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THE BINARY SONATA TRADITION IN THE MID-EIGHTEENTH CENTURY: BIPARTITE AND TRIPARTITE "FIRST HALVES" IN THE VENICE XIII COLLECTION OF KEYBOARD SONATAS BY DOMENICO SCARLATTI

BY

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Abstract

Comparatively few theoretical studies exist on the keyboard sonatas of Domenico Scarlatti. His music remains largely unexplored. This study investigates formal and functional aspects of the "first halves" in the Venice XIII collection (K 514 - K 543) and reveals links to the aesthetics and traditions of his contemporaries. It suggests and examines relationships to the development of the sonata genre. To accomplish this, the study proposes a theoretical base for critical analysis and presents a specialised terminology to examine the features of mid-eighteenth-century sonata forms. The arguments of Michelle Fillion, J.P. Larsen, and Wilhelm Fischer are central to the discussion. Studies by William Caplin, Barbara Foster, Klaus Heimes, Ralph Kirkpatrick, and James Unger also contribute to the development of the theoretical base. An analysis section views the selected repertoire and some contemporary works according to the criteria the thesis establishes. An epilogue sums up pertinent observations made in the analysis section.

Résumé

Peu d'études théoriques existent au sujet des sonates pour clavier de Domenico Scarlatti. Sa musique demeure largement inexplorée. Cette étude examine les aspects formels et fonctionnels des "premières moitiées" dans la collection Venise XIII (K 514 - K 543) et révèle les liens avec les traditions et l'esthétique de ses contemporains. Elle suggère et examine les relations du développement du genre sonate. Afin d'y parvenir, cette étude propose une base théorique à l'analyse critique et présente une terminologie spécialisée afin d'éxaminer les différents aspects de cette forme sonate du milieu du dix-huitième siècle. Les arguments de Michelle Fillion, J.P. Larsen et de Wilhelm Fischer sont au centre de cette discussion. Les études de William Caplin, Barbara Foster, Klaus Heimes, Ralph Kirkpatrick et de James Unger contribuent également au développement de la base théorique. Une section d'analyses montre le repertoire sélectioné et certaines oeuvres contemporaines selon les critères que cette thèse établie. Enfin, un épilogue résume les observations pertinentes faites dans cette section d'analyse.

Acknowledgements

I knew Bo Alphonce over the past eighteen years as a teacher, employer, friend and mentor. His patience, understanding, dedication and knowledge have been an inspiration and a motivating force behind my pursuit of this degree. Through his gentle wisdom, he taught me to be curious about music, and encouraged me to discover its true joys and genius on my own. How can one express thanks for such a gift? The example he set as a kind and gentle educator is one that I will follow throughout my life.

More recently, William Caplin has been supporting me as an advisor. Professor Caplin has been my teacher throughout my undergraduate and graduate studies. His thoughts over the years and his theory have contributed greatly to my understanding of music. I thank him for his encouragement and support. I would also like to thank Don McLean, who has also been supporting me as an advisor during the final stages of this study. I especially thank him for recognising the administrative difficulties I encountered in my final years at McGill, and for surmounting the last of them on my behalf.

I thank all those who freely offered their time and assistance over the years to help me prepare this thesis. I would like especially to thank Christine Harris, Mary Smith, David Fisher and Caroline Derome who helped me to produce the document. I also wish to express gratitude to my colleagues, Rick Braley and Jim MacKay, who have so often shared thoughts that have helped direct me in my research.

Last, I would like to thank the many members of my family who have sacrificed their time and effort on several occasions over the years. I thank my daughter Bonnie and Sharon Taylor, to whom I was married, who both supported me over many years while I studied. Most of all, I thank Mom and Dad who always encouraged me in whatever I chose to do, and never doubted that I would succeed. Unfortunately, they both passed on before the completion of this thesis, but their expression of love will continue to support me through the rest of my life.

Personal Note

It is with deep sadness I add that Bo Alphonce passed away in May of this year. Yet even as a write this, four months after Bo's passing, we mourn the loss of his lifelong friend and colleague, and professor of mine, Bengt Hambræus. It is tragic that, living near one another, they both had hoped to share their retirements following musical projects that life had hitherto not afforded them the time to pursue.

Bo had worked with me on this paper since its conception in 1986. The topic was especially dear to him and he was eager to see the end result. We shared so many hours together mulling over ideas and later laughing about how silly some of them were. We also talked about life, about our hopes, dreams and philosophies. He supported me through my divorce and the death of both my parents; and he was there for me when I needed advice about being a parent. He was a kind, wise and caring human being, always patient and gentle. He was a calming spirit through the many storms I endured in those earlier years.

Bo retired before I finished writing this thesis. I was his last student, and he was disappointed by the obstacles and delays I kept encountering, and at the prospect of my never completing the task. He remained encouraging, however, and urged me to continue with my studies. I persisted largely because of Bo. How could I disappoint a man who believed so wholeheartedly that I could succeed? I finally submitted my completed thesis at the end of April, 2000. I knew Bo would be pleased to know that I had finally completed my work. I prepared a special copy of the document to present to him. But, as life would have it, I did not call him immediately to let him know the news. On May 11th, I wrote a note to remind myself to phone him. I felt a strange, yet deep sense of urgency about letting him know that the paper was finished. Still, I did not go to the phone until Monday morning, May 15th, and as I was about to make some morning calls, I received, instead, a call from Rick Braley informing me that Bo had died over the weekend.

I had not even known that Bo was ill, and a few days later I found myself a pallbearer at his funeral. At the wake, his wife, Birgitta, asked me if I ever did complete my thesis. I told her I had submitted it just a couple of weeks earlier. She said that Bo would have liked to have known.

Unexpected death leaves everything so undone. Somehow, Bo's passing without him knowing that I had finished the thesis makes it seem as if it really has not been finished at all. And though we cannot blame ourselves for having not done something before an unexpected

death, it still leaves us with the toll of helpless loss, believing that what was left undone can now never be done; a sense of something special dropped overboard, never to be recovered. But after several months of reflection, I am beginning to understand that though I never had the chance to tell Bo that I had finished the work, he knew in his heart that one day I would; and, that finishing it would never be so important as pursuing it.

Bo loved music and all its wonderful complexity. My study tapped into only a part of his endless, intellectual curiosity. The work will never really be complete. Each study only opens the door to more and more research into the richness of our musical heritage, and to Bo's legacy: the timeless wonder and joy of music itself.

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Chapter One

Analysing Mid-eighteenth Century Sonata Form

Introduction

Domenico Scarlatti's keyboard sonatas have always aroused curiosity among scholars of early to mid-eighteenth-century sonata form. From the accounts of the late-eighteenth-century music historian Dr. Charles Burney through to the celebrated 1953 study on Scarlatti by Ralph Kirkpatrick, Scarlatti biographers have tried to explain the phenomenon of Scarlatti's keyboard compositions.[1] Studies before 1960 were biased toward the nineteenth-century standard for sonata form and generally dismissed Scarlatti's works since they do not fit the conventional plan. Indeed, Scarlatti's sonatas together do constitute a phenomenon, for as diverse as these 555 works are one from another, they form a unique corpus of music that can be readily identified as being composed by one man. His keyboard music is distinct from J. S. Bach and Handel, for example, even though all three composers were born in 1685. Why are Scarlatti's sonatas so different from the music of his contemporaries that they stand apart from other keyboard music of the time? Are they merely digressions from the mainstream eighteenth-century blossoming of sonata form? Should they truly be called sonatas at all? The answers to these questions lie not so much in the apparent dissimilarities that these keyboard works bear to contemporary keyboard sonatas, but rather in the subtler similarities. Studies since the mid-1980s by such scholars as Joel Sheveloff and Malcolm Boyd suggest that the Scarlatti sonatas are not so different from the developing mainstream sonata form as their surface features may imply.[2] A deeper study could reveal interesting links to the aesthetics and traditions of his contemporaries. This thesis examines one such link: Scarlatti's treatment of the "first half" of his keyboard sonatas.

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[1] See Ralph Kirkpatrick, *Domenico Scarlatti* (New York: Thomas Y. Crowell Co., 1968).

[2] See Malcolm Boyd, *Domenico Scarlatti--Master of Music* (New York: Schirmer Books, 1987); Malcolm Boyd, "Scarlatti Sonatas in Some Recently Discovered Spanish Sources," *Chigiana* 40 (1990): 57-68; Malcolm Boyd, "Nova Scarlattiana," *The Musical Times*, 126 (1985): 589-92; Joel Sheveloff, "Domenico Scarlatti," in *The New Grove Italian Baroque Masters*, ed. Stanley Sadie (London: W.W. Norton and Company, 1984), 327-63; Joel Sheveloff, "Domenico Scarlatti: Tercentenary Frustrations," *The Musical Quarterly*, nos. 71 and 72 (1986): 399-436 and 90-118, respectively; Joel Sheveloff, "Uncertainties in Domenico Scarlatti's Musical Language," *Chigiana*, 40 (1990): 143-72.

Sadly, though the level of fascination with Scarlatti's keyboard music is high, previous approaches to analysing these works are somewhat wanting. This accounts for some of the misunderstanding of their place in the overall sonata repertoire. Through examining the first halves of the thirty sonatas contained in the Venice XIII collection, this paper seeks to demonstrate that the keyboard sonatas of Domenico Scarlatti are not merely minor offshoots on the way to the mature Classical sonata form. In fact, they reveal some striking similarities to the sonatas of such mainstream composers as Haydn. This study shows that Scarlatti's sonatas build on the heritage of the Baroque binary form, and that they share some aspects in common with the sonatas of his contemporaries. At the same time, the selected repertoire for this study shows that Scarlatti sometimes takes a unique approach to formal design that demonstrates his genius.

Ralph Kirkpatrick employs the terms *first* and *second halves* to describe the sections before and after the double bar.[3] These terms are more appropriate for the features of the binary sonata than for the ternary form where the labels of exposition and development/recapitulation are more applicable. The term *half* does not mean to reflect the physical dimensions of the movement, which frequently display an uneven balance of lengths from one half in comparison to the next. It expresses the sense of tonal balance inherent in the binary structure. Commonly, the second half of a binary structure is longer than the first, as it receives the extra burden of firmly re-establishing the home tonality after a brief excursion through other tonal areas. Scarlatti's keyboard sonatas, however, usually have second halves that are equal in length to, or shorter than, the first half. This thesis concentrates on the first halves, since it is there that any similarity to the mature Classical sonata form is likely to be evidenced. As Frederick Hammond states:

> The reestablishment of the opening tonic is as important an event in a Scarlatti sonata as it is in a Classical work, but it occurs in the context of closing gestures, not of opening ones. The reader need merely imagine a Mozart piano concerto in which the recapitulation in the first movement is accomplished only by the return of the closing material to feel the difference between Scarlattian and Classical concepts of musical structure.[4]

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[3] Kirkpatrick, *Domenico Scarlatti*, 252. See also Boyd, *Domenico Scarlatti--Master of Music*, 168. Boyd discusses how unusual Scarlatti's sonatas are for his time. Rey M Longyear in "Binary Variants of Early-Classical Form," *Journal of Music Theory*, 13 (1969): 182, suggests that the physical length of each half should not be a prime determinant of the form. Howard Brofsky in his "The Instrumental Music of Padre Martini," (Ph.D. diss., New York University, 1963), 192, notes that only four of Martini's twenty-five sonata movements have larger second halves.

[4] Frederick Hammond, "Domenico Scarlatti," in *Eighteenth-Century Keyboard Music*, ed. Robert L. Marshall (New York: Schirmer Books, 1994), 180.

One might therefore expect to find more similarities to the mature Classical style existing in the departure rather than in the return.

This thesis contains six chapters. The first chapter presents a framework, introduces some pertinent background information, and provides a summary of existing approaches to analysing mid-eighteenth-century sonata forms. This summary includes a synopsis of studies and observations that support the thesis's position. The second chapter establishes a theoretical base for critical analysis and introduces a specialised terminology to examine the salient features of the arguments put forth in the first chapter. Chapters Three, Four and Five submit an analysis of the thirty Venice XIII sonatas using the theoretical criteria established in Chapter Two. This study demonstrates that the first halves of the sonatas break down into three formal regions: 1) *the opening,* 2) *the central section,* and 3) *the complementary tonal and closing sections*. The analytical approach adopted here is to examine each archetype respectively before moving on to the next. Chapter Four shows the importance of expansion sections in determining tripartite designs. Chapter Six sums up the major points made in the analysis section and reviews them with respect to the arguments presented at the beginning of the thesis.

Background

Domenico Scarlatti's keyboard sonatas fall right on the cusp of the Baroque and Classical eras. This transitional period, when combined with the composer's unique personal history and style, yields some of the most controversial music in the sonata genre. These works are contained in the Venice manuscripts; a fifteen volume set in the *Biblioteca Nazionale Marciana,* Venice, Mss. 9770 to 9784. Most likely, they once belonged to Queen Maria Barbara of Spain.[5] The copyists date thirteen volumes, numbered I through XIII, from 1752 to 1757, the year of Scarlatti's death. There are many conflicting positions on the dating of Scarlatti's sonatas as none are known to exist in their original manuscript form. The thirty works contained in the Venice XIII manuscripts of 1757 (K514 to K543) probably do not all date from that year.

In 1953, Ralph Kirkpatrick presented a numbering system for the sonatas based on his detailed research, which improved upon the existing Longo numbering system. His study presents a proposed chronology for the sonatas. In the four succeeding decades several scholars including Joel Sheveloff, Malcolm Boyd and Giorgio Pestelli have

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[5] As Ralph Kirkpatrick has noted in *Domenico Scarlatti*, 399.

questioned Kirkpatrick's chronology.[6] Unfortunately, there is presently no way of knowing when these sonatas actually were composed; however, as stylistic boundaries may have little to do with a given time frame, the chronology of the Venice XIII collection relative to the Baroque and Classical eras is a weak premise on which to build any stylistic hypothesis. This is evidenced in Pestelli's work (1967), whose attempt to create such a style-based chronology failed.[7] The choice of the 1757 Venice XIII collection for the present study simply serves to demarcate a specimen of what may include several of the composer's later works. The attraction to selecting a composer's latest works is that they are composed at a time in the composer's life when he has the most experience. On the other hand, a non-chronological study yields a valuable cross-section. Since Venice XIII bears the latest copy date, it is at least as good a set to choose as any undated sonatas or sets, or as any set whose copy date is earlier than 1757.

Scarlatti's sonatas may provide insight into the development of early Classical keyboard sonata forms, indicating possible connections with the much more diverse nature of the Baroque sonata style. Comparatively few studies explore these connections in Scarlatti's sonatas and many others ignore them. The most notable of those who address this topic are James Dale Unger, Barbara Foster, Joel Sheveloff, and Malcolm Boyd, yet even their findings remain inconsistent from one to the other.[8] Notable among those who ignore this aspect in favour of another viewpoint are Charles Rosen and Roger Kamien. Rosen sees Scarlatti's sonatas as being little more than Baroque binary dance forms. His understanding of sonata form depends heavily on the weight of the double return.

> Scarlatti's structures can still largely be subsumed under the category of binary form. In the second half of most of his sonatas, the point of return to the tonic is not clearly articulated. In some, the opening bars do return at the tonic, but the moment generally passes without any attempt to call attention to it. [For Example] . . . the opening of K 212 in A major . . . [returns] . . . buried in a D-minor/D major passage. . . . This is magnificent, of course, but it is not sonata

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[6] Kirkpatrick, *Domenico Scarlatti*; Joel Sheveloff, "Tercentenary Frustrations;" Malcolm Boyd, *Domenico Scarlatti--Master of Music*; and Giorgio Pestelli, *Le Sonate Di Domenico Scarlatti* ([n.p.]: G. Giappichelli, 1967). See also Hammond, "Domenico Scarlatti," 163-66, who comments briefly on the studies of these scholars. He also refers to Roberto Pagano's 1988 study that mentions an inscription on the binding for sonatas K 544 to 555, which states they are Scarlatti's last sonatas composed in 1756 to 1757.

[7] See also Hammond's discussion, "Domenico Scarlatti," 163-66. For further support of this viewpoint see Peter A. Brown, "Approaching Musical Classicism--Understanding Styles and Style Change in Eighteenth-Century Instrumental Music," *College Music Symposium*, 20 (1980): 7-48.

[8] See James Dale Unger, "D. Scarlatti: The Methods and Incidents of Preparation for the Tonal Plateau, the Crux and the Apex" (Ph.D. diss. University of Port Elizabeth, South Africa, 1976); Barbara Foster, "Dramatic Contrast in the Keyboard Sonatas of Domenico Scarlatti to 1746" (Doctoral Thesis, University of Illinois, 1970); and the works cited above by Joel Sheveloff and by Malcolm Boyd,

> form and none the worse for that. . . . As for the rare sonata by Scarlatti where the return to the tonic in the second half is set in relief, we usually find that in the first half the modulation to the dominant has been marked by no discontinuity and that there has been no strong cadence until the double bar; the polarization has not been made explicit so that the return does not have the full significance it would have in sonata form.[9]

Kamien excludes Scarlatti's compositions from his study "because they are generally believed to be very different in style from other works of the period," and William S. Newman raises the issue without confronting the problem.[10] More attention has been given to the matter of divergent sonata forms in the studies of Haydn's keyboard sonatas. The research of the Haydn experts (Larsen, Fillion, Brown, Wackernagel, Andrews, *et al.*) and the modern theorists of eighteenth-century style and form (Heimes, Ratner, Longyear, Ratz, Sanders, *et al.*) present research that is relevant to this topic; however, the possible connections that Scarlatti's sonatas may have with Baroque forms is not addressed specifically by any of them.

Some of the approaches, theories, and discoveries that have emerged from Haydn studies prompt many of the positions that the present examination takes. The arguments of Michelle Fillion, J.P. Larsen, and Wilhelm Fischer are central to the present discussion.[11] Larsen and Fillion contend that the early Classical sonata exposition may be either bipartite or tripartite. Fischer's observations of shared characteristics in late-Baroque and early-Classical phrase construction support their conclusions. In examining these positions the present study recognises that duo-thematicism is often viewed as a hallmark of the high-Classical sonata form. Earlier and concurrent constructs that differ from this norm are not atypical so much as they are alternatives based on historical traditions and practices.[12]

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[9] Charles Rosen, *Sonata Forms*, 2nd ed. (London: W.W. Norton and Company, 1988), 135-136.

[10] Roger Kamien, "Style Change in the Mid-18th-Century Keyboard Sonatas," *The Journal of the American Musicological Society* 19 (1966): 38. William S. Newman, *The Sonata in the Classic Era* (Chapel Hill: the University of North Carolina Press, 1963), 261-62.

[11] Michelle Fillion, "The Accompanied Keyboard Divertimenti of Haydn and his Viennese Contemporaries" (Ph.D. diss., Cornell University, 1982); Jens Peter Larsen, "Some Observations on the Development and Characteristics of Vienna Classical Instrumental Music," *Studia Musicologica* 9 (1967); Jens Peter Larsen, "Sonatenform-Probleme," in *Festschrift Friedrich Blume zum 70. Geburtstag*, ed. A.A. Abert and W. Pfannkuch (1963), 221-30; Wilhelm Fischer, "Zur Entwicklungsgeschichte Des Wiener klassischen Stils," *Studien Zur Musikwissenschaft* 3 (Vienna, 1915): 24-78.

[12] Larsen, "Some Observations," 136-37 (also see his footnote 40, p. 136); *New Grove Dictionary*, s.v. "Sonata Form;" Fillion, "Accompanied Keyboard Divertimenti," 188-90. See also Newman, *Sonata in the Classic Era*, 149-54; Charles Rosen, *Sonata Forms*, 69-70; Rudolph Reti, "The Role of Duo-Thematicism in the Evolution of Sonata Form," *The Music Review* 17 (1956): 110-19.

The terms *Renaissance*, *Baroque*, *Rococo, Classical*, etc., all contain extra-musical connotations, but they take on special meanings when applied to music. *Rococo* might express a movement away from the Baroque, since this was the original intention of the term in its native domain of architecture. *Pre-Classical* could suggest a movement towards the Classical style. Together, familiar stylistic terms such as *Rococo, First and Second Galant Styles,* and *pre-Classical* all indicate mid-eighteenth century genres. I do not differentiate between the subtleties implied by these terms; rather, I employ a generic term, *mid-century,* to accommodate a conglomeration of all styles that fall between what is Baroque on one side, and Classical on the other. The mid-eighteenth century, therefore, comprises a colourful variety of musical styles that spans the later repertoire of J.S. Bach, Handel, and Domenico Scarlatti to the early works of Joseph Haydn. Considering the diversity of this spectrum, it is clear that the methodology of an analysis of sonata form must fit the structural principles to which such pieces that are called sonatas adhere. These principles vary over the years, and the norm for the forms of sonatas during each period must be established in order to talk about the development of sonata form.

During the 1950's and 60's many of the authors writing about the music of Scarlatti were still under the influence of the popular, early nineteenth-century models of sonata form. J.P. Larsen suggests that the nineteenth-century textbook form for sonata is restricted mainly to the structures of Beethoven. He indicates that earlier forms are speciously measured against the standards developed for the music of a later era.[13] Rita Benton's article, "Form in the Sonatas of Domenico Scarlatti," provides an example of Larsen's argument. Her position is constricted by her attempt to compare the sonatas of Scarlatti with the sonata form model developed in the early nineteenth century, and not with the forms of his contemporaries.[14]

The form of pieces that are called sonatas differs from the Baroque repertoire to the mid-century, and from the mid-century repertoire to the Classical. The definition of Classical sonata form clearly can be based upon Classical pieces called sonatas, though the form freely exists elsewhere (in symphonies, operas, overtures and concerti, for example). Can the same be said for mid-century sonatas? Is there a consistent formal process within mid-century sonatas? Larsen's arguments imply that different methodologies to analyse the music called sonatas through various eras and styles must be established before a meaningful analysis can ensue. A different methodology for

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[13] Larsen, "Sonatenform-Probleme, 221-30. Also see Larsen, "Some Observations," 136.

[14] See Rita Benton, "Form in the Sonatas of Domenico Scarlatti," *The Music Review* 13 (1952): 264-73.

analysis, or *analytical protocol*, needs to be defined for mid-century sonatas. The analytical protocol for mid-century sonata form should identify consistent types of formal and structural designs, and processes that are peculiar to mid-century sonatas. The language and terminology of the analytical protocol should reflect the unique characteristics of the music it discusses.

The general consensus is that the keyboard sonata form evolved from the small binary dance forms found in Baroque suites. Rosen claims that the sonata style invented no new forms, but rather expanded and articulated those forms that already existed.[15] This statement taken out of context can be misinterpreted as meaning that a generic sonata form does exist for all sonatas. This kind of flawed understanding had long been a problem working against a complete comprehension of mid-century sonata form. It still contributes to the difficulty of classifying Domenico Scarlatti's keyboard sonatas within the greater sonata repertoire. Some scholars contend that these sonatas do not properly belong to the sonata genre at all.[16] This stems from the practice Larsen notes of judging earlier forms of music by the standards developed for the music of a later era. The problem lies in not applying an appropriate analytical protocol. Rosen's claim speaks of a sonata style (as opposed to form), which suggests that there is a broader concept of what a sonata is, and that the form is flexible within this concept. Expanding on existing forms implies that evolution of the style is possible. A survey of the sonata repertoire from the eighteenth and nineteenth centuries yields certain common, consistent formal characteristics from which the concept of an overall sonata style can be derived. Eighteenth and nineteenth-century writings on sonata form also support these constants.[17] The broad concept of sonata style, therefore, constitutes the setting up of a tonal conflict in the departure that is resolved in the return. The first part presents the home tonality and juxtaposes it to the foreign tonality; the last part moves back to the home tonality. The resolution occurs when the material that was heard in the foreign tonality in the first part returns in the home tonality in the second. The second part often contains some kind of developmental material before the return to the home tonality. If these criteria are met then a composition fulfils the requirements to be called a sonata. Within this formal concept, however, the structural process may vary considerably, owing to the formal flexibility Rosen mentions. The mid-century composer sets up and resolves the inherent tonal conflict differently than the Classical composer. The formal processes within the

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[15] See Rosen, *Sonata Forms*, 27.

[16] See the following as examples of some varying points of view: Kamien, "Style Change," 38; Boyd, *Domenico Scarlatti*, 166; Paul Henry Lang, "Scarlatti: 300 Years On," *The Musical Times*, 126 (1985): 587-89; and Newman, *Sonata in the Classic Era*, 262.

[17] Please see the bibliography for a list of historical sources consulted which support this conclusion.

mid-century sonata and Classical sonata differ; yet, they are composed in a sonata style and both comprise sonata forms. Two different analytical protocols for sonata form need to be applied to position the works within the greater sonata style; that is, to identify one as being the mid-century sonata style, and the other as being the Classical sonata style.

An appropriate analytical protocol for the sonata forms of the mid-century would help determine how the Scarlatti keyboard sonatas conform to the sonata style. The present study proposes the basis for such a protocol. Once established, the standards of the protocol may demonstrate a correlation between the music of Scarlatti and his contemporaries. Some of Scarlatti's contemporaries (and predecessors) considered in the present study are: Alberti, Albinoni, C.P.E. Bach, Corelli, Couperin, Della Ciaja, Durante, Frescobaldi, Galuppi, F.J. Haydn, B. Marcello, Martini, Pergolesi, Rutini, Seixas, Soler, Veracini, and Zipoli. Scarlatti's keyboard sonatas are not precursors to any Classical sonata forms. Their coexistence with the early Classical style suggests, rather, that they developed concurrently. This precludes any certainty about their playing an incipient role in the development of Classical sonata forms. And the extent to which they may have influenced contemporary composers remains largely a matter of speculation.[18] It is not clear how widely Scarlatti's sonatas were known at the time of their composition. The first publication of sonatas is thirty *Essercizi* in 1738 and 1739.[19]

Baroque sonata form is usually "binary." It lacks the Classical "ternary" sonata form's dramatic recapitulation. Scarlatti composes most of his keyboard sonatas in the Baroque binary form. Since there is no recapitulation of opening material, the *crux* (or "cross," if literally translated) identifies the points of thematic and tonal congruity in each half. Kirkpatrick defines the crux as: ". . . the meeting point in each half of thematic material which is stated in parallel fashion at the end of both halves with the establishment of the closing tonality . . ."[20] It is difficult to refer to themes in the Classical sense when examining Baroque or mid-century-styled structures. Since there is often no theme to speak of, I will use the term *thematic* in the mid-century sonata style to refer loosely to coherent, structural melodic material that is not transitional or expansional.

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[18] See Newman, *Sonata in the Classic Era*, 118-19. Newman posits that the suite and aria are not likely direct ancestors of the sonata form as both styles developed concurrently. A cause-and-effect relationship is, therefore, difficult to substantiate. The same is true of Scarlatti and the development of the Classical sonata form.

[19] Kirkpatrick, *Domenico Scarlatti*, 137-38.

[20] Kirkpatrick, *Domenico Scarlatti*, 255.

Heimes redefines the crux as follows:

> Contrary to the term 'apex' which indicates the restatement of the incipit in the second half, Kirkpatrick's term 'crux' indicates the starting point of post-modulational thematic symmetry at the end of both 'halves'. As regards Kirkpatrick's definition of the crux as the coincidence of closing tonality and thematic restatement, we suggest . . . a differentiation in terminology. . . . It seems necessary . . . to make the term 'crux' more versatile, and we propose to apply it to that point in each 'half' from which the thematic material continues to unfold in parallel fashion up to the respective double bar. The meeting point of thematic material and tonal level, while not a determinant of form, is, however, a factor in the effectiveness of the sonata's dialectic, and we suggest the term 'perfect crux' for that point in each 'half' where the beginning of the thematic restatement coincides with the establishment of the closing tonality."[21]

Heimes' descriptions of the cases of "crux" and "perfect crux" are still incomplete in my opinion. Heimes considers thematic restatement in the second half of closing material from the first half without tonal reconciliation to be enough to warrant the onset of a crux, but this contravenes Kirkpatrick's intention for the application of such a term. Kirkpatrick's "crux" should indicate the intersection of two separate elements: thematic material and tonality. Heimes' term "perfect crux" could imply that an "imperfect crux" might also exist, which would further go against Kirkpatrick's basic definition of the crux. Heimes' refinement of the definition of the term reflects more the formal divisions according to thematic and aesthetic criteria established by the norms analysts use to identify formal divisions in later, ternary sonata forms.

Sections and *partitions* represent two distinct levels of analysis within sonata forms up to the double bar. In both the mid-century and Classical styles, there are three possible sections in every first half or exposition, which determine formal function: 1) the opening section (main theme), 2) the central transition section and 3) the complementary (subordinate) tonal or closing section. Partitions, on the other hand, represent broader divisions depending on the relative proportions (size, tonality and dramatic activity) and the degree of dependency between the central transition and the adjacent material. There is no conflict between the concepts of three sections and two partitions (bipartite); in fact, it will be seen that it is the central section that determines whether or not a first half partitions into two or three.

The Classical bipartite exposition consists of a first partition containing a main theme in the home tonality often followed by a modulatory transition, and a second

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[21] Klaus Ferdinand Heimes, "The Ternary Sonata Principle Before 1742," *Acta Musicologica* 45 (1973): 222-23, fn 6.

partition consisting of the subordinate theme in the subordinate tonality and closing section.[22] There is often a clear thematic contrast between the two themes and the transition is of secondary importance. The themes, and sometimes the transition, are often in two-, four-, or eight-measure groupings.[23]

The tripartite exposition contains three units: the tonic area, the bridge (transition), and the dominant area.[24] Traditionally, the dominant area may be the relative area if a sonata is in the minor key. The dominant area may contain two sections: the *Dominantspannung* and closing section.[25] The closing section is the most dispensable. It commonly exists to release tension after a forceful central section or to serve as a codetta. The *transition* section becomes a significant formal unit in contrast to its relatively basic role in the bipartite exposition. Its function is basically transitional but its proportions exceed those of a simple bridge passage. Its character is often quasi-developmental and its vitality often supersedes the adjacent sections, or even rivals the development in the second half. This dynamic formal unit is the *expansion section*. Thirty percent of the Venice XIII sonatas use this form in the first half.

Larsen illustrates the difference between the bipartite and tripartite expositions thus:

T = tonic, D = dominant (or relative tonality),
(D) = dominant of the dominant (or relative tonality).

bipartite T _ (D) / D -- _

tripartite T / T _ (D) / D -- _[26]

It is interesting that Larsen's design places an emphasis on tonal regions over thematic material, which is more in keeping with eighteenth-century discussions of sonata

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[22] See Caplin, *Classical Form*. Caplin introduces the terms main and subordinate themes.

[23] Larsen, "Sonatenform-Probleme," 222.

[24] Larsen, "Sonatenform-Probleme," 226-27. Larsen calls these units *Tonikabereich, Übergang* (tonic to dominant) and *Dominantbereich*.

[25] *Dominantspannung* is the term Larsen uses in "Sonatenform-Probleme." *Spannung* can have the dual meaning of both tension and span (as in an architectural structure). *Dominantspannung* means an area of dominant tension; however, a single English word cannot adequately capture this special essence of its meaning. "Stretch" is a word that comes close in that it can carry a sense of tension as well as spanning something. This study, however, will express the *Dominantspannung* by applying a more neutral term used by Kirkpatrick: *post-crux* (Kirkpatrick, *Domenico Scarlatti*, 256 and 263). This term will be defined in Chapter Two.

[26] Larsen, "Sonatenform-Probleme," 228.

form (that is, Marpurg, Quantz, Riepel, Scheibe, Schulz, *et al.*). This is appropriate when discussing the late Baroque and mid-century style, as it has been pointed out that themes in the Classical sense may not even exist. Melodic material, however, does play an important role in determining the structure of sonatas in this style, as the return in the second half is as important an event in the binary form as it is in the ternary.[27]

Though the tonal design of both the bipartite and tripartite types is similar, the aesthetic of the bipartite ("new Classical") exposition differs fundamentally from tripartite ("old Baroque") first half. In the tripartite first half, the tonic area may be a theme-type or even a simple brief, self-contained, motivic idea that initiates the sonata called an *incipit*.[28] There is no *main theme*, but only *opening material*. The dominant area may contain closing theme-like material (*Schlußthema*) or phrases. These have the unmistakable character and function of releasing tension in the manner of codettas; therefore, they do not function as a subordinate theme does in the Classical sonata form.[29] The expansion section becomes the vital unit, more intent on the playing-out of tonal and thematic minutiae than the Classical transition. The bipartite and tripartite expositions each express their bitonal design differently. The bipartite exposition plays out juxtaposed thematic material in each tonality; the tripartite exposition plays out motivic or thematic material in the modulation.[30] Both designs coexist in the Classical period. The tripartite formation, however, loses its popularity early in the era in favour of the full bipartite sonata exposition; however, Larsen suggests that the early forms still linger well into the late eighteenth century in isolated examples from Haydn and Mozart.[31]

Tripartite first halves and larger transitions are prone especially to incorporating the *spinning-out type* phrase structure. Fischer describes this type as it occurs in the Baroque repertoire.

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[27] See Arnold Schoenberg, *Fundamentals of Musical Composition*, ed. Gerald Strang and Leonard Stein (London: Faber and Faber, 1967) and *Structural Functions of Harmony*, rev. ed., ed. Leonard Stein (London: Williams and Norgate Ltd., 1954). Schoenberg emphasises the importance of formal function as a key toward understanding sonata form.

[28] The term *incipit* is defined in detail in Chapter Two.

[29] See William E. Caplin, *Classical Form*, 16 (Codettas) and 19-21 (Subordinate Theme). Codettas are post- cadential tonic prolongations following a closing authentic cadence, frequently composed of cadential progressions that reaffirm the closing tonic. A subordinate theme introduces and exploits the subordinate tonality.

[30] Larsen, "Some Observations," 137-38. Larsen discusses the vitality of the expansion section.

[31] Larsen, "Sonatenform-Probleme," 226-28, cites Haydn's symphonies 44, 82, 91 and 97, and Mozart's Prague Symphony, K 504 as having tripartite expositions containing expansion sections. These works date from the 1770s through to the 90s.

> ". . . 'spinning-out type': after an opening phrase with whole or half cadence there follows a related or unrelated modulating 'spinning-out,' composed of one or more sets of sequences; sometimes a third 'closing phrase' or 'epilogue' ends the entire structure."[32]

The spinning-out type dominates melodic design in the larger Baroque forms (concerti and Neapolitan arias) where it originated. Only later did it become transferred to the smaller dance forms. This opens the door to speculation that the evolution of the tripartite design in sonata forms may be linked to the larger Baroque forms as well as the small dance forms.[33] In contrast to the spinning-out type, Fischer introduces the *Lied*-type; a periodic structure that is motivically homogeneous and contains a relative tonal and structural balance between an antecedent phrase and a consequent phrase.[34] Fischer's article shows how the *Lied*-type becomes more prevalent in later, Classical works. (The period will be discussed in Chapter Two.)

The form of the spinning-out type unit is freer than the *Lied*-type. The spinning-out type is often modulatory, and usually contains contrasting melodic and motivic material. There is a process underlying the structure. Fischer illustrates the Baroque *spinning-out process* in seven examples from J.S. Bach and one from Pergolesi, as shown in Example 1. There is an opening head motive or idea that can repeat either directly or with motivic manipulations. Repetition is common but not obligatory. The first two figures (Fischer's 11 and 12) in Example 1 clearly illustrate repetitions of head motives. The fourth figure (14) contains a repetition that is less explicit. Then follow several measures of fragmentation and sequences, frequently introducing varied and new motives. The process is often modulatory in nature, but a change of tonality is not a necessary goal. The structure ends with a cadence or caesura of some type.

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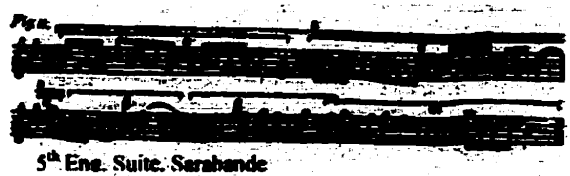
32 Fischer, "Wiener klassischen Stils," 29. (". . . 'Fortspinnungstypus': auf einer Vordersatz mit Ganz- oder Halbschluß folgte eine motivisch verwandte oder fremde modulierende 'Fortspinnung', aus einer oder mehreren aneinander gereihten Sequenzen bestehend; manchmal schließt ein dritte Gruppe als 'Schluß-satz' oder 'Epilog' das Ganze ab"). A typescript draft translation of Fischer's article by Bo Alphonce was consulted during the preparation of this thesis; the translations provided here, however, are my own.

33 Fischer, "Wiener klassischen Stils," 31-32.

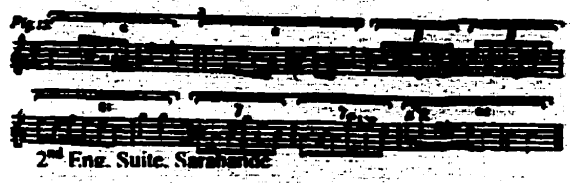
34 Fischer, "Wiener klassischen Stils," 25-26.

11



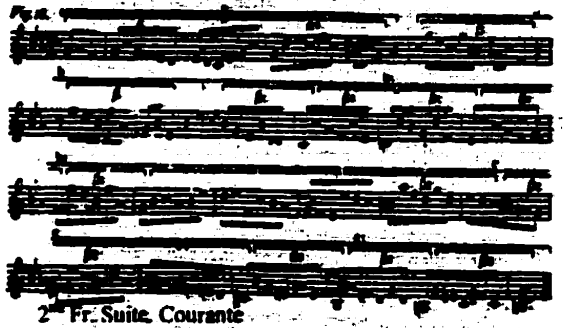
5th Eng. Suite. Sarabande

12



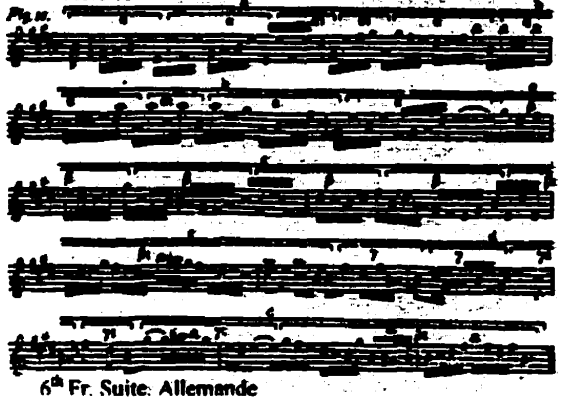
2nd Eng. Suite. Sarabande

13



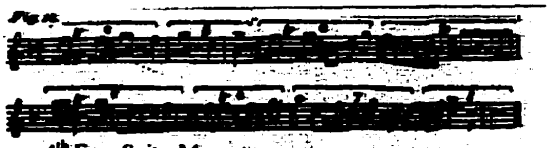
2nd Fr. Suite. Courante

14



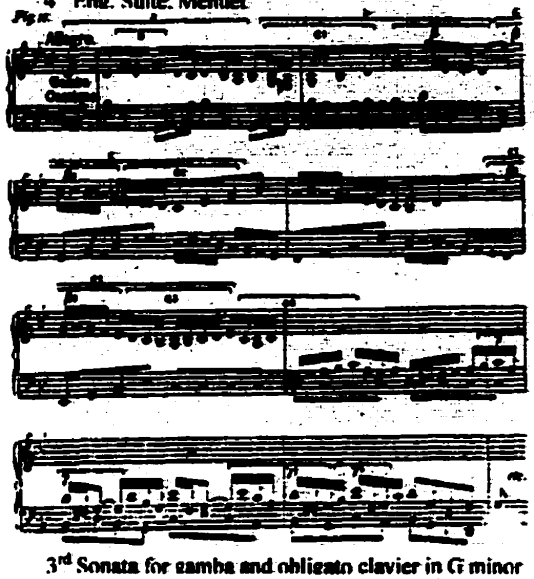
6th Fr. Suite. Allemande

15



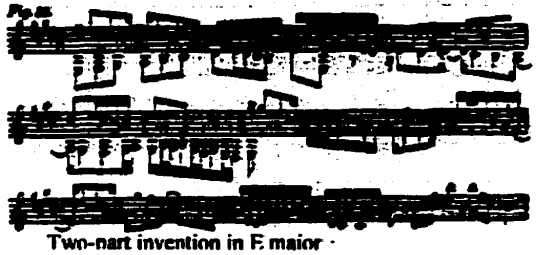
4th Eng. Suite. Menuet

16



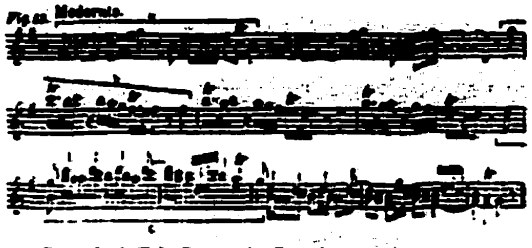
3rd Sonata for gamba and obligato clavier in G minor

82



Two-part invention in F major

83

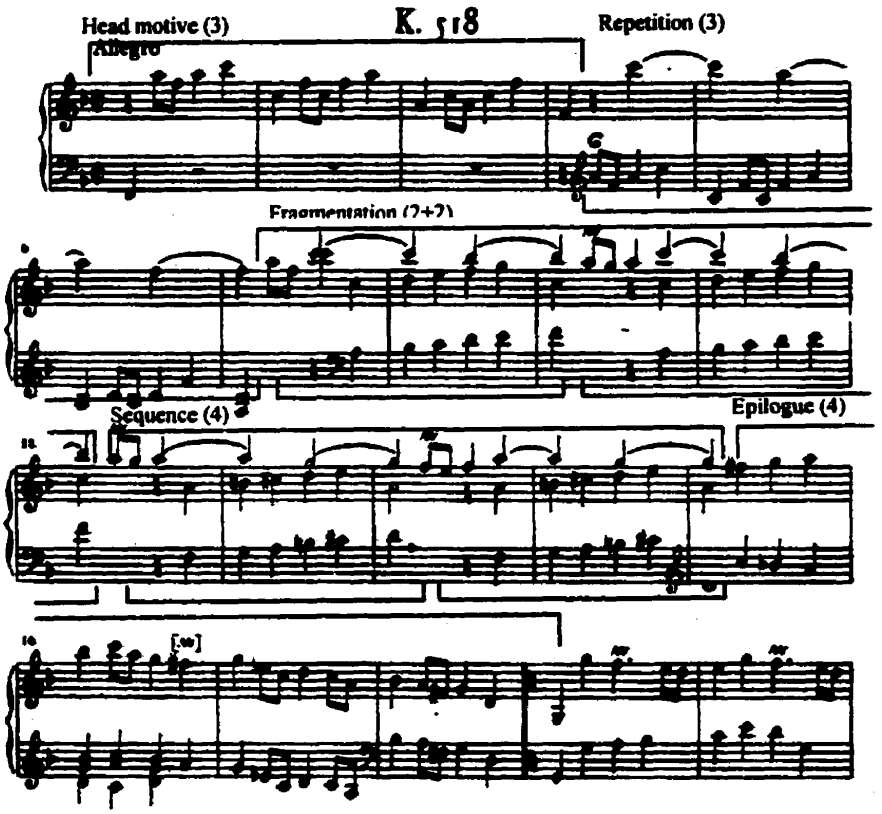


Pergolesi. Trio Sonata in G major, reprise

Example 1
Fischer's Figs. 11 - 16 of various spinning-out types from simple designs to designs that are more complex. Fischer's Figs. 82 and 83 show a complex form incorporating both the spinning-out and *Lied*-type techniques.

In mid-century music, the spinning-out process is somewhat more structured. The head motive (or incipit) and possible repetition still exists, but the continuing fragmentation is less likely to break into varied and smaller motives. Instead, there is a series of complete motivic units or ideas that group themselves into entire phrase members which repeat and/or sequence. The incipit (and its repetition where applicable) can be larger than in the Baroque model, sometimes forming a complete phrase member that cadences. A cadence, however, is not a necessary component to end the incipit, contrary to Fischer's provision in his description of the Baroque form's opening phrase,

cited above. Commonly, an epilogue member brings the structure to a closing cadence. A good example of the mid-century spinning-out type is the opening of Scarlatti's K 518 (Example 2). Measures 1 to the downbeat of 7 are the head motive and repetition. The fragmentation occurs in repeated two-measure units that sequence to measure 15. A four-measure epilogue brings about the cadence in measure 19. There is a striking resemblance between the tripartite first half and Fischer's model of the spinning-out type, both in structure and in character. The tripartite design's incipit corresponds to Fischer's opening phrase, and the expansion section to his modulatory spinning-out. Fischer's optional closing phrase is an obligatory member in the tripartite first half of a mid-century sonata.



Example 2
Domenico Scarlatti, K 518, mm. 1 - 20

According to Fillion, the expansion section largely avoids strong root-position cadences or root-position tonic triads until it achieves the complementary tonality in the final measures.[35] Larsen, however, suggests that the expansion section could comprise a periodic function, which implies that relatively strong intermediate cadences would be

[35] Fillion, "Accompanied Keyboard Divertimenti," 189. I employ the terms *complementary tonality* and *complementary tonal section* instead of *subordinate tonality* and *subordinate section* when discussing the binary sonata form. My reasoning will be presented in Chapter Two.

necessary.[36] In large expansion sections, intermediate cadences can break the spinning-out process to delimit phrase members that emphasise important points in the tonal progression to the complementary tonality. Fillion mentions other features that expansion sections may include such as "irregularities of phrase length, including vast extensions, sequences, introduction of parallel minor, long dominant prolongations, deceptive cadences, and fantasia-like keyboard figuration." Comparatively, Fischer notes that the spinning-out type continues sequentially after the opening phrase (usually following the circle-of-fifths pattern). It often displays new motivic material, increased speed of harmonic rhythm, and motivic fragmentation.[37] There is a strong resemblance of the spinning-out design to the sentence structure; that is, a presentation phrase followed by fragmentation and continuation, as described by Caplin.[38]

Fillion comments that Haydn and his contemporaries sometimes carry the expansion section into the *complementary tonal plateau*, resulting in an expansive development in the complementary tonal region.[39] The *complementary tonal plateau* refers to the region beginning where the complementary tonality is first firmly established to the end of the half. The developmental expansion in this plateau may include dominant pedals, cadences, or even little tripartite structures that revolve around the dominant minor, sometimes forming little ABA designs. The closing theme usually features a simpler, repetitive design.

Unger and Foster present other approaches to identifying transitional material in Scarlatti's sonatas specifically. Unger examines tonal plateaux based on degrees of various types of "formally significant preparatory material" and functions.[40] His theory works well for determining formal divisions, but it does not serve to identify the formal function of transitional processes (that is, the distinction between transition or expansion section). Unger does not identify the tonal plateau with any specific formal function, thereby yielding a flexible concept that can be applied to areas where the complementary tonality becomes apparent (as defined by his preparatory material). This is effective when the coincidence of material and tonality is the only concern, but it is less than helpful

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[36] Larsen, "Sonatenform-Probleme," 229.

