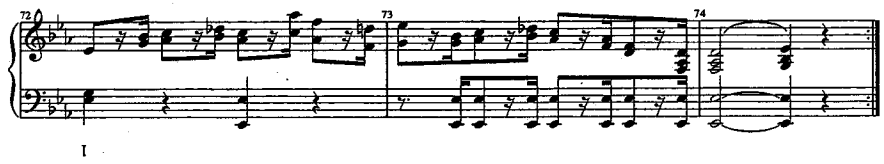

presentation
b.i.
b.i.
I
V6
continuation
I V I V6 I
cad.i.
Closing Section
I
V6 4 5 3
I
PAC

Sonata Op 17 No.6 II

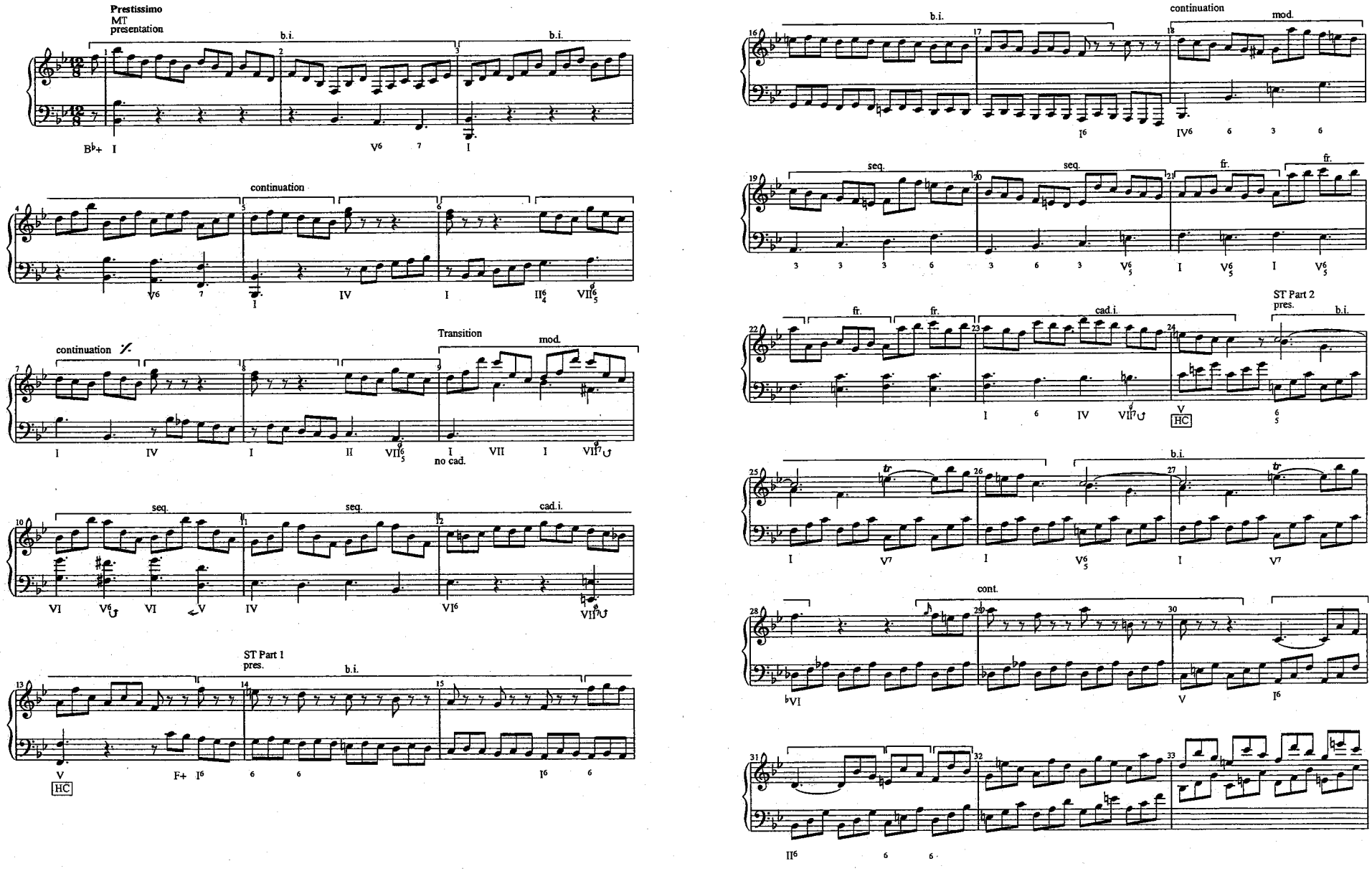


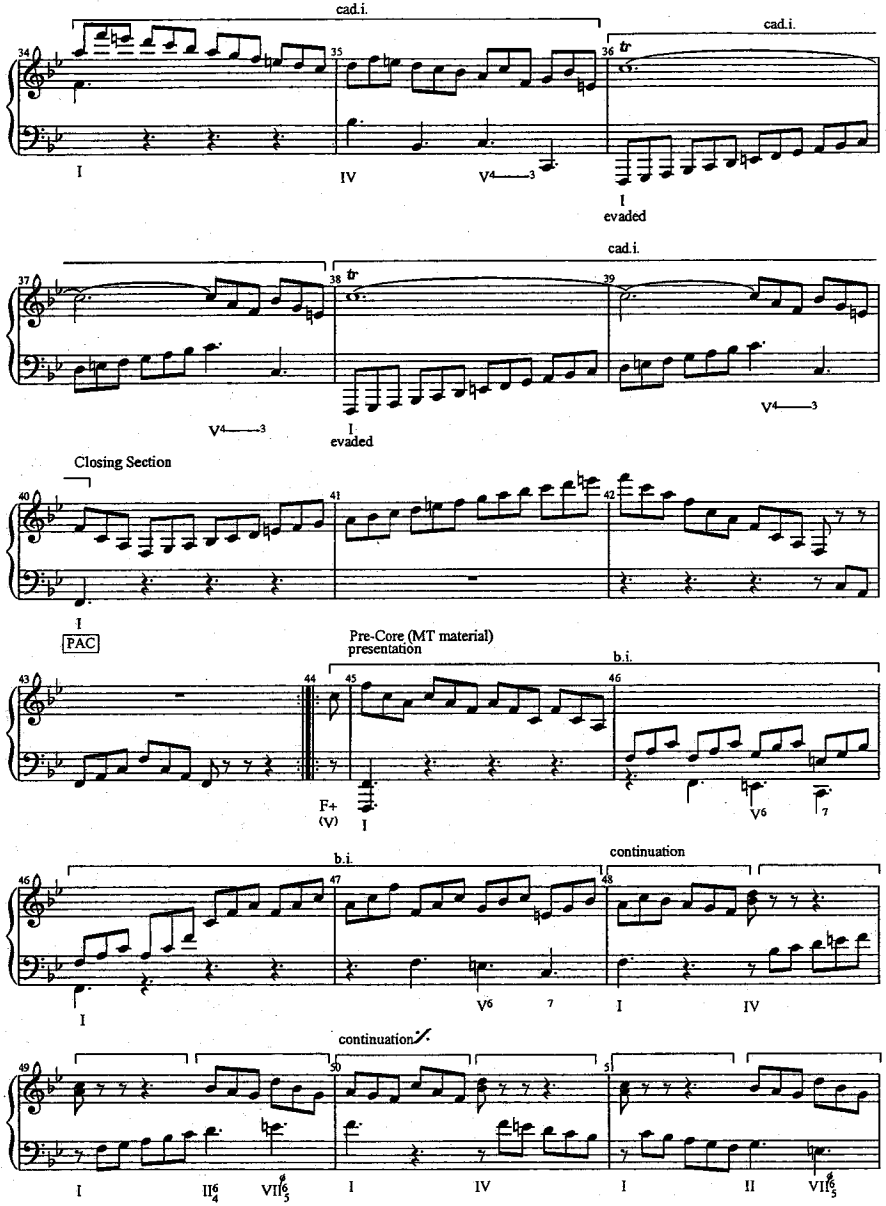