[37] See Fischer, "Wiener klassischen Stils," 43-47.

[38] Caplin, *Classical Form*, 9-12.

[39] Fillion, "Accompanied Keyboard Divertimenti,"191-92. See also Unger, "Methods and Incidents," introduction to "broad tonal plateaux" on his page 3, and William S. Newman, *The Sonata in the Baroque Era*, (London: W.W. Norton Inc., 1983), 68. See also *Sonata in the Baroque Era*, 68-69, 81-91 and *Sonata in the Classic Era*, 112-14 for a discussion of Baroque and Classical compositional processes and typical structural results.

[40] See Unger, "Methods and Incidents," 43-57 and 63-66.

towards the definition of functional formal units. He determines the following categories of preparatory material: preparation by means of a scale or arpeggio passage; by means of a sequential passage; by means of an extended or prominent dominant; by means of a transitional theme; respectively, each may occur with or without caesura. Unlike Kirkpatrick, who applies the term "thematic" somewhat loosely to define identifiable areas of melodic and motivic integrity, Unger distinguishes clearly between thematic material and preparatory material.

Unger's labelling of certain techniques is not consistent, and his recognition of functional processes does not always agree with the findings of the present study. For example, Unger's analyses do not assign any consistent or special preparatory function to those phenomena defined and identified by the present study as *dominant pedals*, which will be defined in Chapter Two and examined in the analysis. Scarlatti's transitions frequently establish the complementary tonality early and confirm it with a dominant pedal point. When there is a perfect coincidence between the two halves, Unger identifies the tonal plateau as occurring with the onset of a preparatory extended or prominent dominant. (The present study will show that this often consists of a dominant pedal point.) He recognises this as the end of the transition. On the other hand, Unger does not recognise prominent dominants occurring in each half without thematic coincidence as a specific technique of achieving the tonal plateau. In these cases, he sees them as forming preparatory material, even though the function of such dominant pedals is to end a modulatory process.

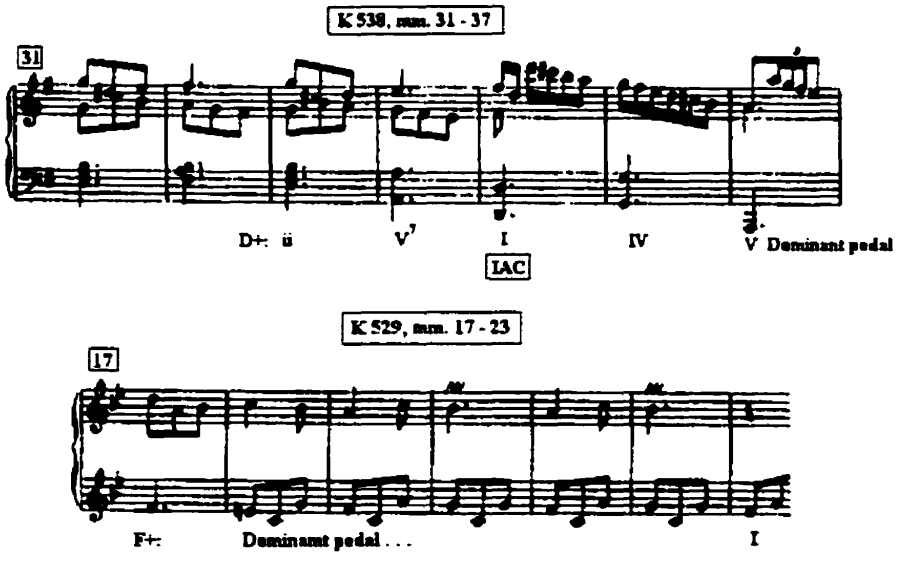
How Unger views the role of dominant pedals is exemplified in his analyses of Scarlatti's K 529 and 538 (Example 3). In K 538, Unger sees the perfect crux as coinciding with the dominant pedal point in measure 37 (and 100). He determines that measures 35 and 98, each through to the crux, contain preparatory material consisting of similar scalar descents.[41] Measure 37, however, is where the dominant pedal begins. This pedal point confirms the achievement of the new tonality rather than prepares it. I find that the perfect crux comes in measures 35 and 98 because that is where the transitional sequences end and achieve the new tonality. In K 529, however, Unger finds a perfect crux in measure 23. He acknowledges that the dominant pedal in measures 18 to 22 establishes the new tonality but he does not call it the *pre-crux*, which by his own definition identifies the non-coincidental thematic area in the complementary tonality occurring before the crux.[42] This dominant pedal does indeed establish the new tonality

[41] Unger, "Methods and Incidents," 84-85.

[42] See Unger, "Methods and Incidents," 129-30. The terms *perfect crux* and *pre-crux*, and their significance to the transition will be clarified in Chapter Two.

with a cadence, which means that it does form a pre-crux; therefore, the crux is not perfect. Unger sees these dominant pedals as serving a preparatory function, rather than being the goal of a process that establishes the complementary tonality; thus, his approach does not work within the context of the present study.

Though Unger contends that certain melodic devices prepare the tonal plateau (arpeggiation, scale patterns, etc.), their omnipresence suggests that they are the building-blocks of Scarlatti's music, and it is no surprise that he uses them to enhance the crux. It is true, however, that the areas of tonal preparation often yield the most dramatic displays of these patterns.



Example 3
D-major is already apparent at measure 33 as the transition prepares to cadence in measure 35. The dominant pedal point is a confirmation of the new tonality.
The dominant pedal arrives in m. 18 of K 529 to confirm the new complementary tonality of F-major.

Barbara Foster attempts to relate the degree of Scarlatti's "Classicism" in each of his sonatas directly to the intensity of dramatic contrast within the first half. The point of definition, therefore, must fall within the transition. Foster employs Gerstenberg's three sonata types as the basis for her study.[43] These three types correspond closely to the trends that characterise the shift from Baroque to Classical principles. They are as follows:

[43] Foster, "Dramatic Contrast," 5-6. Walter Gerstenberg, *Die Klavierkompositionen Domenico Scarlattis*, (Regensburg: Heinrich Schiele, 1933), 49-73, *passim*.

- Type I--the form of the pre-Classical suite movement: a) the form is built of one theme or motive and is, therefore, monothematic; b) the sonata has an unbroken rhythmic flow; c) there is a general contrapuntal treatment and the use of sequences; d) there is no recapitulation; e) there are no contrasting elements.
- Type II: a) is a form built as a chain of more or less contrasting motives; b) the second part begins with a development-like approach to old material; c) there is a partial recapitulation of *B* motives; d) optionally, the motives may or may not be connected through an overlap between the cadence of the previous group and the beginning of the following group; and e) the several motive groups do not differ in rank or importance (type II, therefore, differs primarily through being built from a variety of motives).
- Type III--closest to Classic sonata with two defined themes: a) condensation and clarification of form through a reduced number of motive groups; b) clear-cut contrast of expression between the main motive group and the second group; c) there is the introduction of a principle of distinction in rank amongst the various groups so certain motive groups are subordinate in importance to the principle motive groups.

Foster ascertains that fifty-two of Scarlatti's sonatas belong to type I, twenty-six to type III, and the rest, four hundred and twenty-six in her study, belong to type II. Type II corresponds to the mid-century model for sonata form that the present study investigates. Foster finds clearly that Scarlatti prefers this mode of composition in eighty-five percent of his sonatas.

Both Unger's and Foster's extremely detailed studies approach similar issues from different angles: Foster views Scarlatti's first halves as being divided thematically by degrees of dramatically contrasting material; Unger identifies degrees of dramatic divisions of tonal planes by specific preparatory material. In either case, both express the importance of the transition. Neither study clearly recognises the transition as a definite formal unit (except, perhaps, when the sonata verges on Classical form), but rather as a large, nebulous region that ultimately achieves the crux. This concept agrees with Larsen's understanding of transitions and expansion sections, which yields the distinction between *bipartition* and *tripartition*. Unger's theory of preparation and Foster's view of dynamic contrast are both embraced by the present study's broader concept of expansion section.

Clearly, the conventions used for analysing the Classical sonata form do not work for earlier sonata styles. The approaches developed and adopted in the studies discussed above lead largely to determining a different analytical protocol for mid-century sonata form. The present study draws on these approaches to define an analytical protocol for

mid-century sonata forms that can be applied effectively for all works called sonatas composed in the prevalent styles during this period. Chapter Two discusses the formal functions of the components that make up the mid-century sonata form.

Chapter Two

A Mid-eighteenth-century Analytical Protocol for Sonata Form

This chapter examines existing terminology for analysing sonatas, and proposes new and modified terms to fill the needs of an analytical protocol for the mid-century sonata form. It also discusses formal process as opposed to formal function; a distinction that must be made to accommodate the more diverse nature of the binary sonata's substructure. Many of the terms have been introduced in Chapter One. Their definitions appear below. I modify the definitions of some existing terms to suit the goal of this thesis; however, I try to keep their meanings as close to their source's intention as possible. I adopt William Caplin's *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart and Beethoven* as the standard for Classical terminology.[44] I include a brief synopsis of his most common terms below. In my opinion, this is the most rigorous tool for determining Classical musical structures developed to date. The terminology borrowed to discuss the binary sonata form comes from the works of Kirkpatrick, Heimes, Larsen, and Fischer.[45]

Formal Process and Formal Function

William Caplin's *Classical Form* clearly defines the formal components that constitute Classical instrumental forms, especially Classical sonata form. He first illustrates the concept of formal function in connection with the three, important Classical instrumental theme-types: the *sentence*, the *period* and the *small ternary*. Each theme-type contains a conventional group of functions that operates within the theme's structural boundaries. He also examines additional formal functions that frame thematic boundaries. In his study, Caplin carefully refines such common terms as "theme," "phrase," and "cadence" to express integral formal members that function as archetypes in determining Classical musical structures.

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[44] Caplin, *Classical Form*.

[45] Kirkpatrick, *Domenico Scarlatti*; Heimes, " Ternary Sonata Principle;" Larsen, "Some Observations;" Larsen, "Sonatenform-Probleme;" Fischer, "Wiener klassischen Stils."

Formal function in the mid-century style, however, is more nebulous than it is in the Classical style. A Classical theme-type often does not exist in a mid-century composition. Nevertheless, mid-century music is composed from various functional members, which can be identified as playing specific roles in a mid-century formal structure. Caplin's theory of formal function develops largely from the recognition of musical processes that can be organised into hierarchical formal units. The various groupings and relative placement of these formal units determine their function. From the level of the motive up, then, formal function is part of a structural process. I see Caplin's theory as identifying three basic levels in the structural process: 1) the basic motivic and phrase member level, 2) the intermediate level of phrase structures and theme-types, and 3) the formal structure at the sectional level (that is, exposition, development, recapitulation, etc.). The sectional level determines the overall form of a sonata as either binary or ternary. These three levels of structural process form what I refer to as the sonata's *substructure*.

In a Classical sonata form, the composer develops a process that groups together formal units that function to express the sonata style through all three levels of structure. In mid-century music, the basic level formal processes that are present in Classical music still knit together to express a formal structure at the sectional level, but the intermediate level structures consistent with the Classical archetypes are rarely apparent. Since the intermediate level structures in mid-century sonatas differ from Classical forms, there is a different dynamic in the resultant sections. The dynamic processes in a binary sonata's first half, therefore, do not yield the same formal functions contained in a ternary sonata's exposition. The sonata form substructure differs between the mid-century and Classical styles. The present study identifies intermediate level structural processes leading to common phrase designs in Scarlatti's sonatas, and in mid-century music in general. These processes will be used to determine how Scarlatti approaches sonata form in the first halves of his sonatas.

Caplin shows how the archetypal model for each of his three main theme-types may be manipulated to a high degree, and their basic components may even be mixed and matched to create hybrid forms.[46] He defines theme-types that closely resemble the model forms in harmonic-tonal stability, cadential confirmation, unity of melodic-motivic materials, unambiguous expression of formal functions, and symmetrical phrase lengths as having *tightknit* organisation. The farther from the model the more *loose* the organisation is. The Classical composer can use theme-types to compose sonatas in the

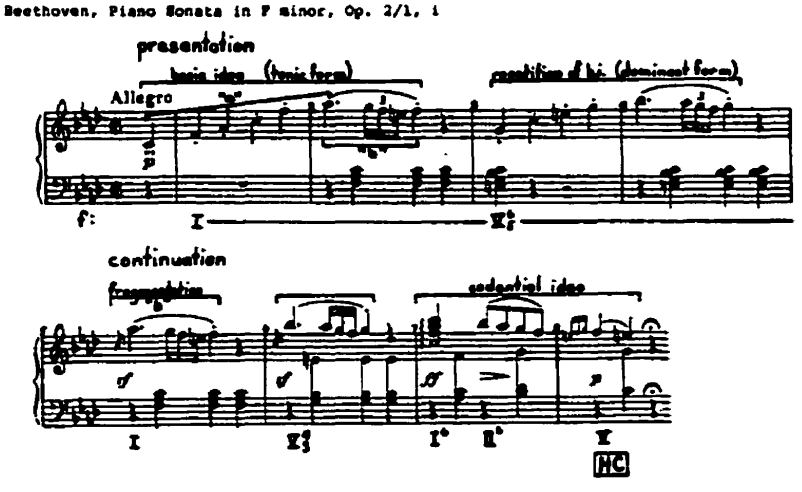
[46] See Caplin, *Classical Form*, 59-70. Caplin's Chapter 5 covers hybrid and compound theme-types.

ternary sonata form. Because there is a double return, a sense of theme is an integral component of the form. Further, Caplin bases his recognition of thematic structures on eight-measure archetypes (that is, the period and the sentence). In the Venice XIII repertoire a four-measure norm is more the rule. Following is a synopsis of Caplin's main theme-types.[47]

The Sentence Theme-type

Functions introduced: presentation, continuation and cadential
Terms introduced: basic idea, presentation phrase, continuation phrase, fragmentation and liquidation

The sentence (Example 4) is built from two phrases expressing three functions—*presentation*, *continuation* and *cadential*. The archetypal model is eight measures in length. The first phrase (ideally four measures) is devoted to the presentation function; hence, it is called the *presentation phrase*. The presentation phrase consists of a repeated two-measure *basic idea* in the context of a tonic prolongation. A basic idea is a characteristic gesture that can be combined with other ideas into phrases and themes, and is still large enough to be broken down into its constituent motives (*fragmentation*). The *continuation phrase* (ideally four measures) combines the continuation and cadential functions. Continuation function features fragmentation and increased rhythmic and harmonic changes that weaken the harmonic functionality, often through a sequential progression. The cadential function brings the theme to a close and is characterised by a confirmation of the tonality with a cadential progression, and through the complete conversion of characteristic motives into conventional ones (*liquidation*).



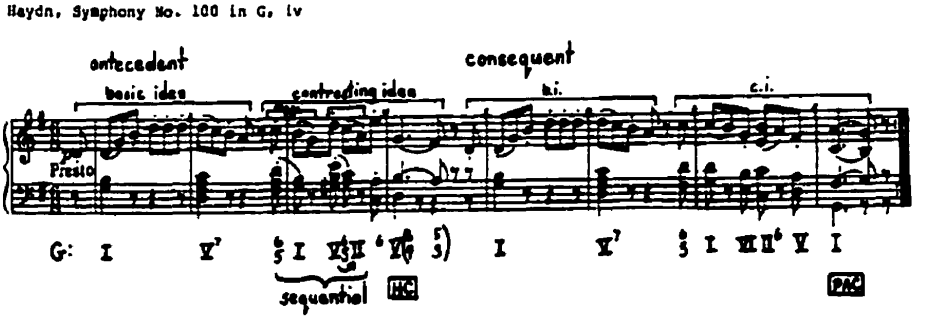
Example 4
Caplin's example of the archetypal sentence theme-type.

[47] See Caplin, *Classical Form*, 3-86. Caplin introduces the sentence, the period, hybrid and compound themes, and the small ternary.

The Period Theme-Type

Functions introduced: antecedent and consequent
Terms introduced: contrasting idea, antecedent phrase, consequent phrase and phrase members

The archetypal model consists of two, four-measure phrases that have *antecedent* function and *consequent* function respectively (Example 5). The *antecedent phrase* begins with a two-measure basic idea followed by a two measure *contrasting idea*, and it ends with a weak cadence, usually a half cadence or sometimes an imperfect authentic cadence. The contrasting idea differs enough from the basic idea in melodic-motivic organisation to identify it as a separate unit. The consequent phrase represents a repetition of the antecedent, but it is altered to close on a strong cadence, usually a perfect authentic cadence or sometimes an imperfect authentic cadence.



Example 5
Caplin's example of the archetypal period theme-type

Basic and contrasting ideas are the smallest functional components of phrases structures and theme-types. These ideas may be grouped together and manipulated in several ways to express a formal function such as presentation, continuation, antecedent, or consequent. They can also be grouped or manipulated as part of a process, such as a sequence or fragmentation. Because such diverse groupings of ideas are fundamental to phrase construction, I refer to them collectively as *phrase members*.

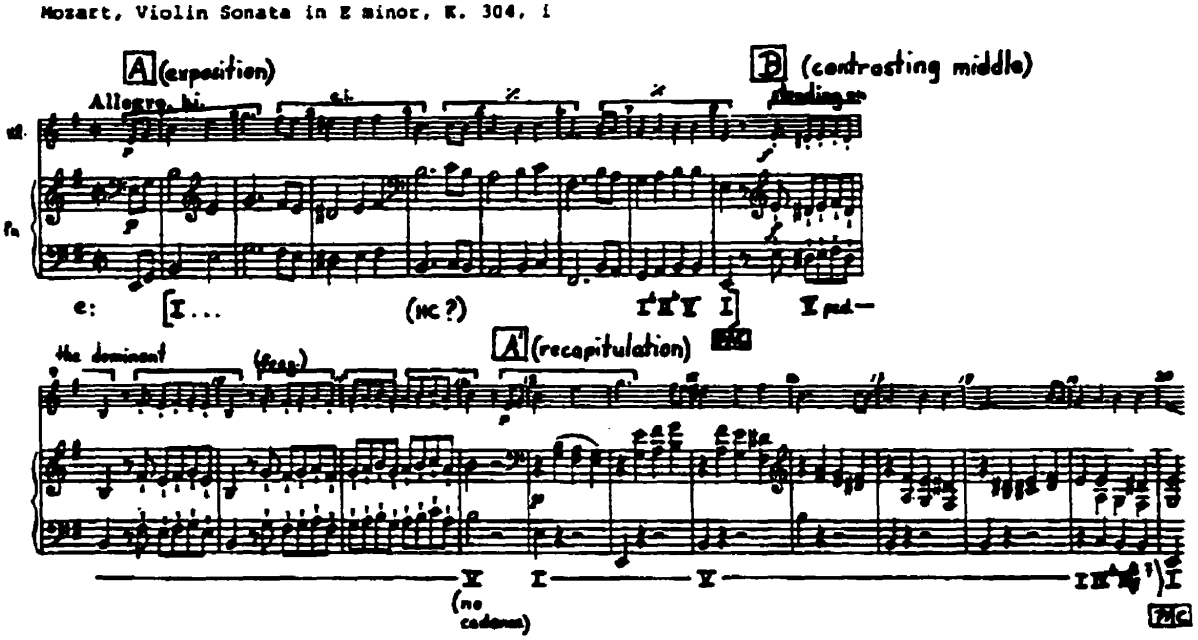
Small Ternary

Functions introduced: codettas, standing on the dominant, and dominant arrival

The formal design of the small ternary is A-B-A' (Example 6). The A-section is most often an archetypal theme-type in the home tonality, or it may modulate to a closely related subordinate tonality. The B-section is not characterised by a theme-type, but it contains material contrasting the A-section and emphasises the dominant of the home tonality. In the simplest cases, the B-

section is harmonised exclusively by dominant harmony or by a prolongation of the dominant. This is called *standing on the dominant*. The A'-section returns with the opening basic idea from the A-section, and can vary in some way from the original A-section, but it always cadences strongly in the home tonality. *Codettas* may follow. A codetta is a post-cadential, tonic prolongational phrase. As a general rule, any number of codettas may follow any authentic cadence. If a dominant prolongation follows a half cadence, as it commonly does at the end of the B-section, this is referred to as a *dominant arrival*. Frequently, there is no cadence involved in the dominant arrival at all. The onset of the dominant in these cases does not mark the actual end of the melodic, rhythmic, and phrase-structural process. There is also no independent harmonic progression that marks the cadential arrival. A phrase simply ends up playing out the rest of its dynamic over extended dominant harmony. This is commonly the case at the end of a contrasting B-section if the entire section has been built over dominant harmony.

The small ternary is not a predominant theme-type in the Scarlatti sonatas of Venice XIII. The overall form, however, is closely related to the small dance forms of the Baroque suite, which are traditionally considered to be possible precursors to the binary sonata form.[48]



Example 6
Caplin's example of the archetypal small ternary theme-type.

[48] See Charles Rosen, *Sonata Forms*, 16-27. Rosen discusses the Baroque heritage of sonata forms. Fischer's article, "Wiener klassischen Stils," argues strongly that Classical forms evolved from Baroque practices.

Binary and Ternary Sonata Forms

Functions introduced for the ternary sonata: main theme, transition, subordinate theme, and closing section
Terms introduced for the ternary sonata: subordinate tonality
Functions introduced for the binary sonata: opening, central section, and complementary tonal section
Terms introduced for the binary sonata: complementary tonality

Caplin defines the ternary sonata form exposition as having three thematic areas: *main theme*, *transition*, and *subordinate theme*. This design respects the common nineteenth-century view of sonata form. The main theme is usually a tightknit theme-type that may end with codettas. Its function is to express the home tonality through cadential closure. The subordinate theme typically features loose organisation, which is not to say that it does not consist of a theme type. The formal components of the subordinate theme may be manipulated in some ways to remove it further from the archetypal theme-type models than the main theme. The subordinate theme's function is to confirm the *subordinate tonality* through cadential closure. A *closing section* consisting of codettas may follow. A transition joining the main and subordinate themes is not essential, but is most common. When it is not present, the main theme can end on its dominant to facilitate the move to the dominant subordinate tonality, or it can even modulate to the subordinate tonality and cadence there. The transition is the most loosely organised functional component in the exposition. It is a theme-like unit that stands between the main theme and the subordinate theme and effects the modulation, as well as any change of character that may exist between the two themes. Its goal is normally to achieve the dominant of the subordinate tonality.

The binary sonata has no exposition because it lacks the double return of opening material in the second half. Its form differs dynamically from the ternary form in the way it achieves a sense of balance. In the ternary sonata, an identifiable main theme is essential because it becomes the object of the retransition after the double bar. The unresolved tonal conflict between the main and subordinate themes is resolved through recapitulating the material from both in the home tonality.[49] This resolution balances the

[49] See Charles Rosen, *The Classical Style--Haydn, Mozart, Beethoven*, exp. ed. (London: Faber and Faber Ltd., 1997), 72. On the contrary, Rosen observes that in high-Classical ternary sonata movements the opening material need not return in the recapitulation at all. "It is the classical sense for large areas of stability . . . that establishes what might seem to be the one fixed rule of sonata recapitulation: material exposed in the dominant must be represented in the tonic fairly completely, even if rewritten and reordered, and only material exposed in the tonic may be omitted." This implies that opening material does not need to be tonally reconciled in the second half at all. Though there are a few examples of this in the Classical repertoire (Haydn's Piano Trio, Hob. XV:17 of 1790, for example), it is far from the norm. He adds later on page 74, "In one earlier form of the sonata, of course, current around 1750, the recapitulation normally began with the second subject."

departure with the return after an intervening development section. In the binary sonata, however, only the latter material that was not in the home tonality in first half returns in the home tonality in the second half. Opening material in the home tonality is not recapitulated in the second half because it does not need to be tonally reconciled. The *incipit* (discussed below), or just a fragment of the opening, can return immediately after the double bar, but it usually remains in the complementary tonality and it does not express a reconciliatory recapitulation.[50] The binary sonata's second half, therefore, features a tonal reconciliation rather than a recapitulation. This reconciliation follows quasi-developmental material that can be heard more often as a large retransition, or as a contrasting middle section, than as a development section. Its role is to start at a point after the double bar away from the home tonality and to gradually work its way back after introducing a new idea. It tends not to develop material extensively in foreign keys as a development section does. This is not to say that such sections do not include developmental techniques. The scope of such developmental material, however, is reserved usually to no more than a few measures of new material before retransitional material begins. The contrasting area in the second half is normally about as long as the opening and central section in the first half. The tonal reconciliation and return of only closing material in each half, and the roughly equal lengths of both halves contribute to how the two-part form achieves its sense of balance. This also means that a main theme is not a necessary component of the form.

Similarly, the binary sonata does not have a subordinate theme since there is no main theme; therefore, the term subordinate tonality does not serve very well either.[51] Instead, the first half achieves the tonal complement of the home key, the *complementary tonality*. The material in this section largely confirms the new tonality not as a theme-type, but as repetitive codettas. Since this is the material that is to be reconciled in the second half, the phrase members that form the closing section are emphatically stable with characteristic gestures that will be easily recognised in the return. The term complementary better reflects the general, overall sense of balance that the binary sonata

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[50] See Michelle Fillion, "Accompanied Keyboard Divertimenti," and Heimes, "Ternary Sonata Principle," 222-48. Both these essays discuss the various degrees of non-recapitulative opening material returning in the second half of the binary sonata form. The distance from the double bar and the level of tonal reconciliation of opening material are vital factors in determining whether a sonata form is binary or ternary. None of the sonatas in the current repertoire are ternary, though several do exhibit a degree of non-reconciled opening material immediately following the double bar.

[51] See Heimes, "Ternary Sonata Principle," 233. Heimes notes that the idea of a second theme (subordinate theme) as an area of contrasting thematic material is a Classical notion, and is more properly applied to music before that era.

form achieves through a tonal reconciliation of only the closing material in each half, rather than dramatic contrast, which the ternary sonata achieves.

The functional components of each of Caplin's theme types exist in the binary sonata style, but they are usually isolated phrase members that are often juxtaposed to one another in ways that are not indicative of the Classical style. The first half of a binary sonata follows a different process than the ternary sonata's exposition. There is an *opening* in the home tonality, a transitional or expansional *central section*, and *complementary tonal* and closing sections.[52] Each section contains any number of basic motivic and phrase member level components that combine to express the section's function, but such functions are implicit through the sonata's processes rather than being explicit by functional design. The opening, for example, contains any number of basic motivic and phrase member level components that function to present the home tonality. These phrase members sometimes form intermediate level phrase structures that can be identified through consistent formal processes, but there is no consistent structural standard, such as a main theme, that can be derived from the identifiable placement of formal functions. Instead, the opening, itself, serves to function at the sectional level as the result of a process that develops deeper in the substructure. The central section may consist of a simple transition that stands between the opening and the complementary tonal section, just as a Classical transition stands between the main and subordinate themes, or it can include an expansion section. The complementary tonal section merges with, or immediately follows the central section and contains the crux, post-crux, and closing section. The closing section consists of codettas and is sometimes comparatively long.

Bipartition and Tripartition

Further discussion: opening
Functions introduced: transitional pivot and complementary pivot
Terms introduced: incipit, apex, extended transitional pivot, transitional pivot point, complementary pivot point, and complementary pivot confirmation

One fascinating aspect of the binary sonata's first half is that it may be partitioned into two or three depending on the extent of the dynamic role of the central section. If the central section contains a simple transition, then the first half is bipartite. If it contains an expansion section, then it is tripartite. The central section

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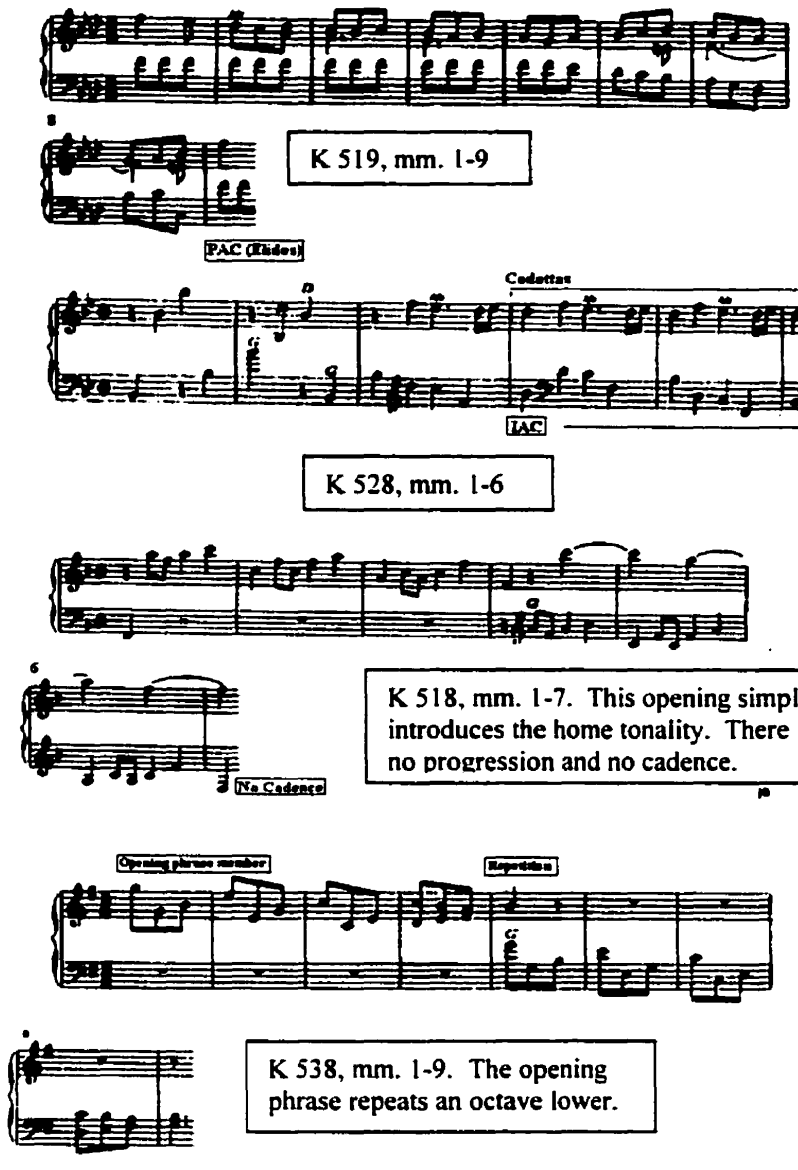
[52] Please refer to Chapter One, pages 10 and 11 of this thesis to review Larsen's observations regarding the design of the exposition. See Larsen, "Some Observations," 115-39.

contains three basic processes whose goal is to achieve the complementary tonality and material. These are: 1) modulation, 2) development, and 3) change of material, texture or character. These processes in an expansion section include the expanding, extending, and sequencing of several and various phrase members. Expansion sections are often quasi-developmental in character. A simple transition, on the other hand, can contain the three processes in a single phrase only. A simple sequence to the complementary tonality is often enough to make the transition explicit. Curt, concluding, cadential activity in the form of codettas usually follows an expansion section. Transitions, however, usually prepare for a longer complementary tonal area.

Three functional components determine the degree of bipartition or tripartition in any sonata form: these are the *opening*, the *transitional pivot*, and the *complementary pivot*. The musical examples for the following descriptions are from the Venice XIII repertoire. These terms are designed to analyse this music specifically; however, they also apply well to many contemporary works.

The *opening* has been introduced above. Its function consists of a basic idea, phrase member, or phrase that presents the initial motives of the opening in the home tonality. A theme-type (such as a sentence or a period) would constitute the opening; however, the term intends more to describe other types of opening phrases or phrase members (such as those in Example 7; K 519, mm. 1-9 or K 528, mm. 1-6). A repetition of a phrase or phrase member can extend the opening (K 538, mm. 1-9), and openings might not cadence (K 518, mm. 1-7). The opening functions purely to express the home tonality and ends with the last phrase member that fulfils that function. The first phrase member I call the *incipit*. It is an initial basic idea. This is the characteristic element that would be distinguishable if the opening were to return in the second half. It is derived from Heimes' usage of the same term to define the *apex*. He describes the apex as a thematic, and not necessarily tonal return of the incipit in the second half.[53] This is of no consequence to the present study, as such a return without tonal coincidence would not constitute a ternary sonata form as described above (specifically, the obligatory recapitulation of the opening material in the home tonality). All the sonatas in Venice XIII are binary forms.

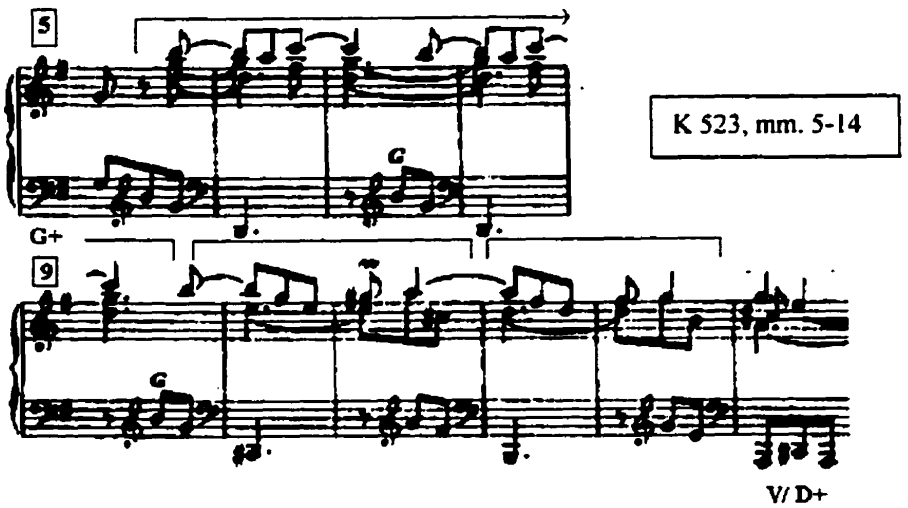
[53] Heimes, "Ternary Sonata Principle," 222, fn 6.



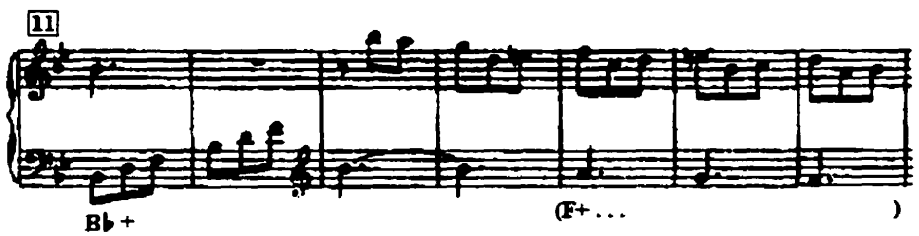
Example 7 **Opening phrases that are not Classical theme-types.**

The *transitional pivot* (Example 8) is the phrase member or phrase that comprises or effects the movement away from the home tonality (K 529, mm. 11-17). I regard any concatenations to this member in the form of complete sequences or direct melodic repetitions as a process that continues and extends the transitional pivot function. I refer to such occurrences as *extended transitional pivots* (K 538, mm. 25-33). The model or initial phrase member might not effect the modulation, but if it begins the process that becomes complete in the following repetition or sequence, then I consider it to be the incipient member of the whole transitional process (K 519, mm. 9-17 and K 523, mm. 5-14). I call the place in the transitional pivot where the direction of the tonal progression is heard to break away from the home tonality the *transitional pivot point*. This location can be a specific pivot chord (in the sense well-known from traditional harmonic theory), a motivic idea charged with the tonal destabilising task, or a complete phrase member.

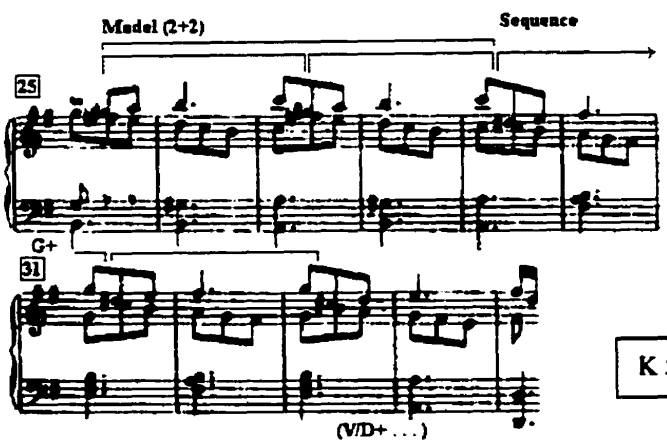
K 519, mm. 9-17.



K 523, mm. 5-14



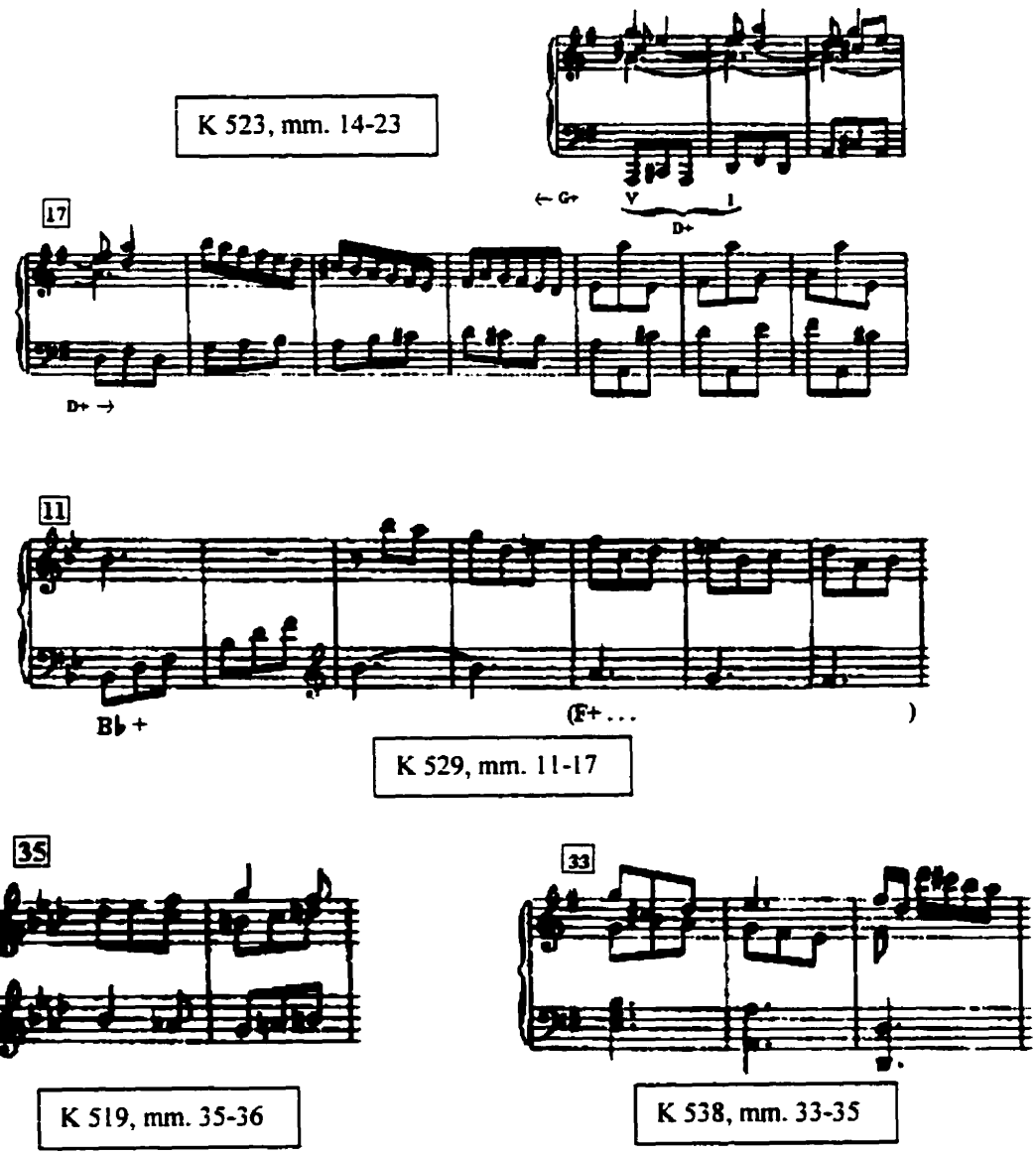
K529, mm. 11-17



K 538, mm. 25-35

Example 8
Examples of transitional pivot phrases and phrase members.

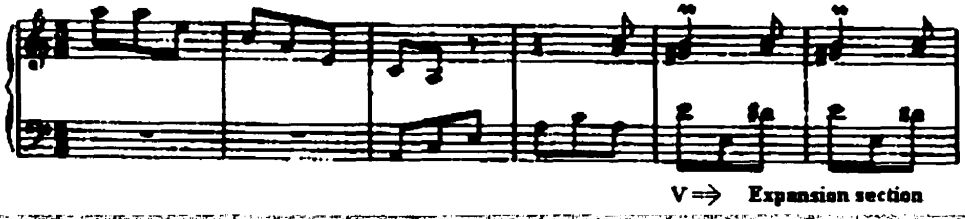
The *complementary pivot* (Example 9) is the phrase member or phrase that comprises or effects the definitive turn to the complementary tonality in its ultimate mode (K 523, mm. 14-20 and K 529, mm. 11-17). It frequently occurs as a short fragment that is part of, or follows from a longer sequential section. (K 519, mm. 35-36 and K 538, mm. 33-35). Sometimes the complementary pivot makes up or flows into a cadential-like gesture, such as in K 538. Such gestures form a *complementary pivot confirmation* (see the discussion on p. 53 below). I refer to the specific pivot chord or idea within the complementary pivot phrase, or phrase member where the direction of the tonal progression turns to the complementary tonality as the *complementary pivot point*.



Example 9
Examples of complementary pivot phrases and phrase members.

The transitional and complementary pivot points can exist in a single, pivotal phrase member (K 529, m. 16), or in separate pivotal phrase members (K 538, mm. 25-26 and m. 33). If the transitional and complementary pivots occur in the same pivotal phrase member (K 529), contiguous phrase members (K 523), or if they appear within an extended transitional pivot (K 538), then a simple transition exists. If, however, intervening material separates them (K 519), then an expansion section exists. Further, the tripartite first half may indicate a mid-century spinning-out-type. This process reduces the opening to a mere incipit, or *head* motive (Example 10). Fischer calls this member the *opening phrase* (*Vordersatz*) in his description of spinning-out-types (K 532, mm. 1-4).[54]

K 532, mm. 1 - 6



Example 10
K 532, mm. 1-6. The opening consists of the incipit only (mm. 1-4). A spinning-out type expansion section follows immediately, continuing until m. 55.

Phrase Construction

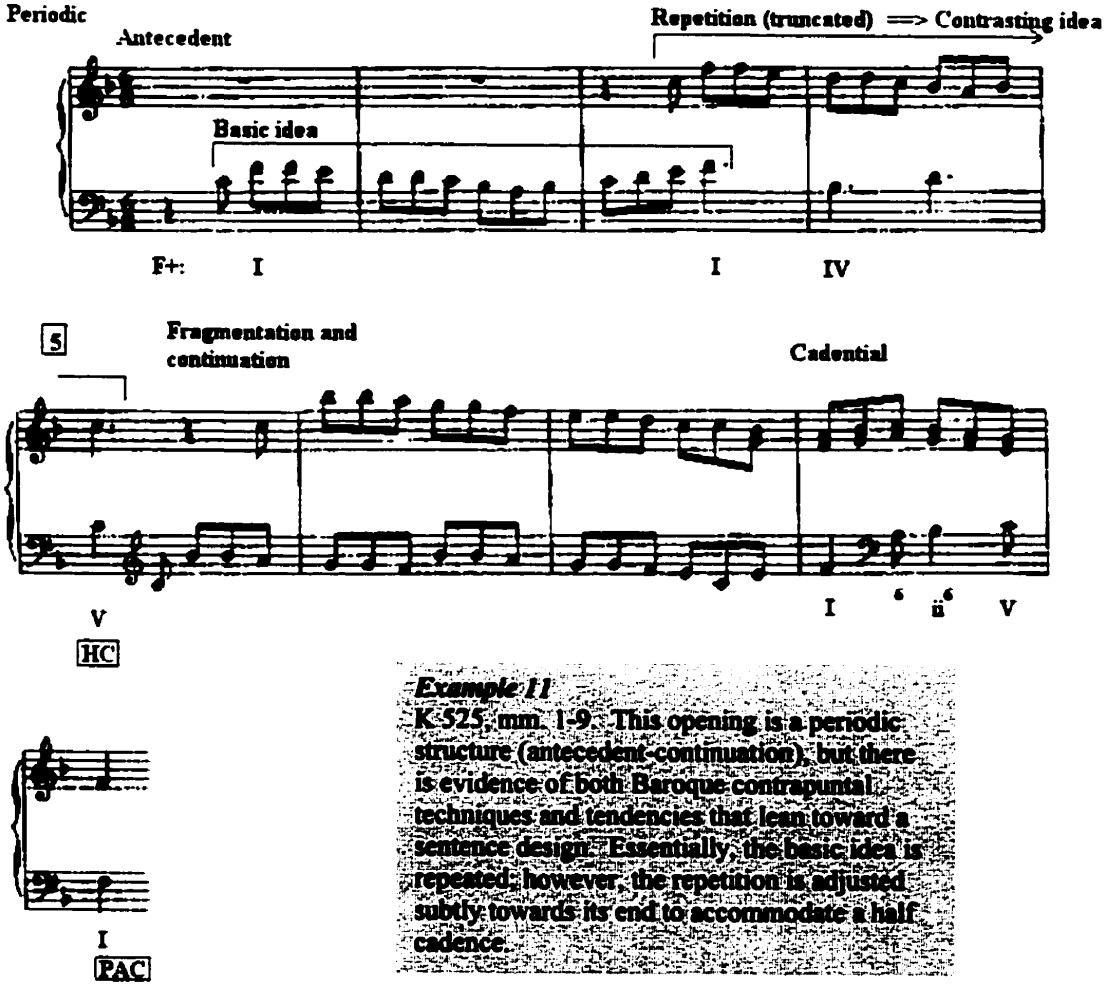
Further discussion: presentation, continuation and cadential
Processes introduced: continuational, presentational, prolongational-cadential, and sequential-cadential
Terms introduced: sentential design, continuational phrase, consequent-like phrase, sentential-consequent phrase, sequential-continuational phrase, spinning-out phrase, and contrapuntal cadence

The phrase construction in first halves varies. Many constructs come close formally to some archetypal structures of the high-Classical era, but rarely conform motivically. Still, there is no reason to label them differently.[55] For example, though the opening nine measures of K 525 have the motivic character of Baroque and

[54] Fischer, "Wiener klassischen Stils," 29. See the present thesis, Chapter One, pages 11-14, for a discussion of the spinning-out type.

[55] See Fischer, "Wiener klassischen Stils," 24-78. His article centres on Baroque spinning-out-type processes slowly merging with *Lied*-types in the move towards Classical style.

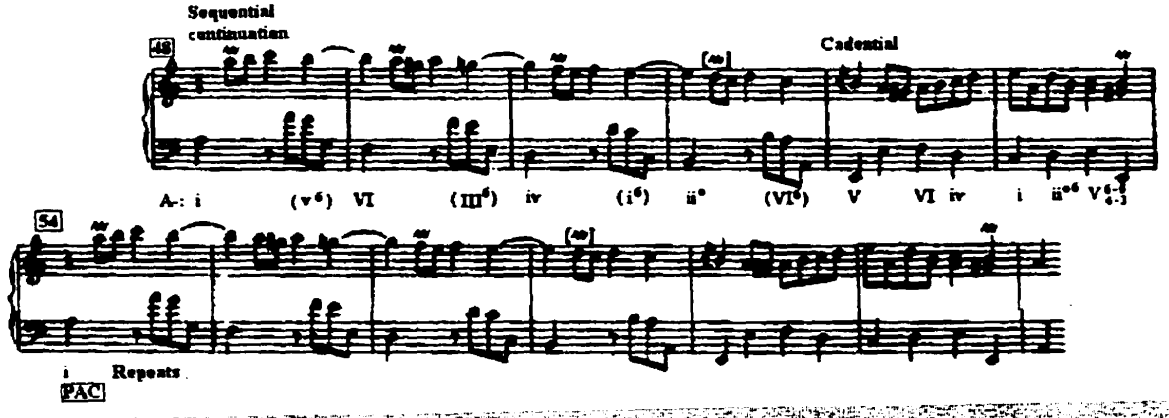
mid-century figures, this unit nonetheless forms a periodic theme-type (Example 11). This opening demonstrates loose organisation and ambiguity by the standards developed for analysing Classical music, but this is very much a trait that hangs over in mid-century music from the previous era.[56] The imitative and somewhat invention-like character of these first nine measures also yields phrases that come close to a sentence. The opening two-measure basic idea is repeated in a characteristically Baroque imitation at the octave, and there is almost no contrasting idea to support a half-cadential progression to measure 5. They also clearly present and prolong tonic harmony. Other mid-century structures remain more Baroque in design, such as the *comma*, which will be discussed below.



Example 11
K.525, mm. 1-9. This opening is a periodic structure (antecedent-continuation), but there is evidence of both Baroque contrapuntal techniques and tendencies that lean toward a sentence design. Essentially, the basic idea is repeated; however, the repetition is adjusted subtly towards its end to accommodate a half cadence.

[56] Please refer to Caplin's discussion in *Classical Form*, 59-63, concerning hybrid theme-types as Classical norms, and refer to page 21 of this thesis for an introduction to his definitions of tightknit and loose organisation.

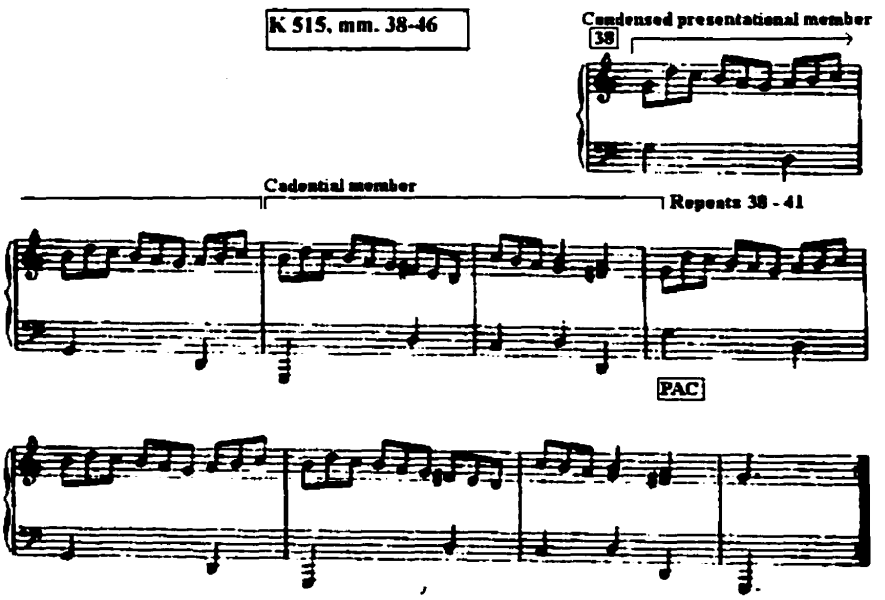
Most phrases in this repertoire consist of two phrase members, the latter of which can contain a cadential function.[57] With the exception of the presentation phrase, this is also true of Caplin's Classical archetypes (that is, continuation, antecedent, and consequent). Continuation-like phrases occur throughout the tonally stable sections of Venice XIII. They typically establish or confirm a tonality with a PAC. Unlike the continuation phrase in the Classical model that Caplin presents, the continuation phrases in mid-century sonatas frequently occur isolated from any theme-type. If an opening contains nothing more than a continuation phrase, then its incipit states the home tonality and the cadential function confirms it. The same is true if a continuation phrase starts the complementary tonal section. Since a continuation phrase is implicitly an integral part of a theme-type or larger construct, I will use the terms *continuational* and *continuational phrase* to refer respectively to the process and function of isolated continuation phrases. (K 518, Example 12 below, uses a repeated, post-crucial (post-crux) continuational phrase in mm. 48-60.) Similarly, presentation-like phrases often appear outside the context of a theme-type. In these cases, they are prolongational, but not necessarily of the current tonality (that is, they prolong the home or complementary tonality). In fact, they may appear as part of a modulation where they prolong some harmonic step in a sequential passage. I refer to these out-of-thematic-context phrase members as being *presentational.*



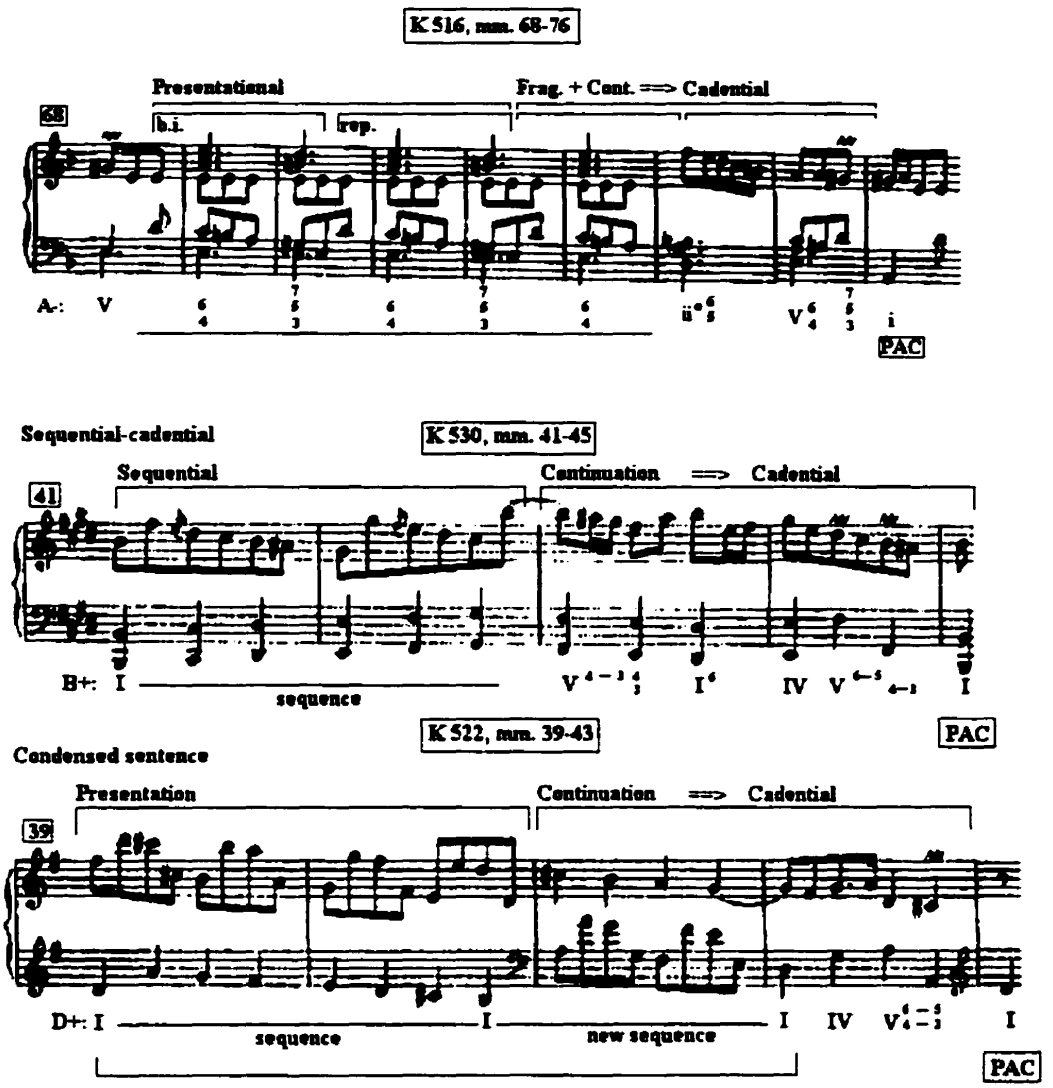
Example 12
K 518, mm. 48-60. Measures 48 to 51 (repeated in 54 to 57) incorporate a descending stepwise sequence in the continuational process. This is a long progression to the dominant, which falls on the downbeat of m. 52 (and 58). The cadential function follows to close the continuational phrase. This particular continuational phrase type consists of a sequential-cadential process, which is common in this repertoire.

[57] Peter Barcaba, "Domenico Scarlatti oder die Geburtsstunde der Klassischen Sonate," *Östereichische Musik Zeitschrift* 15 (1990), 382-90. Barcaba addresses the phrase structure in Scarlatti's sonatas and recognises its two-member design.

Furthermore, a special phrase design occurs when either a prolongational process or a sequential process combines with a cadential function in the space of four measures. (The four-measure design is most common in the chosen repertoire, and it is what I have selected as the paradigm; however, expansions or contractions can occur in any of the structure's phrase members. It is the processes that are the important aspects of these designs.) The *prolongational-cadential* combination forms a *consequent-like* phrase containing a condensed sentential design. The *sequential-cadential* combination forms a continuational phrase. In both cases, the first phrase member contains repeated motives. The cadential member is always present, though the cadence is sometimes evaded. In the condensed sentential design, the first two measures contain the repeated motive to form a condensed presentational unit, which is followed by the two-measure cadential idea, or one measure of fragmentation and a final measure containing the cadential function. This type of *sentential-consequent* phrase is common in the post-crucial and closing sections of the Venice XIII repertoire. There is a repeated sentential-consequent phrase in K 515, mm. 38-46, as shown in Example 13. K 516's presentational member in mm. 68-72 includes a threefold repeat of the basic idea, the last occurrence being truncated. This takes place over a prolongation of the complementary dominant. Fragmentation occurs in mm. 72-73, and the cadential member follows to the downbeat of m. 76. In K 516 the notated $^{3}/_{8}$ time does not reflect the true meter, which sounds more like a $^{6}/_{8}$ compound duple meter; thus, the phrase members are notated in four-measure units, but they sound clearly like two-measure ideas.[58] This meter maintains the compressed four-measure paradigm.



[58] See Caplin, *Classical Form*, 35. Caplin discusses real versus notated measures.



Example 13
K 515, mm. 38-46 and 516, mm. 68-76. These are both sentential-consequent phrases. K 515 is standard, but K 516 is unusual with its threefold repeat of the basic idea. K 530, mm. 41-45 contains a sequential-continuational phrase. K 522, mm. 39-43, includes a complete condensed four-measure sentence.

The *sequential-continuational phrase* design sequences a motive in the first phrase member and closes with a cadential gesture (sequential-cadential combination). The example of the continuational phrase in K 518 discussed in the preceding paragraph comprises the sequential-continuational design, but this occupies eight measures. K 530, mm. 41-45 in the example below shows the four-measure form. The sequential-continuational phrase design relates closely to Fischer's spinning-out type, discussed in Chapter One.[59] It contains two phrase members, but the process unfolds in three parts: head motive (incipit), sequence, and cadential member. The sequence progresses to the dominant in the third measure. This design is inherently more Baroque than Classical,

[59] See Chapter One, page 13, of this thesis for a review of Fischer's spinning-out types.

and it is a common opening design in this repertoire (incipit-sequential-cadential). The incipit can even stand apart from the rest of the opening phrase making the three-part, or *spinning-out phrase* design more apparent (Example 15, K 515, mm. 1-11).

Sometimes a prolongational phrase member can be disguised as a sequence. This happens when a harmonic prolongation takes place through a melodic sequence. The effect is still of a compressed sentential design, and the phrase is consequent-like. This case occurs in the opening four measures of K 527 (Example 17 on page 42). The melodic sequence coincides with a tonic prolongation. This forms a miniature statement and response figure.[60] The phrase member is, therefore, presentational. To the contrary, in K 518 in Example 12 above, the sequence enhances a progressive strengthening of the dominant preparations as it moves to the dominant. This phrase member is truly sequential, and the phrase is continuational. The same is true in the example of K 530 above, which is a four-measure sequential-cadential structure. K 522, mm. 39-43, is a complete condensed four-measure sentence. Measures 39 to 40 prolong tonic harmony through a sequence. This forms the presentation member. The sequence, however, remains the fundamental feature of this phrase. Even though the sequence is interrupted in measure 41, the effect is still of the same process continuing until the cadential component in measure 42.

Caplin's study introduces a tonic prolongational hybrid phrase that consists of a basic idea and a contrasting idea. He calls this structure a *compound basic idea*.[61] Caplin describes this prolongational member as resembling an antecedent phrase, only the underlying harmony is a tonic prolongation and it does not cadence. The four-measure unit represents a hybrid of antecedent and presentation functions. The opening of K 532 (Example 10 on page 32) forms a compound basic idea. When the compound basic idea combines with a continuation phrase, the resultant form is a hybrid sentence. Unlike the two-measure presentation member in a four-measure prolongational-cadential design, the compound basic idea cannot retain its identity when condensed. The two-measure form of this construct yields a single basic idea.

A remarkable feature of Scarlatti's phrase construction is its structural integrity on a hierarchical scale. Using the motive as a generating cell, Scarlatti allows the form to emerge from the substructure. Repeated one-measure motives can form a two-measure basic idea. This basic idea, if repeated, can expand to become a complete presentation

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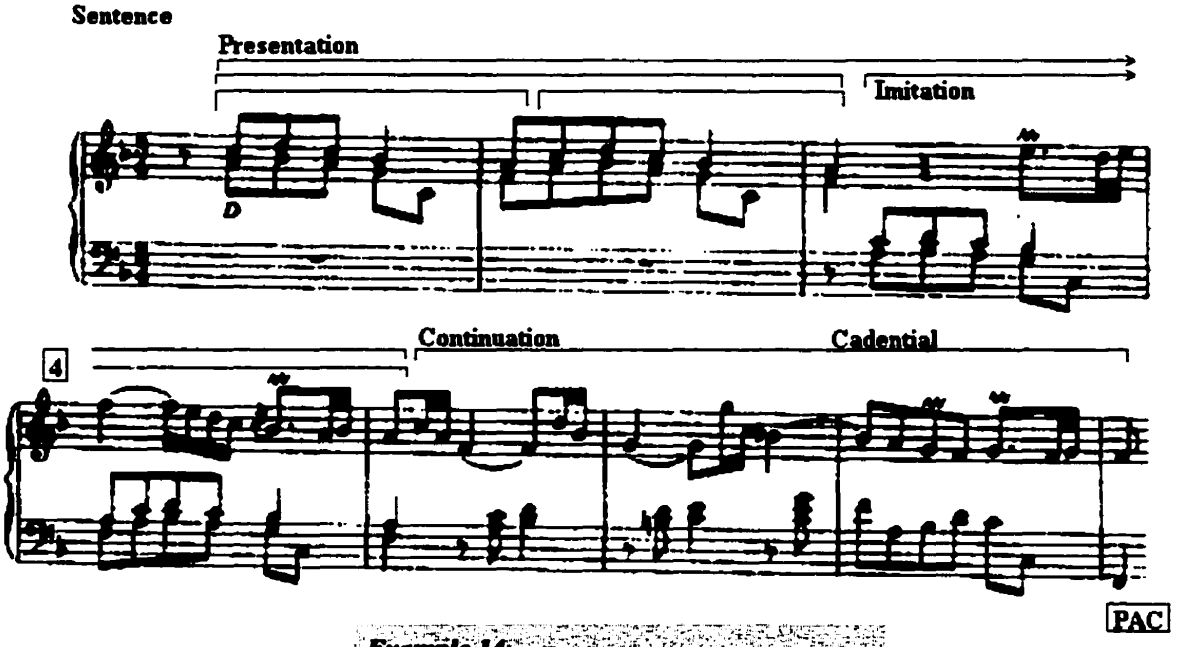
[60] See Caplin, *Classical Form*, 39. Caplin refers to a statement-response arrangement resulting from the basic idea first occurring in its tonic form, and then repeating in its dominant form.

[61] Caplin, *Classical Form*, 61.

phrase. If this appears in the opening, the result is a magnificently structured, tightknit presentation of the home tonality. K 542's opening four measures exemplify this craft (Example 14). Though most phrases are rarely this extreme in the use of this device, Scarlatti's motivic integrity is essential in creating his small formal units, such as the condensed four-measure sentence design, discussed above. The motive is the origin of a larger, organic structure that does not develop from conventional, high Classical functions (that is, Caplin's archetypes), but from a Baroque process of smaller units weaving together a formal design. Substructural units can influence the higher level design. The result is a highly integrated and organic form of composition.



Example 14
K 542, mm. 1-7. The opening motive is repeated to form the basic idea. The basic idea is then repeated as an imitation with a countermelody to form the presentation phrase.

Many constructs contain prolongational phrases that do not cadence, such as presentations. Openings may consist of prolongational units that never come to a cadential closure (see K 518 in Example 7). Other structures include cadence types that are more commonly associated with the Renaissance styles of writing, and contrapuntal textures. Scarlatti uses these especially when he opens his piece with a single-line melody. In these cases the harmonic analysis is often open to speculation, but the progression and the intended cadential closure is clear. The cadential closure is usually defined by an implied vii^{o6}-chord moving to I and coinciding with closing linear movement. It often includes a characteristic suspension. I call this a *contrapuntal*

cadence. It is less emphatic than an authentic cadence when the two exist in the same section of music. K 526 in Example 16 on page 41 is a good example of the contrapuntal cadence (CC) in measures 5 and 9. Measures 9 to 11 (not shown in the example) form a codetta that ends with a stronger PAC.

Terminology for Openings

Further discussion: opening function and incipit
Terms introduced: incipit fanfare, imitative or repetition opening, stretto, simple openings, composite openings, complex openings, and comma

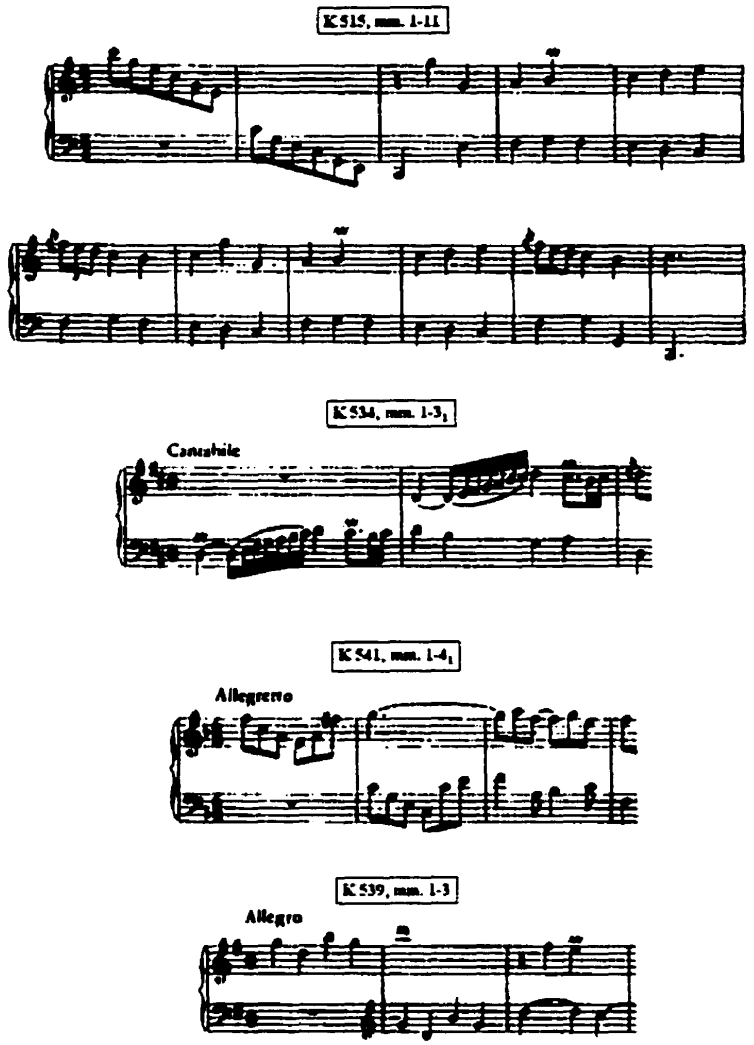
The openings of Scarlatti's Venice XIII first halves contain one or more of the phrase members introduced above. Chapter Three contains analyses of the openings according to phrase-types. Opening phrases commonly include unique devices and processes that can appear nowhere else in the half, or in the piece. Such devices and processes can determine opening types along with the phrase design. These devices and processes fall typically into two broad categories: 1) the *incipit fanfare* and 2) the *imitative* or *repetition opening*. Sometimes the opening contains more material than a single phrase and its codettas. This forms a *composite opening*. All openings end on either the tonic or the dominant, and can be extended by repetitions or codettas. Following is a description of terms I use to describe openings and their components (Examples 15 through 17).

Incipit: The term *incipit* has been discussed above as being borrowed from Heimes. I use it to indicate the opening basic idea, or initial presentation that introduces the home tonality. This can include a tonic prolongation or it can present the dominant of the home tonality. In some instances, when there is no main theme in a binary sonata, the incipit can be the only opening gesture (K 534, mm. 1-2). Unless it is repeated in the opening, the incipit rarely returns in the first half.

Incipit Fanfare: The *incipit fanfare* is an incipit that presents the home tonality primarily through a fanfare-like flourish consisting of a scale or an arpeggiation, or an octave displacement of members of the tonic triad. Once the fanfare ends, the rest of the opening follows with an authentic cadential progression or tonic prolongation.[62] Fanfares, therefore, usually initiate a larger opening process (K 515, mm. 1-11), but not necessarily (K 534, mm. 1-2). The prolongation at the beginning of an opening sentential-consequent phrase, for example, can be an incipit fanfare (K 541, mm. 1-2). The fanfare is sometimes in stretto (K 539, mm.

[62] Caplin, *Classical Form*, 199. Caplin mentions "fanfare gestures" that begin a piece over a tonic pedal, but does not elaborate as it is not a typical feature of the high-Classical style. He notes that Haydn's Symphony 97 opens with such a device.

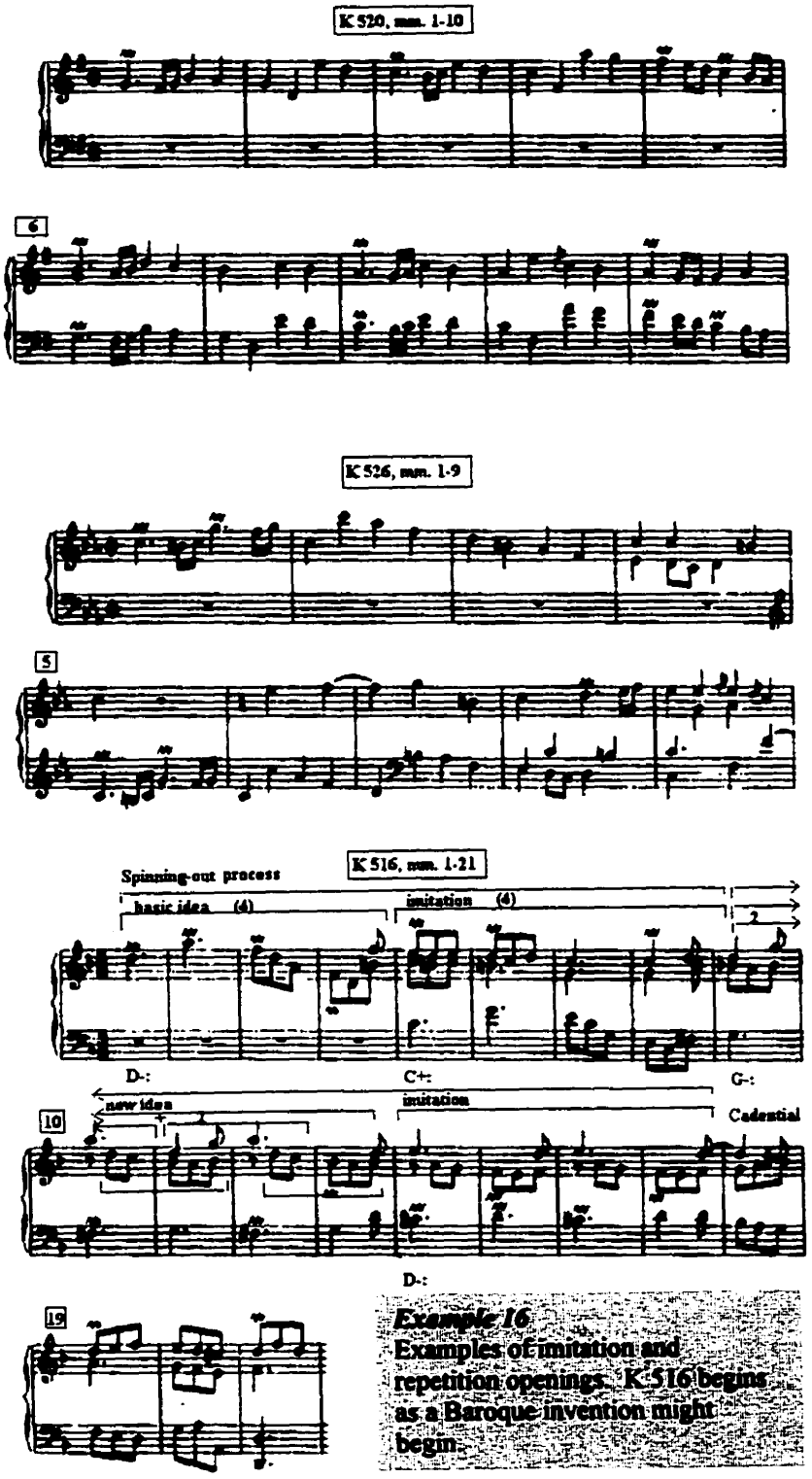
1-3$_1$). Though the term fanfare itself can denote a loud, brassy flourish, this is not necessarily the intention of its meaning here. For example, the fanfare that opens K 534 is slow and melodious, but it otherwise remains lavish in its display of the home tonality (K 534).



Example 15. **Examples of incipit fanfares.**

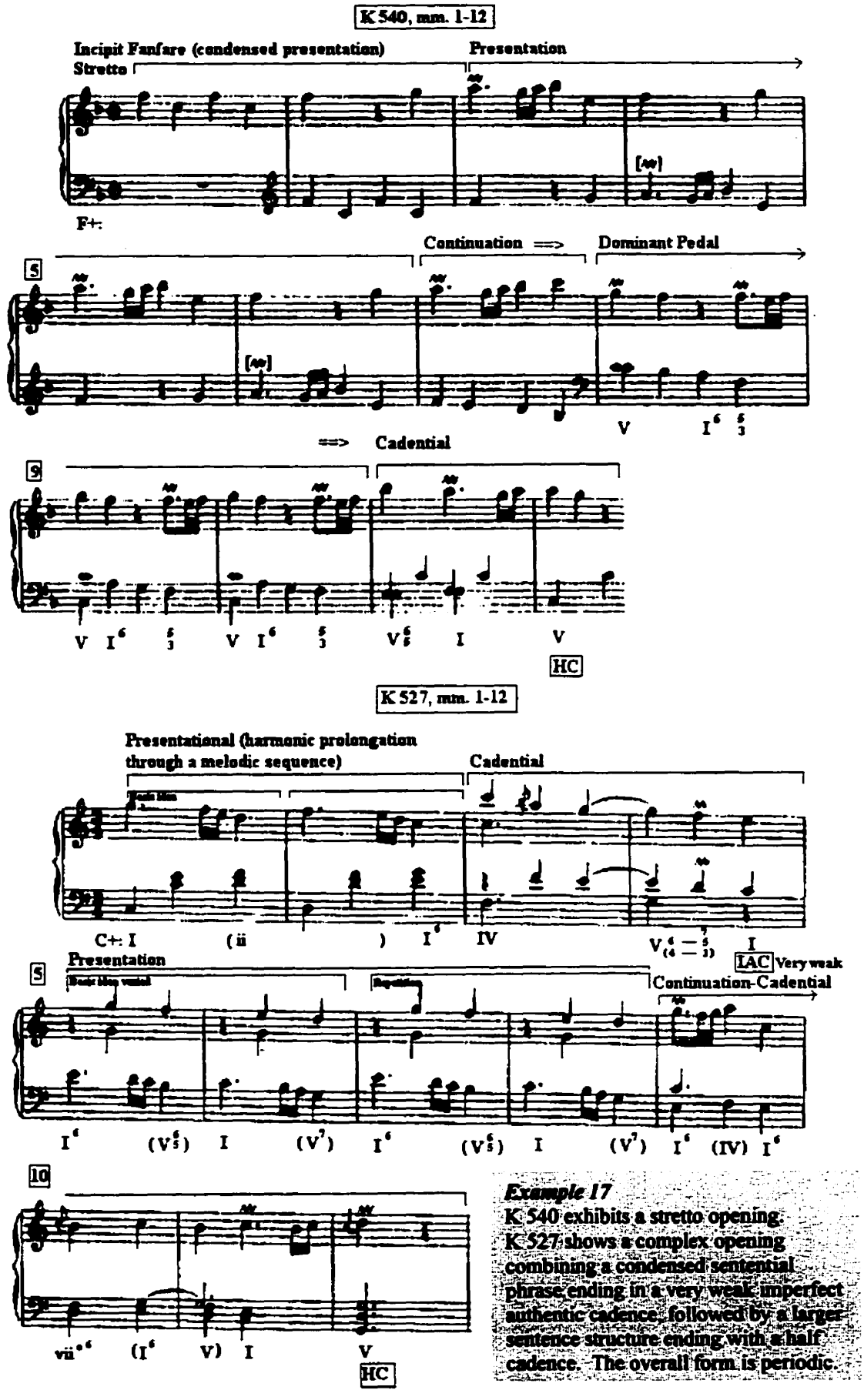
Imitative or Repetition Opening: The *imitative* or *repetition opening* represents the two-fold playing out of an incipit (or incipit fanfare). Sometimes the opening melody is a single line that continues during the imitation or repetition, offering a countermelody or simple harmonic support (see Example 16 below, K 520, measures 1 to 10 and K 526, measures 1 to 9). The repetition can enter at the octave (or unison) or at another tonal level. It need not be exact. The model can be either a phrase member or a phrase. Imitative openings commonly imitate the model an octave lower (an eleventh when it represents a response to the model). The model can sound alone, with no accompaniment. When the imitation occurs, there may be an accompaniment or not. The accompaniment develops either contrapuntally or homophonicly from in the original voice. These openings can resemble a Baroque invention; however, they are short-lived and no half in the sonatas of Venice XIII actually becomes a complete invention (see K 516, measures 1 to 21). This is another example of how Baroque free-flowing forms

become curtailed by a growing preference for Classical structures in mid-century music.



Example 16
Examples of imitation and repetition openings. K 516 begins as a Baroque invention might begin.

Stretto: Some imitative openings occur obliquely, so that the imitation arrives in stretto with the model. Though the stretto overlaps the opening ideas, the effect can be presentational when it prolongs or presents the home tonality. K 540 features a *stretto* type of imitative opening (Example 17).



Example 17

K 540 exhibits a stretto opening. K 527 shows a complex opening combining a condensed sentential phrase ending in a very weak imperfect authentic cadence, followed by a larger sentence structure ending with a half cadence. The overall form is periodic.

Simple, Composite, and Complex Openings: Scarlatti's openings can consist of nothing more than a single phrase member, or very often, a single phrase consisting of two or three members, of which only the latter is cadential, when a cadence exists at all. Codettas and pedal points can follow. These types of openings I distinguish as *simple openings*. Larger openings consisting of consecutive, non-cadential, tonic prolongational phrases form *composite openings*. Composite openings can end with a cadence, but complete phrases, such as presentations, exist before the ultimate cadential phrase or phrase member with no intermediate cadences. An intermediate cadence can occur in a composite opening only if it is followed by a non-structural repeat. If any other intermediate cadences occur within the opening, the structure is *complex* (Example 17, K 527, mm. 1-12).[63] A theme-type, such as a period (antecedent-consequent), would constitute a complex opening; however, a sentence would not, as it contains no intermediate cadence. Instead, a sentence would form a composite opening under this analytical protocol. Scarlatti's composite and complex openings, however, rarely combine phrases and phrase members in ways that form clear, high-Classical theme-types.

K 527 (Example 17) contains a peculiar design that consists of a weaker imperfect authentic cadence followed by a stronger half cadence. This type of organisation has been referred to as an antiperiod. I use the term *comma* to refer to this type of structural organisation.[64] K 527 begins with a prolongational consequent-like phrase ending on a very weak imperfect authentic cadence. This is a condensed sentential unit. Its final cadence lacks intensity mainly because of the combination of two events: the cadential tonic (measure 4, beat 3) moves to an inner voice as it arrives on a metrically weak pulse. The following eight measures expand into a full sentence structure, though the presentational prolongation is not a standard Classical design with typical solid root-position harmonies being prolonged. What is interesting is that the four-measure presentation in measures 5 to 8 is strongly related to the two-measure prolongation in measures 1 and 2, where the basic idea first occurs as a single two-measure unit. This relationship evokes a periodic design within the comma's overall structure. Further, it

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[63] See Caplin, *Classical Form*, 59-70. Caplin discusses hybrid and compound theme-types resulting from mixing different types of phrases and phrase members.

[64] Webster, James. *Haydn's "Farewell" Symphony and the Idea of Classical Style*, ed. Ian Bent (Cambridge: Cambridge University Press, 1991), 44. Webster describes the antiperiod as having a consequent that cadences off the tonic, leaving it more open than the antecedent. I feel that the term antiperiod contravenes the structure's inherent periodic design. See Douglass M Green, *Form in Tonal Music*, 2nd ed. (New York: Holt, Reinhart and Winston, Inc., 1979), 55-56 for a description of the period's singleness of tonal structure. I have chosen 'comma' because it refers to a grammatical punctuation that can separate a clause or a complete idea from the rest of a sentence. It signals there is more to come. The etymology of the word suggests that it stems from the Greek *komma* which means a clause in a sentence: "that which is cut off" (*koptein*, to cut off). In being "cut off" something is complete in that it is isolated, yet incomplete in that it belongs to something more. Further, we borrow the overburdened terms period and sentence from grammar with little reservation; the term *comma* fits into the pattern with very little excess baggage.

can be argued that the half cadence in measure 12 is a stronger end than the weak imperfect authentic cadence at the end of measure 4. The eight-measure sentence following the consequent-like opening four measures is an expansion on the former phrase, despite the difference in cadential closure. The comma, therefore, is not antiperiodic, even if the phrase organisation reflects a contrary consequent – antecedent disposition. It maintains the dual-member balance like the period's antecedent-consequent design, even if the final cadence remains structurally open. The dynamic tonal weight of both the period and the comma rests in the latter member.

The three categories for openings introduced above are not mutually exclusive; for example, incipit fanfares can begin an imitative opening, or a repeated opening phrase can lead to another non-modulating phrase and form a composite opening. What they present is a method for identifying the processes in opening sections. This method helps to clarify the onset of the transition or the expansion section. No one specific type of opening occurs with one specific type of central section.

Terminology for the Central Section and the Crux

Further discussion: crux, perfect crux, pre-crux, the concept of perfection
Functions introduced: perfect pre-crux
Terms introduced: false crux

Kirkpatrick refers to the central section as "the really dynamic portion of the first half."[65]

> . . . This I have called the *Central Section* . . . It is not always definitely separable from the Opening, nor are the functions of its members clearly defined. I use the term largely to refer to the chain of modulations that lie between the first departure from the opening tonic and the Crux.[66]

The central section of the binary sonata's first half always contains the transitional process. This process can vary in size from a single pivot point to extensive expansion sections that can take up most of the half. Whether the first half is bipartite or tripartite depends on the degree of emphasis placed on the transition. Transition types can be identified according to various transitional processes and functional components. The central section begins with the transitional pivot member and ends with the onset of the

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[65] Kirkpatrick, *Domenico Scarlatti*, 256.
[66] Kirkpatrick, *Domenico Scarlatti*, 256-57.

complementary pivot confirmation (discussed below), which signals the beginning of the complementary tonal section. In the bipartite sonata form, this includes the transition and the pre-crux. In the tripartite form, it becomes the central expansion section, which can include the crux and post-crux, as well. Since the tonal plateau often emerges within the transitional process, the following discussion necessarily introduces some terminology for the complementary tonal section, such as the crux.

The crux has been discussed at length in Chapter One. The present study also adopts Kirkpatrick's terms *pre-crux* and *post-crux* and more precisely defines them. The concept of *perfection* becomes an important analytical consideration. Perfection occurs when congruent structural material in each half coincides with the tonal reconciliation. In general, the term *perfect* can precede any other term to reflect such an occurrence (*perfect crux*, for example). The following list introduces the terms used to analyse the central section.

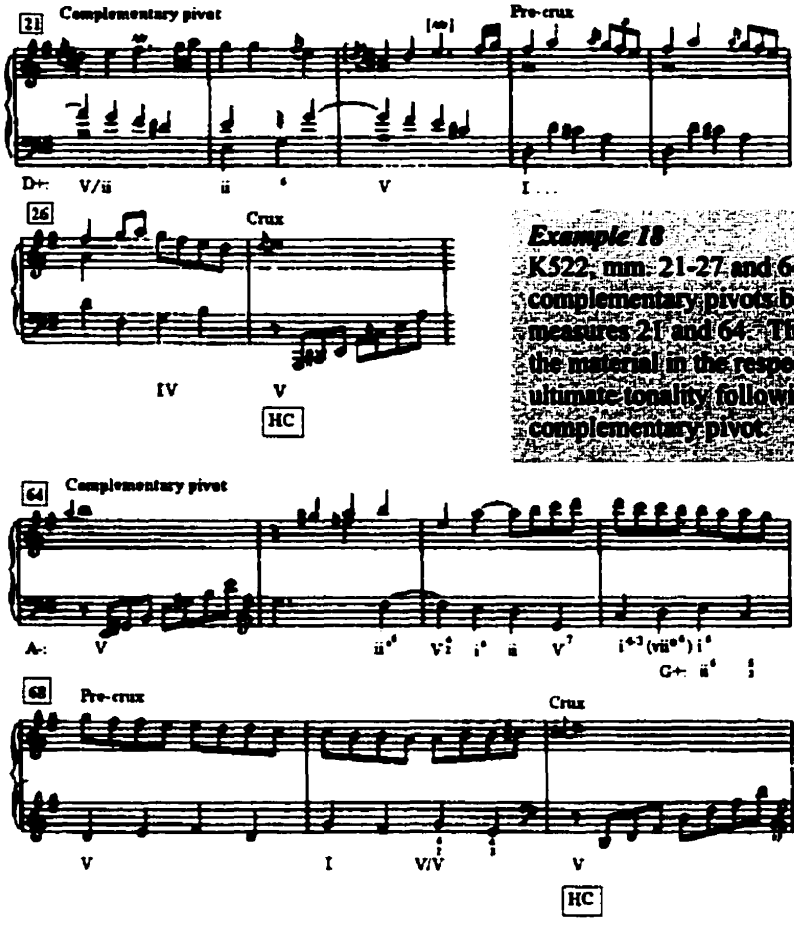
Crux: (See pages 8 and 9). I use Kirkpatrick's definition of the crux (that is, ". . . the meeting point in each half of thematic material which is stated in parallel fashion at the end of both halves with the establishment of the closing tonality . . ."[67]). The crux is not a phrase member. A phrase member contains the crux.

Pre-crux: Kirkpatrick defines the pre-crux as that section immediately preceding the crux, which serves to prepare the concluding cadential activity of the complementary tonal section.[68] The function of the pre-crux is not necessarily cadential, according to Kirkpatrick, though it often ends with a half cadence or some other cadential gesture. The position of this study is that the pre-crux is not cadential at all, as it more prepares for the crux rather than it ends the previous section. The pre-crux occurs in either half where the closing tonality starts before the parallel material (the crux). It normally immediately follows, or coincides with the complementary pivot. In K 522, the crux appears in measure 27 in the first half and measure 70 in the second half. (Please refer to Example 18 on the following page). In both cases, the closing tonality in each half already exists in the dissimilar preceding material: measures 24-26 in the first half and measures 68-69 in the second half. These are the pre-cruxes. The complementary pivot in the first half occurs with the final sequence of a quasi-sequential transitional phrase. The dominant tonality (D-major) in measures 21-24 becomes clear only when the sequential movement ends. It is more complicated in the second half. The complementary pivot from measures 64 to 67 differs from its counterpart in the first half, as does the material of the pre-crux in measures 68 to 69. The complementary pivot begins in measure 64 in the supertonic region. The home

[67] Kirkpatrick, *Domenico Scarlatti*, 255.

[68] Kirkpatrick, *Domenico Scarlatti*, 257 and 262.

tonality arrives by measure 68, but it is not confirmed until the crux. This means the complementary pivot continues through the pre-crux.

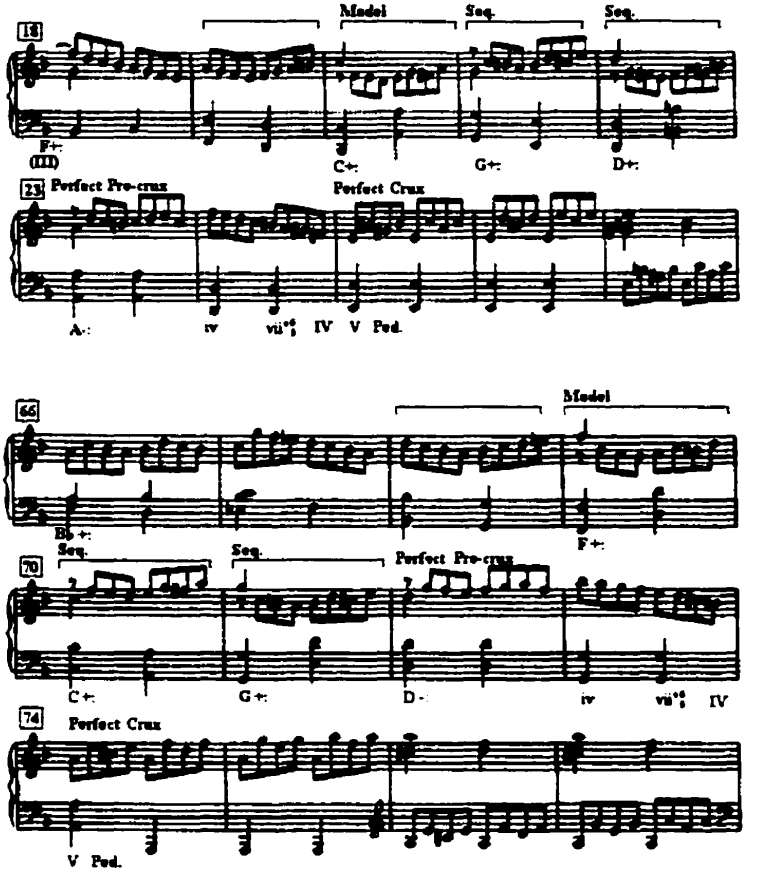


Example 18
K522, mm. 21-27 and 64-70. The complementary pivots begin in measures 21 and 64. The pre-crux is the material in the respective half's ultimate tonality following the complementary pivot.

Perfect crux: Heimes's description of the perfect crux was introduced in Chapter One. Unger clarifies Heimes's position by further positing "the term *perfect crux* to denote those cases where the crux coincides with the beginning of the closing tonal plateau in each half."[69] Since only a portion of a binary sonata's first half returns in the second half, it is necessary to define the recapitulative process proportionally. Technically, the existence of a pre-crux should preclude any opportunity for the existence of a perfect crux. (If the crucial tonality exists before the return of crucial material in one half or the other, then there can be no perfection.) This does not accommodate instances where the complete tonal plateau is the object of the recapitulation. Unger sets a precedent that clearly distinguishes the transition from the complementary tonal section. This means that should the transition establish the complementary tonality within itself (which

[69] Unger, " Methods and Incidents," 16. Unger addresses the term *perfect crux*, suggesting that it be associated as closely as possible with the Classical notion of recapitulation. Please refer to Chapter One, page 9, of the present thesis for a preliminary discussion of this term.

is often the case) it does not necessarily indicate the onset of the complementary tonal section. Sometimes, it only sets up the complementary tonality. It is possible, therefore, to have both a pre-crux and a perfect crux in the same movement. K 517 has a perfect crux in measure 30 (and 74) that follows coincidental transitional material in both halves in their respective closing tonalities (mm. 18-30 and 67-74, respectively). These sections are *perfect pre-cruxes*. Please refer to Example 19 below.