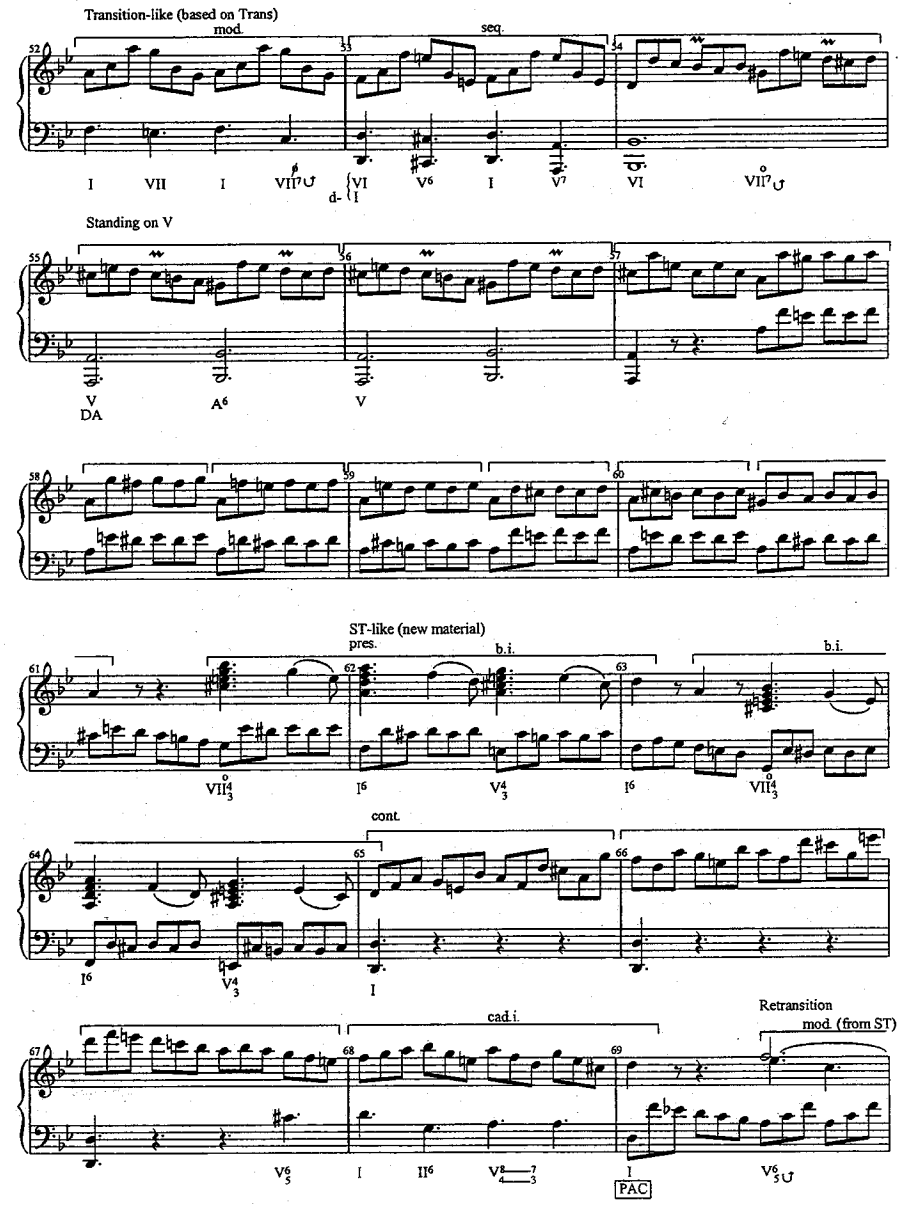

Standing on V
Recap
ST Part 2
cont.
cad.i.
cont.
cad.i.
Closing Section
PAC
evaded