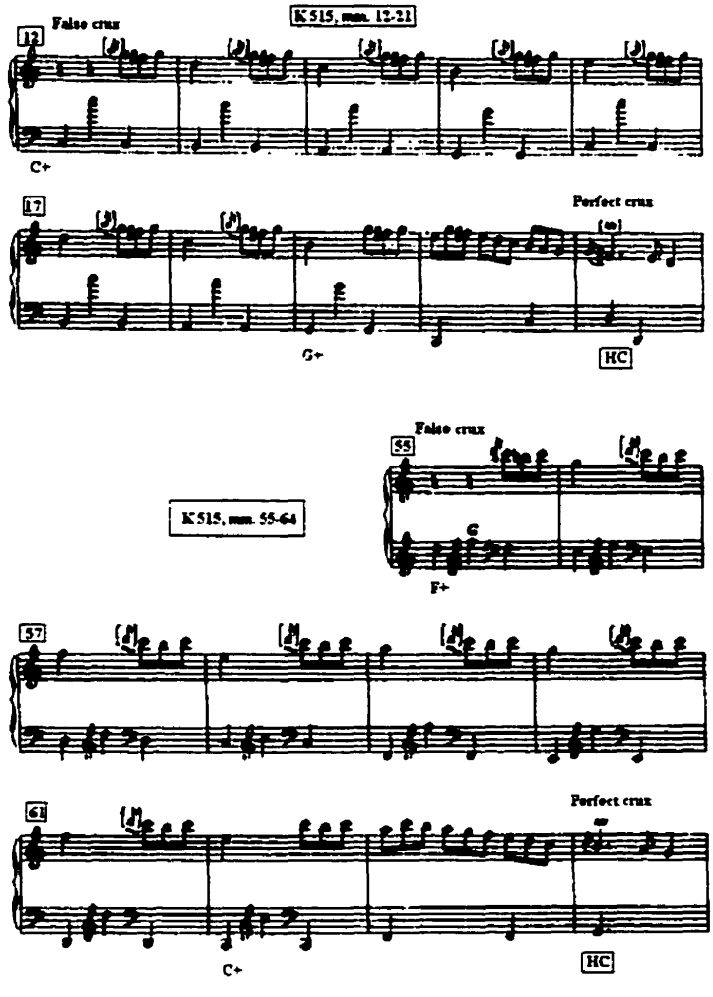


Example 19
K517, mm. 18-27 and 66-77. Example of perfect pre-crux and perfect crux.

Perfect pre-crux: The perfect pre-crux reflects a coincidence of parallel material with each half's closing tonality within the transitional member. In K 517 such an event occurs in measures 23-24 in the first half and measures 72-73 in the second half. The perfect crux follows immediately in measures 25 and 74. This allows the crux to maintain its identity with the onset of a clear and definite motivic passage that confirms the complementary tonality. The parallel restatement of material actually begins in measures 18 and 67; however, the closing tonalities are

not confirmed until measures 23 and 72. The parallel material beginning in measures 18 and 67 will be discussed below under *false crux*.[70]

False crux: As noted in Chapter One, Heimes recognises that the crux might also reflect a return of thematic material even if the parallel material in the second half has not finished modulating back to the home tonality. This assertion assigns a somewhat more recapitulatory function to the crux than Kirkpatrick intends. The label *false crux* applies to such a segment to signal that parallel material has returned before the tonal reconciliation (at the crux) has arrived. This observation preserves the crux as a procedural element of the binary sonata while not becoming a formal event. (See Example 20, K 515, mm. 12 and 55, and Example 19, K 517, mm. 18 and 67, where there is a coincidence of motivic materials before tonal reconciliation.) False cruxes may appear to be in the respective complementary tonalities, but they are still playing out the transition. The perfect crux does not arrive until this process ends.



Example 20
The material in the false crux is clearly transitional, as it comes directly from sections in the initial tonalities indicated.

[70] I make no attempt to identify preparatory material as Unger does in "Methods and Incidents" (preparation by scale or arpeggio passage, by sequential passage, by extended or prominent dominant, and transitional theme, all occurring with or without caesura) as such devices are peculiar to Scarlatti and are not meant to represent a common practice consistent within the binary sonata form. Instead, preparatory material in any sonata occurs with the complementary pivot and pre-crux, as defined in this study.

Terminology for Regions of Tonic and Dominant Confirmation and Prolongation

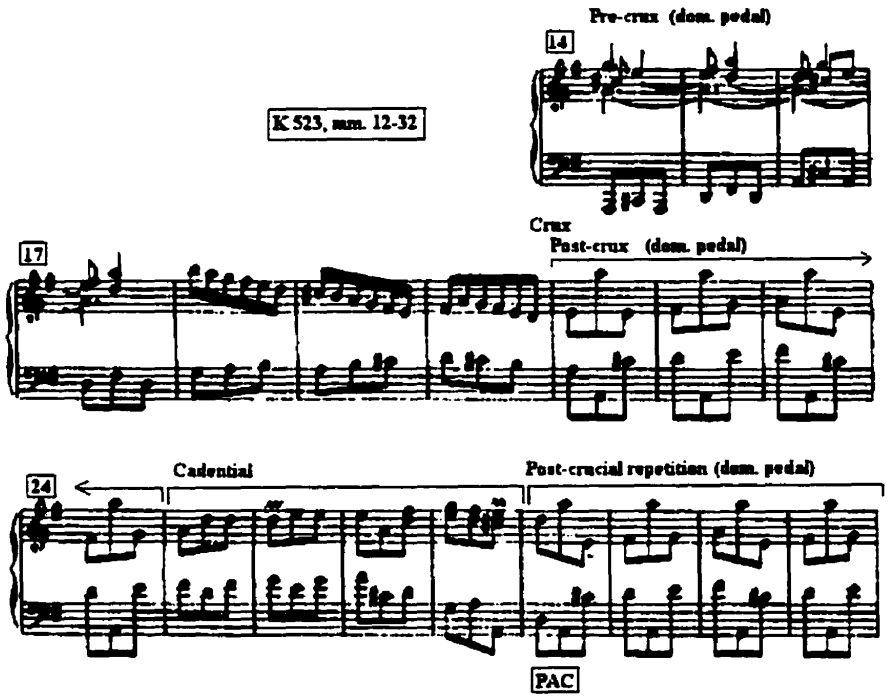
Further discussion: dominant pedal point (dominant pedal)
Functions introduced: tonic affirmation
Terms introduced: closed dominant pedal point

Regions of extended harmonic prolongation occur commonly in the sonatas of Venice XIII. These often include *pedal points*, which are repeated notes or long note values that occur in one or more voices and are constant through every measure of the prolongation. Since a prolongation can confirm the arrival of a tonality, prolongational phrases are common at points where tonal confirmation is needed, such as at the onset of the complementary tonal plateau. *Dominant pedals* and *arrivals* are especially prevalent. Tonic affirmations are similar phrases that confirm or prolong an established tonality. Dominant pedals (arrivals) and tonic affirmations form functional members in the sonata's substructure, and they can appear in any section of the work. They often take on a condensed sentential design, consisting of a prolongational member (2 measures + 2 measures) and cadential member (2 measures).

Dominant pedal point (dominant pedal): (See Example 21). This is a functional area of extended or prolonged dominant harmony that is typified by a constant or continually repeated dominant pedal tone in one or more voices. Often, it follows from a phrase member whose goal is dominant harmony (usually of the complementary tonality). The dominant pedal point is a self-contained structural member, and is not a part of the phrase member that preceded it. As a non-cadential dominant arrival typically ends the transition of the Classical sonata, so one or more dominant pedal points might end the central section in the mid-century style.[71] They are often long and emphatic and can influence the formal structure dramatically. They frequently occur with a dominant arrival. The mid-century dominant pedal can end a transitional process by confirming the complementary tonality. Dominant pedals can also occur well within the already established complementary tonal plateau (see *post-crucial dominant pedal* below). It becomes a functionally vital feature that assumes a pre-crucial, crucial or post-crucial role in the first half; therefore, it can close the transition while simultaneously opening the complementary tonal plateau. In such cases, it can elide the central section with the complementary tonal section. Because of this dichotomy, such dominant pedals merge the transition with the complementary tonal section. K 523 exhibits a dominant pedal established in an upper voice of measure 14. This dominant pedal functions as part of the pre-crux to measure 17, after which a three-measure continuation member leads to the crux. Another

[71] Caplin, *Classical Form*, 79-81. A dominant arrival occurs when a phrase achieves the dominant through a definite progression, but there is no cadential closure because the phrase at that point does not end melodically, structurally, or rhythmically.

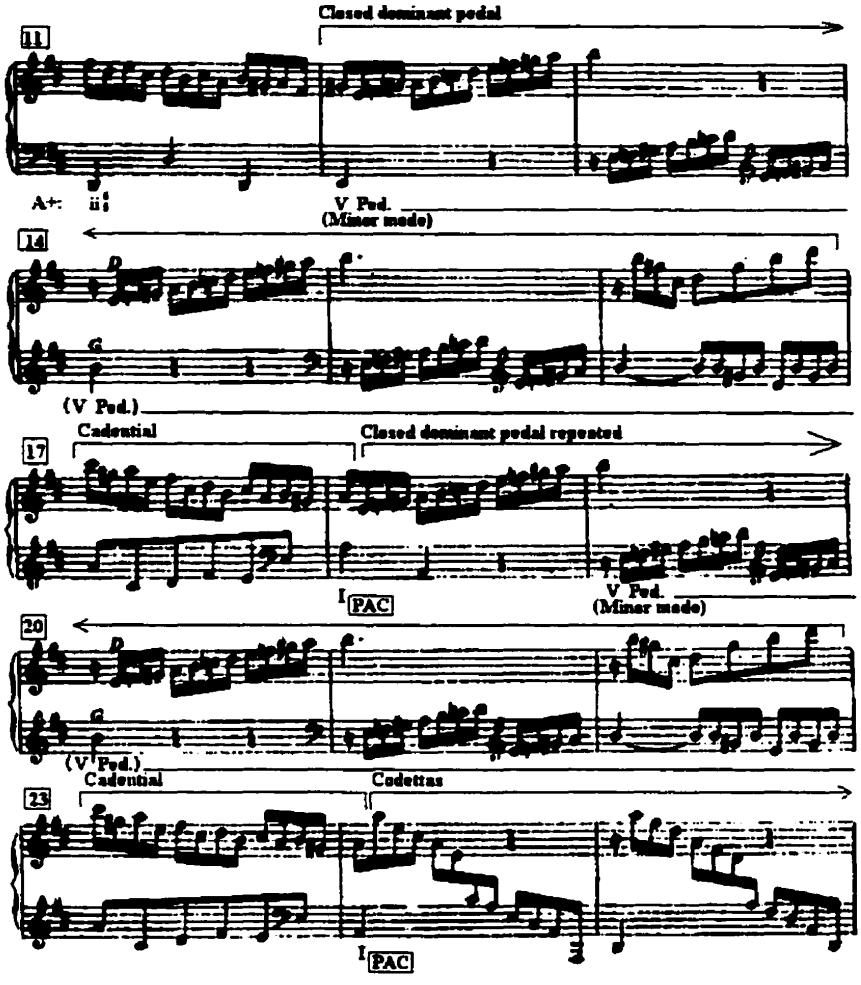
dominant pedal section (the post-crux), beginning in measure 21, highlights the crux. The first dominant pedal, which begins at the crux, is the crucial dominant pedal. In measure 29, the crucial dominant pedal becomes restated post-crucially. This sonata exhibits all three instances of dominant pedals in the complementary tonality.



Example 21 **Three instances of dominant pedal points: pre-crucial, crucial, and post-crucial.**

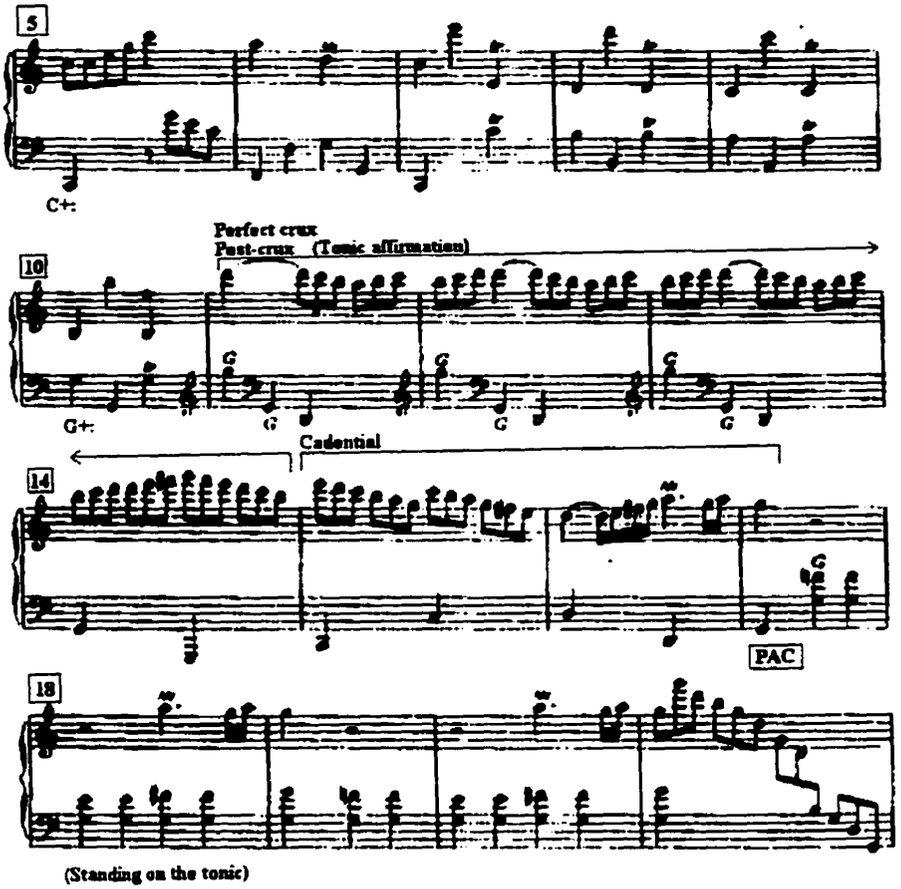
Closed dominant pedal point: (See Example 22). The mid-century dominant pedal point often ends with a short cadential progression leading to the tonic. This cadential progression may happen even when the pedal point doubles as a dominant arrival; hence, the term *closed dominant arrival* serves, as well.[72] A cadence is only possible when a tonal centre already firmly exists; thus, the closed pedal point is a confirmatory device. This type of *closed* dominant pedal is fundamentally different from the dominant arrival, which remains open to emphasise the playing-out of a half-cadential function. Typically, a closed dominant pedal point (or arrival) ends with a cadential progression in a short cadential member. Closed dominant pedals usually merge the central and complementary tonal sections, as they define the end of the transitional process while confirming the complementary tonality. A closed dominant arrival occurs in K 535, measures 12 to 18 (PAC) and repeats in 19 to 24.

[72] Cf. Caplin, *Classical Form*, 79-81. This contradicts the definition of Classical dominant arrival, which has a non-cadential ending.



Example 22
K 535: mm. 11-25
closed dominant arrival: Dominant harmony is prolonged before a closing cadential member.

Tonic affirmation: Tonic affirmations are characterised by a prolonged tonic pedal in any voice. They behave very much like dominant pedals or arrivals, as no cadence or genuine modulation leads to them. The phrase simply ends in the new tonality on a confirmatory *standing on the tonic*. Tonic affirmations occurring in the complementary tonality do not need to be prepared by modulations. Measure 11 of K 514, for example, establishes G (the dominant of the home tonality) as the new tonic simply by emphasising it for a few measures. This new tonic is confirmed by the cadential progression and PAC in measures 15-17. In measure 17, the closing section follows as a tonic affirmation by standing on the tonic. Though strongly tonicised, the home tonality (C) never returns for the rest of the half. Please refer to Example 23 on the following page.



Example 23
K514, mm. 5-21. The home tonality's dominant (G) simply becomes the new tonic through emphasis in the post-crux as a tonic affirmation (measures 10 to14). The rest of the half tonicises C, but never actually leaves the G tonic.

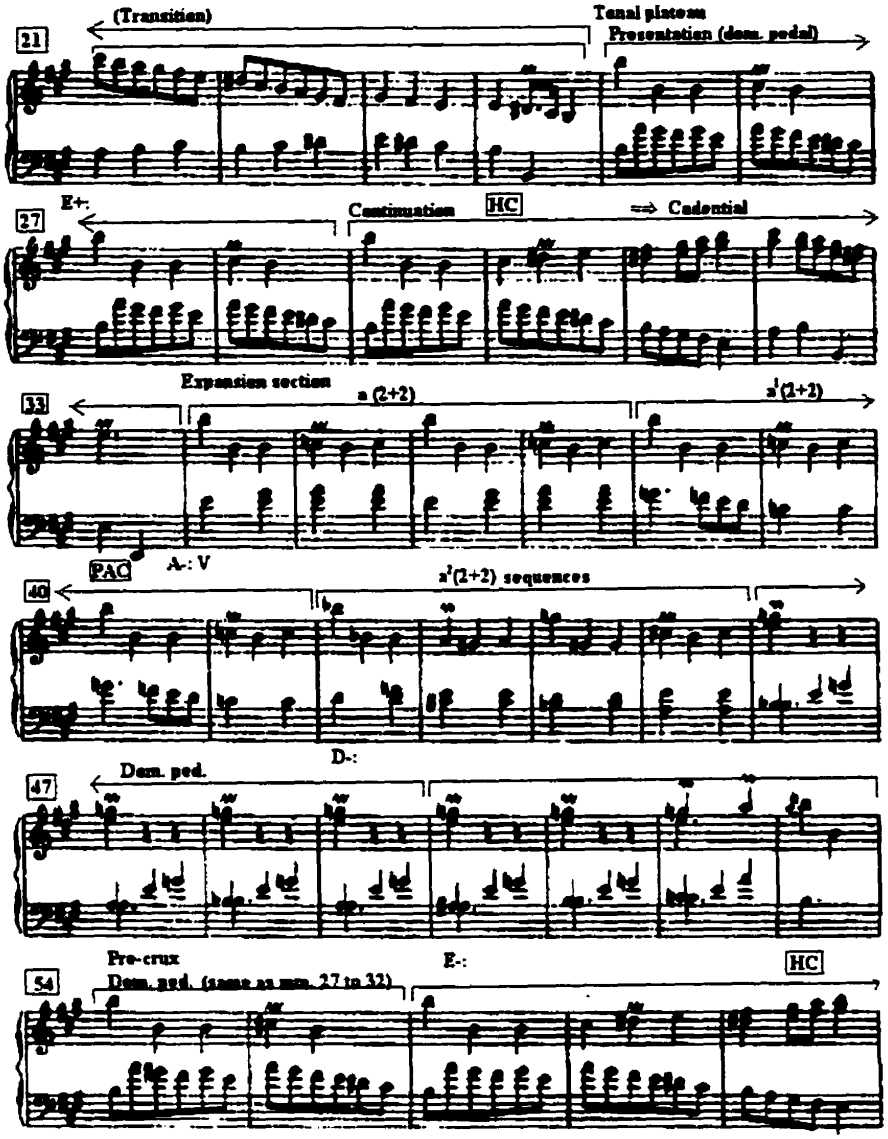
Terminology for the Complementary Tonal Plateau and Closing Section

Further discussion: complementary tonal plateau (tonal plateau) and complementary tonal section, and closing section
Functions introduced: post-crux and complementary pivot confirmation
Terms introduced: expansional post-crux and post-crucial dominant pedal

The complementary tonal section begins immediately following the central section. It contains the crux, post-crux, closing section and, when they exist, the post-crucial dominant pedal points and expansional post-crux. The central section can merge with the complementary tonal section, depending on how it approaches the

crux. The closing section consists of repeated, tonally stable phrases that follow the crux and, when it exists, post-crucial material. It always comes after an authentic cadence and never drifts from the complementary tonality. New or varied motivic material emerges, characterised by cadential progressions or codettas to end the half. It functions like an epilogue at the end of a spinning-out type, but it is more extensive in this genre as it closes a larger form.

Complementary tonal plateau (tonal plateau) and complementary tonal section: The complementary tonal plateau is the portion of the first half beginning with the establishment of the complementary tonality and continuing to the end of the half. It can contain both modes of the complementary tonality. It can start within the transition and overlap the central and complementary tonal section. The complementary tonal section (or complementary section) is the part of the tonal plateau following the central section. It begins with the complementary pivot confirmation (introduced below), and often coincides with the closing section, especially in the tripartite design. Furthermore, the complementary tonal section can contain developmental material (see post-crux below). In K 537 (Example 24), the tonal plateau, but not the complementary tonal section, begins after the half cadence in the complementary tonality, which ends the transition in measure 24. A central expansion section follows. Phrase members explore other tonal regions after this point, including the complementary tonic minor. The complementary tonal section arrives in the proper mode in measure 54 at the pre-crux, where the material from the beginning of the tonal plateau returns.



Example 24 **K 537, mm. 21-58. This example illustrates expansional techniques continuing in the tonal plateau.**

Post-crux: The post-crux begins the complementary tonal section. It is the phrase member immediately following the crux and preceding the closing section.[73] The crux can fall at the head of the post-crucial member. In K 514 the post-crux begins immediately with the crux in measure 11 and extends to measure 17 where the closing section begins. (Please refer to Example 23 above.) In the tripartite sonata form, the post-crux is the part of the complementary tonal section that Larsen calls the *Dominantspannung*: the area of tension in the dominant tonality that follows (or starts in and continues from) the *Entwicklungspartie*

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[73] "The material following the Post-Crux is frequently so closely allied with it as to be scarcely distinguishable. The Post-Crux and Closing may both end with a cadence using the same material. Occasionally what we must consider as the Post-Crux is organised in sandwich form." Kirkpatrick, *Domenico Scarlatti*, 263.

(developmental expansion section) and precedes the *Schlußpartie* (closing section).[74] If the post-crux continues an extensive developmental process within itself, then this forms an *expansional post-crux* (see Example 25, K 521, mm. 20-38 and 531, mm. 26-31). At times, the crux falls in the parallel mode before the ultimate modality of the tonal complement arrives. For example, if the complementary tonality were to be G-major, the parallel mode would be G-minor (or vice-versa if the complementary tonality were to be minor). In these cases, the complementary pivot occurs where *post-crucial* material begins to near the ultimate modality of the half. Such delays of the complementary pivot form an expansion section. To illustrate, in K 521 the crux begins by moving towards the parallel minor in measure 20 (and 92) via its relative major. This ambiguity between minor and relative major is still transitional; however, the section settles firmly in the dominant minor. The post-crucial expansion section lasts until measure 35 (and 107) where the HC leads to the complementary pivot in measure 36. K 531 also exemplifies a crux in the parallel mode. The major mode arrives with the closing codettas only five measures before the end of the half. This is so late in the half that the true complementary tonality could be heard only as a *tierce de Picardie*. Typically, however, the post-crux consists of the phrase following from the crux and any immediate repetitions.

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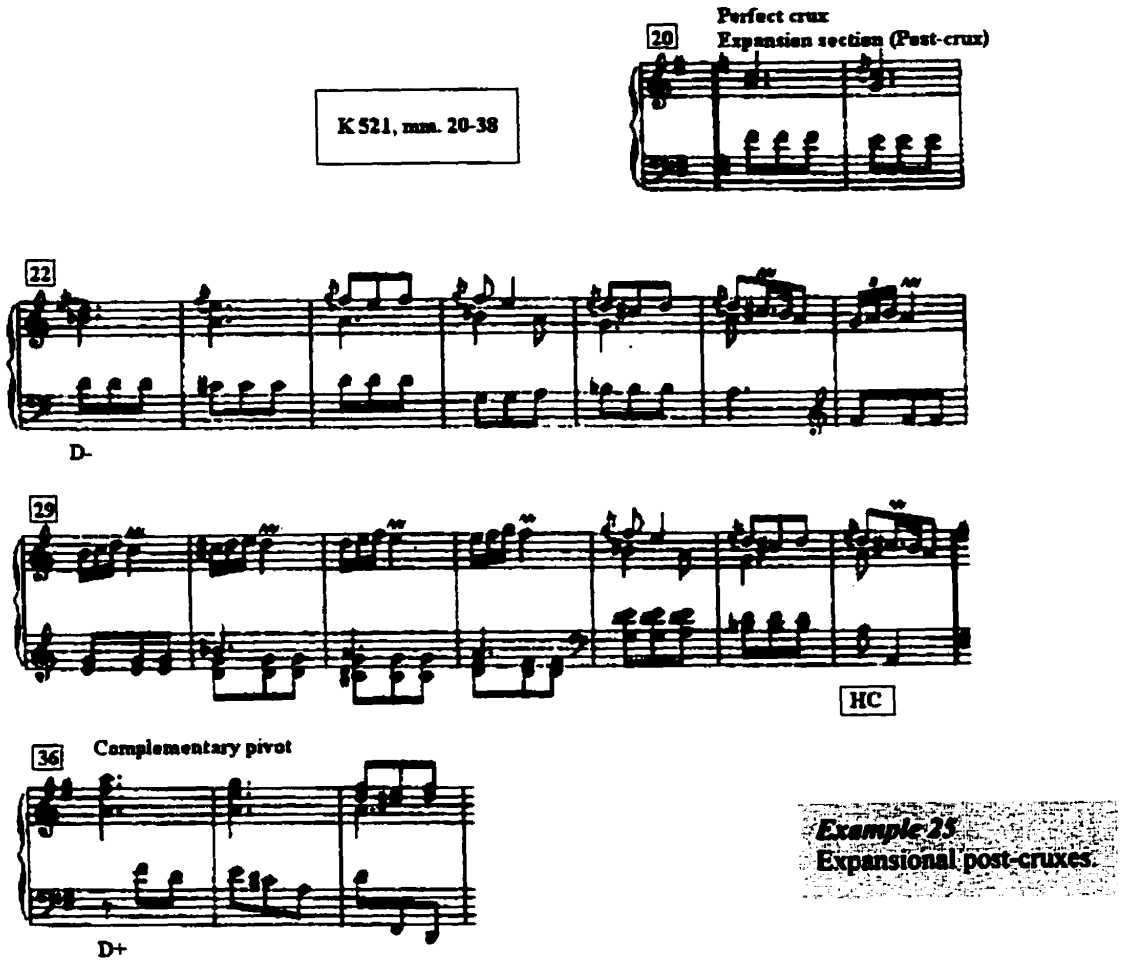
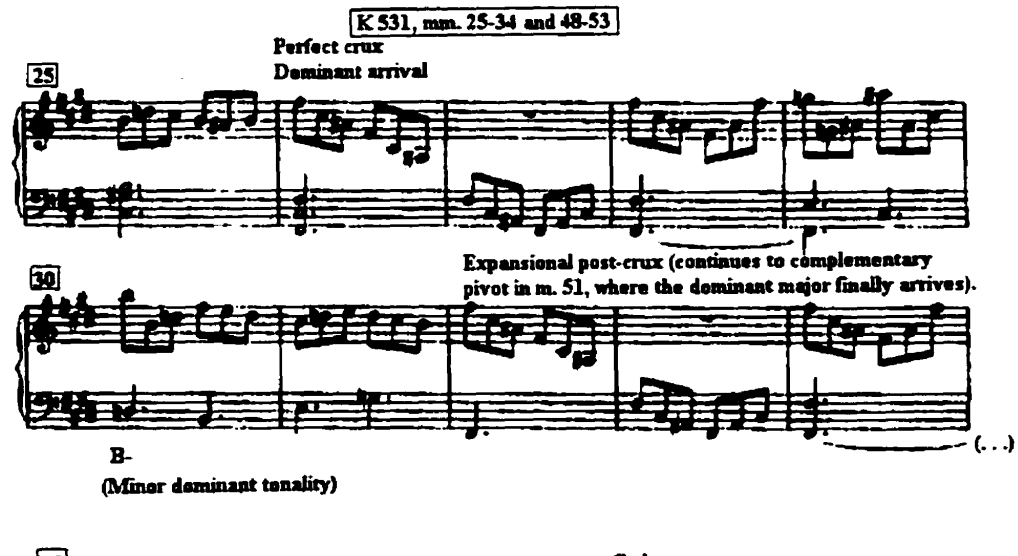
[74] Larsen, "Sonatenform-Probleme," 226. Larsen reserves *Dominantspannung* for the tripartite first half; however, the post-crux does not carry such a restriction. It applies to immediate post-crucial material regardless of the higher formal structure.



Example 25
Expansional post-cruxes.



Post-crucial dominant pedal (arrival): This is the immediate repeat of a crucial dominant arrival or pedal section. The repeated portion often lies well within the tonal plateau and functions fully as part of the complementary tonal section. Its purpose can be seen no longer as part of the transition. The first dominant pedal ends the transition while simultaneously establishing the complementary tonality. Its repetition, therefore, is a confirmation. The model can be a closed dominant pedal, and the repetition is immediate with no intervening material. The repetition forms the *post-crucial dominant pedal.* A post-crucial dominant pedal can be found in K 523, measures 29 to 37 (as mentioned above in the discussion of dominant pedal points). Please refer to Example 21 above.

Complementary pivot confirmation: The *complementary pivot confirmation* is the point following the complementary pivot where the complementary tonality becomes stable in its proper mode and no further modulations occur. The earliest this point occurs is at the crux. Since it begins the complementary tonal section, the post-crucial dominant pedal is often its signal. In K 514, the complementary pivot extends from measures 7 through 10. There is no cadence to end this member, but a tonic affirmation begins in measure 11 and cadences in measure 17. This member is the complementary pivot confirmation, and it begins the complementary tonal section. Please refer to Example 23 above.

Closing section: The closing section is that part of the complementary tonal section that follows the post-crux and continues to end the half. It never deviates from the complementary tonality and always emphasises it with a series of authentic cadential progressions. It frequently contains or consists of codettas (K 514, mm. 17 to 31). If nothing follows the post-crux, then the post-crux itself serves as the closing section, as well (K 534, mm. 10 to 19).[75] The closing section can contain combinations of several distinct members, such as closing codettas or dominant pedal points. Please refer to Example 26 below.

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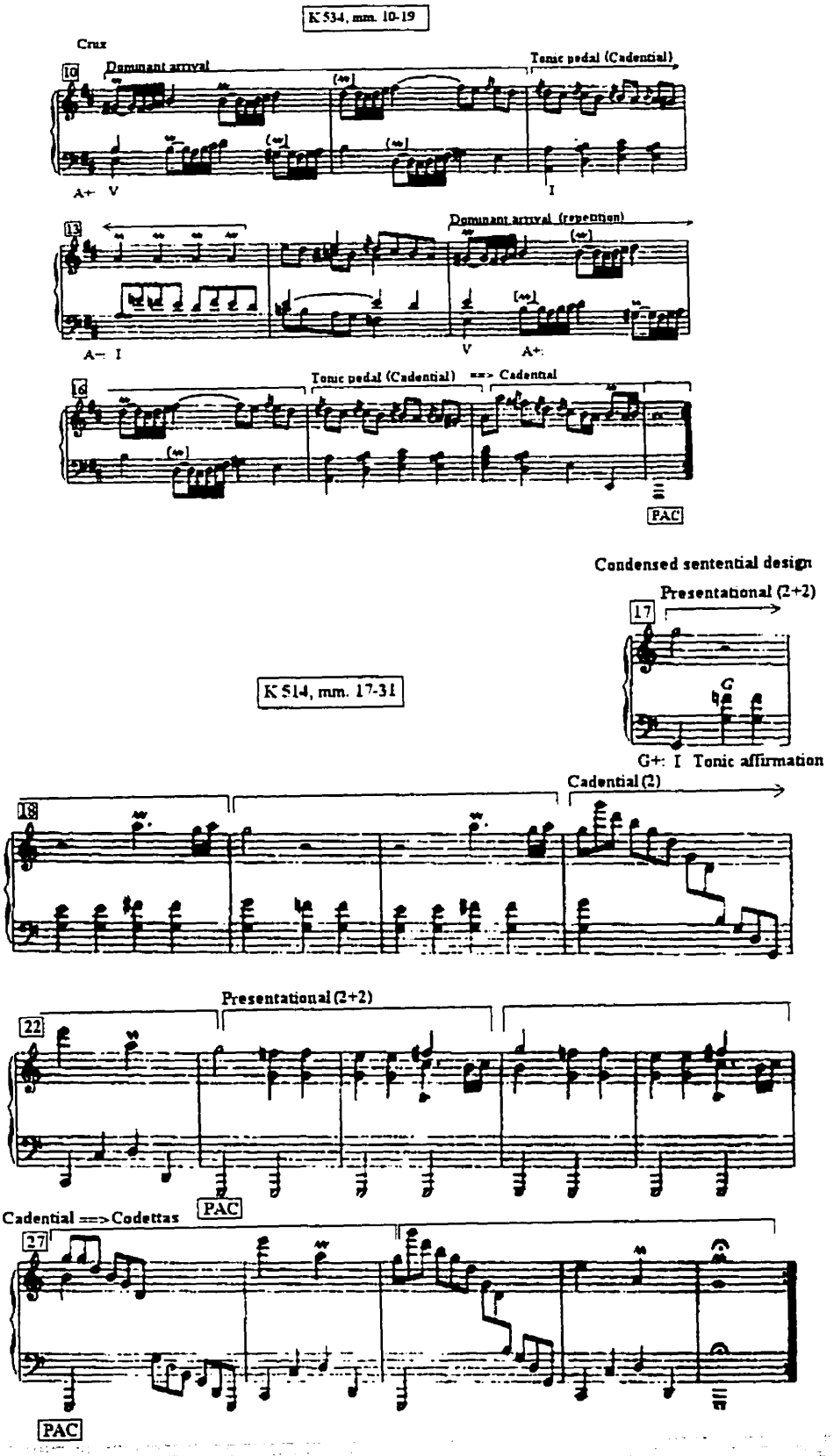
[75]"Next in order is the *Closing*, that thematically or harmonically definable section immediately following the Post-Crux." Kirkpatrick, *Domenico Scarlatti*, 256. Kirkpatrick continues to define subsequent phrases as *Final Closing* and *Further Closing*. In the present thesis, the term *closing section* subsumes all phrases after the post-crux.



Example 26

K 534, mm. 10-19. The post-crux forms the closing section immediately after the crux in measure 10. K 514, mm. 17-31. A repeated condensed sentential phrase, extended the second time by codettas, forms the closing section. The presentational prolongation is made up solely of a tonic affirmation.

An Analytical Protocol for Binary Sonata Forms

The preceding discourse presents the base for the analyses in Chapters Three, Four and Five. An analytical protocol emerges for binary sonata forms according to the criteria established by contemporary mid-century norms. The following criteria for mid-century binary sonata forms are important for this study.

- Binary sonatas divide into two relatively equal, balanced halves.
- The first half contains an opening home tonality and a closing complementary tonality.
- Thematic dualism may exist, but it is not essential to the form.
- Tonal and thematic symmetry exists between the ends of each half.
- Structural processes inherited from Baroque forms blend freely and become moulded by Classical tendencies.
- The first half may be either bipartite or tripartite, according to its contingent processes.

If these criteria are met, then the analytical protocol to be used can include the processes and functions defined above to create a meaningful analysis.

Theoretical classification can express only crudely the diversity of formal designs and processes. The classifications introduced above offer a method for communicating Scarlatti's true versatility, rather than attempting to cram his treatment of form into a rigid set of paradigms. Some combinations of devices and processes create situations where an analysis remains open to interpretation. This is normal when applying a theoretical premise to any type of music. The composer does not intend to create his art to conform to theoretical paradigms. It is the theory that tries to unravel the mystery of the composer's art. Classifications are only analytical tools, and they are meant to be flexible. Musical analysis can be as much an art as musical synthesis. In cases where interpretation can vary, it is the endeavour to classify, rather than the actual classification, that exposes the dynamic of the composition. This is the purpose of analysis.

Chapter Three

An Analysis of the Thirty Sonatas in the Venice XIII Manuscripts: The Openings

The following three chapters examine the thirty sonatas contained in the Venice XIII collection according to the analytical protocol defined in Chapter Two. The analysis explores each archetype respectively before moving on to the next. Chapter Three investigates the openings of each sonata by type. Similarly, an analysis of the central sections follows in Chapter Four. Finally, Chapter Five reviews the complementary and closing sections to conclude the analysis. At the end of each chapter, I present a short survey of similar structures found in the music of some of Scarlatti's direct predecessors and contemporaries. This profile will show that Scarlatti's compositional form was in step with the contemporary, western musical aesthetic. Stylistically, however, he remained quite unique, perhaps due to his relatively isolated positions in Spain and Portugal.[76] Chapter Four will also show the importance of expansion sections in determining tripartite designs.

The Opening

The function of the opening is to present the home tonality. This can be done through a number of devices. A tonic prolongation and a strong cadential gesture in the home tonality are certainly enough. A high-Classical theme-type easily fills this role. Scarlatti, however, does not usually employ a high-Classical theme-type, preferring instead to incorporate prolongational-cadential, presentational, sequential-continuational, and various consequent-like or continuational phrases in the opening sections. Thematic recognition is not a necessary goal of the binary sonata's opening. The incipit can be either an incipit fanfare or an imitative figure. It is often striking, not because its thematic content needs to be recognised as a dynamic force in the piece

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[76] See Newman, *The Sonata in the Classic Era*. Newman discusses Scarlatti's Spanish style (126) and examines Scarlatti's style with respect to his contemporaries (259-85). He acknowledges that Spain was in stride artistically with the rest of Europe (260). Newman finds similarities between Scarlatti and his two Iberian contemporaries, Seixas and Soler, but notes that considering they share a similar heritage, they are stylistically markedly different and highly individualistic composers (281).

(indeed, it is often unique), but since it can be the only gesture that announces the home tonality in the first half.

A few openings contain larger composite or complex phrase structures that modulate. These usually occur as longer spinning-out designs (see Example 2 on page 14). In these cases, the opening function comprises only those members that occur before the transitional pivot and does not include the member that contains it. Only non-transitional phrase members classify the opening type. Phrases that form a structural part of the transitional process, even if they do not modulate, belong to the central section.

The devices and processes that are used to announce the home tonality bear out two main categories of opening gestures, which were presented in Chapter Two: the incipit fanfare, and the imitative and repetition opening. The incipit fanfare is a motivic device and a musical object. Imitation and repetition are musical, temporal events and formal processes. Because the categories are based on different musical means, there will be times when a formal function overlaps the two. An incipit fanfare, for example, may comprise the incipit of an imitative opening phrase. These categories intend to identify common features of the mid-century sonata form, thereby recognising key components of structural design. Incipit fanfares often occur in prolongational-cadential phrases that are neither imitative, nor repetitive. They occur commonly enough to warrant recognition on their own. On the other hand, imitation and repetition are opening processes that demand just as much attention.

Chapter Two introduced the concept of simple, composite and complex phrase structures. The following analyses are organised by these classifications. Simple openings are examined by opening phrase type: prolongational-cadential openings, spinning-out phrase openings and simple presentational openings. Composite and complex openings are regarded according to their phrase combinations, respectively: sentence-type openings and composite spinning-out type openings for the composite design, and periodic openings and complex spinning-out type openings for complex structures. Occurrences of recognised opening devices and processes (incipit fanfares, imitative openings, repetition openings, and stretto openings) are so common that they are discussed as they occur. Chapter Two has already introduced examples for several opening archetypes. For this reason, only some of the sonata openings presented below are analysed in depth with accompanying examples to highlight some striking feature, or to illustrate a point. Openings that are subsumed clearly under previously examined archetypes are reviewed briefly and without accompanying examples.

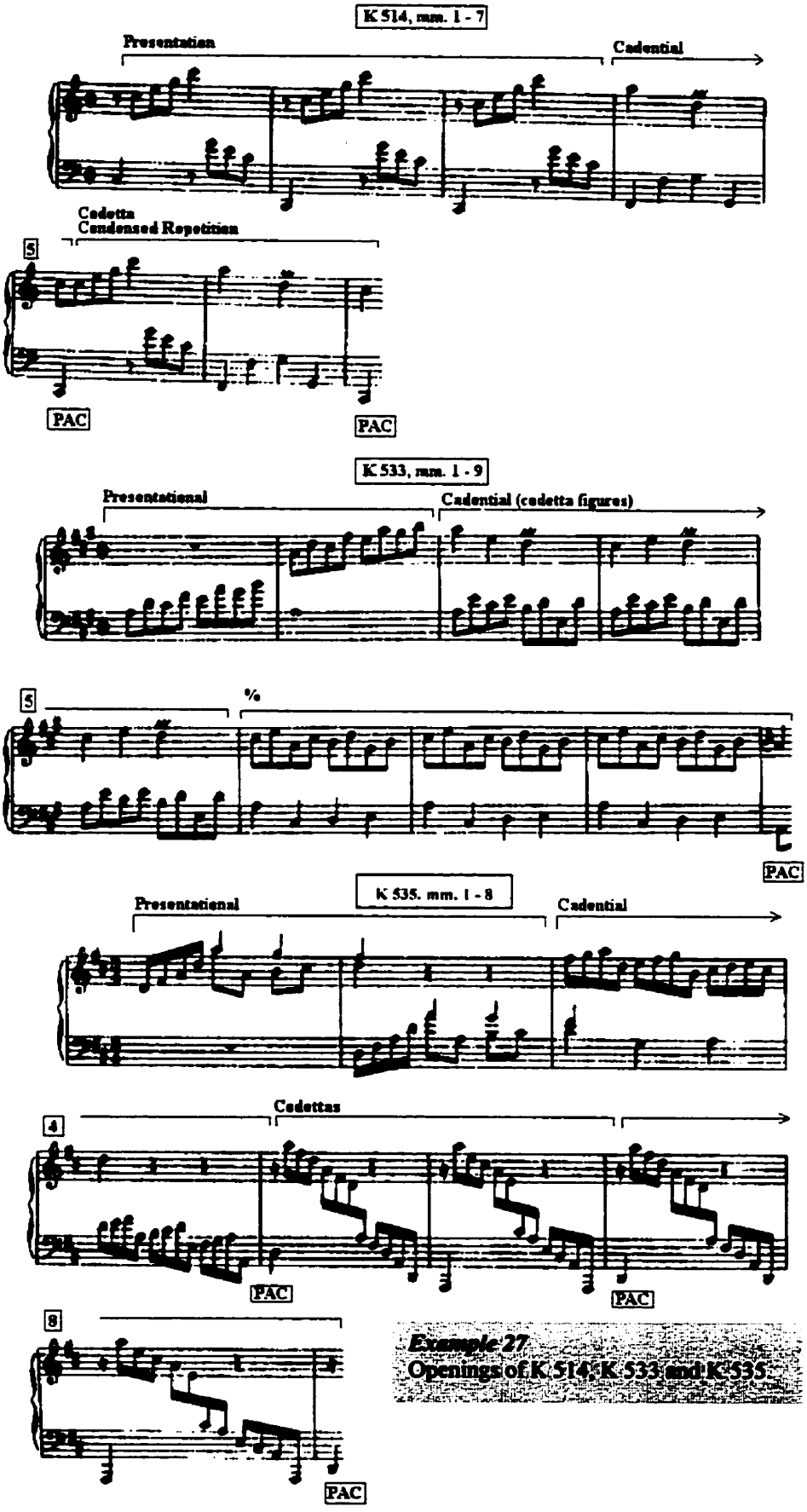
Simple Openings

Simple openings are the most common in the Venice XIII repertoire. Thirteen of the thirty sonatas begin with a simple opening. Of these thirteen sonatas, ten begin with an incipit fanfare. Only four do not begin without some kind of repetition or imitation of the opening motive or phrase member.

Prolongational-Cadential Openings

Sonatas subsumed by this archetype: K 514, 519, 528, 533, K 534, 535

This opening type and the composite spinning-out-type are the most popular, each comprising twenty percent of the sonatas in this repertoire. Of these six sonatas, only one, K 519, does not begin with an incipit fanfare (Example 7 on page 29). Melodically, the first five measures could form a spinning-out phrase consisting of a head motive and sequence, but the underlying tonic prolongation does not support the spinning-out process. K 534 has an opening that modulates (see Example 28 on page 65). K 528, 533, and 535 are typically consequent-like, forming condensed, four-measure sentential-consequent patterns with the incipit fanfares comprising the two-measure presentational member. This design punctuates the incipit with a characteristic cadential progression, or a series of curt cadential progressions. The opening of K 528 is illustrated in Example 7 on page 29. This opening exemplifies an incipit fanfare (presentational) as a repeated series of B-flats played through four octaves over the first two measures. Measure 3 introduces a single-motive, one-measure cadential formula that is played three times. The repeated cadential figures are codettas (IAC m. 4, codettas mm. 4-6). K 533 and K 535 use opening designs similar to K 528. Both are followed by extensive one-measure codettas to their respective measures 9 (Example 27). The incipit fanfare in K 533 is not a straight arpeggio, but it is clearly the tonic triad ornamented with escape tones. K 514 differs slightly from the others because it includes a three-fold statement of an arpeggio fanfare, followed by a one-measure cadential formula (mm. 1-5_1). The following codetta in measures 5 to 7 is derived as a truncation of the opening phrase, including only the final descending arpeggio figure and the cadential progression.



Example 27
Openings of K 514, K 533 and K 535

Only two sonatas in the Venice XIII collection begin with openings that merge with the transitional section: K 532 and 534. Their openings link so intimately to the transitional pivot that the sections merge with no formal division. K 534 presents the home tonality through a scalar flourish and its imitation in measures 1 and 2 (see Example 28 on the next page). Harmonic confirmation of this tonality occurs on the downbeat of measure 3. The continuation through to measure 4, though structurally linked to the incipit, is pivotal. The striking feature is the return of the incipit in measure 5, a tone higher than in the model.

Fischer discusses similar, two-statement openings in the Baroque spinning-out type.[77] He demonstrates in his figure 11 (Example 1 on page 13) that the restatement may begin a modulation. (In his example, the modulation is from the home minor to the relative major in the restatement, though the ultimate goal of the spinning-out is the dominant). Fisher goes on further to draw a connection between the Baroque spinning-out-type and the formal design of the exposition in an early Haydn sonata (D-major, Hob. XVI:14/I, composed before 1767). He shows how the opening phrase becomes the main theme and the spinning-out becomes the transition. The epilogue either ends the transition or forms the closing section.[78] This process relates very closely to what happens in K 534, except that a complete modulation has taken place by measure 5, indicating that the transitional process has already begun. The opening, therefore, extends to the elided half cadence in the complementary tonality in measure 5. The repetition beginning in measure 5, though melodically and sequentially related to the incipit, is procedurally a part of the transition. The opening is confined to the incipit fanfare in the first two measures. This member forms a condensed presentation consisting of a single-motive basic idea and repetition. The following continuation liquidates motivic material to achieve the dominant of the complementary tonality in measure 5. In this case, the continuation is modulatory and brings about the beginning of the transitional process.

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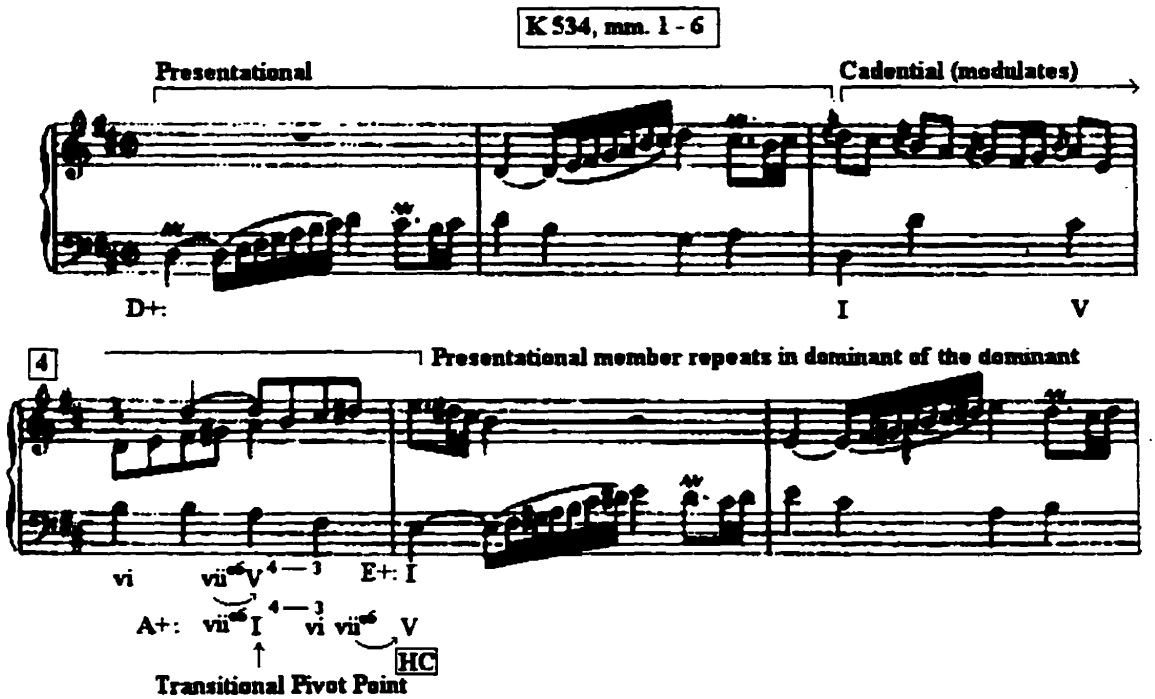
[77] Fischer, "Wiener klassischen Stils," 29-34. On his page 29, Fischer refers to the "two-statement sequence" at the beginning of the *Sarabande* of Bach's Fifth English Suite (see Example 1, fig. 11 on page 13 of this thesis). On his page 31, he shows another version of a similar type (see Example 1, fig. 15 on page 13 of this thesis). Various examples are given throughout his essay. The main thrust of Fischer's article is to show trends in theme-type construction continuing from the Baroque to the Classical era. Though he does not mention the Classical sentence structure (as determined later by Schoenberg), his discussion points strongly to similar designs being associated with the Baroque spinning-out-type. Caplin also notes that a restatement of the opening material can begin the transition in the Classical style (Caplin, *Classical Form*, 127-8).

[78] Fischer, "Wiener klassischen Stils," 51-52.



Example 28. **Modulational opening of K 534. Opening function is confined to the first two measures.**

Spinning-out Phrase Openings

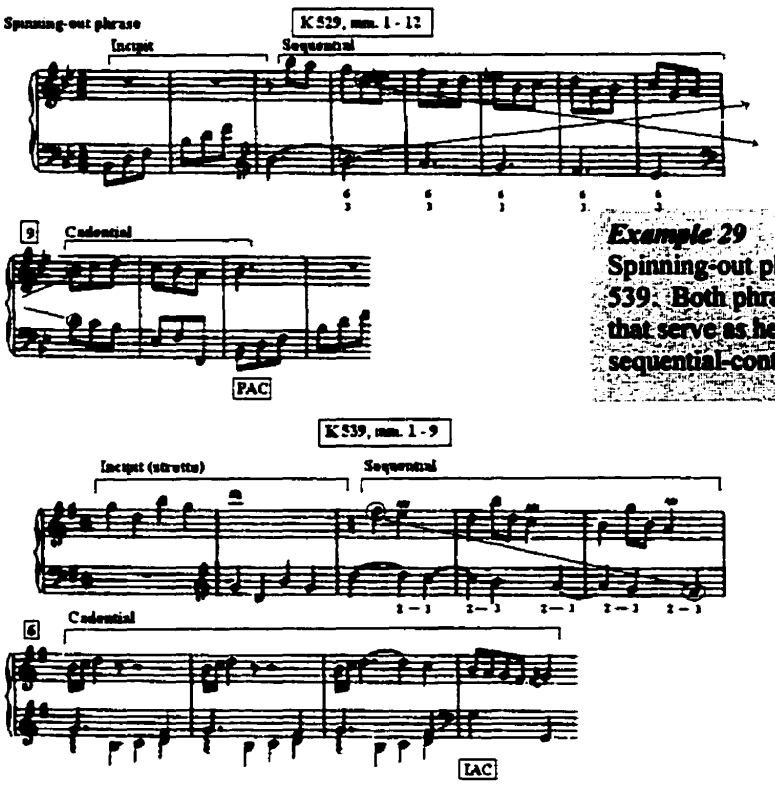
Sonatas subsumed by this archetype: K 515, 516, 529, 539

This type of simple opening in the Venice XIII repertoire begins exclusively with an incipit fanfare, however curt, that forms the initial head motive. Further prolongational or sequential phrase members may follow this, ending with a cadential phrase. The incipient motive or motives always recur as a sequence or imitation, usually within the opening fanfare gesture. K 516 is the exception, but the entire fanfare recurs in imitation at a different tonal level. This type of integrated phrase construction exemplifies Scarlatti's use of repeated motivic cells to develop higher-level phrase members.

The opening of K 515 appears in Example 15 on page 40. It opens with a two-measure incipit fanfare that is both imitative and presentational (1+1), which is consistent with the process Scarlatti uses to create compressed presentational phrases. The remaining four measures of the opening end melodically in measure 7, but harmonically, the phrase continues by melodic restatement after an evaded cadence. A three-fold

ostinato unit in the bass juxtaposing a two-fold melodic statement in the right hand causes the cadence to be evaded. If it were not for the ostinato, measures 3 to 7 would have formed a consequent phrase. Instead, the melodic formulae complete their processes, spinning-out to the cadential progression in measures 9 through to the PAC in measure 11.

K 529 and K 539 are similar in design (Example 29). Each begins with its fanfare motive being repeated by imitation over measures 1 and 2. The incipit extends to measure 3 in K 529. There is a stretto opening in K 539 due to the oblique movement in measure 2. Both openings follow the incipit fanfare with a descending linear intervallic pattern, K 529 in parallel $^{6}/_{3}$-chords effecting a prolongation through a voice exchange from measures 4 through 9, and K 539 in parallel 2-3 suspensions prolonging the dominant in measures 3 through 5. K 529's cadential member is a brief two measures long (mm. 9-11). Three one-measure closing cadential progressions extending from measures 6 to 9 (IAC) follow the prolongational sequence and form the final member of K 539's spinning-out phrase.



Example 29
Spinning-out phrase openings of K 529 and K 539. Both phrases begin with incipit fanfares that serve as head motives to the following sequential-continuational phrases.

K 516 begins much like an invention (see Example 16 on page 41). Being notated in $^{3}/_{8}$ time, it is metrically a compound duple meter, like $^{6}/_{8}$. Its opening lasts 21 measures and is highly tonally progressive (but not transitional). The order of the areas of

tonal progression in the opening is remarkable in that it establishes the progression of tonalities in the expansion section—an ascending circle of fifths returning to the tonic (I, mm. 1-4; natural-VII, mm. 5-8; IV, mm. 9-13; I, mm. 14-17). Measures 5 to 8 imitate the four-measure incipit fanfare at the 9th with contrapuntal support. These opening measures do not form a presentational unit, however, as the tonic is not prolonged. Instead, the phrase simply spins out into the two next prolongational units (mm. 10-13 and 14-17), which are based on a single two-measure basic idea. The closing cadential unit begins in measure 18. This long phrase strings together several phrase members that contribute to the whole spinning-out process. K 540 is a similar construct that will be discussed below (Example 17 on page 42), but it contains complete presentational phrases; therefore, its spinning-out forms a composite phrase.

Simple Presentational Openings

Sonatas subsumed by this archetype: K 518, 523, 532

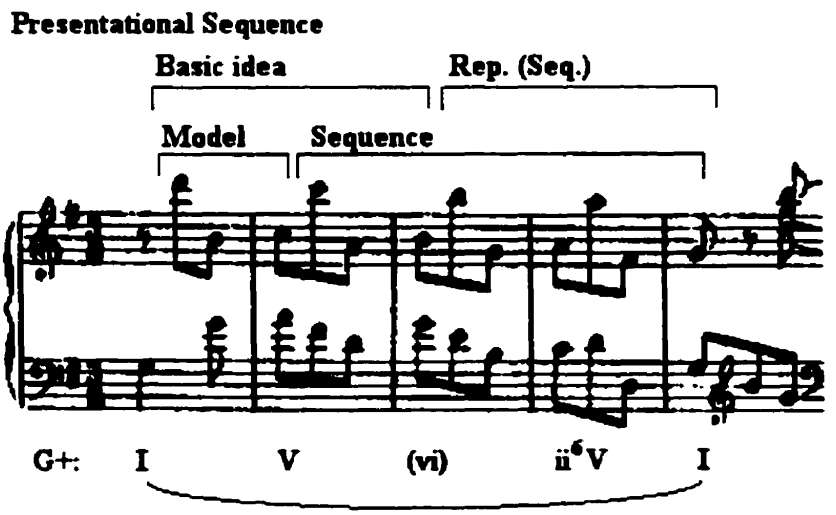
Simple presentational openings consist of a single presentation phrase, presentational phrase member, or any other type of tonic prolongational phrase member. They do not cadence. Instead, they sit at the head of a longer spinning-out process. The following material begins like a continuation phrase, but it modulates and cadences in the new tonality. This continuational material is transitional and does not fulfil the opening function. K 518 opens with a three-measure incipit fanfare forming a basic idea consisting of a single repeated motive built on the tonic triad (see Example 7 on page 29). The basic idea's repetition, an octave lower, incorporates a countermelody; thus, this opening incorporates the imitative process, as well as the incipit fanfare. The opening ends, without cadencing, on the downbeat of measure 7 where a transitional sequence begins.

The incipit fanfare opening of K 532 merges with the transition, and resembles the Baroque head and spinning-out technique (see Example 10 on page 32). The four-measure compound basic idea forms the head phrase, but the following material is transitional and the opening ends with the onset of the *dominant pedal* in measure 5. The opening function fades with the persistent D-sharp in the left hand, which, when followed by a G-natural in measure 9, expresses a turn to the dominant minor. This modulation signals the first definite movement away from the home tonality, though there has been no clear motivic or structural break to enhance the separation between the opening function and the transitional pivot. Measures 5 to 7 form the model for the ensuing

modulatory spinning-out; hence, they form the transitional pivot. This transition furnishes a gentle movement away from the home tonality early in the piece.

The opening of K 523 is closely related to the presentational openings (Example 30). It features a five-measure descending sequence that presents the home tonality. Most of Scarlatti's opening presentational devices in the Venice XIII repertoire include direct repetition or imitation. A sequential pattern followed by a cadential progression generates a continuation phrase. In these cases, the sequences are normally stepwise. The cadential formula in K 523's measures 4 and 5 does not have a cadential function as the singular opening idea comes simply, with no motivic liquidation or development. The repetitions of the basic motive form the basic idea. The result is an unusual, two-tiered structure where a harmonic prolongation supports a two-measure basic idea and repetition, but the motivic content juxtaposes it with a melodic model and sequence pattern. The transition follows immediately in measure 5, continuing the sequential, spinning-out character of the opening. Presentational sequences remain a feature in the Classical repertoire.[79]

K 523, mm. 1 - 5



Example 30
K 523's opening forms a condensed presentational member consisting of a melodic sequence over a tonic prolongation.

[79] See Caplin, *Classical Form*, 39. Note that the incipits of K 520, 524, and 538 also feature a presentational sequence.

Composite Openings

Composite openings contain at least one complete phrase, and additional phrase members, but no cadence occurs unless it precedes a non-structural repeat, or it closes the opening section. A Classical sentence theme-type falls into this category. Scarlatti's Venice XIII repertoire does include sentence structures, but they always contain Baroque devices and gestures such as imitation and countermelodies, or one of the phrases somehow deviates from the Classical model. He is also fond of linking together long prolongational sections such as presentations and tonic affirmations, which form complete phrases within themselves. The simple opening discussed in K 516 above uses a similar compositional technique, only a composite opening links together complete non-cadential phrases rather than simple phrase members. Eleven of the thirty sonatas under investigation contain composite openings, six of which form composite spinning-out-type openings. Both this type and the prolongational-cadential type comprise twenty percent of the openings in the Venice XIII collection. The following analysis will discuss these six after reviewing sentence-type openings.

Sentence Type Openings

Sonatas subsumed by this archetype: K 524, 536, 540, 542, 543

Of the five sentence-type openings, K 536, 542 and 543 feature imitative openings. K 543 does not incorporate an accompaniment to the imitation. K 540 opens in stretto, as introduced in Example 17 on page 42. Only K 536 and K 540 incorporate the incipit fanfare to begin.

K 536 (Example 31) begins with a three-measure unit that comes arguably close to a condensed sentential design, which would cadence on the downbeat of measure 4. The harmonic implication, however, is simply a tonic prolongation; thus, no cadence exists. The next three measures imitate the unit while the original voice adds harmonic support. The opening forms a presentation phrase ending on the downbeat of measure 7. A sequential continuation follows, ending on a half cadence in measure 12. Though the Baroque nature of this opening is clear, consisting of six invention-like measures followed by six measures of spinning-out, this combination also forms an open, twelve-measure sentential design (3+3+6). This pattern points toward the Classical sentence structure.[80]

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[80] The opening of K 536 relates very closely to the comma tonally (discussed below), but structurally it is sentential in design. The comma is periodic.

K 542 was introduced in Example 14 on page 38. It shows remarkable structural integrity in Scarlatti's compositional technique. K 542 resembles an eight-measure Classical sentence, except that the restatement of the basic idea in the presentation juxtaposes a countermelody in the initial voice. The four-measure presentation begins off the beat and ends on the downbeat in measure 5. The continuation follows with three two-beat units before the cadential member. The structure ends with a PAC on the downbeat of measure 8.

K 543 introduces a simple presentational beginning, with no countermelody juxtaposed with the restatement of the basic idea (Example 31). Measures 5 through 7 form a cadential member based on the harmonic structure implied by the incipit. Measures 7 and 8 represent a modified sequence a third down for the codetta, rather than a straight restatement. The codetta ends with an IAC, which is unusual. The codetta also serves as a head motive to the following spinning-out into the transition, which accounts for its weaker closure.

K 524 offers the only sentence in the Venice XIII collection with a presentation constructed of a three-fold sequential basic idea occupying the six opening measures (Example 31).[81] The succeeding four measures function as the continuation phrase. The presentation juxtaposes the home tonality with the relative minor, which would be unusual for a Classical theme-type.[82] Though this does not detract from the sentential design of the overall unit, the Classical presentation configuration normally presents only the home tonality to achieve a solid tonal anchor in the opening phrase. The mid-century style clearly offers a flexible variety of similar structures.

K 540 opens with a two-measure incipit fanfare that sets up a canonic texture at the octave (Example 17 on page 42). This texture spans the first six measures. Measures 3 to 6 constitute a presentational two-measure basic idea and repetition. An unusual three measure dominant pedal interpolation in measures 8 to 10 separates the continuation from the cadential member in measures 7 to 12. The phrase functions otherwise as a regular continuation ending with a half cadence.

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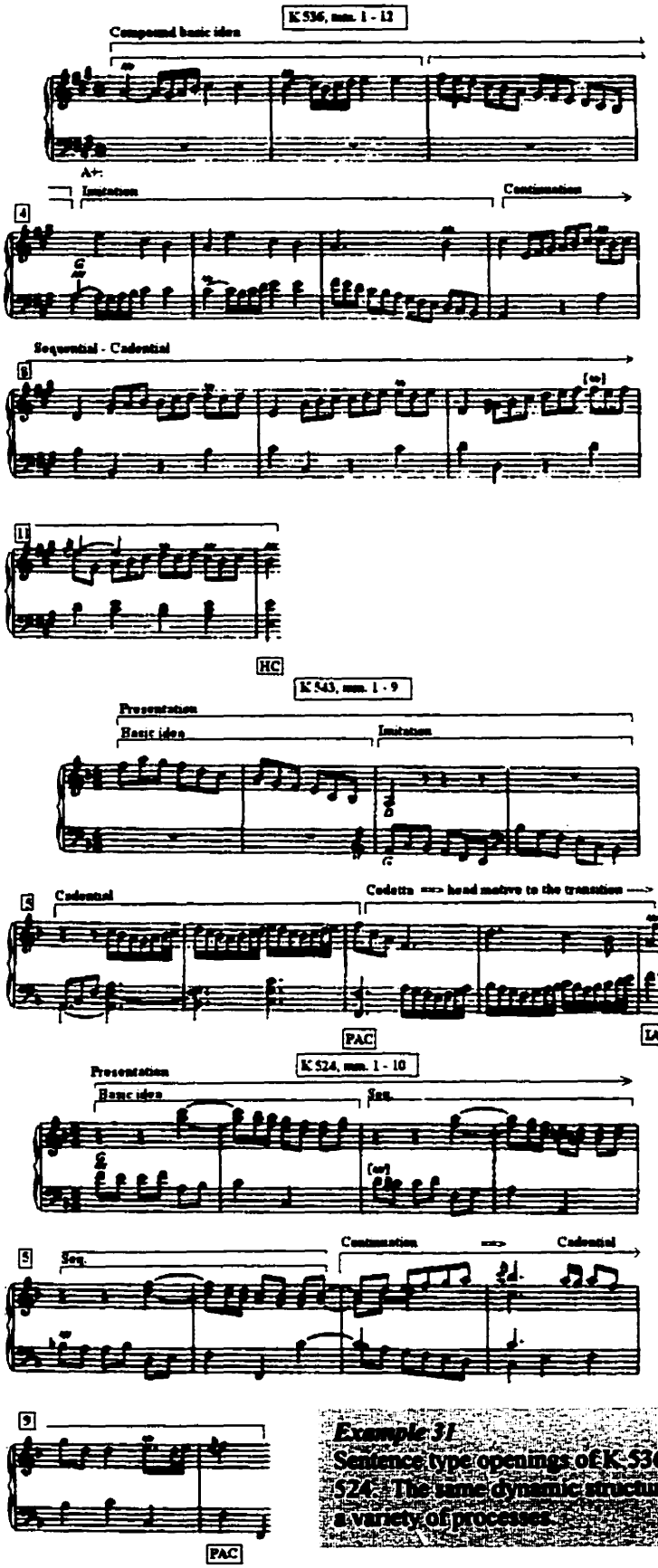
[81] Cf. Fischer, "Wiener klassischen Stils," 38-40. Fischer examines various types of Baroque bass progressions that support a sequential descent in the openings of movements by Corelli. He includes a stepwise descending thirds progression on accented beats from the tonic to the subdominant. A cadential progression to the tonic follows. K 524's three-fold basic idea includes such a descending third progression.

[82] Note that the incipit begins the second half in the dominant tonality (C-major). The first restatement remains in the relative minor (D-minor), just as it is in the opening. The small development section relies heavily on this tonality and its dominant (D-minor and A-minor).



Example 31
Sentence type openings of K. 536, 543 and 524. The same dynamic structure contains a variety of processes.

Composite Spinning-Out-Type Openings

Sonatas subsumed by this archetype: K 517, 520, 522, 530, 537, 538

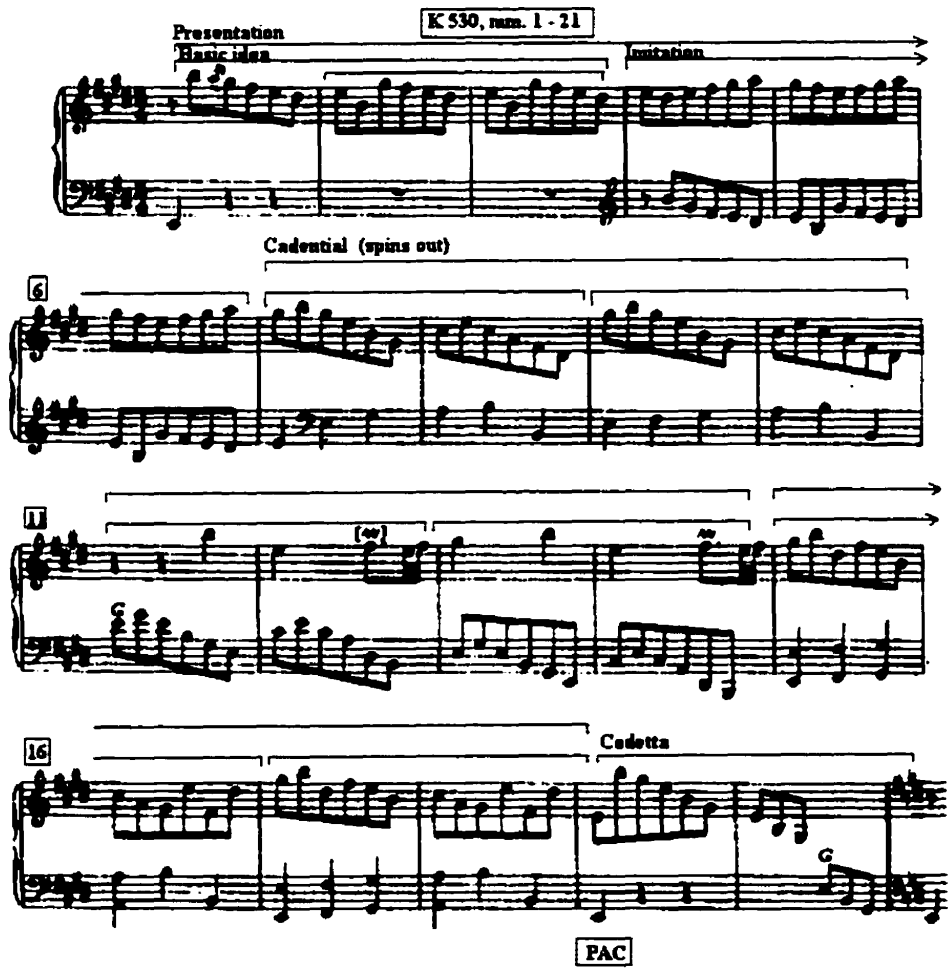
Composite spinning-out-type openings, like the simple prolongational-cadential openings, comprise twenty percent of the Venice XIII sonatas. These are related to the simple presentational openings, the difference being that the composite opening type contains more material than a single phrase. All the initial repetitions in the composite spinning-out-type openings in this repertoire are imitative. Like the simple presentational openings, these opening presentations also sit at the head of a longer spinning out process. Sometimes the spinning-out modulates, and sometimes not. If it modulates, the opening function ends with the last phrase or phrase member that remains exclusively in the home tonality and does not begin the transitional process. This member might include no more than the opening imitation. Such openings remain *unclosed.* Openings that complete the spinning-out process with no modulation are *closed.* K 530 is the only closed composite spinning-out-type opening in the Venice XIII collection.

Sentence-type phrases are especially prone to incorporating the spinning-out process, which is common in this repertoire. Fischer's article points to the spinning-out type as being the predecessor of the sentence theme-type, but he never states it outright.[83] The simple spinning-out phrase opening is introduced above (on page 65) as a head motive followed by a fragmentational and sequential spinning out phrase that closes with a cadential member. The process is the same in the sentence design, except that a full presentation replaces the head motive. The continuation furnishes the spinning out and cadential functions. In the Classical sentence paradigm, the three functions are so well integrated with the formal structure that they are not readily apparent, because the Classical sentence has evolved into a different form. In the mid-century, however, various stages of the emerging sentence form are apparent in concurrent works. Both spinning-out phrases and sentences can include the process of fragmentation, which can continue into the transition section. This process is inherently more Baroque than Classical in nature, as Fischer's examples exhibit (Example 1 on page 13). K 537 displays this process clearly since its continuational member contains the transitional pivot. It was remarked above that the simple presentational openings (K 518, 523, and 532) also include this feature. K 530 has a different opening process, as it contains a further spinning-out of opening material following the repetition of the opening phrase. The spinning-out is more repetitive than sequential, forming codetta-like units, which illustrates Fischer's concept of *Lied*-type processes tempering the spinning-out-type. The

[83] See Fischer, "Wiener klassischen Stils," 24-78.

end of the opening section of K 537 serves to initiate the transition, which, on the other hand, is more a characteristic of a continuous spinning-out process.

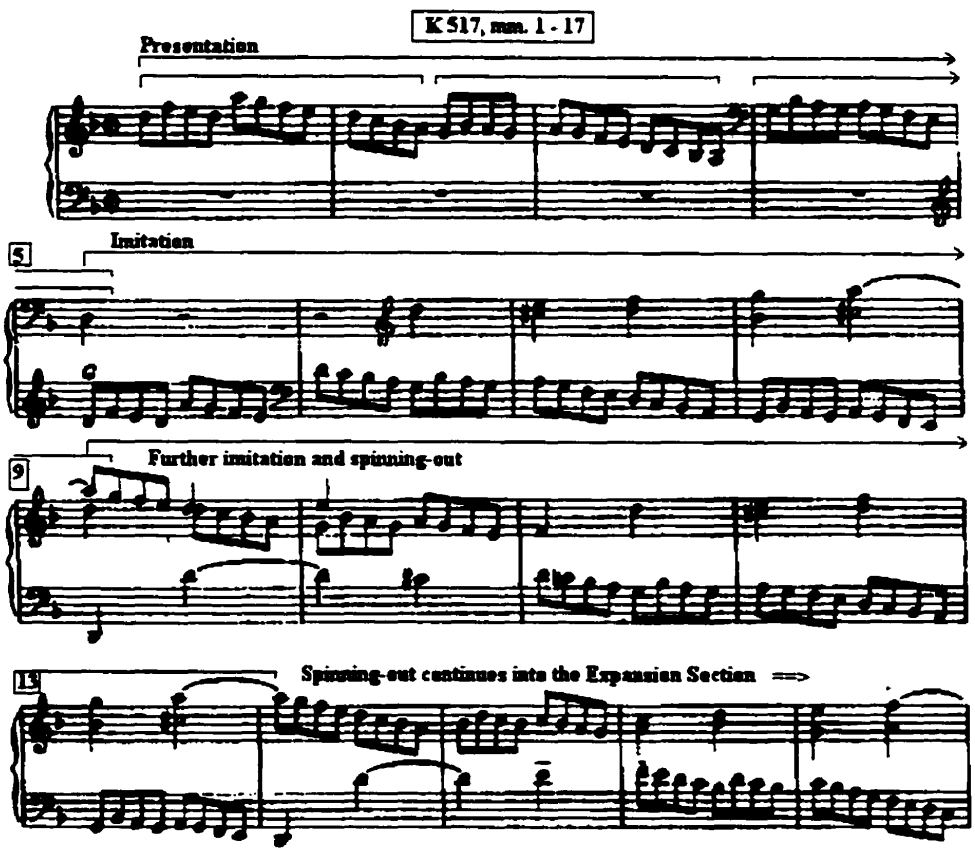
K 530 (Example 32) is the only closed opening of the composite spinning-out-types. It begins with a six-measure imitative presentation. The next twelve measures contain fragmentation and sequences, which are typical in a spinning-out process. They continue in two-measure repetitive units forming little cadential progressions that never manage to cadence until measure 19. These progressions demonstrate the *one-more-time technique* of cadential evasion, where the cadential tonic elides with the beginning of a repeat of the cadential gesture.[84] These repeated cadential progressions themselves form repeated presentational phrases. Though confining the spinning-out with cadential progressions is not the same as tempering it with *Lied*-type formations, its conforming to mid-century formal structures satisfies the same aesthetic.



Example 32
Spinning-out type opening of K 530. The cadential spinning-out combines to form repeated four-measure presentational units.

[84] See Janet Schmalfeldt, "Cadential Processes: The Evaded cadence and the 'One More Time' Technique," *Journal of Musicological Research* 12 (1992): 1-51.

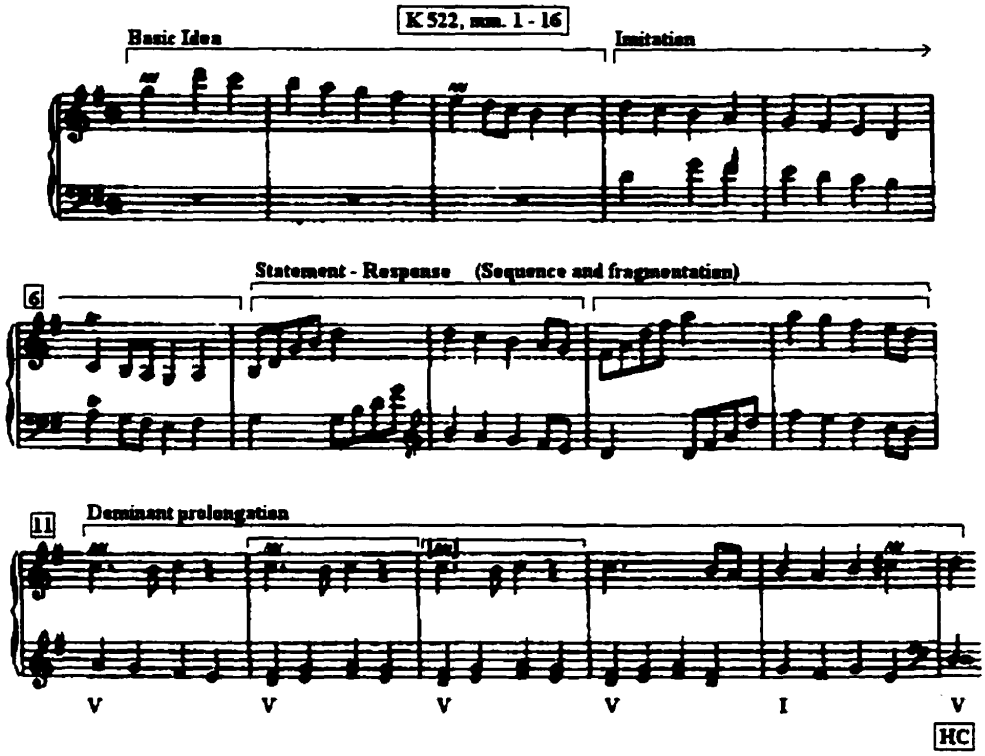
K 517 begins with a three beat ($\dot{\text{d}}$ = 1 beat) basic idea that repeats thrice through the opening four measures (Example 33). This design causes a metrical displacement of the downbeat with the first restatement, as there are three statements of the idea over four measures. The final statement is truncated to accommodate the imitation. The imitation begins on the downbeat of measure 5, and the opening four measures repeat with harmonic support. The imitation ends on the downbeat of measure 9, but the momentum continues through the measure and a third, modified repetition follows through to measure 14. Another repetition begins but continues along a different course into the expansion section. The end of the opening can be determined retrospectively only. The basic idea repeats twice in the initial four-measure presentation, and the presentation phrase then repeats twice, as well. This pattern is an example of substructural units influencing the higher level design. The spinning-out motive begets the spinning-out opening section.



Example 33
Spinning-out type opening of K 517. A single spinning-out process begins at the motivic level and continues through to the sectional level.

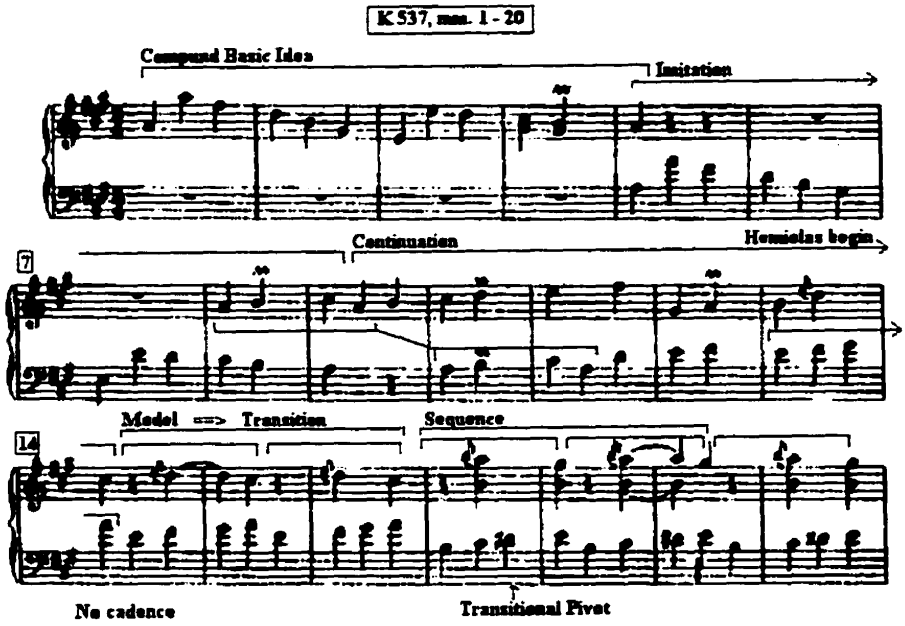
K 520 is an example of the mid-century's emerging Classical style coexisting with Baroque traditions, and of Scarlatti's motivically integrated and organic compositional technique. The four opening measures, though unaccompanied, show the unmistakable basic idea and repetition of a presentation phrase emphasising the home tonality (Example 16 on page 41). The implied harmony supports a tonic prolongation, but the repetition of the basic idea in measures 3 and 4 is not the standard, Classical form, nor is it a classic tonic-dominant, statement-response design. The response has to be adjusted melodically to return back to the tonic on the final beat of measure 4. There is no continuation in measure 5, but a one-measure prolongational interpolation to the imitation that begins in measure 6. The continuous, Baroque, spinning-out tradition obscures any hint of a cadence as the model elides with the imitation in measure 6. On a larger scale, the entire opening forms a ten-measure presentational unit consisting of a five-measure model and its imitation. The following material begins like another presentation, but the continuation modulates. The opening dynamic, therefore, continues into the beginning of transition after the opening has come to its structural end with no cadence on the downbeat of measure 11.

K 522 begins with a three-measure basic idea plus an imitative response in the dominant form (tonal answer) with homophonic support (Example 34). This passage forms a six-measure presentation. A smaller four-measure statement and response follows (2+2). Interestingly, if the first six measures were not present, this four-measure unit could form a statement-response presentation. Given its context in this much larger opening, however, it represents a four-measure spinning-out consisting of fragmentation and sequence. A motivically repetitive dominant prolongation extends from measures 11 to 15 where the one-measure cadential member appears, eliding the opening's half-cadence with the beginning of the transition on the downbeat of measure 16. Other than being an unclosed opening type, it is similar in both its dimensions and process to K 530.



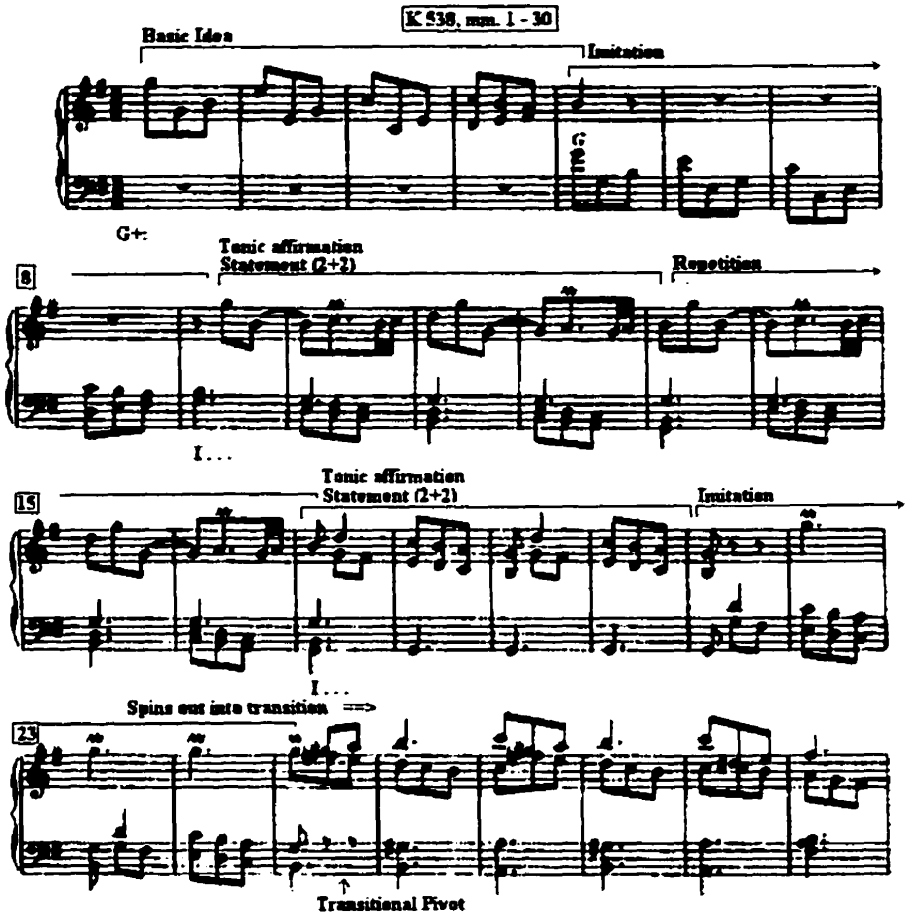
Example 34
Spinning-out type opening of K 522.

K 537 begins with a four-measure compound basic idea as a model phrase followed by imitation (Example 35). The continuation could end in measure 14, but the energy continues through the effective use of hemiolas to measure 16. The hemiola is a standard Baroque rhythmic device that signals a cadence. These hemiolas might have served to close this passage; however, they compose a model phrase that begins in measure 13 and sequences in measures 17 through 20. These latter measures are clearly transitional. Measures 13 to 16 constitute a complete formal elision, merging the end of the opening with the beginning of the transition. Though this is not typical of tightknit Classical paradigms, formal elision represents the nature of the Baroque spinning-out process.



Example 35
Spinning-out type opening of K 537

K 538 opens typically with an imitation of a four-measure basic idea (compound $^{3}/_{8}$-meter); however, the following tonic affirmation is remarkable (Example 36). It consists of a series of four-measure statements and restatements leading to the transitional pivot in measure 25 (mm. 1-4 statement, mm. 5-8 imitation; mm. 9-12 statement, mm. 13-16 repetition; mm. 17-20 statement, mm. 21-24 imitation). Throughout the tonic affirmation, the four-measure units fragment further into repeated two-measure ideas (2+2). This process starts in measure 9: model and sequence units gradually become model and repetition units by measure 17. These devices and processes (tonic pedal, melodic imitation, sequence, repetition, and fragmentation) are all inherent to the spinning-out type. The transitional pivot in measure 25 follows directly from the tonic affirmation.



Example 36
Spinning-out type opening of K 538 with extensive tonic affirmations.

Complex Openings

Complex openings contain more than one phrase and include intermediate cadences. For example, among the high-Classical theme types, the period is a complex design. However, it is more common in the Venice XIII repertoire to find structures that are periodic in design (that is, they contain two phrases, at least, which together comprise a single harmonic movement, and the final cadence most strongly emphasises the goal of that movement).[85] The comma (introduced in Chapter Two) is such a design. The spinning-out-type phrase extends into the complex structures, as well.

[85] See Green, *Form in Tonal Music*, 55-56 for a description of the period's singleness of tonal structure and relative cadential strength.

These include cadence points within the opening that define complete phrases, but the continuation spins out relentlessly.

Periodic Openings

Sonatas subsumed by this archetype: K 521, 525, 526, 527

K 525 and K 526 are periodic structures with the standard antecedent-consequent (or hybrid continuation) design. K 521 and 527 contain comma structures. The ambiguity of K 525's opening was discussed above (Example 11 on page 33). It opens with a hybrid period ending in measure 9. The antecedent is imitative and ends with a HC in measure 5. The invention-like character pervades the entire unit as the continuation phrase unfolds by fragmenting and liquidating incipient material. It features a compression of the incipient gesture that begins with a conspicuous stretto entry. It prolongs the dominant until measure 8 and moves to cadence on a PAC in measure 9. This complex opening is a prime example of the onset of Classical formalisation curtailing Baroque spinning-out processes.[86]

K 526 has an opening that is akin to the composite presentation opening (Example 37). It begins with an antecedent phrase that ends with a contrapuntal cadence. This cadence then elides with the beginning of an imitation on the downbeat of measure 5. The imitative opening process continues as usual, with imitation at the octave and the introduction of a countermelody in the original voice. When the cadence comes in measure 9, it is again a contrapuntal cadence that is no stronger than the original, except for the slight weight of the added voice. Codettas follow, however, by repeating the cadential member and bringing it to close again in measure 11 with an IAC, and again in measure 13 with a PAC. This extra solid confirmation of the latter phrases final cadence gives it significantly more weight than the first cadence. The structure, therefore, is periodic, rather than being simply presentational.

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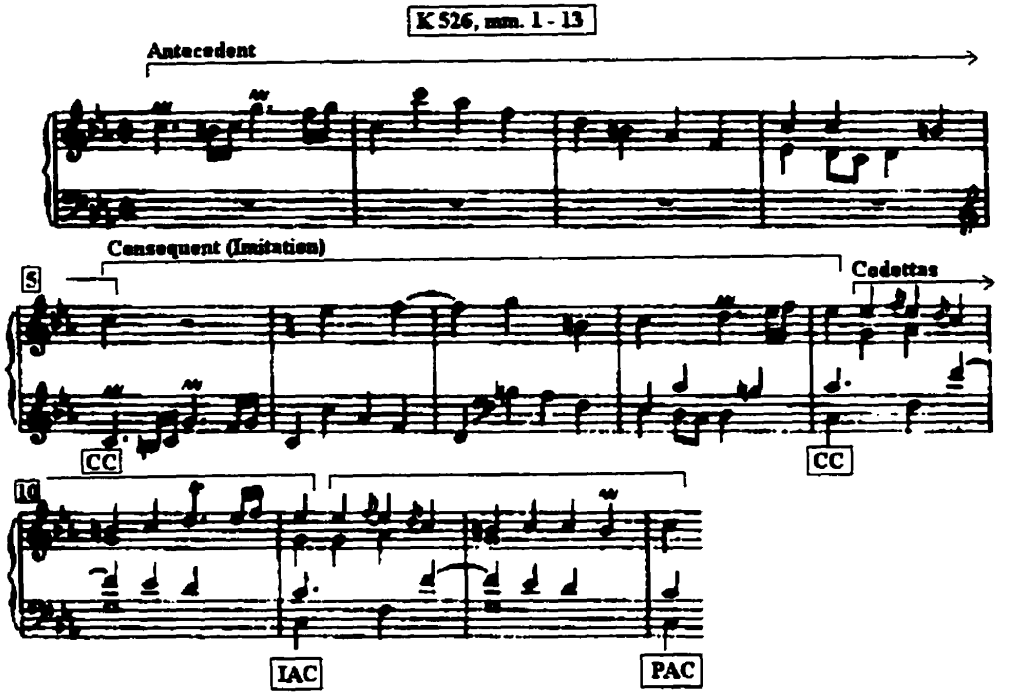
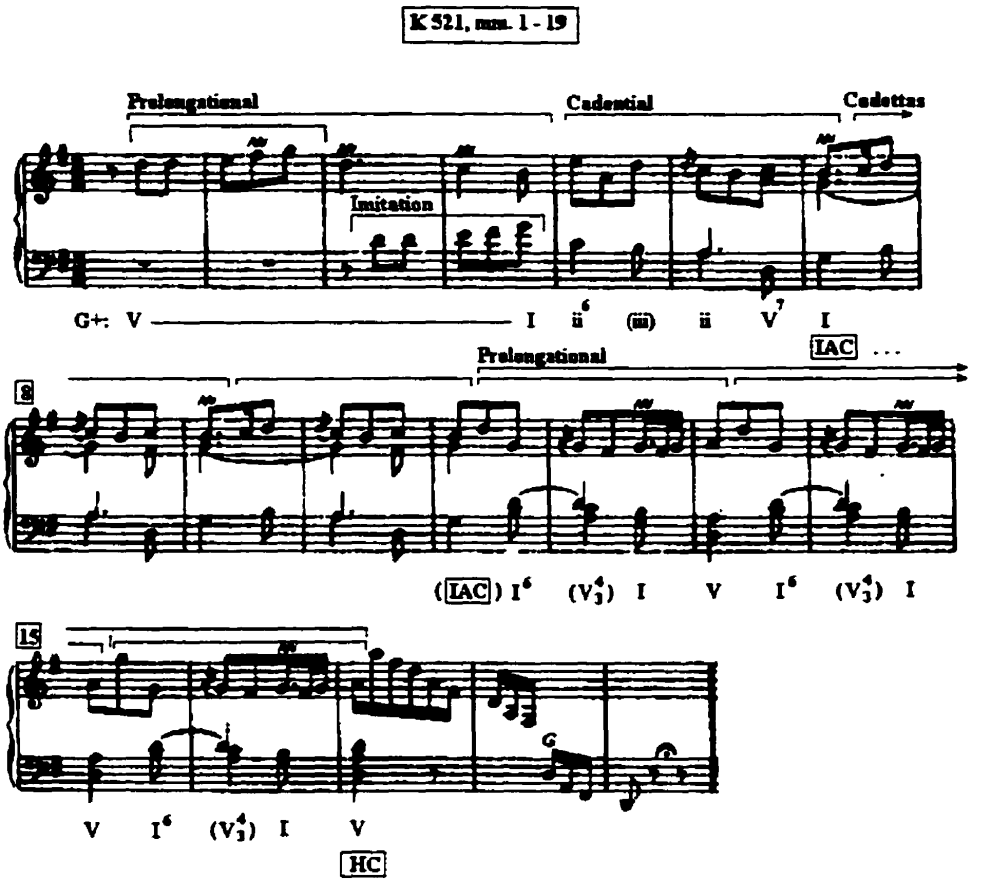
[86] Fischer, "Wiener klassischen Stils," 24-78. That the rising Classical aesthetic imposed its structures on Baroque processes is a main topic of Fischer's article.



Example 37
Periodic opening of K 526. The consequent phrase is an imitation of the antecedent. Its only additional cadential weight comes from the closing codettas that follow it.

The openings of K 521 and 527 exhibit a structure that contravenes the essence of a period by ending with a phrase that remains tonally open. Chapter Two discusses K 527 at length on pages 43 and 44 (and Example 17 on page 42) as an introduction to the comma. Both openings begin with prolongational-cadential, condensed sentence phrases that are followed by four measures of repeated two-measure fragmentation and tonic prolongation material. They end with a half-cadential phrase. Unlike K 527, K 521's opening is imitative (almost stretto), and cadences in measure 7 (Example 38). This opening constitutes a condensed, prolongational-cadential phrase in the compound $^{3}/_{8}$-meter. The following fragmentation forms codettas to measure 11. More tonic/dominant, prolongational material follows and ends on a half cadence in measure 17. Both opening commas begin with condensed sentences ending on an IAC. The mid-opening fragmentation in each serves to join the two outer phrases with common material.