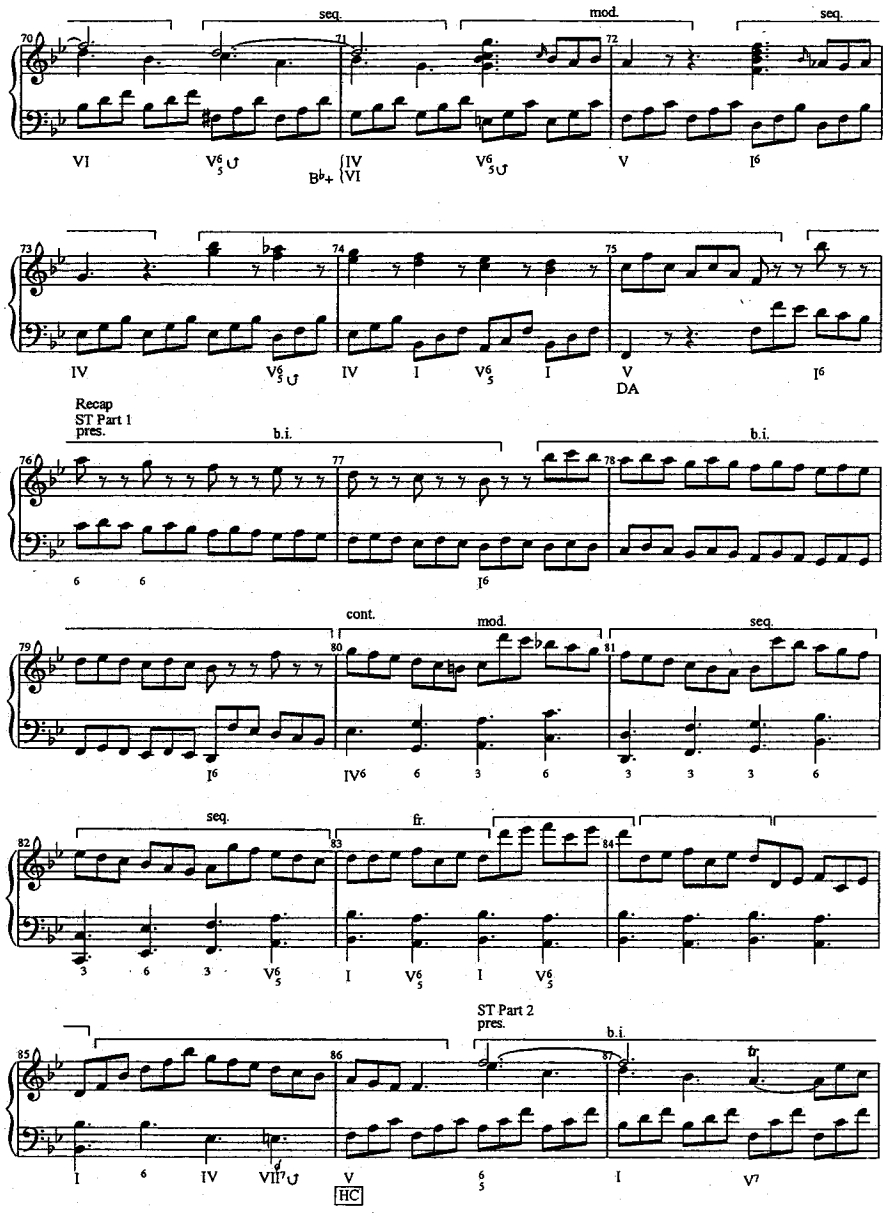


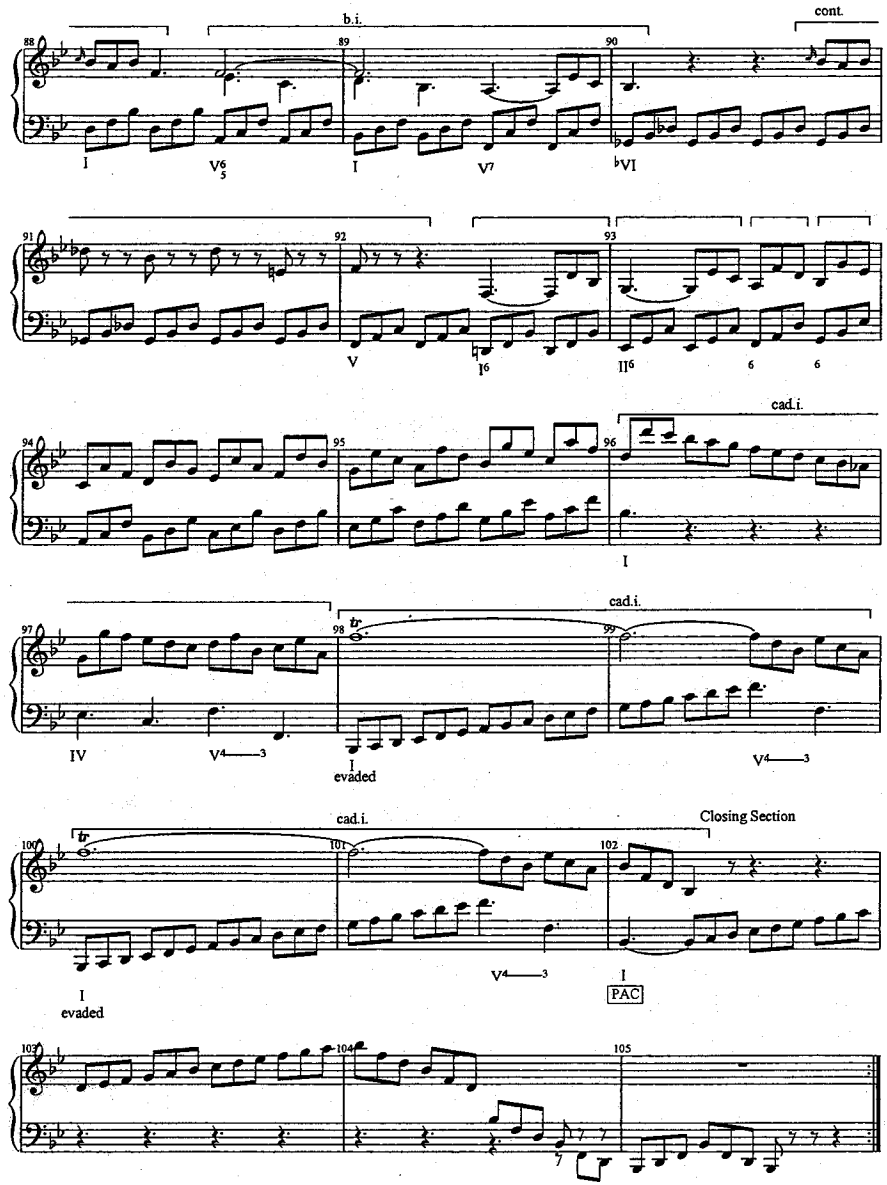
Sonata Op 17 No.6 III




cad.i.
cad.i.
I
IV
V4—3
I
evaded
cad.i.
V4—3
V4—3
I
evaded
Closing Section
I
PAC
Pre-Core (MT material)
presentation
b.i.
F+
(V)
I
V6
7
b.i.
continuation
I
V6
7
I
IV
continuation
I
II6 4
VII6 5
I
IV
I
II
VII6 5


Transition-like (based on Trans)
mod.
seq.
I
VII
I
VII7
d-
VI
I
V6
I
V7
VI
VII°7
Standing on V
V
DA
A6
V
ST-like (new material)
pres.
b.i.
b.i.
VII°4 3
I6
V4 3
I6
VII°4 3
cont.
I6
V4 3
I
cad.i.
Retransition
mod. (from ST)
V6 5
I
II6
V8—7 4 3
I
PAC
V6 5


seq.
mod.
seq.
VI
V6 5
B♭+
IV
VI
V6 5
V
I6
IV
V6 5
IV
I
V6 5
I
V
DA
I6
Recap
ST Part 1
pres.
b.i.
b.i.
I6
cont.
mod.
seq.
I6
IV6
seq.
fr.
V6 5
I
V6 5
I
V6 5
ST Part 2
pres.
b.i.
I
IV
VII7
V
HC
6 5
I
V7


b.i.
cont.
I
V6 5
I
V7
♭VI
V
I6
II6
cad.i.
I
cad.i.
IV
V4—3
I
evaded
V4—3
cad.i.
Closing Section
I
evaded
V4—3
I
PAC