Example 38
Comma opening of K 521. The opening prolongational-cadential phrase forms a condensed sentence. The second prolongation phrase never develops an independent cadential member. The prolongation becomes cadential and it simply ends on the dominant.

Complex Spinning-Out Type Openings

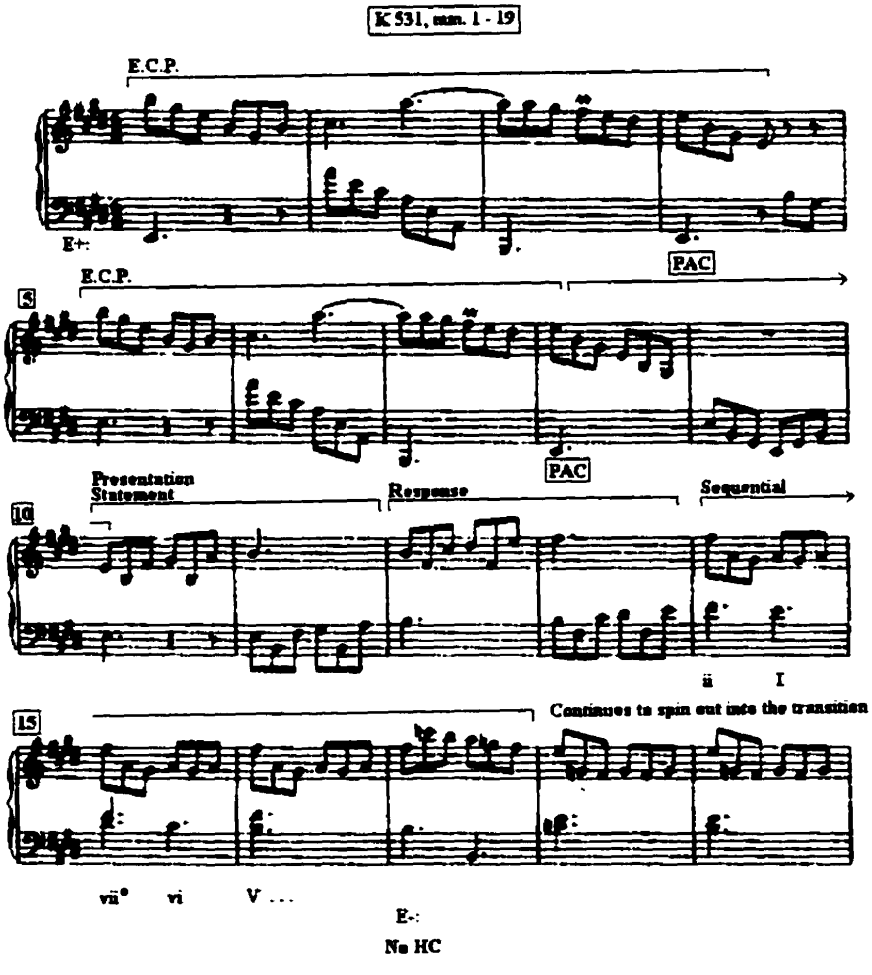
Sonatas subsumed by this archetype: K 531, 541

This type of opening is the same as its composite counterpart, except the presentational opening consists of a repeated phrase with cadential closure. Rather than an imitation, both these openings feature a repetition of four-measure, condensed sentence, prolongational-cadential phrases.

K 531 falls just short of being a comma (Example 39). The opening phrases are expanded cadential progressions (E.C.P.).[87] These would typically end a construct in the

[87] Caplin, *Classical Form*, 61. Caplin introduces the expanded cadential progression as a cadential function. On page 111, he introduces it as a self-contained consequent phrase. This is a device that loosens tight-knit design. On page 113, he discusses how it opens a subordinate theme, and on page 223, how it opens a main theme.

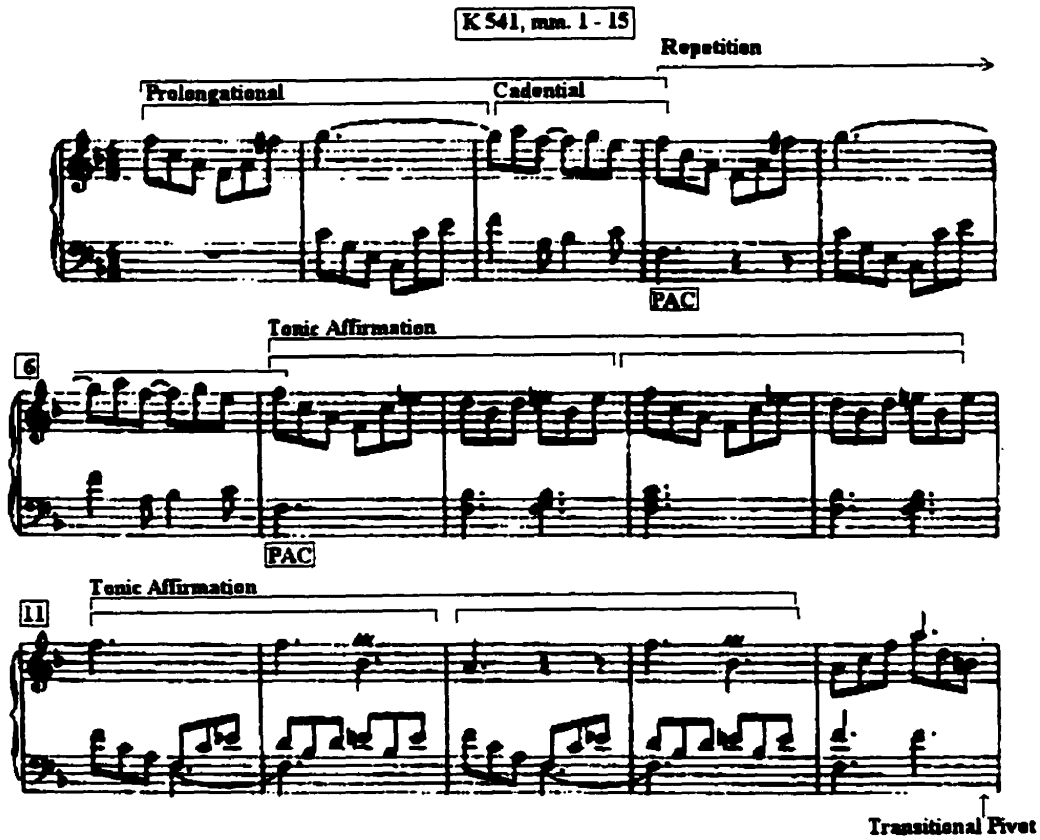
standard Classical paradigm, and less commonly begin one. If such a design appears at the beginning of a structure, it can be regarded as a consequent phrase. In the *commaic* design, however, the period formula is reversed; therefore, beginning with something that usually forms a closing is not unprecedented.[88] Since K 531 is almost a comma, opening with an expanded cadential progression as a consequent phrase is practicable. This structure places a PAC in measures 4 and 8. An extension in measures 8 to 10 following the repetition provide the link to a presentation phrase (statement-response) in measures 10 through 13. A continuation follows in measures 14 to 17, but a half cadence never develops. Instead, measures 16 and 17 simply stand on the dominant. Measure 17 turns to the tonic minor mode, as well. Nothing stops and the continuational member from measures 14 to 17 is repeated melodically in measures 18 to 21 with new harmonic support. The presentation in measures 10 to 14, though it does not modulate, starts a long expansional process. The opening function ends in measure 9. As is typical for spinning out forms, there is no clear break between the opening and the transition section.



Example 39. **K 531 opens with a complex spinning-out-type opening because of the cadences in the first eight measures. It almost becomes a comma, but the required half cadence never develops in measures 16 and 17. The material simply continues to spin out into the transition.**

[88] Webster, *Haydn's "Farewell" Symphony*, 44. See the discussion of antiperiod on page 43 above.

K 541's opening is similar to K 538's composite spinning-out-type. It ends with a tonic affirmation that extends through two, four-measure presentational members to measure 14 (Example 40). A sequential-continuational phrase begins in measure 15, but this furnishes the transitional pivot. Even though the tonic affirmation replaces codettas here, it is dynamically intense in its process of developing material. Codettas eliminate tension. This is why this opening is complex. Had simple codettas followed the opening, the opening would have been composite.



Example 40.
K 541 opens with a complex spinning-out-type opening. Tonic affirmations are dynamically different than codettas. Codettas bring something to a close and dissipate energy. Tonic affirmations may bring a section to a close, but they can also present a new beginning. Rather than dissipating energy, tonic affirmations gather intensity before moving on.

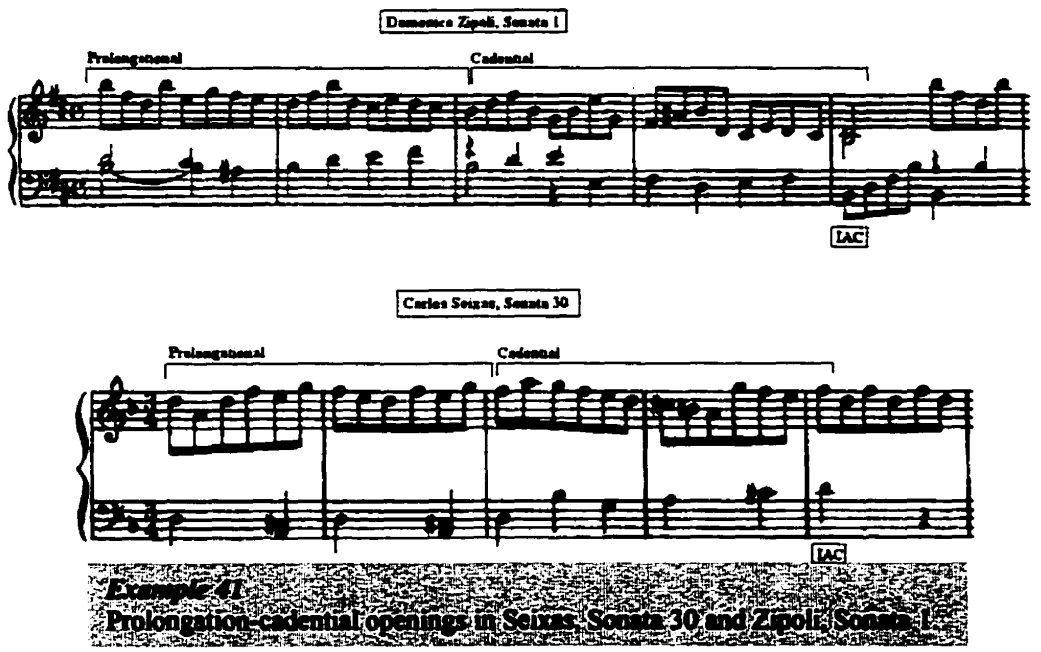
Samples of Openings in the Works of Scarlatti's Contemporaries

The types of openings discussed above are not unique to Scarlatti. His contemporaries, immediate predecessors and successors use similar constructs. I have selected a handful of examples below, only a few of which are illustrated.

Samples of Simple Openings

Prolongational-Cadential Openings

Example 41 illustrates two contemporary examples of prolongational-cadential openings. The first is an earlier work, Sonata 1 circa 1716, from *Sonate d'Intavolatura per Organo e Cimalo, Parte Secondo*, by Domenico Zipoli. The second is by Carlos Seixas, one of Scarlatti's Portuguese students, Sonata 30 from his *80 Sonatas para instrumentos de tecla*. These openings are simple. The second phrase in Zipoli's sonata modulates to the dominant, and contains the transitional pivot. In Seixas's sonata, an expansion section follows the opening phrase. A brief survey of the contemporary repertoire shows that though prolongational-cadential phrase structures are common, they are more likely to occur in composite or complex openings. Some other examples of simple prolongational-cadential openings include Marcello, Sonata II, ii; Martini, Sonata VI; Seixas, Sonata 6; and Soler, Sonata M.5; and C.P.E. Bach, Sonata 13, iii, (Wq. 65/28).

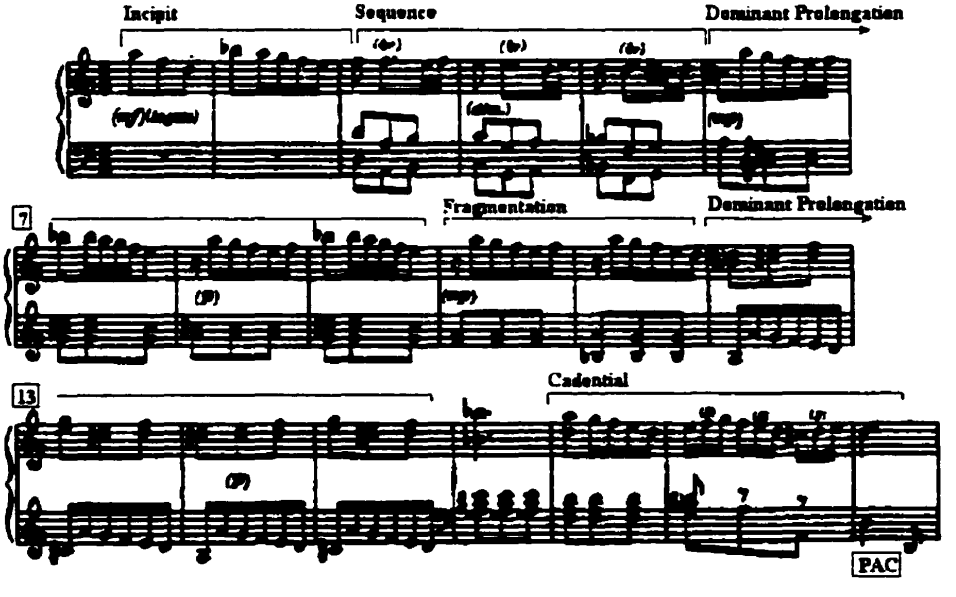


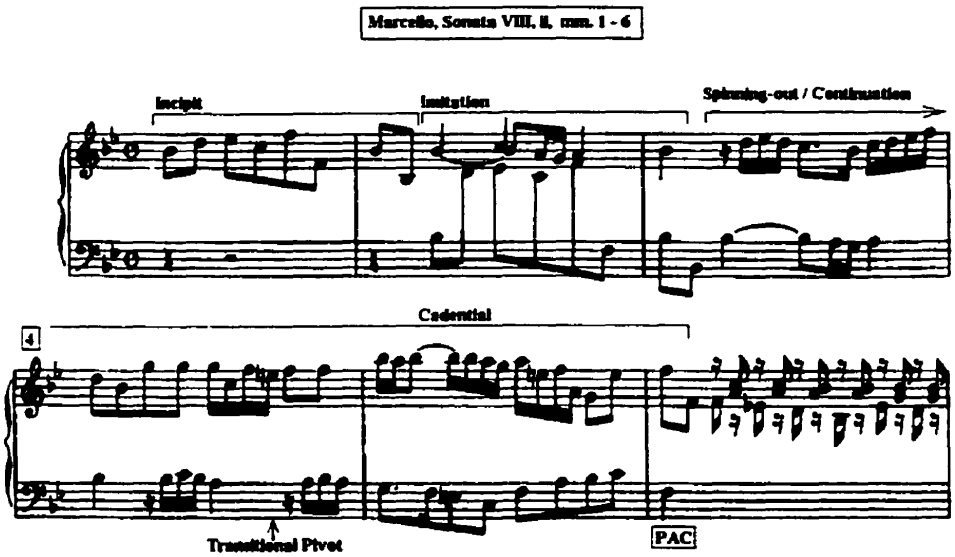
Example 41
Prolongation-cadential openings in Seixas, Sonata 30 and Zipoli, Sonata 1

Spinning-out Phrase Openings

There are a variety of constructs that represent the simple spinning-out phrase opening in the mid-century style. Spinning-out phrase openings among Scarlatti's contemporaries are apparent in various lengths, but the incipit is often not the fanfare type prescribed here for the Venice XIII sonatas. Neither does the incipient member have to repeat in some fashion, though it often does. These phrases can modulate. In the example below I have selected a particularly long, simple spinning-out phrase by Soler, and a modulatory one by B. Marcello. The Soler example does not have an imitated incipit, but it stands alone at the head of a long spinning-out that includes several phrase members, including dominant prolongational members. The Marcello example shows the close relation to the prolongational-cadential phrase. The only difference is the amount of material that separates the imitative prolongation at the beginning of the phrase from the cadential member. Spinning-out phrases are continuational. Marcello's phrase arguably does not modulate. The score indicates a *vivace* tempo, and the following phrase begins again in the home tonality, but this is short-lived. Other examples of spinning-out phrases can be found at the beginning of Soler's Sonata M.19, Marcello's Sonata IV, i and IX, iii, and Durante's Sonata I from *Sei Sonate (Sudii e Divertmenti) per Cembalo.* Several older illustrations are available throughout Corelli's *Concerti Grossi* (Op. 2, Sonata 1, *Allemanda*, and Sonata 10, *Allemanda*, for example).

Soler, Sonata 8, M. 8, mm 1 - 19

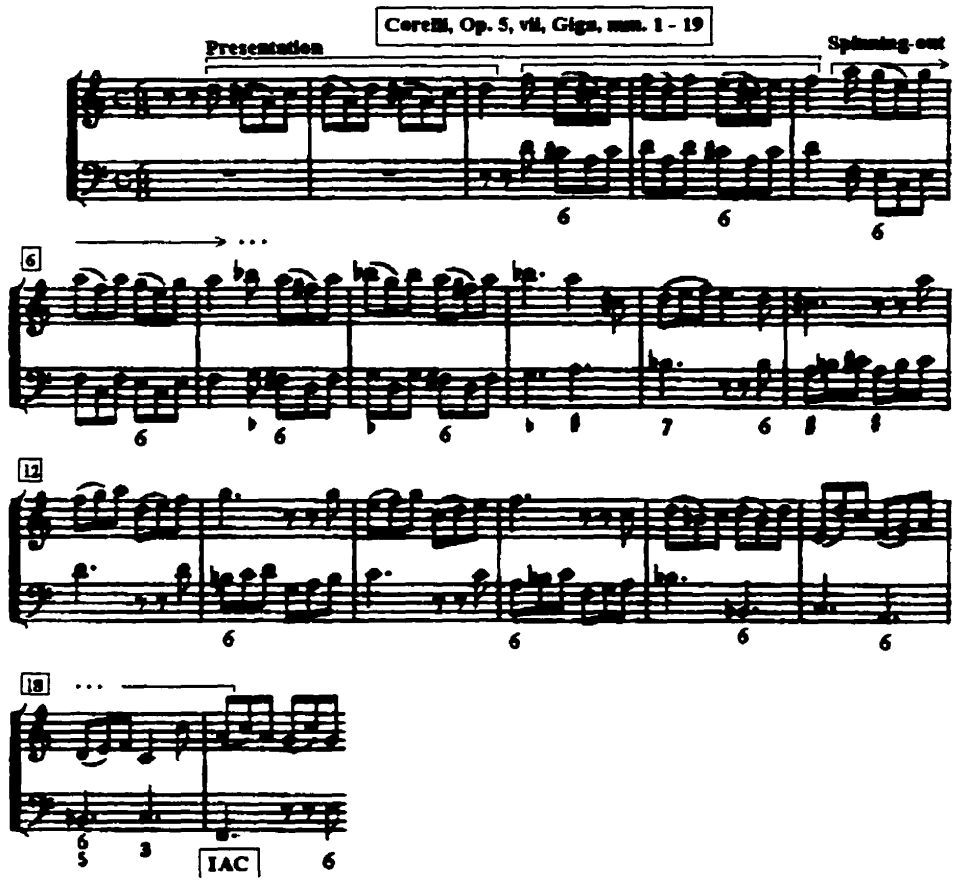




Example 42
Spinning-out phrase openings in Soler's Sonata M.8 and Marcello's Sonata VIII, ii.

Simple Presentational Openings

This is a remarkably common design in the mid-eighteenth-century repertoire. More than likely, this type of opening stems from Baroque fugal and imitation openings and the spinning-out technique. The imitation forms a presentation that does not cadence, but spins-out immediately to explore other tonalities. Some examples from Corelli demonstrate this (Op.3, no. 1, first and second *Allegros*, and Op. 5, no. 7, *Giga*). In the mid-century, a modulating spinning-out process or a modulating continuation phrase can follow the opening tonic prolongation. In either case, the following member contains the transitional pivot, and no longer functions as part of the opening. Some contemporary examples can be found in Marcello's Sonatas IV, i and VI, iii; Seixas Sonata 50; Soler's Sonatas M.3 and M.7; and Martini, Sonata I, iv, *Giga*. See examples from Corelli and Soler below.

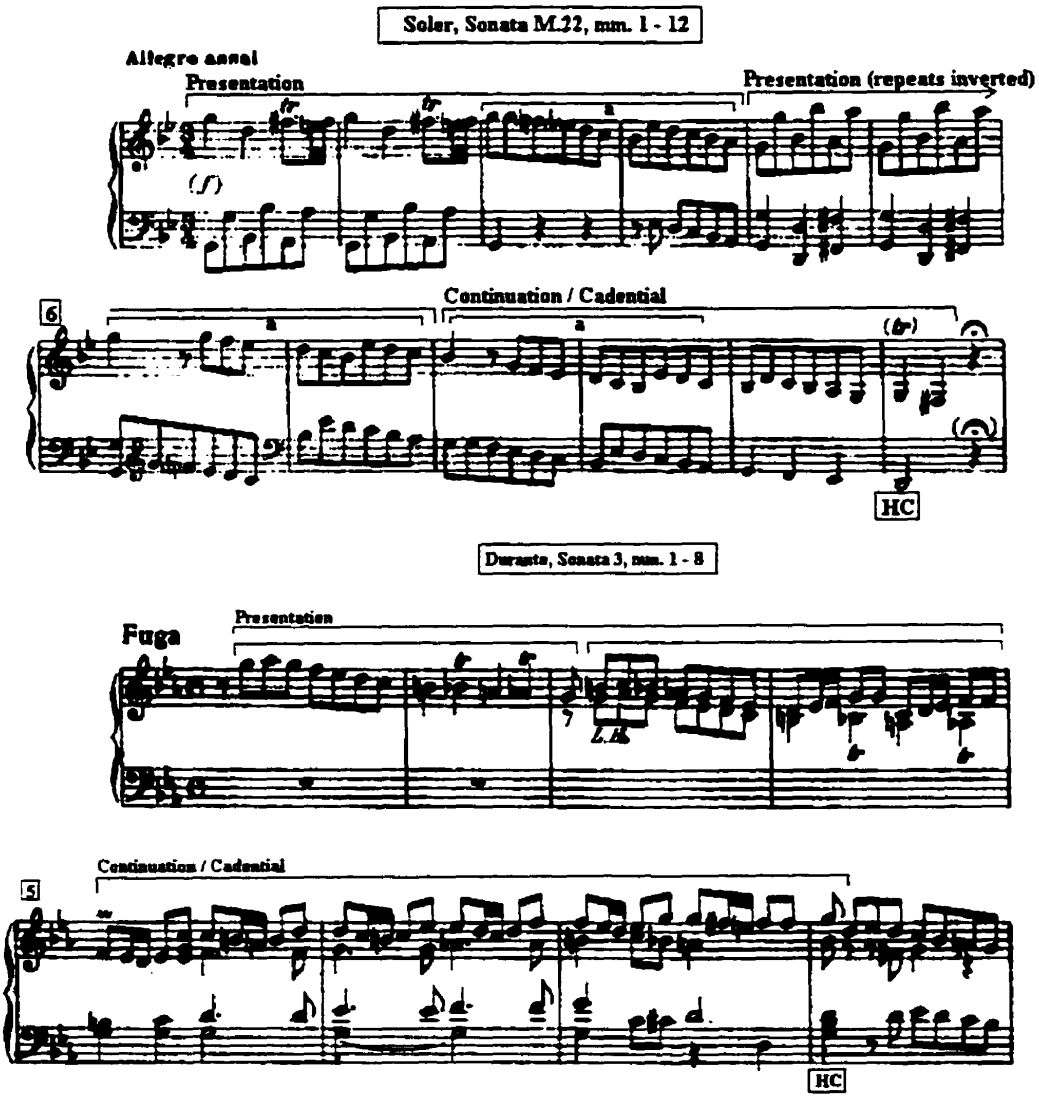


Example 43
Simple presentational openings and the following modulational spinnings-out in Corelli's Op. 5, vii, *Giga*, and Soler's Sonata VII (M. 7).

Samples of Composite Openings

Sentence Type Openings

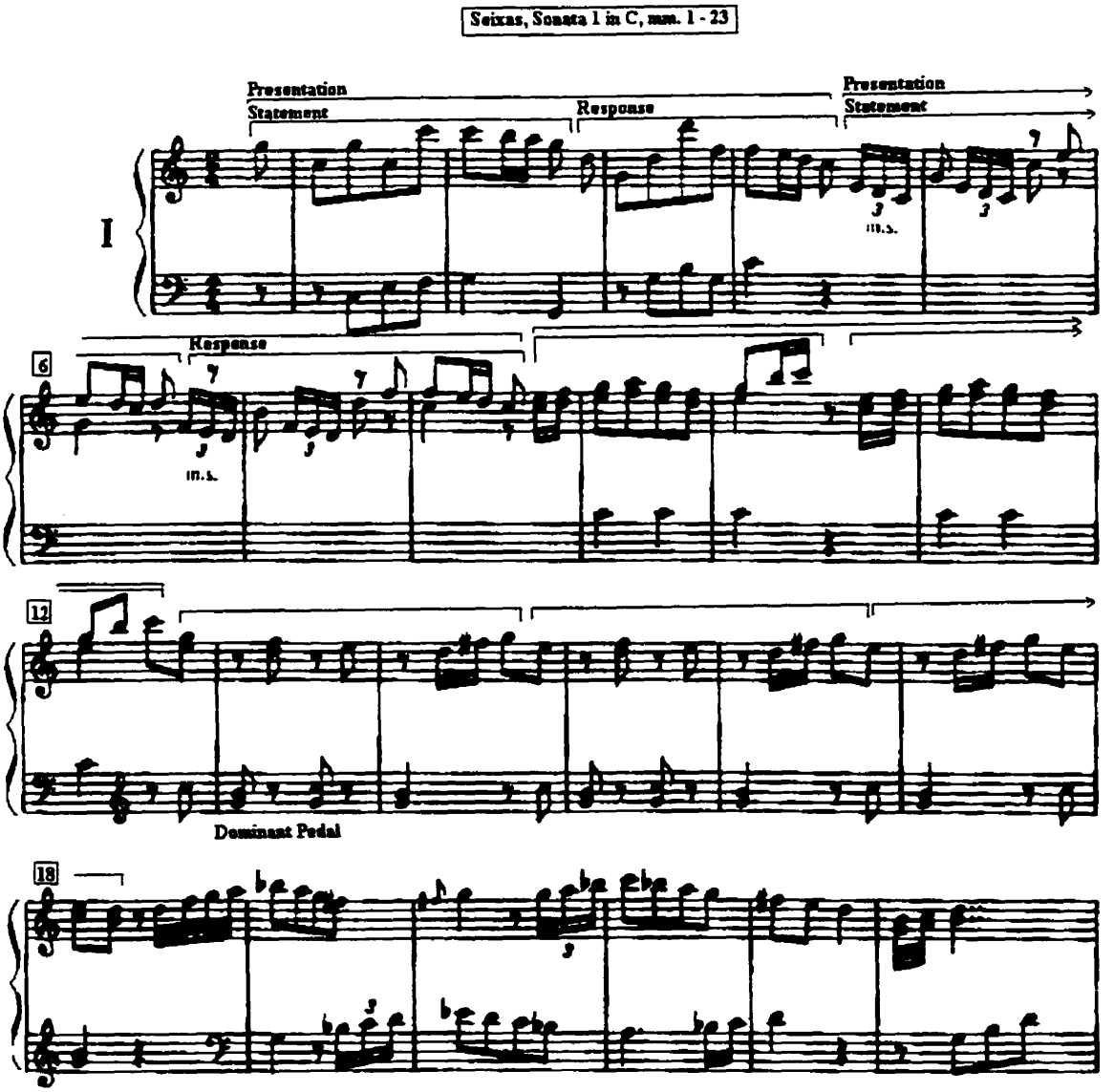
Following Fischer's implication, it stands to reason that there would be a preference for sentence type structures in the mid-century, as these types arise from the Baroque spinning-out technique. Though paradigmatic sentences exist in the mid-century, the Scarlatti repertoire at hand indicates that the sentence-type design commonly deviates from the model. This is true in many contemporary works. There may be a repeated presentation, or the continuation will be unusually long, or perhaps it may prolong the tonic and/or the dominant before moving to cadence. In the Durante example below (Sonata 3, *Fuga*) a fugal movement begins as a sentence type opening with a tonic/dominant presentation. Other examples of sentence type openings are Soler M.1, M.4 and M.22; C.P.E. Bach, Sonata 13, iii, Wq.65/28; and Galuppi, Sonata III, ii.



Example 44: Sentence type openings.

Composite Spinning-Out-Type Openings

Stemming from Baroque spinning-out structures, the composite spinning-out-type opening still holds a prominent position in mid-century sonatas. Like the Scarlatti repertoire at hand, the majority of these openings remain unclosed, winding their way to a cadence in another tonality. The example below, Seixas, Sonata 1 in C, from *25 Sonatas para instrumentos de tecla* is typical. Several presentation members introduce the home tonality, but then begin to spin out into the transition with no cadence to determine the end of the opening section. A dominant pedal point arrives at measure 13, and the home tonality begins to dissipate from that point on, as the pedal begins to assume the role of tonic of the complementary tonality (V).



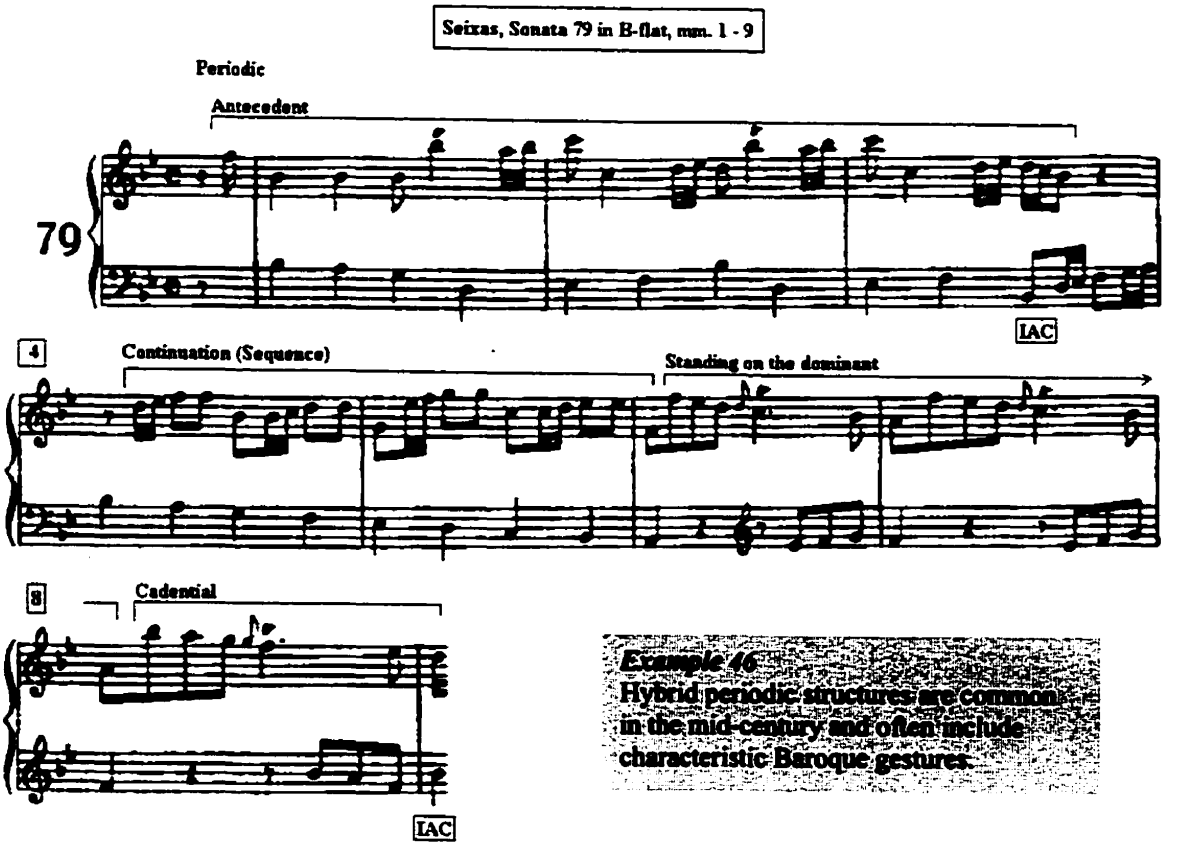
Example 45
Composite spinning-out-type opening

Other examples of the composite spinning-out-type opening can be found in Soler, Sonata 1 (M1); Marcello, Sonata VI, iii; and Galuppi, Sonata III, ii.

Samples of Complex Openings

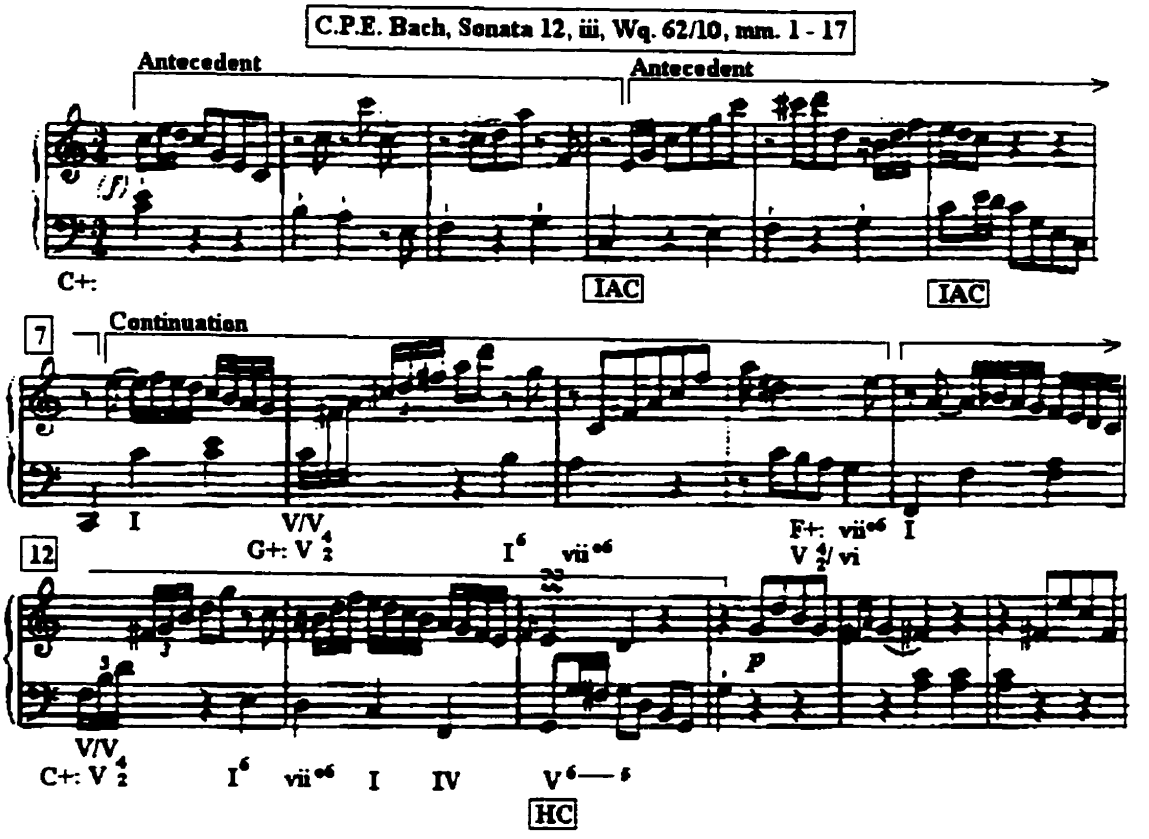
Periodic Openings

Like the examples of complex openings seen in Scarlatti, contemporary structures are often just as ambiguous, containing Baroque processes within Classical forms. The first example below, Seixas, Sonata 79 from *80 Sonatas para instrumentos de tecla*, illustrates a mid-century periodic structure fraught with Baroque gestures. This passage lacks the high-Classical balanced design and homogeneity. The cadence structure is not as emphatic as in Classical forms, and there is a tendency to let the melodic line run through the harmonic close, which is common in Baroque music. Other examples of interesting periodic openings include C.P.E. Bach, Sonata 16, i, *Allegro* (Wq. 62/16) and Haydn, Sonata in E-flat, Hob. XVI: 45, i.



Example 46
Hybrid periodic structures are common in the mid-century and often include characteristic Baroque gestures.

The comma is a periodic structure that appears throughout the mid-century. Its half-cadential ending can initiate the transition and it is often tonicised. The following example is from the opening of C.P.E. Bach's Sonata 12, iii (Wq. 62/10). This particular design begins with two antecedents, followed by a continuation that leads to a half cadence.



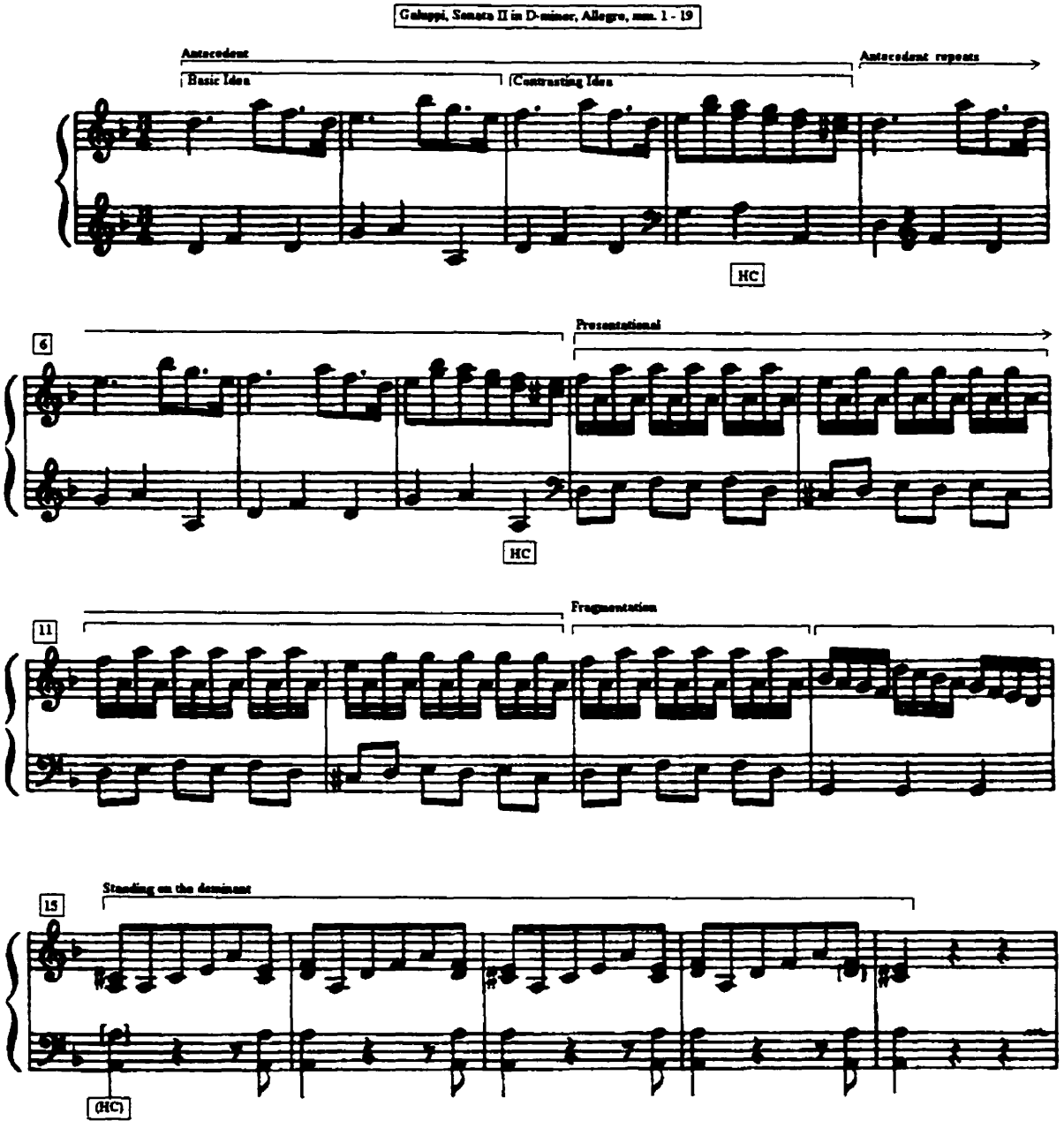
Example 47
The comma structure initiates the transition.

Other mid-century opening comma structures can be found in Haydn, Hob. XVI:10 and Marcello, Sonatas V, ii and XII, ii. The *comma* is a comparatively common structure in the Baroque repertoire that more than likely stems from the head-and-*Fortspinnung* species in that its open ending invites further continuation. A variety of Baroque spinning-out types express the complex opening structure beginning with a prolongational-cadential phrase, such as in K 521 and 527.[89] In the Baroque comma, however, it is likely that the idea following the incipit sequences rather than repeats directly (compare with Corelli's Op.2, Sonata 2, *Giga* and *Allemanda*, and the antecedent-continuation unit in Op.2, Sonata 1, *Allemanda*).

[89] See Fischer, "Wiener klassischen Stils," 31-32, and corresponding fig. 16.

Complex Spinning-Out Type Openings

Though not as common as the composite spinning-out type, examples of the complex spinning-out-type opening can be found among Scarlatti's contemporaries. The following example comes from Galuppi's Sonata II in D-minor, *Allegro*. For another kind of complex spinning-out-type opening, see Soler's Sonata V, (M5), which includes a closed composite spinning-out type followed by more material in the home tonality.



Example 48
Complex spinning-out type opening includes intermediate cadences

In the few examples addressed above, it is clear that Scarlatti's contemporaries incorporate similar compositional techniques in the openings of their works. Not one of the opening types found in Venice XIII is not present in the sample contemporary repertoire selected for this study. Similar processes such as repetition and imitation, and devices such as incipit fanfares, occur freely throughout sonata openings of the period, as well. Repetition and imitation has been illustrated in the examples above. This opening process in the mid-century probably stems from the many forms of restatement that are common throughout the late Baroque. Durante's fugal opening in Sonata III, i, (Example 44) repeats the subject at the octave in an almost homophonic restatement. Fugues and inventions are the most obvious sources of the repetition and imitation opening design. The gradual preferment of exact restatements and entries at the octave (a common trait in other Baroque forms, such as concerti) over a subject / answer configuration, increases in popularity in the mid-century, though not at the expense of the subject / answer design. Among Scarlatti's keyboard sonatas K 60, 67, 70, 76, 85 and 86 are Baroque inventions, while K 30, 58, 82 and 93 are fugues.[90] Invention and fugal techniques even survive in the Classical sonata (Beethoven's *Hammer-klavier*, Op.106, final movement, for example). When these techniques appear in mid-century sonatas, they become subject to contemporary practices. These practices include the encroachment of Classical periodicity, the inclination towards homophony, and the gravitation towards broad and definite tonal planes with thematic, rather than episodic characteristics. In Durante's Sonata 3, i (*Fuga*) a relaxation of fugal technique is evident, leaning toward a thinner and less complex mid-century texture. Seixas's Sonata XXV from *25 Sonatas para instrumentos de tecla*, is another example. Dramatic tension through intense dissonance and intricate motivic and rhythmic interplay is not as prevalent in the mid-century as it is in the fugues of the high-Baroque masters.[91]

Complex repetition or imitation can disclose a periodic structure , though the design often shares equal cadential weight between phrases (see Galuppi, Sonata II, mm. 1-9 and Seixas, Sonata IV in C from *80 Sonatas para instrumentos de tecla*, mm. 1-10). The inherent periodic design of the repetition process in the opening eventually gives way to the Classical period formation (antecedent-consequent). Spinning-out phrases and arpeggiated fanfares become tempered by *Lied*-type formations.[92] The sentence design

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[90] These statistics come from Foster, "Dramatic Contrast," 30-42.

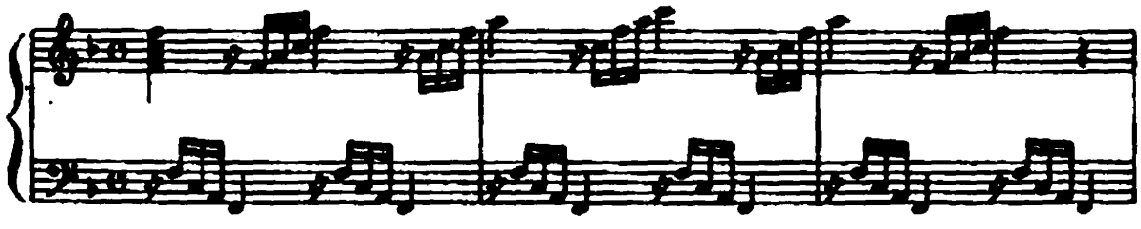
[91] Other examples of repetition and imitation openings are apparent in Soler's Sonata III, M 3 (3+3, includes a countermelody); Marcello's Sonata IV, ii (with countermelody); Galuppi's Sonata in G, second movement (mm. 1-5); Marcello's Sonata VI, iii (mm. 1-4); Marcello's Sonata IV, ii (mm. 1-15); and Seixas, Sonata IV in C, (mm. 1-10).

[92] See Fischer, "Wiener klassischen Stils," 24-78.

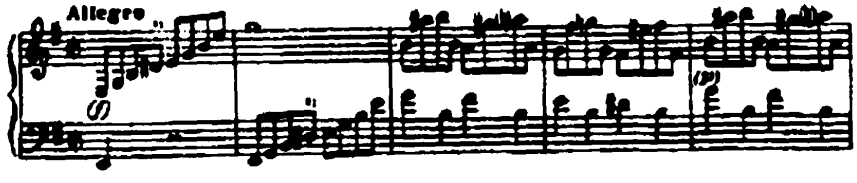
represents one structure that retains both the restatement and spinning-out techniques throughout the Classical era.

The examples above indicate that opening incipits are abundant in many forms; however, none show a fanfare as clear as Scarlatti does. Scarlatti's continued exploitation of the technique throughout the corpus of his keyboard sonatas is remarkable. Following are a couple of explicit contemporary examples of opening fanfares, similar to those found in Scarlatti's sonatas. The Galuppi example shows a typical arpeggio fanfare appearing at the opening of a sonata to introduce the home tonality before a long spinning-out. The stretto fanfare in the Soler example stands at the head of a composite spinning-out-type opening that modulates and cadences in the complementary tonality.

Galuppi, Sonata III, ii, mm. 1 - 3



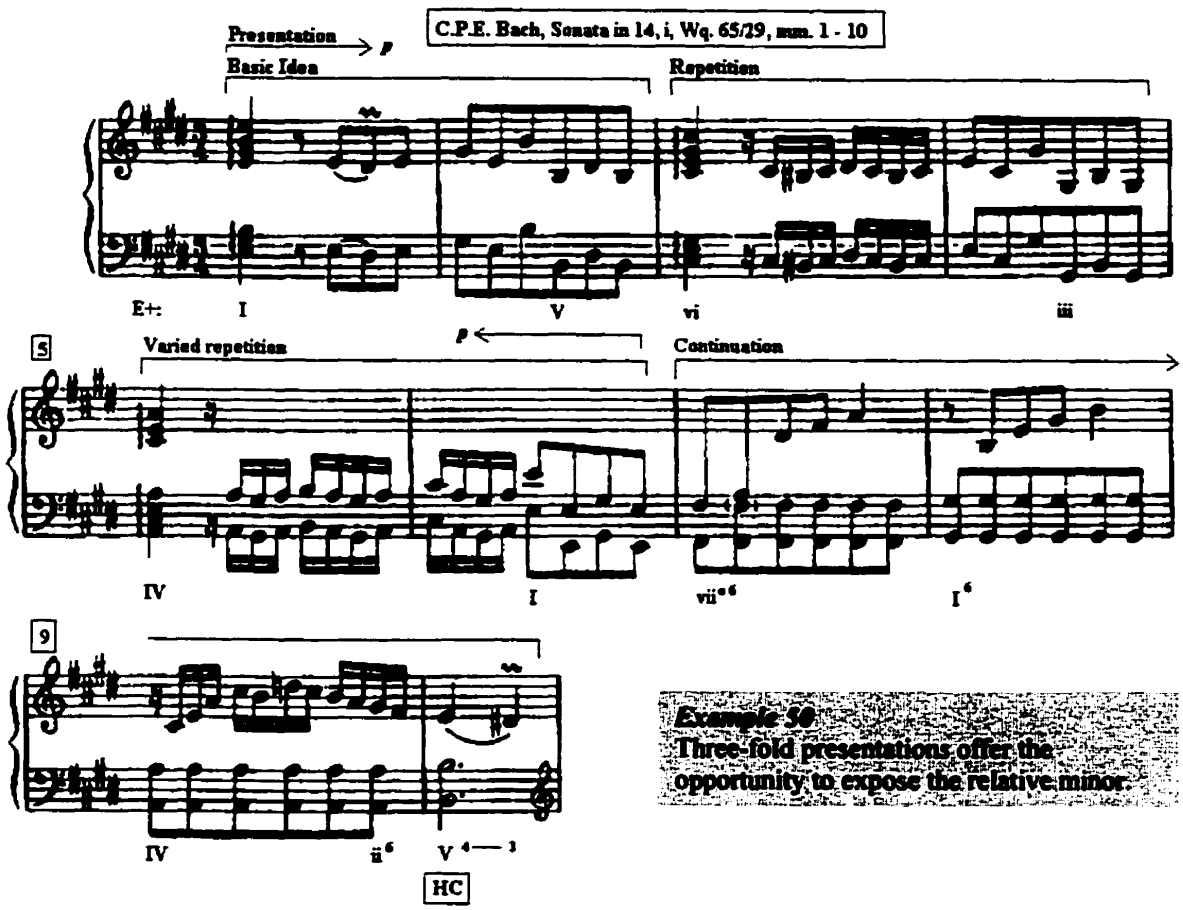
Soler, Sonata VI, M6, mm. 1 - 5



Example 49
Incipit fanfares in works by Scarlatti's contemporaries.

Other devices appearing in openings, such as the tonic affirmation in the opening of K 538, are common throughout the repertoire of Scarlatti and his contemporaries. Examples can be found in the openings of Soler's Sonata V (M 5), mm. 1-14, where a tonic affirmation supports mm. 5-10, and in Seixas's Sonata 50 from *80 Sonatas para instrumentos de tecla*, mm. 1-7, where the tonic affirmation in mm. 4-6 replaces a strong cadence.

The three-fold sequence of an opening basic idea as presented in K 524 is a common mid-century device that probably finds its roots in the head of similarly designed Baroque spinning-out formations (see Corelli, Op.4, no.1, *Preludio*, mm. 1-4). It is not uncommon to see a change or variation in the third statement of the basic idea. This device prolongs the tonic indirectly through a descending sequence of thirds, which exposes the relative minor. Numerous expressions of the three-fold basic idea are possible. C. P. E. Bach's Sonata in 14, i, Wq.65/29 (mm. 1-4) resembles Scarlatti's K 524 from the juxtaposition of the relative minor in the presentation to the forsaking of the ii^6-chord until just before the final half-cadence on the last beat of measure 9 (Example 50). Here, too, the super-tonic is re-established in the proper register before resolution.



Example 50
Three-fold presentations offer the opportunity to expose the relative minor.

Summary of Opening Techniques

This part of the analysis has shown that Scarlatti uses several opening types that can be identified according to their formal processes. These processes show similarities to both earlier and later forms. Prolongational-cadential, presentational, sequential-continuational, and various consequent-like or continuational phrases are preferred over high-Classical theme types. The process of stating the home tonality is of primary importance in this repertoire, while establishing it with an associated formal function is secondary. Certain devices and processes, however, present the home tonality in the opening such as the incipit fanfare and imitation or repetition. Many constructs verge on high-Classical designs or recall Baroque traditions, but rarely do they exhibit a standard form from either. A comparison with some samples from works by Scarlatti's contemporaries shows that though Scarlatti's compositional style is unique, he writes using formal structures and processes that were common for the period.

Chapter Four

An Analysis of the Thirty Sonatas in the Venice XIII Manuscripts: The Central Section

The function of the central section is to furnish the transition between the opening and complementary tonal planes. It begins with the transitional pivot member and ends with the complementary pivot member. It also prepares for the crux, which announces the onset of the complementary tonal section. The size and dynamic process of the central section also determines whether the sonata's form is tripartite or bipartite. Chapter Two introduced the concepts of bipartition and tripartition, and the integral components that determine the emphasis that the dynamic processes place on the central section. The following discussion identifies types of central sections according to these various procedural components. Since the tonal plateau often emerges within the transitional process, this discussion necessarily includes much about the complementary tonal section, as well.

Terminology for the central section has been introduced in Chapter Two. Any structural relationships and definitions developed in the section on openings will continue to be applied in the discussion of the central section. As in the previous section, central sections that are similar to previously examined specimens are reviewed briefly and without accompanying examples.

This part of the analysis will first examine bipartite first halves. Twenty-one of the sonatas in the Venice XIII collection are bipartite. There are two types of bipartite first halves: those with transitions and those without. The transitionless first half will be discussed first. The remaining bipartite first halves display five types of transitions, according to their different processes and components. These are 1) the non-modulating transition, 2) the transition by closed dominant pedal point, 3) the transition by modulating phrase ending in and IAC, 4) the transition by a half cadence in the complementary tonality, and 5) the transition by a dominant pedal point in the complementary tonality. The remaining nine sonatas are tripartite. Tripartite first halves cannot be as readily subsumed under classifications, as they are freer flowing and more unpredictable than transitions. Whereas transitional processes can be contained and governed by formal structures, it is the processes that make up expansion sections that

determine how phrase members are to develop. I cover the tripartite openings according to two main divisions: expansion sections that include a false transition, and various expansional techniques. The latter category discusses the remaining expansion sections individually.

Bipartite First Halves

Transitionless First Half

Sonatas subsumed by this type: K 533 and K 540

Transitionless is a term that applies to a first half where the modulation to the complementary tonality is not executed in a distinct transitional member. In effect, if a modulation and/or some kind of textural change has taken place, then there has been a transition from one condition to another. Transitionless first halves, then, do contain some kind of transitional component, but it is so well integrated into the existing formal structure that it cannot be separated from the whole as a separate transitional member.

The transitionless bipartite first half can consist of a movement to the complementary tonality within an opening section that ends with a HC. This cadence introduces the tonic of the new tonality (that is, a HC can end the opening section on V, and the complementary tonal section can begin immediately in the dominant tonality). The complementary pivotal function, therefore, is not explicit in the latter member of the opening section. It is realised retrospectively once the new tonality begins. The transitionless first half may stem from a common Baroque practice where two tonally juxtaposed sections occupy the first half of a small binary dance movement; one section being in the home tonality and the other section in the complementary. Either no transition exists between the two, or one of the sections (usually the first) causes the modulation.[93] Example 51 below illustrates this in a *Giga* by Corelli. There are two

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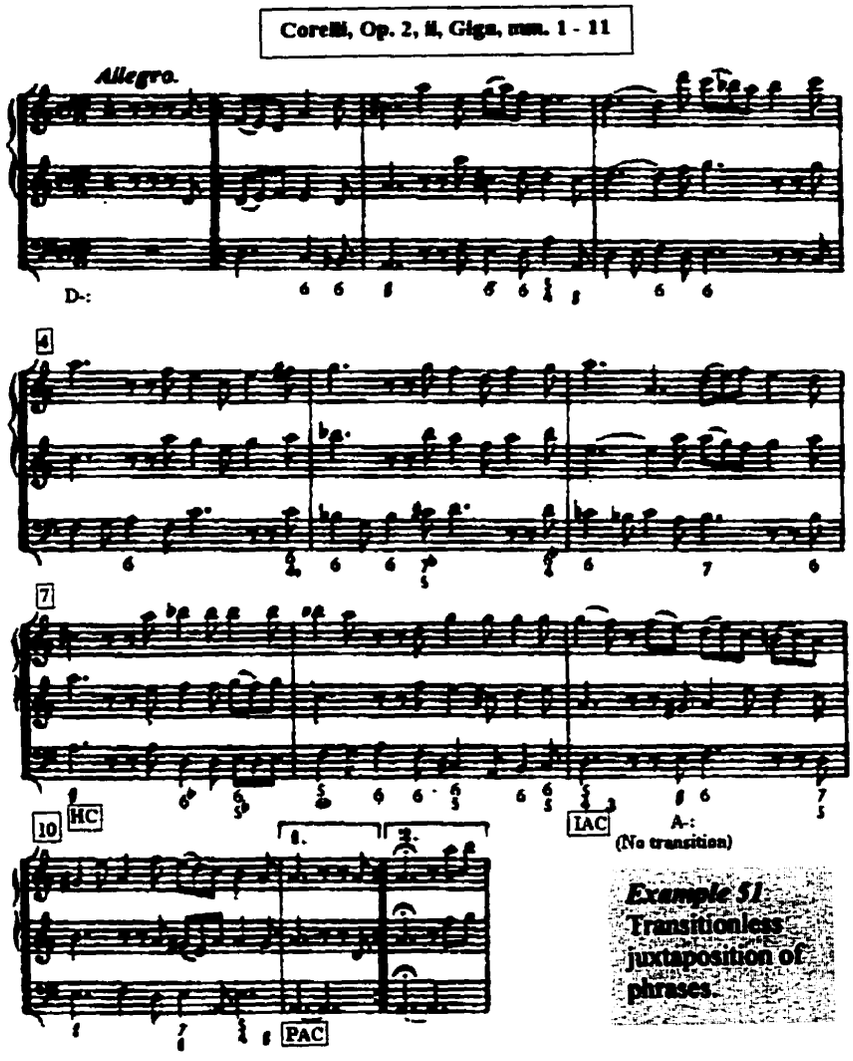
[93] Fillion, "Accompanied Keyboard Divertimenti," 165. Fillion includes a paradigm for her incipient binary form and corresponding discussion on her pp 172-74. She refers to the Viennese keyboard form: "The two tonalities are juxtaposed without transition . . . Indeed, the avoidance of the transition is a prevailing characteristic . . . in this pre-1780 period." (174). Fillion is interpreting the transition as a structural event that occupies a physical section of the music; however, insofar as a modulation (and perhaps a textural change) occurs, some kind of transition must take place. "Transitionless form," therefore, is a term that reflects a comparatively small transitional process.

cadences in the home tonality, a HC in measure 7, and an IAC in measure 9. The final phrase begins immediately in the complementary tonality.



Example 51 **Transitionless juxtaposition of phrases.**

Scarlatti's K 533 exhibits a transitionless form similar in principle, though not in structure, to the Baroque example illustrated above. In K 533 (Example 52), the opening's repeated cadential progressions end with a PAC in the home tonality in measure 9. Like the Corelli excerpt in Example 51, the complementary tonality begins directly after the cadence. It is confirmed by the transposed return of opening motivic material in measures 11 through 14. The next phrase (beginning in m. 14) confirms the tonality on its way to the crux (mm. 18 and 65) with material in the left hand that has been derived from the right hand of measures 6 to 8. This phrase is extended by cadential progressions from measures 19 to 24. The closing section follows, characterised throughout by closing cadential activity.

The pre-crux begins with the complementary tonality in measure 9 and extends to the crux in measure 18. Both transitional and complementary pivot functions share the PAC in measure 9, leaving no room for a transition; however, a bridge exists motivically in measures 9 and 10. Note that the pre-crux is almost a complete repetition of the opening, except for measures 9 and 10, which hold the same relative position at the head of the second phrase as the incipit fanfare in measures 1 and 2 held in the first. The complementary tonal section, though comparatively long, consists of several short, articulate, cadential units that cannot be interpreted as expansional. According to eighteenth- and nineteenth-century treatises, a long closing section within the subordinate region is not unusual, especially if there is no transition.[94]

K 540 is slightly more complex. The HC in measure 12 functions as both the end of the opening as well as the shared transitional and complementary pivot. The following material continues in the complementary tonality of C-major. Measures 13 to 15 form a bridge passage to the closed dominant pedal point in measures 16 to 22 (pre-crux). The crux follows the PAC in measure 22 (mm. 23 and 74, no PAC prepares the crux in m. 74).[95] A tonic affirmation, extending to measure 30, confirms the complementary tonality. A varied repetition of this section continues to the closing in measure 38. Were the bridge passage (mm. 13 to 22) not solidly in the complementary tonality, the closed dominant pedal followed by the crux would form a convincing end to a transition. It is interesting, too, that the pre-crucial dominant pedal relates motivically to the dominant pedal following the opening presentation.

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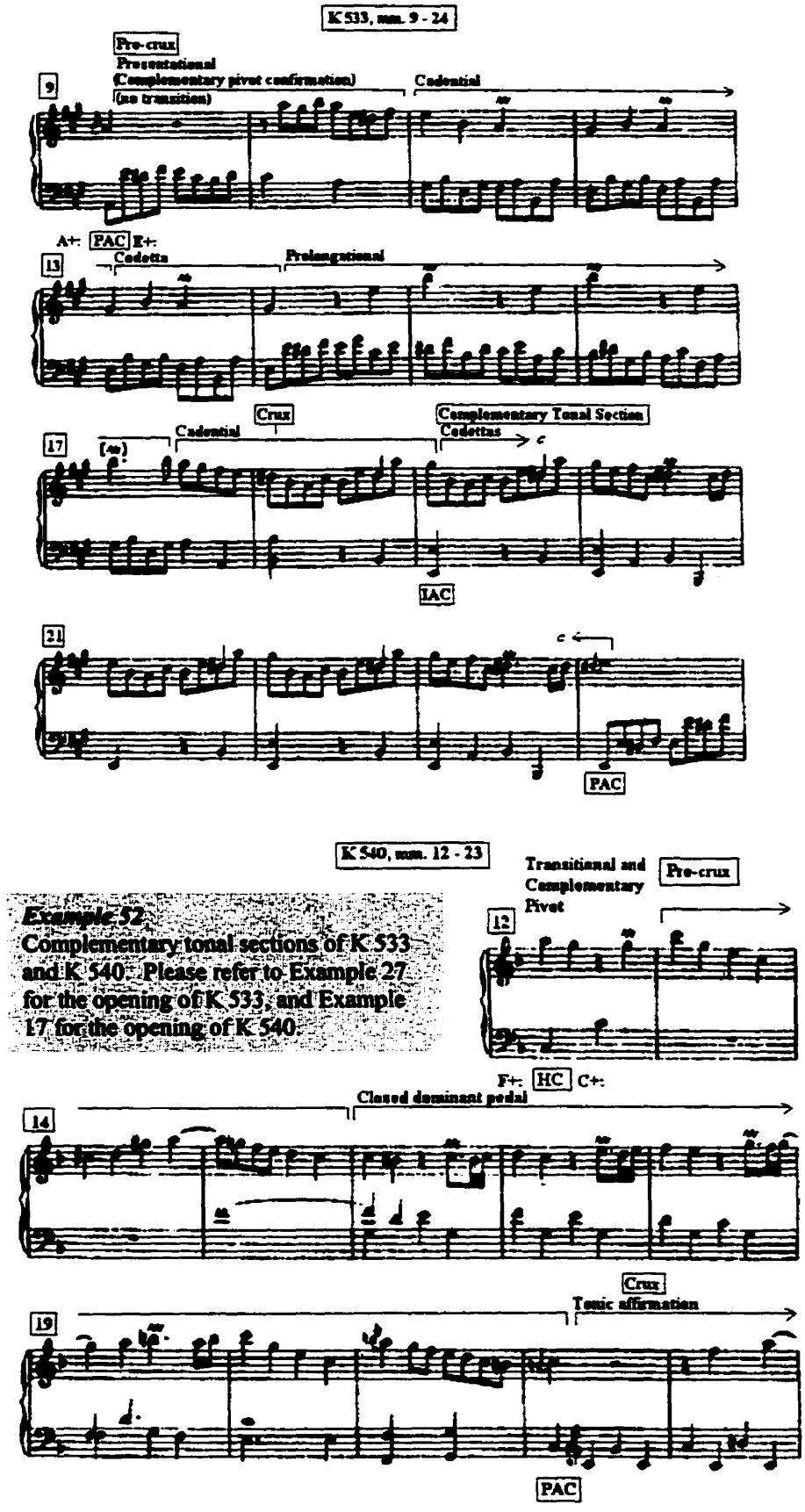
[94] Please refer to the bibliography for the eighteenth- and nineteenth-century sources consulted for the present study.
Fillion, "Accompanied Keyboard Divertimenti," 190. Fillion finds that no fewer than three-fifths of Haydn's twenty-five full sonata-form expositions have no transition, with an almost exclusive preference for the asymmetrical form with longer area in the dominant.

[95] Unger, "Methods and Incidents," 228, claims there is a perfect crux at this point. His reasoning is that neither half contains preparatory material. I disagree, as the strong pre-crucial dominant and following cadential progression is already well defined in the complementary tonality. Unger recognises the tonal plateau as coinciding with the onset of the crux.



Example 52. **Complementary tonal sections of K 533 and K 540. Please refer to Example 27 for the opening of K 533, and Example 17 for the opening of K 540.**

First Halves that Contain Transitions

The remaining eighteen sonatas of the bipartite first half configuration contain transitions of some kind. Two different approaches to transitional sections exist in this repertoire: modulation and non-modulation.[96] In both cases, the transition navigates easily the course from the home tonality to its complement with little deflection. Scarlatti's transitions include cadences to mark the arrival in the new tonality more often than dominant arrivals. All transitions contain a complementary pivot member of some kind. If a transitional pivot member exists, then the complementary pivot follows immediately. Any material between the transitional pivot and complementary pivot that is not a direct repetition or sequence of the transitional pivot member is expansional. Expansions form more than a basic transition, though some transitions might contain expansional techniques.

Non-modulating Transition

Sonatas subsumed by this type: K 514 and K 528

The non-modulating transition does not modulate itself, but it supports the complementary pivot. A simple parallel tenth (or third) voice-leading pattern that typically leads from I to V could furnish this type of transition. The modulation is transparent; that is, the role of the home dominant becomes transferred to the complementary tonic with no cadence or preparatory accidentals. In the Venice XIII repertoire, only K 514 and K 528 display this type. In K 514, a passage based on descending parallel thirds extends from measures 6 to 10 (Example 53). Since this section does not modulate *per se*, it might be seen as part of the opening. This design would imply a comma (that is, the first phrase ends in measure 7 with a PAC on I, the second phrase ends in measure 10 with a HC on V). This analysis is unlikely. The movement to the dominant in measure 10 leads immediately to a tonic affirmation, and not a cadence. A tonic affirmation functions to confirm a tonality, which means the modulation has already taken place. The beginning of the tonic affirmation also coincides with the perfect crux (mm. 11 and 48). The strong PAC in measure 7, therefore, concludes the opening section, and the onset of the complementary tonal plateau in measure 11 indicates that the modulation has taken place. The complementary pivot

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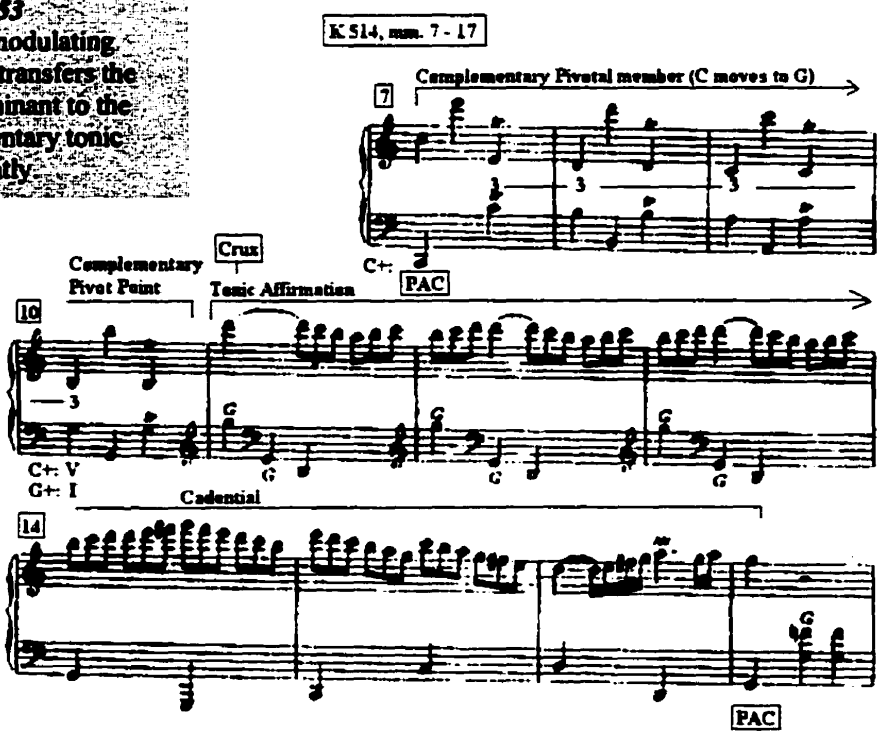
[96] Robert S. Winter, "The Bifocal Close and the Evolution of the Viennese Classical Style," *Journal of the American Musicological Society* 42 (1989): 275-337. Winter describes the transition ending on V of the home tonality as a "bifocal close."

(mm. 7 to 10) is not explicit as the F-sharp is missing. The pivotal member simply moves to the dominant of the home tonality, which is realised as the new tonic in the following closed tonic affirmation from measures 11 to 17.

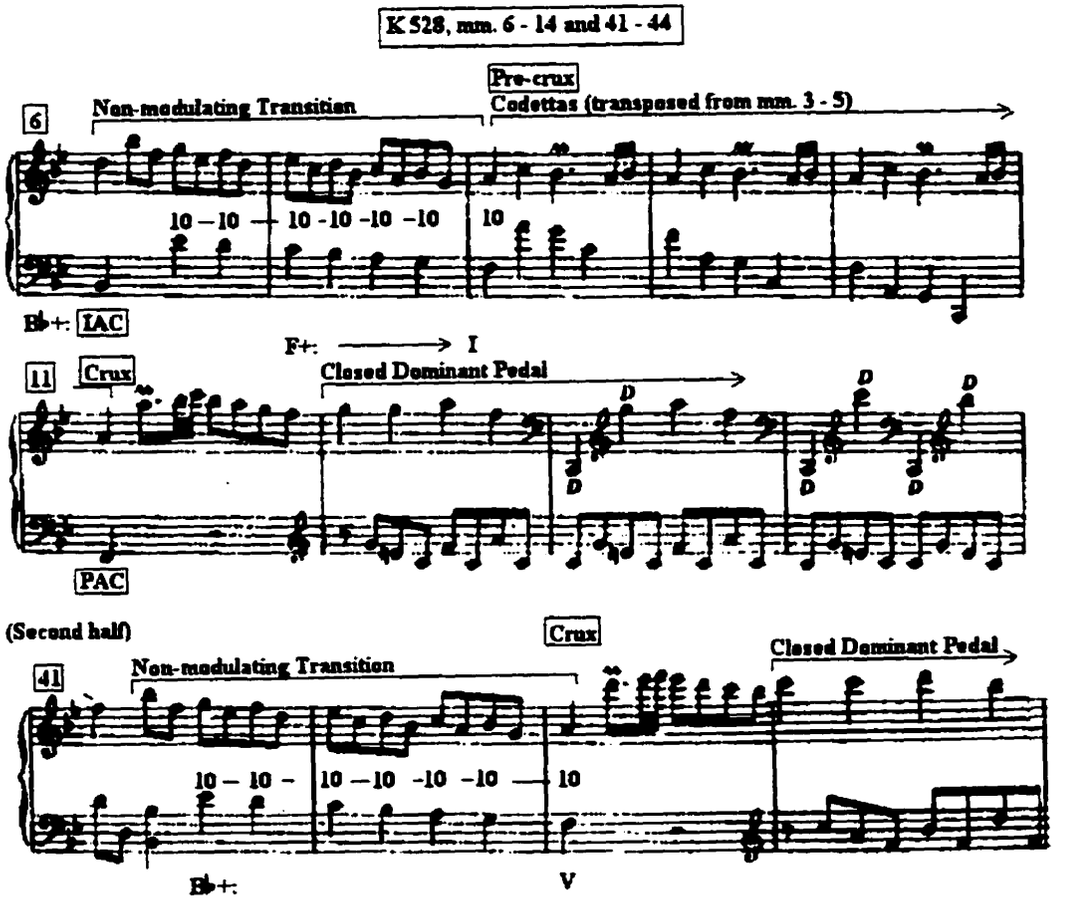
In a transitional dominant arrival or pedal point there is never any question that the dominant of the complementary tonality has been achieved due to its remote association to the home tonality. The tonic affirmation, however, must eliminate the inherent ambiguity between the home dominant and the new tonic by emphasising the new tonality while standing on the new tonic pedal. Scarlatti slowly unfolds the G-major scale from measures 11 to 14 and introduces a tonic-dominant alternation in the left hand to confirm the new tonality. Rather than establishing the new tonality, this member forms the complementary pivot confirmation. The section ends with a strong cadential progression (mm. 15 to 17, PAC). The closing section begins with another tonic affirmation in measure 17, which is repeated in measure 23.

Example 53
The non-modulating transition transfers the home dominant to the complementary tonic transparently.



K 528 uses the same device as K 514 (Example 54). A stepwise parallel tenth passage from measures 6 to 8 simply descends to the home dominant. Scarlatti transposes the opening material from measures 3 to 5 to the complementary dominant tonality in the pre-crucial measures 8 to 11. The crux arrives in measure 11. In the thin-textured mid-century style of composition it is difficult to pinpoint where the tonality changes. An argument that a modulation occurs with the cadential progression in measure 8, carried by the strong dominant seventh chord (F+: $I\text{-}I^{6}\text{-}ii\text{-}V^{7}$) is feasible. The

previous preparatory passage, however, subtly introduces the new tonic on beat 1 of measure 8. Since no authentic cadence has taken place by measure 8, the return of opening material in the dominant is the only affirmation of the new tonic of F-major. This is clear in the second half as the crux occurs immediately after the continuational passage in measures 41 to 43. The same closed dominant pedal point that appeared in the first half's measures 12 to 16 follows, and is sufficient to effect the retransition.[97] The closing codetta section follows from measure 20 to the end.



Example 54. **Non-modulating transition in both halves of K. 528. Please refer to Example 7 for K. 528's opening measures.**

[97] The process is similar to the high-Classical sonata form where a standing on the dominant often begins the subordinate section.

Modulating Transitions

The remaining bipartite first halves in the Venice XIII collection contain straightforward modulatory transitions, which sort into the four remaining transition categories. Transitions are characterised by modulation, development, and change of material, texture or character. If the transitional and complementary pivots occur in the same pivotal phrase member, contiguous phrase members, or if they appear within an extended transitional pivot, then this constitutes a transition.

Transition by Closed Dominant Pedal Point

Sonatas subsumed by this type: K 520, 523, 529, 535, 541

This type of transition achieves a complementary dominant pedal point that ends with a PAC. In most instances, the entire closed dominant pedal point and cadence repeats to form a post-crucial dominant pedal.

The transition of K 535 begins in measure 9. The transitional pivot becomes apparent in measure 10. There is a closed dominant pedal in measures 12 through 18 that coincides with the perfect crux (mm. 12 and 44) in the complementary minor tonality (please refer to Example 22 on page 51). A cadential progression runs through measures 17 and 18 (PAC). The whole structure repeats post-crucially to measure 24. The complementary section continues in the major mode and incorporates exact, untransposed material from the opening codettas. The new tonality expresses this material in a new context as the dominant arpeggios from the opening codettas now serve a tonic function and the former tonic arpeggios now reflect the subdominant.

The first dominant pedal in measures 12 through 18 simultaneously closes the transition as it opens the complementary tonal section. This pedal constitutes the complementary pivot confirmation. The dominant pedal returns tonally reconciled with thematic coincidence in the second half, forming a perfect crux. A dominant pedal or arrival cannot support a complementary pivot function since its existence precludes the prior achievement of the new tonality, but it can function as the complementary pivot confirmation. This concept evokes an interesting relationship to Classical and Romantic practices, since dominant pedals and arrivals represent the ending or goal of a transition.

Remarkably, K 535's crux emphasises the dominant minor mode and not the major. The mid-century composer commonly juxtaposes major and minor expressions of

a tonality more for colour than for formal design. The tonal centre is of prime importance. In K 535, the Picardy third turns the complementary confirmation to the major tonality (m. 17), thus averting the use of the minor mode as an expansional technique. Green notes in *Form in Tonal Music* that transitions frequently emphasise the opposite mode.[98] Though exploiting the opposite complementary mode is a prevalent device in mid-century music, it is also common in the high-Classical subordinate themes of Haydn, Mozart and Beethoven to touch on the dominant minor (e.g., Haydn's Op 50, no. 6, iv, and Beethoven's Op 10, no. 2, i, and Op. 13, i). In the mid-century, however, it is often far more pervasive in the complementary region than it is in the subordinate area of the high-Classical exposition.[99]

K 541's transition grows out of the tonic affirmation that follows the opening in measure 7 (Example 40 on page 83). The pre-crux begins in the last half measure 15 and a closed dominant pedal follows in measure 19 (Example 55 below). Its cadential progression takes place in measures 25 to 27. The closed dominant pedal simultaneously ends the transition and starts the complementary tonal section. It repeats in the minor mode of the complementary tonality to measure 35. The following phrase, from measures 35 to 39 (repeated in mm. 39 to 43), still hints at the relative minor, but the underlying cadential progressions firmly establish the major mode. Closing codettas follow. The complementary pivot (measure 15 to the pre-crux in measure 19) and the complementary confirmation (mm. 25 to 27) both achieve the dominant major. Any non-developmental activity following the crux, be it in the major or minor mode, serves to confirm the complementary tonic, and does not delay the complementary tonal section. The confirmatory process is *extended*, but not expanded.

Identifying the crux proves to be difficult in this sonata. The closed dominant pedal beginning in measure 19 corresponds thematically with material in the "wrong" tonality in the second half (measure 59). A sequence in measures 86 to 89 eventually leads to the dominant of the returning home tonality. In measure 91, a crucial return occurs, but it is short-lived. After seven measures of thematic coincidence, the second half turns away from its recapitulative course, but it remains in the home tonality. Measures 43 and 105 again contain coincidental crucial material in the closing codetta section.

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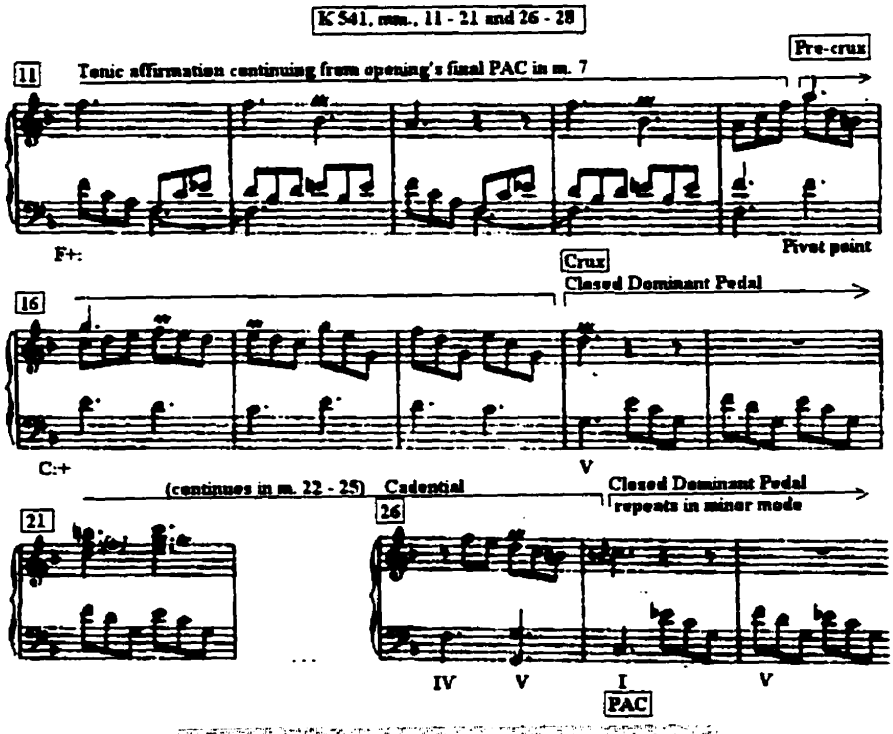
[98] Green, *Form in Tonal Music*, 187. The role of the minor mode in the expansional process is discussed in the analyses below.

[99] Fillion, "Accompanied Keyboard Divertimenti." Fillion recognises that the minor complementary mode plays a significant role in many post-crucial expansion sections in the small keyboard sonatas of Haydn. See pages 14-15 above.

The material in measures 59 to 90 forms an unusual development section in the context of the Venice XIII collection. The section that is in the tonic minor of the tonal plateau in the first half is missing in the second half. If this minor section in the first half is ignored, then the remaining two sections of tonal material are approximately the same size, though they do not correspond thematically to one another. They do carry similar motivic units in the left hand, however (that is, the eight measures from 35 to 42 in the first half and the seven measures from 98 to 104 in the second half). The halves are by no means congruent in their complementary sections, but their coincidences cannot be discounted as purely incidental. If the modal differences during the recapitulative process are ignored, then the crux ensues in measures 19 and 91, respectively. Short episodes of differing material in each half appearing before the coincidental return of the closing codettas interrupt the crux.[100] A fermata in measure 90 dramatically prepares the crux in measure 91.



Example 55
K 541's transition comprises the pre-crux.

K 520's composite spinning-out-type opening ends structurally in measure 11 with no cadence (Example 16 on page 41, mm. 1 to 10). The transition grows out of the

[100] Unger classifies this sonata as having no significant parallelism between the two halves and the only correspondence between them is their final cadential material. This is true, but it discredits the power of the motivic associations that link both halves together. ("Methods and Incidents," 426).

presentational material that follows in measures 11 to 14 (Example 56 below). This design makes it difficult to locate the division between the opening and the transition.[101] The presentation repeats with a slight harmonic variation that focuses more toward the dominant in measure 18. Measure 19 introduces a dominant seventh of the complementary tonality. Measures 11 to 18 form an eight-measure presentational unit, consisting of four measures imitated at the octave. The transitional pivot arrives in measure 19, where a persistent home tonic pedal arises from the unresolved dominant seventh and continues until measure 22. This pedal creates complex $^{5}/_{4}$-chords (a hallmark of Scarlatti's music), which blur a clear resolution to the dominant.[102] In measure 23, the transition achieves a closed dominant pedal point and perfect crux (mm. 23 and 66), which leads to the first strong cadence in the piece (m. 31). Measure 23 coincidentally ends the transition and begins the complementary tonal section. Measures 22 to 23 achieve the unambiguous complementary pivot. The closed dominant pedal then repeats post-crucially to measure 39 where the short closing section begins. The repeated presentational unit in the home tonality from measures 11 to 18 continues into transitional measures 19 to 23, which forms a single, thirteen-measure transitional unit, despite the late arrival of the transitional pivot. Its overall design is a composite, modulating sentence structure.

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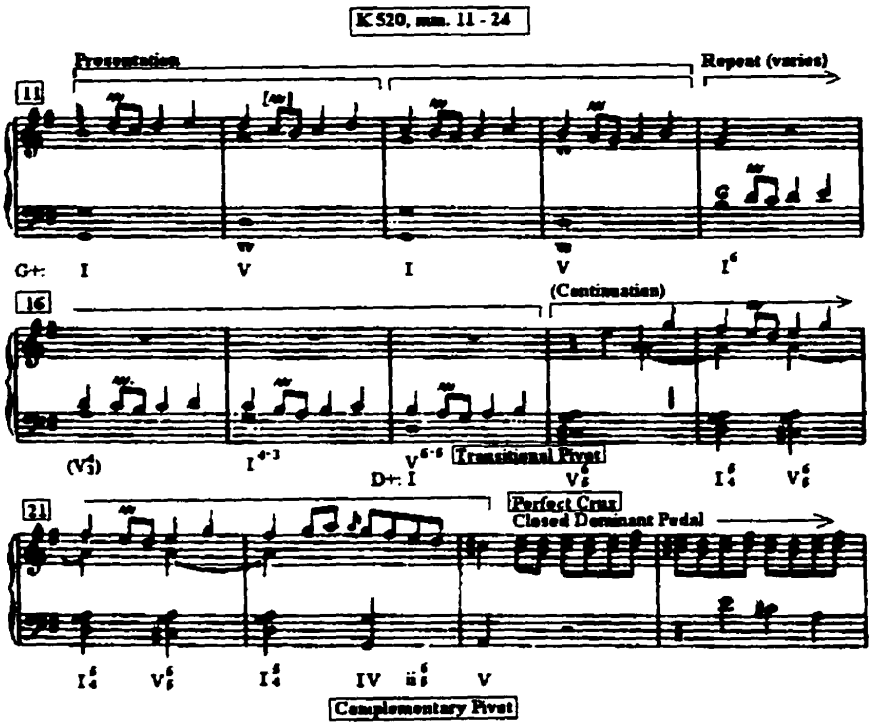
[101] Schoenberg notes that a transition may develop out of the end of the main theme. Arnold Schoenberg, *Structural Functions of Harmony*, (London: Williams and Norgate Ltd., 1954), 139.

[102] Newman and Kirkpatrick refer to these $^{5}/_{4}$-clusters as *accaciaturas*. Newman, *Sonata in the Classic Era*, 273. Kirkpatrick, *Domenico Scarlatti*, chap. 10. Boyd notes that Scarlatti's teacher, Gasparini, identifies the accaciatura in his *L'armonico pratico al cimbalo*, of 1708 and is the first to publish a description of dissonances of this type. Boyd, speaking of K 208, refutes the idea that the $^{5}/_{4}$-chords are accaciaturas; rather, he posits that they are figures that probably come from Spanish folk idioms or practices associated with guitar playing. Boyd, *Domenico Scarlatti--Master of Music*, 181-82. Gilbert Chase, *The Music of Spain* (London: W.W. Norton Inc., 1941), 112, suggests that an internal pedal point is also an effect common to guitar playing. This pedal could also result in a sustained $^{5}/_{4}$-configuration.



Example 56
K 520's composite transition includes a sentential design.

Example 30 on page 68 illustrates the opening of K 523. The transition appears in Example 8 on page 30. A sequential pattern develops from the tonic affirmation in measures 5 to 9. The eight-measure course to the dominant pedal (in the middle voice of measure 14) consists of presentational material in measures 5 to 9 and sequential material in measures 9 to 13. The dominant pedal in measures 14 to 17 prolongs a dominant seventh that spins out into complementary tonal material in measures 18 to 20. The process from measures 14 through the downbeat of measure 21 is sentential. The crux occurs in measure 21 (and 66) and consists of a closed dominant pedal point (mm. 25 to 29). The post-crucial dominant pedal extends to measure 37, followed by the closing codettas.

James Dale Unger finds a perfect crux in measures in 21 and 66.[103] The complementary tonality, however, arrives with the earlier dominant pedal in measure 14 and precedes the coincidence of material in the first half. The lack of tonal and thematic coincidence precludes perfection. Unger sees measures 14 to 19 as transitional, as the descending scale passage in measures 18 to 20 prepares the tonal plateau. However, measures 14 to 20 confirm the new tonality already established in measures 10 to 13). If a transition cadences, or comes to a dominant arrival or pedal in the new tonality, then the new tonality already exists within the transition. Cadences occur only in a stable tonality, which dominant pedals establish.

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[103] Unger, "Methods and Incidents," 168.

The opening of K 529 ends in measure 11 with a PAC (Example 29 on page 66). A repetition begins; however, in measure 16, where the respective material in the opening phrase reaffirms the home tonality with an E-flat (m. 6), the second phrase maintains the E-natural and turns to the dominant tonality (Example 8 on page 30). This passage becomes the complementary pivot. The tonicisation of the dominant in the opening makes this section more tonally diverse than the transition. The only sense of modulation in the transition is it begins like the B-flat opening; otherwise, it remains mainly non-modulatory in F-major. The closed dominant arrival (including pedal point) and pre-crux beginning in measure 18 confirms this.[104] The crux occurs at the PAC in measure 23, coincidentally ending the transition and beginning the complementary tonal plateau. A repeated tonic affirmation characterises the post-crux (mm. 23-42). The closing section begins in measure 43.

Transition by Modulating Phrase ending in an IAC

Sonatas subsumed by this type: K 525, 536, 538

This transition type modulates before the dominant pedal, achieves the complementary pivot quickly, and ends the transition on an IAC. The strong tonal confirmation, dominant pedal and crux occur in the complementary tonal section after this cadence has occurred. The dominant pedal always coincides with the crux and includes a post-crucial repetition.

K 525's opening was discussed at length in Chapter Two (Example 11 on page 33). Its transition follows the PAC in measure 9 (Example 57 below). Motivically derived from the opening, this condensed sentential, complementary pivotal phrase cadences in measure 13 with an IAC in the complementary tonality. The pre-crux is a transposed variation the transition, that ends with a half cadence at the crux in measure 18 (and 58), followed by a closed dominant pedal point. The dominant pedal repeats a two-measure basic idea that is punctuated by a percussive dominant chord, and cadences on an IAC in measure 24. The repetition ends with a PAC in measure 30. Tonality plays an important role in creating thematic divisions in this first half, as it is not only monothematic, but also very nearly monomotivic.

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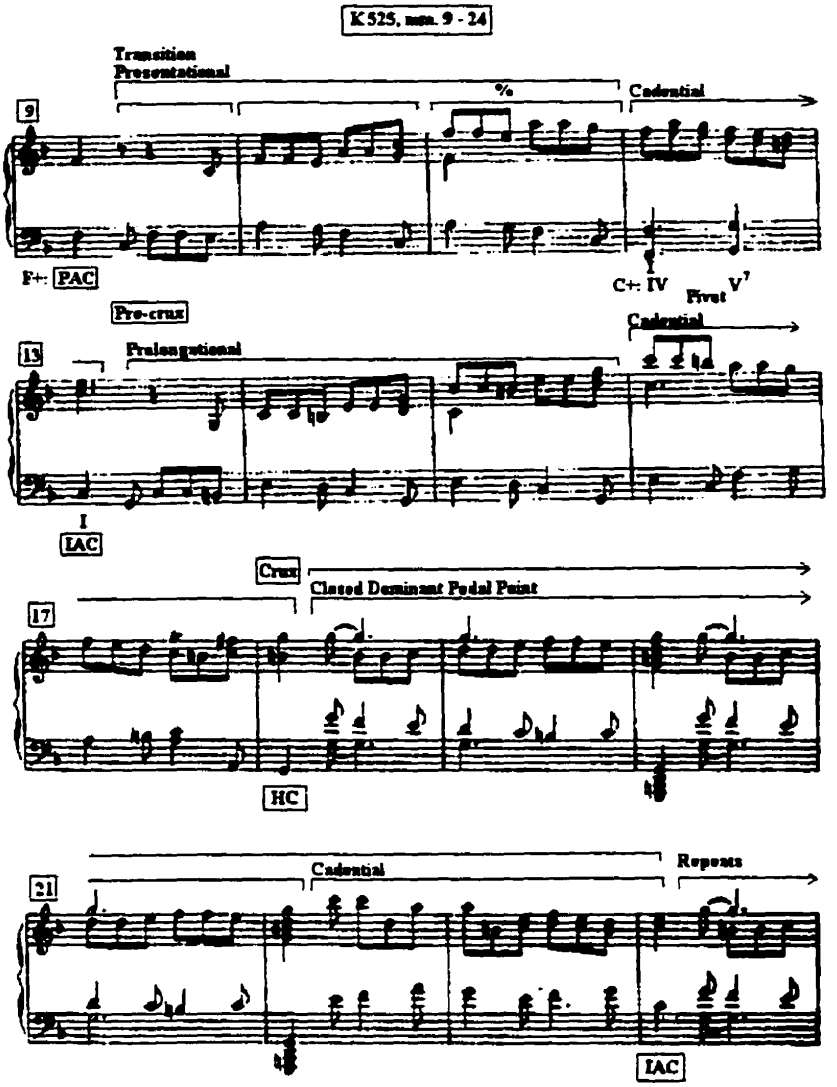
[104] Unger, "Methods and Incidents," 129, finds a perfect crux at measures 23 and 98. I contend that establishing the complementary tonality at measure 18 offsets this perfection and creates an imbalance in tonal material. This produces a simple crucial situation rather than a perfect crux.



Example 57
K 525's transition and complementary tonal plateau uses sentential designs.

K 536 follows the pattern for this type without any significant changes. K 538's transition consists of a four-measure presentational member and sequence (mm. 25 - 33) followed by a curt, complementary pivot (mm. 33 -34). Both sonatas contain a perfect crux at a scale passage leading from the IAC to the closed dominant pedal point: K 536 in measures 16 to 17 and K 538 in measures 35 to 37. Neither of them repeats transitional material pre-crucially to begin the complementary tonal section, as in K 525.

Transition by a Half Cadence in the Complementary Tonality

Sonatas subsumed by this type: K 515, 522, 524, 526, 532

This is a typical Classical style transition type. The transition begins in the home tonality and ends with a HC in the complementary tonality. Modulation is straightforward and the transition is clear. All transitions of this type begin on the tonic chord. In K 515 and 524, the melody strongly leans toward the complementary tonality from the beginning of the transition. K 522, 526 and 532 characterise the more Baroque trait of sequential activity that gradually leads to the complementary tonality. The transitions of K 515, 522 and 532 end on a HC that ushers in the crux. K 524 achieves a pre-crux at the HC in measure 14 (Example 58 below). The pre-crux continues to a second HC through a loosely sentential phrase in measures 16 to 24. The continuation phrase begins with a descending third sequence (mm. 19 to 21) that has been present since the three-fold opening. The crux follows in measure 25.[105] K 526 achieves a pre-crux in measure 21 and half cadences at the perfect crux in measure 23. The tonal plateau, therefore, arrives within the transition.

A false crux exists in measures 12 and 55 of K 515 (Example 20 on page 48). This material, though parallel, is clearly transitional.[106] In a high-Classical sonata, restatements of the transition in the recapitulation often approach the home tonality from the subdominant, as in this sonata. The return of K 515's false crux in the second half is the same type of recapitulatory gesture as the ternary sonata's transition returning in the recapitulation. Since this sonata is in the binary form, however, the false crux also fulfils a retransitional function in the second half. It prepares the tonal plateau but not the crux, as the return of parallel material is already apparent.

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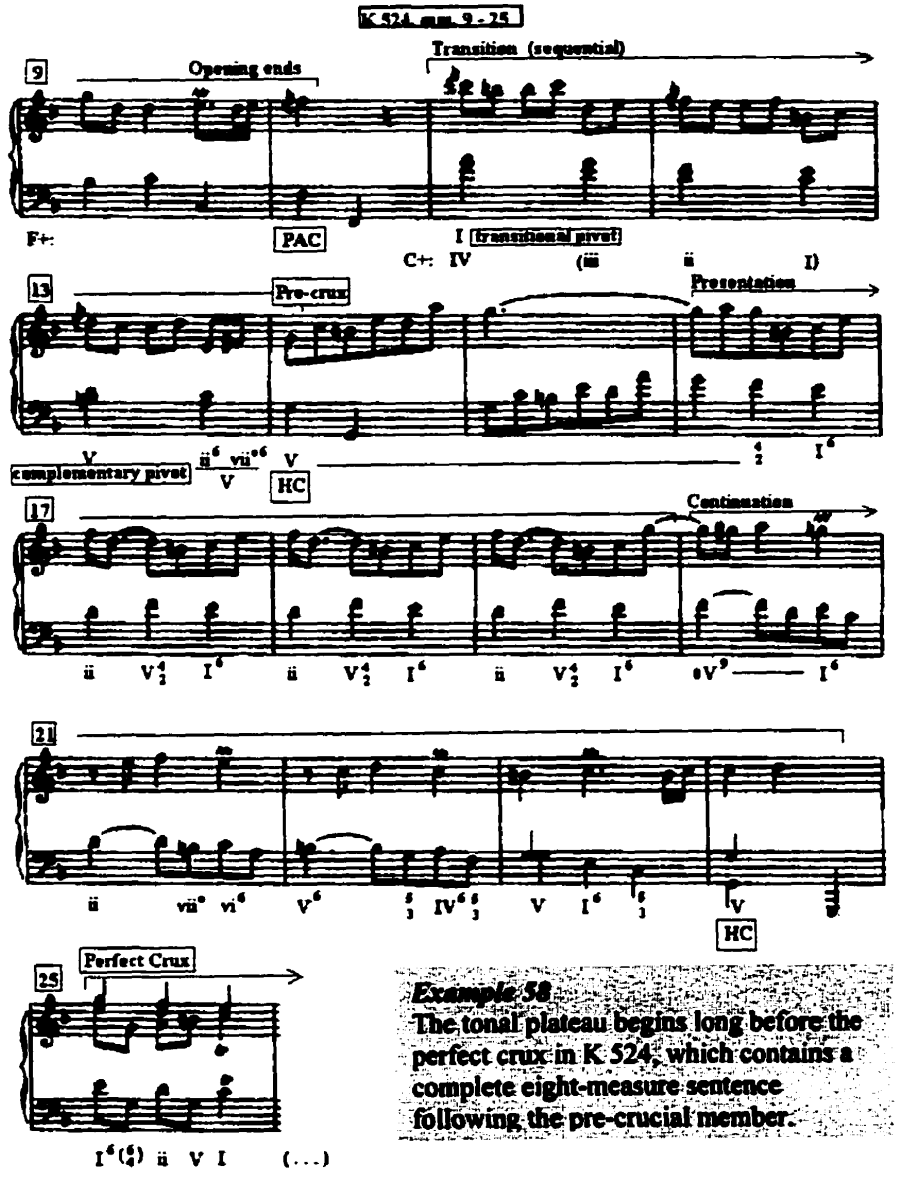
[105] See page 70 above for a discussion of K 524's three-fold opening. Unger, "Methods and Incidents," 177-78, considers this to be a perfect crux, but the first HC in the first half and the dominant pedal in measure 60 of the second half, show clearly that the complementary tonality is established in both halves before the return of parallel material.

[106] It is remarkable that Unger notes the lovely descent of a fourth preparing the crux of K 514 (mm. 7 to 10), yet he ignores the exact same procedure in this sonata. Apparently, the parallel restatement of the transition in the second half distracts Unger from this effect. This causes him to ignore the traditional function of a transition in favour of his understanding the crux to represent a parallel restatement of material. See Unger, "Methods and Incidents," 100.



Example 58
The tonal plateau begins long before the perfect crux in K 524, which contains a complete eight-measure sentence following the pre-crucial member.

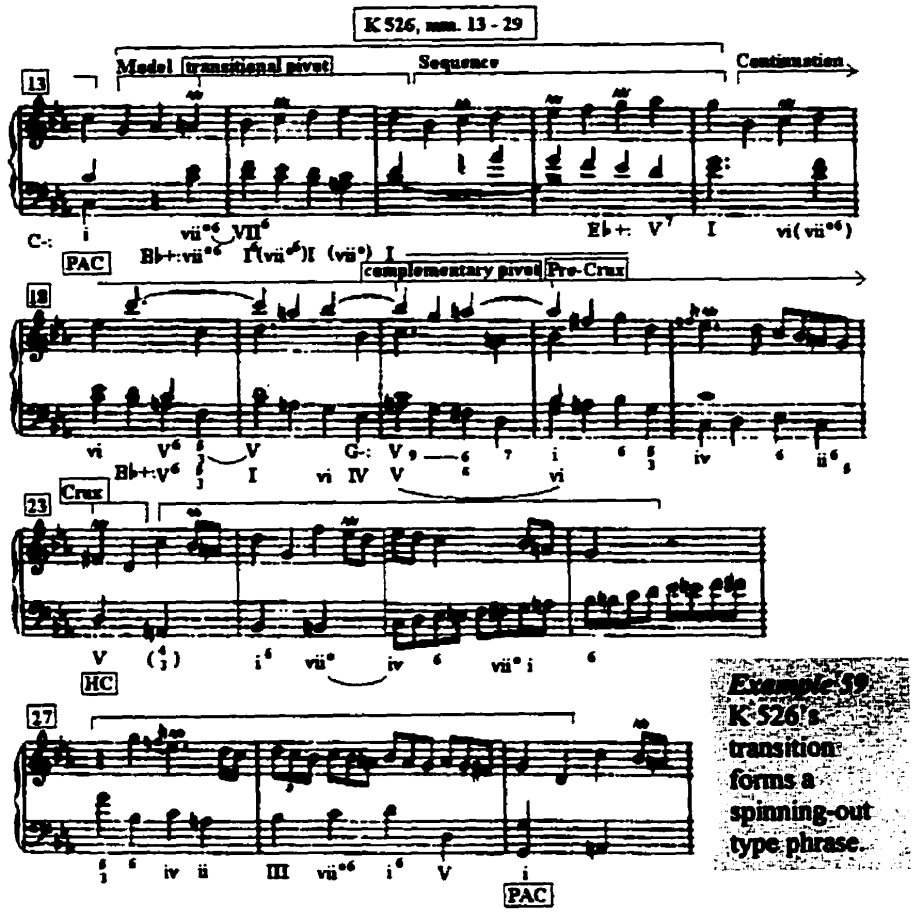
Both K 515's and 524's transitions include modulatory accidentals from their outset, so they come close to being non-modulational, like the non-modulating transitions of K 514 and 528. All four sonatas' transitions share similar descending parallel tenth (third) patterns. This pattern supports a gradual drift into the new tonality as the home dominant progressively loses its need to resolve to the home tonic while it takes on the fresh function of complementary tonic.

The opening of K 522 ends on a HC that merges with the transition in measure 16. The complementary tonality then rapidly dissipates, as it becomes part of a harmonic

sequence. There is no confirmation of the complementary tonality until the tonic affirmation of the pre-crux in measure 24. The crux occurs with the half cadence in measure 27. (Please refer to Example 18 on page 46, which includes measures 21 to 27, and Example 34 on page 73 for measures 1 to 16.)

K 526's tonal plateau begins well before the activity of the complementary pivot comes to rest. (Please refer to Example 37 on page 80 for the opening, mm. 1 to 13, and Example 59 below for the transition.) Measures 13 to 23 form a ten-measure sequential, spinning-out unit. This unit begins with model and sequence (2 measures +2 measures), followed by continuation and fragmentation, ending with a HC (6 measures). The model and sequence member is not exact as it leads strongly to the relative major (through its dominant), which is a viable complementary tonality. The two-measure dominant pedal in measures 15 and 16 prepares the harmonic resolution to E-flat. The sequential continuation spins out from measures 17 to 21 where the sequence breaks and g-minor, the real complementary tonality, begins. The half-cadential pre-crux, which extends the transitional member to the perfect crux (mm. 23 and 74), follows. After the HC, an elaborate spinning-out in g-minor leads to a strong PAC in measure 29, confirming the complementary tonal plateau and closing section. This crucial material repeats. A new closing idea begins and repeats (mm. 35 to 41 and 41 to 47) followed by the closing codettas.

K 526's transition (Example 59 below) is slightly more complex than the others of this type are, as the modulation does not follow a direct route from one tonality to the other. It deviates to the relative major in measure 17, if only briefly, hinting that this may be the goal tonality. Though this is an expansional technique, this transition is not an expansion section. The transitional member occurs as part of the singular model and sequence phrase, and the complementary pivot follows in the contiguous continuation phrase.



Example 59 K 526's transition forms a spinning-out type phrase.

K 532's transition moves from a home dominant pedal in measure 5 to a dominant pedal of the relative major in measure 13. Measures 20 to 23 lead to a HC in the complementary tonality (E-minor). The transitional pivot (mm. 8 through 11) sequences to the complementary pivot (mm. 20 to 23). The intermediate phrase members are sequential and contiguous, so there is no break between the transitional and complementary pivots. The perfect crux (mm. 24 and 115) arrives on a closed dominant pedal ending with a PAC in measure 34. The dominant pedal begins to repeat, but instead of ending with a PAC in measure 43, the phrase twists suddenly to the dominant of the subdominant. E-minor, however, continues as the complementary tonality in the next measure. There is an evaded cadence again in measure 49, and the previous phrase repeats. The ultimate PAC is delayed until measure 55. Closing codettas follow.

Evading the cadential tonic chord by turning it into a dominant seventh of the subdominant is a simple expansional device. Evaded cadences are akin to deceptive resolutions, both of which avoid strong tonics in the tonal plateau. These devices can weaken a tonality, but this never becomes an issue in K 532. The evaded cadences may extend K532's post-crux, but they do not expand it.

Transition by Dominant Pedal Point in the Complementary Tonality

Sonatas subsumed by this type: K 517, 527, 534, 543

The transition of K 517 begins in measure 14 as a third statement of the opening, but it starts to modulate (Example 33 on page 74, mm. 1 to 17). The transitional pivot point occurs in measure 19 leading to C-major, a possible complementary tonality, but the spinning-out continues to measure 23 where A-minor emerges. A dominant pedal arrives in measure 25 (Example 19 on page 47, mm. 18 to 27). The complementary pivot point at the end of measure 22 prepares the perfect pre-crucial complementary pivot member through measure 24. The transitional pivot includes a false crux in measure 18 (and m. 67). The perfect pre-crux, in measure 22 (and m. 72), leads to the perfect crux, which coincides with the dominant pedal. The dominant pedal at the crux confirms the new tonality (this is a common device that ends many transitions in the Classical repertoire), and begins the complementary tonal section.

Chapter Two discusses K 527's opening at length on pages 43 and 44 (and Example 17 on page 42). The modulation of K 527 reintroduces the opening motive (m. 13). The melodic material turns toward the dominant almost immediately with the pre-crux in measure 15. This passage ends oddly in measure 16 on a plagal gesture that, because of the approach from the subdominant, sounds more like a short, dominant arrival on the home tonality than a closing in the complementary tonality. Measures 17 to 20 restate measures 13 to 16, but adjust the final two measures to arrive on the complementary dominant. These measures form the complementary pivot. The complementary section's first phrase introduces the crux in measure 21 (and 60) on the dominant and reaches the tonic in measure 28. This phrase repeats an octave lower in measures 29 to 36, followed by closing codettas. (Please refer to Example 60 below).

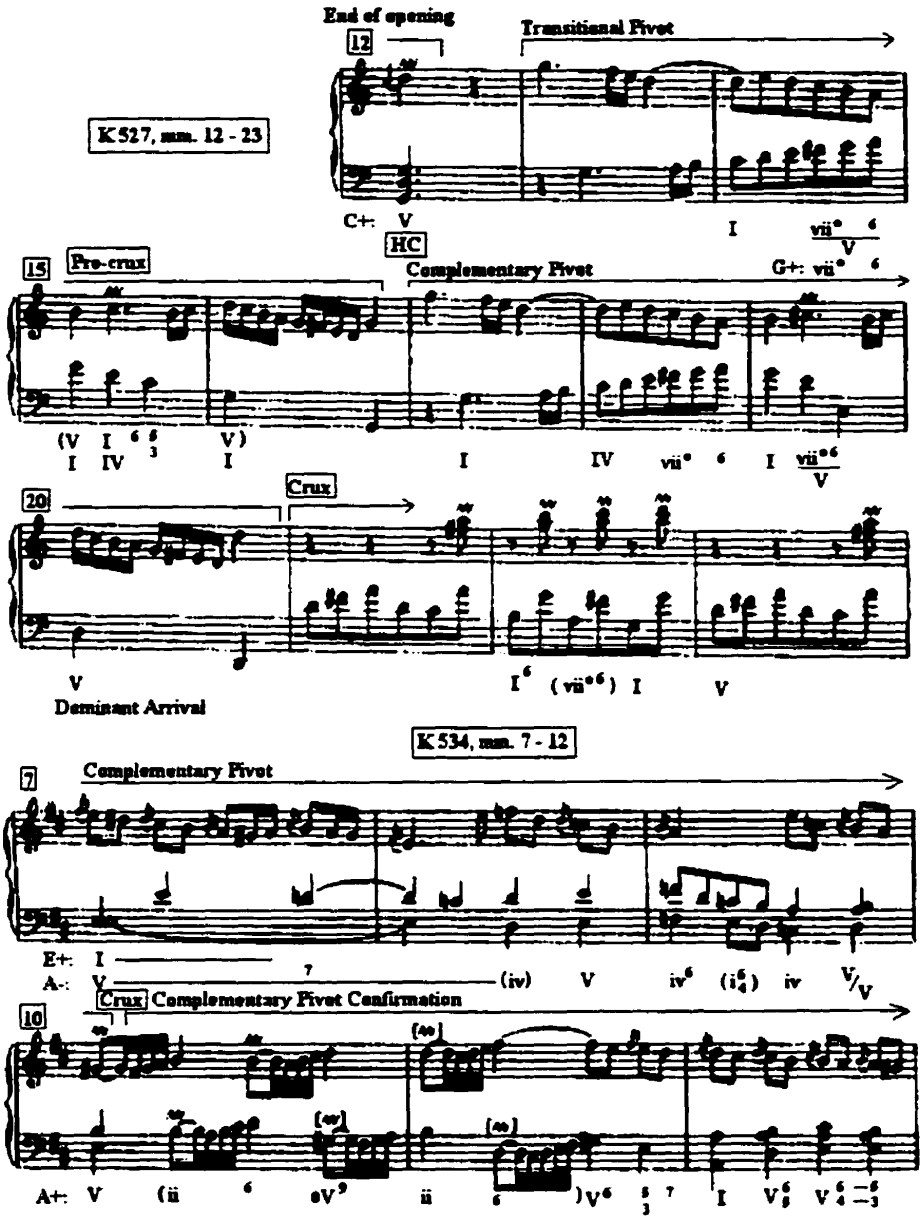
K 534 is special due to the unusual characteristics of the opening, examined on pages 64 and 65 (Example 28). Further, its monothematic design poses remarkable complexities. Its form may be expressed simplistically as follows: a modulatory theme extends through measures 1 to 5, the transition takes place in measures 5 through 10, and the closing theme continues to the end of the half. One striking complexity is the extent to which "thematic" material explores the complementary region after the incipit.

The transitional pivot achieves the dominant of the complementary tonality as early as measure 5 and confirms it with the dominant pedal in measure 7. This broad dominant pedal, in measures 7 and 8, behaves much like a dominant arrival in character but not in function (Example 60 below). It begins a longer continuation-like phrase;

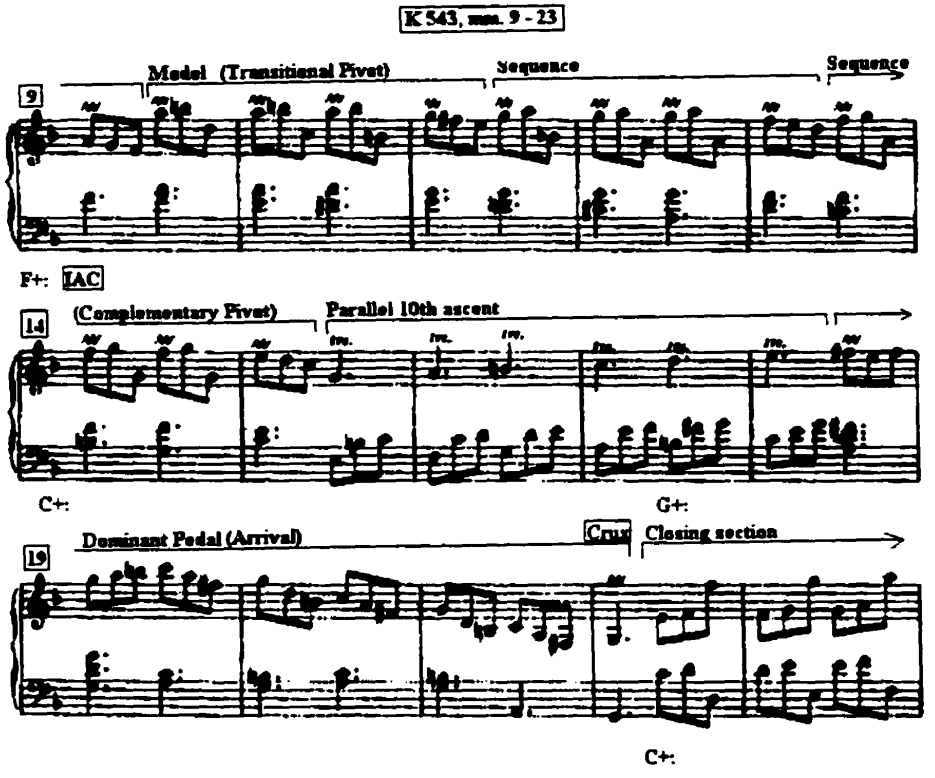
therefore, it does not support a cadential function. It forms the complementary pivot point that is followed by the complementary minor tonality. The complementary pivot confirmation occurs at the end of the complementary pivot member in measure 10. This occurrence coincides with the crux and re-establishes the complementary major tonality with the onset of closing section. The E-major triad on the downbeat of measure 10 represents another arrival of the complementary dominant and an elision of the cadential function that ends the transition.

K 543's dominant pedal overshoots the complementary tonality and winds up standing on the tonic in the complementary dominant tonality.[107] The transition begins as a sequence in measure 9 and leads to the complementary tonality in measure 15 (Example 61 below). A pre-crucial, ascending, parallel tenth stepwise motion arrives on a dominant pedal in measure 19, which continues to the crux in measure 22. This dominant represents a dominant arrival in the complementary tonality. It relies so heavily on its own dominant ($^{V}/_{V}$) that it does not firmly establish C as the tonal centre until measure 22, after ending in V of the complementary tonality. The crux falls on the downbeat of measure 22 (and 69), which is heard as the tonic of the dominant tonality (in both halves). The post-crucial area consists of a series of short, repeated phrases (measures 22 to 26 repeated in 26 to 30, followed by the closing section's sentential units of measures 30 to 36, repeated in 36 to 42, where a closing codetta extends the final unit). (Example 31 on page 71 illustrates the opening.)

[107] Page 10 of this thesis illustrates how Larsen regards the dominant of the dominant to be the normal goal of the bipartite sonata's transition. See Larsen, *Sonatenform-Probleme*, 228.



Example 60
K 527 ends on a very short dominant arrival. The dominant pedal in K 534 begins a phrase rather than ends one.



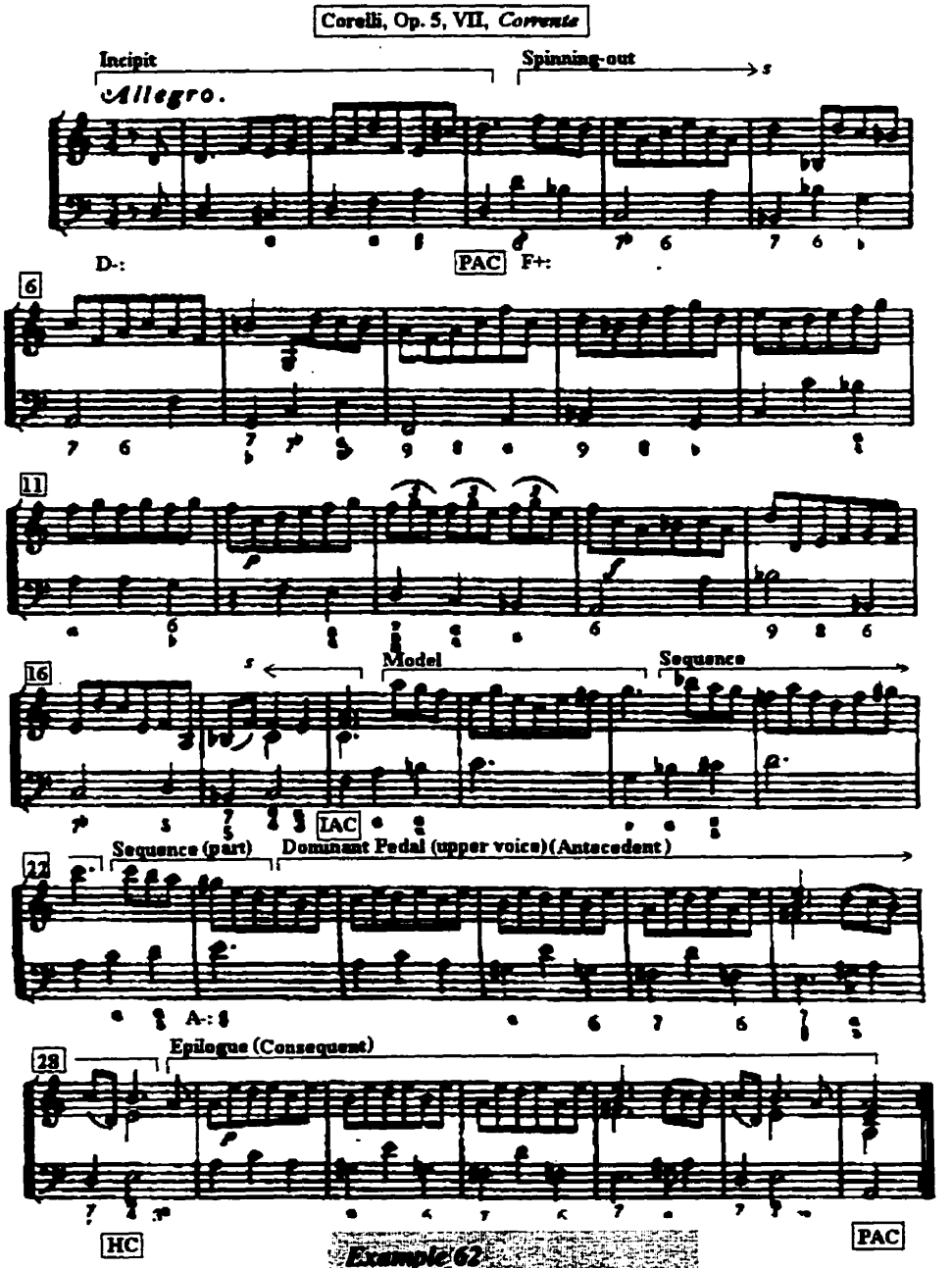
Example 61
Transitions by dominant pedal point in the complementary tonality.

Tripartite First Halves

The underlying processes of the tripartite first half descend from the Baroque spinning-out type; thus, this type inherits a special vitality and complexity. The mid-century sonata form greatly expands the incipit, spinning-out, and epilogue of the Baroque forms. They become, respectively, the opening, the transitional expansion section, and the closing / codetta section. The following is an example of a typical Baroque, spinning-out-type dance form, by Archangelo Corelli.

A continuous spinning-out from the opening of the D-minor Corelli sonata develops into a long and winding motivic excursion to the complementary dominant minor. Of particular interest is the length of the incipit and the tonal plateau compared to the rest of the movement. The home tonality lasts for the incipit's fleeting two measures and ends on the downbeat of measure 3. The following spinning-out continues in the relative major until the cadence in measure 18. From measures 18 to 23 a sequential

movement to the dominant of the complementary tonality takes place with a confirming closed dominant pedal point (upper voice) ending on a HC in measure 28. This pedal point is repeated as the epilogue from measures 29 to the end, only it is adjusted to close on a PAC. The two pedal points disclose a periodic structure in the complementary tonality, though only the final member forms the epilogue, as the initial dominant pedal is still a part of the spinning-out.



Example 62
Baroque spinning-out-type in a *Corrente* by Corelli

Expansion sections typically isolate the transitional pivot from the complementary pivot by interjecting a quasi-developmental stretch between the two. In the given Corelli example, the transitional pivot is the model phrase member extending from measures 3 to 5, where the tonality begins to drift away from home. The complementary pivot does not appear until measures 22 and 23, where the final sequence member is truncated to remain on the complementary dominant.[108] Sometimes, a brief sequence can pass back through the home tonality before or during the complementary pivot (such as in the *Preludio* to the same opus), without detracting from the transitional process. The comparatively large area in the relative tonality greatly separates the transitional pivot from the complementary pivot. In the mid-century sonata form, such a lengthy exploitation of the relative tonality, forming the largest and most dynamic section of the first half, forms a common expansion section.

The mid-century tripartite first half likely stems from the Baroque spinning-out process. As "a dramatic area of directional and tonal activity whose purpose is the gradual establishment of the new tonality"[109] the expansion section differs fundamentally from the transition, which makes a quick and simple modulation from one tonality to the next. The expansion section maintains the basic transitional elements (that is, modulation, development and change of material); however, it can exploit these elements to such a degree that it forms a dramatic, developmental section.[110] The purpose of the transition is not to be dramatic; thus, the expansion section introduces a new dynamic in the sonata first half. Scarlatti and his contemporaries cultivate expansional techniques through extensive modulations and establishments of "false" complementary dominants. Fillion notes that the expansion sections of the early Haydn piano sonatas occupy roughly the middle third of the exposition. Many Baroque and mid-century expansions exceed this ratio. The expansion section creates the vitality of the tripartite first half, with the opening and closing sections providing a modest frame of tonal polarity.

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[108] Some Baroque openings in the minor mode juxtapose the home tonality with the relative major within the opening section. This is frequently balanced or rounded by the opening tonality returning at the end of the spinning-out instead of the complementary tonality. The *Preludio* to the same sonata by Corelli exemplifies this.

[109] Fillion, "Accompanied Keyboard Divertimenti," 189.

[110] See Green, *Form in Tonal Music*, 251. Green describes the various elements of a transition. These are broadly modulation, development and change (my reduction).

Expansion Sections

The processes within expansion sections travel paths that are often elusive and unpredictable, fitting into no set pattern. Some include a transition within the expansion section. Frequently, such transitions lead away from the complementary tonality to a subordinate, alternative tonality. Dominant pedals or tonic affirmations can reinforce this. I refer to these as *auxiliary tonalities*. The expansion section then continues to achieve the true complementary tonality. The transitions of K 517 and 527, discussed above, also display some traits of this device (Examples 33 on page 74 and 60 on page 118, respectively). K 517 drifts towards the relative major in measures 15 through 20. The intermediate dominant arrival in measure 16 of K 527 thwarts the modulation by signalling a return to the home tonality.[111] Both these auxiliary tonalities coincide to some degree with pre-crucial and crucial material. A transition that establishes an auxiliary tonality within an expansion section will be referred to as a *false transition.*

Expansion Sections that include a False Transition

Sonatas subsumed by this type: K 516, 519, 531, 542

The false transitions in K 516's expansion section express the sequential route of the tonalities introduced in the opening (D-minor, C-major, G-minor, D-minor; see Example 16 on page 41). The transitional pivot occurs in the sequential phrase member immediately following the opening and heads in the direction of the relative major (see Example 63, mm. 22 to 25). A series of false transitions follow, characterised by dominant pedal points that expand the sequential route already defined in the opening. Each false transition begins with a dominant pedal of the home tonality, which moves off to the next prescribed key. A grand pause divides each intermediate false transition. These are the home tonality in measures 33 to 39, C-major in measures 44 to 47, and G-minor in measures 53 to 56. Measures 62 to 68 form the complementary pivot. In measure 68, a closed dominant pedal in the complementary tonality begins the complementary section and coincides with the perfect crux (mm. 68 and 128). (Measures 68 to 76 are illustrated in Example 13 on page 35.) Measure 77 begins a regular post-crucial repetition. Closing codettas follow in measures 84 to the end.

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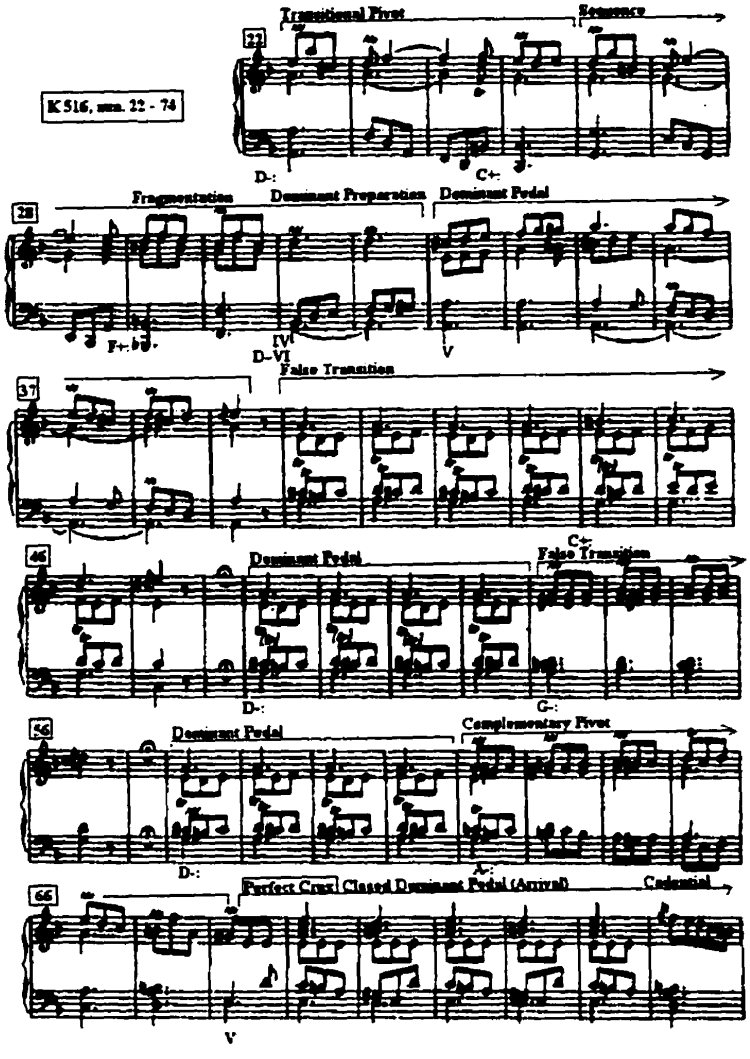
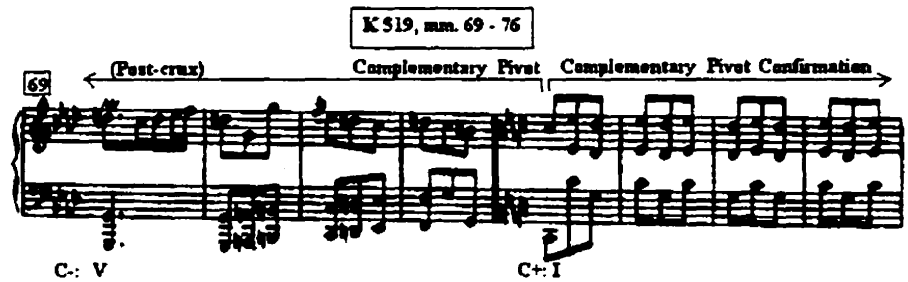
[111] Many Baroque first halves in the small binary dance forms are prone to remaining in the same key. They may include modulations, but they return to the home tonic at the end of the half. (For example, see Corelli's Op.2, no.3, second *Allemanda*, presto).



Example 63 **Expansion section of K.516 with several false transitions.**

The expansion section of K 519 begins in measure 9 as a repetition of the opening on a long tonic pedal (Example 64). This passage becomes the transitional pivot by moving off sequentially in measures 13 to 17 to establish A-flat, the relative major, by tonic pedal affirmation (Example 8 on page 30, measures 9 to 17). This transition to the relative major is false since A-flat turns out to be a fleeting auxiliary tonality. The pedal point serves as a launching platform for a drawn-out, stepwise, sequential ascent of pedals (A-flat, B-flat and C). Ultimately, this leads to the pre-crux in measure 37, emphasised by the pedal point and tonic affirmation of c-minor. The complementary pivot coincides with the pre-crux. In measure 45, a four-measure perfect pre-crux appears adding the extra weight necessary to establish C as the goal of the section. The crux establishes the complementary dominant in measure 49 (and 125). This articulation does not constitute the expected complementary pivot confirmation. The dominant extends to measure 59 where a cadential progression firmly establishes the complementary tonality in measure

61. The section continues with a post-crucial repetition to measure 73. However, the remaining closing / codetta section takes a surprising twist into the major mode, exploiting the motivic material of the false transitions. The modal shift in measure 73 means the expansion continues post-crucially until it achieves the ultimate mode of the complementary tonal section. Measures 49 to 73 form the post-crux as they still delay the appearance of closing material in the proper mode. This passage functions as an extension to the expansion section, and places the complementary pivot in measure 72 where the proper closing mode is prepared. The tonal return following the crux in the second half is regular, including the twist to the major mode.[112]



Example 64
K 519's complementary pivot occurs well into the post crux, and makes the adjustment to the ultimate complementary mode.

K 542 is similar to K 519. The transitional pivot launches the expansion section immediately following the opening in measure 8. The transition begins as continuation and fragmentation. Its first three measures form a model that modulates from the tonic minor to its relative major. In measure 11 the model sequences in the relative major of the home tonic minor. The sequence is not exact as the third measure moves up a step to prepare for the next sequence. K 519 also moves from F-minor to A-flat major using quasi-sequential material. The sequences in measures 11 to 20 of K 542 ascend through the same tonalities as measures 17 to 49 in K 519 (A-flat major, B-flat minor and C minor). K 542's pre-crux arrives in C minor in measure 17, and the crux in measure 20.[113] As in K 519, this represents the parallel mode of the complementary tonality. The post-crux in K 542, however, is far less extensive and achieves the dominant of the complementary major mode in measure 25. This passage is the complementary pivot.

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[112] Fillion, "Accompanied Keyboard Divertimenti." Fillion recognises the significance of the minor complementary mode post-crucial expansion sections in early Haydn. See pages 14-15 above. See also Rosen, *Sonata Forms*, 153-54. Rosen discusses the use of the dominant minor in the second group (or complementary tonal section).

[113] Unger says there is a perfect crux. I disagree because the pre-crucial material in each half differs. Unger, "Methods and Incidents," 228.

Measure 26 confirms this and the closing section follows in the proper mode. Unlike K 519, the whole section from K 542's transitional pivot to the pre-crux is melodically contiguous and almost sequential. Though there is no alternative auxiliary tonality *per se*, the wrong mode (C-minor instead of C-major) occurs at the crux, making this passage a false transition. The post-crux continues the expansional process by delaying the complementary pivot.

K 531's false transition also modulates to the complementary minor mode. Deceptive cadences prolong this mode in the tonal plateau and expansional post-crux. It is rare for the minor dominant to serve as the complementary tonality of a major home key. This modal shift, as in K 542, is the only criterion that suggests the transition is false, even though the complementary tonal centre is correct. The expansion section begins in measure 10. A four-measure presentation in the home key leads to a four-measure transitional pivot that achieves the tonic minor in measure 17 (Example 25 on page 56, includes measures 25 to 34 and 48 to 53). Two, four-measure model and sequence patterns follow to the dominant pedal and perfect crux (mm. 26 and 85). This pedal extends to measure 38 and includes two expanded cadential progressions; one in measures 30 and 31 that does not close, and the other in measures 36 to 38 that ends with a deceptive cadence. The dominant pedals lead to, but do not cadence in the minor complementary dominant tonality. These form false transitions. A lengthy fermata delays the following phrase. Measures 40 to 42 emphasise the submediant (deceptive) region and end on another DC in measure 45, followed again by the fermata. Measures 47 to 52 repeat this phrase, but this time they achieve the closing PAC and codettas, which are finally in the dominant major tonality. The expansional dominant minor, first realised in measure 31, delays the complementary pivot all the way to measure 51.

Juxtaposing the complementary major and minor modes is an expansional technique that prolongs the complementary tonal section. Perhaps this juxtaposition unveils a transitional step in formal process between the Baroque, where the dominant minor is common as the sole complementary tonality in movements in the minor mode, to the high Classical sonata, where the complementary minor dominant is almost never heard. Rosen notes that the incorporation of the dominant minor in the exposition is a stereotype of mid-century form. It appears right at the beginning of the complementary tonal section, when dominant occurs, and both strengthens and weakens the tonic-

dominant polarity of the first half. It affirms the movement to V as the fundamental bass tone, but defies the dominant character and stability of the dominant major tonality.[114]

The dominant pedal in the complementary minor mode in K 531 represents the end of the transitional process, but the expansion continues in the complementary tonal plateau. The post-crucial repetition, beginning in measure 32, does not follow any authentic cadence. This emphasises the continuity of the expansional process, as do the following deceptive cadences. Furthermore, new expansional material continues after the dominant pedal section. The emphasis on the lowered submediant late in the post-crux (mm. 40-50) threatens the stability of the tonal plateau, and the expansional process continues until it reaches an authentic cadence.

K 541 illustrates the fundamental difference between extension and expansion well. The complementary pivot of K 541 occurs with the pre-crux in measures 16 to 18. The dominant pedals, in their various modes, present no potential deflection from the complementary tonal centre, and they vary little from the model pedal. They are not expansional, but they extend the post-crux. The following material is solidly in the complementary tonality.

Various Expansional Techniques

Sonatas subsumed by this type: K 518, 521, 530, 537, 539

K 537 incorporates expansional devices within the complementary tonal plateau (Example 65). The hemiola figure at the end of the opening, in measures 13 to 16, sequences to the dominant in measures 1 to 20 and merges the opening with the transition. A continuation extends from measures 21 to 24, ending on a HC in the new tonality. A sentential, closed dominant pedal ends on a PAC in measure 33. Measures 25 to 28 prolong the dominant and measures 29 to 33 form a continuation and cadential phrase that closes the dominant pedal.

The process up to measure 33 is consistent with transitions that end with a HC in the complementary tonality. In measure 34, however, Scarlatti begins the dominant pedal material again on the complementary tonic (E), but it now supports the home tonic minor (A-minor). Scarlatti continues by sliding chromatically toward the sub-dominant region (d-minor) and reaches a dominant pedal point in measures 45 through 49. While the A-

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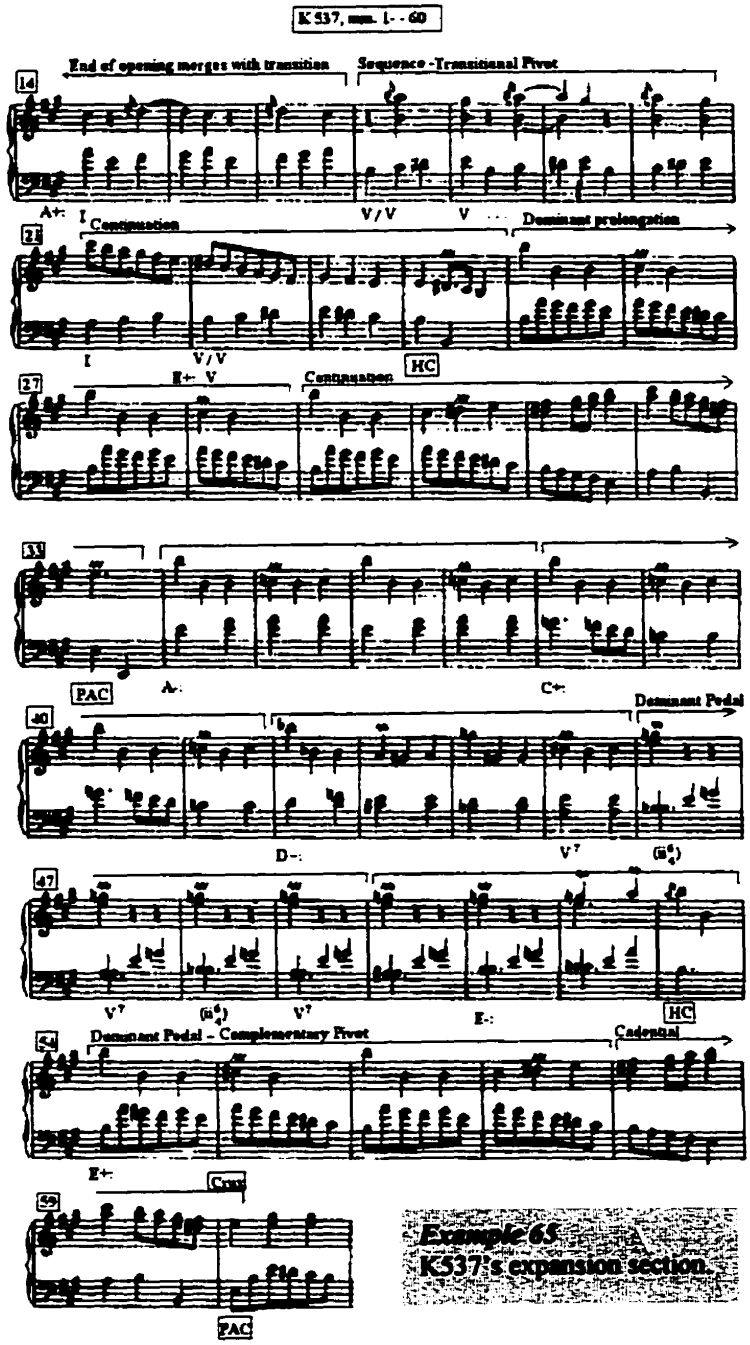
[114] Rosen, *Sonata Forms*, 153-54.

pedal occurs in the bass every second measure, the E and G are present as pedals above the bass in every measure. These upper pedals bear more weight tonally as the bass pedal slips chromatically back again to the dominant minor through measures 50 and 51. Scarlatti cleverly respells the B-flat as an A-sharp in the bass to accommodate this modulation through an enharmonic gesture. A HC confirms this tonality in measure 53. Measures 54 to 59 are a truncation of the complementary closed dominant pedal section in measures 25 to 33. These truncations end on a PAC at the crux (mm. 60 and 112).



Example 65
K537's expansion section

In this movement, Scarlatti reaches the tonal plateau by a traditional transition and confirms it by a closed dominant pedal. The expansion section moves through so many tonalities that the tonal plateau needs to be re-established before closing. There is no false transition. The expansion section is not part of the transition, but it forms a new process within the tonal plateau. This sonata, therefore, contains a transition and an expansion section, as there is an expansion and separation of the transitional pivot and complementary pivot functions. The transitional pivot reaches the initial dominant (complementary) tonality. The excursion through several tonal centres thereafter precedes the complementary pivot in the pre-crux (m. 54-60). Its separation from the transitional pivot is wide. Fillion notes that a common method of expanding the "second group" (that is, complementary tonal section) is through a tripartite structure.

> In some cases, this results in a little ABA form, with the B section frequently in the dominant minor. . . More commonly, however, the tripartite form does not involve internal repetition, but like the ABA type, revolves around a phrase or sentence in the dominant minor, or over a dominant pedal, occasionally both.[115]

The formal structure of K 537 from measures 25 through the end of the half resembles very strongly the process in Fillion's description. More than expanding the complementary tonal section, this process delays it, as the expansion section is not post-crucial.

K 521 has no transition before the expansion section (Example 25 on page 56). Like K 531, the dominant minor plays a large role in expanding the complementary tonal section. The opening of K 521 ends with a HC in measure 17. Arpeggios extend over the next two measures. These do not become the tonic of the next section, as there is a modal shift to the dominant minor by measures 22 and 23. The HC in measure 27 confirms this tonality. The phrase repeats with variations in measures 28 to 35. The tonal plateau is in D-minor with frequent references to the relative F-major. As in previous examples that include expansions into the dominant minor, this does not form the complementary tonal section; rather, it unravels and confirms the tonal plateau. The tonal plateau and the perfect crux (mm. 20 and 92) are clear, but, like K 531, the closing modality does not appear until later. This device expands the post-crux through modal contrast, extends the material and delays the onset of the closing mode (mm. 36 to the end).

The two tonal sections juxtaposed without a transition yield a bipartition in this piece. The perfect crux occurring at the partition supports this perspective; however, the

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[115] Fillion, "Accompanied Keyboard Divertimenti," 192. See also pages 14 and 15 above for an overview of Fillion's observations on expansion sections.

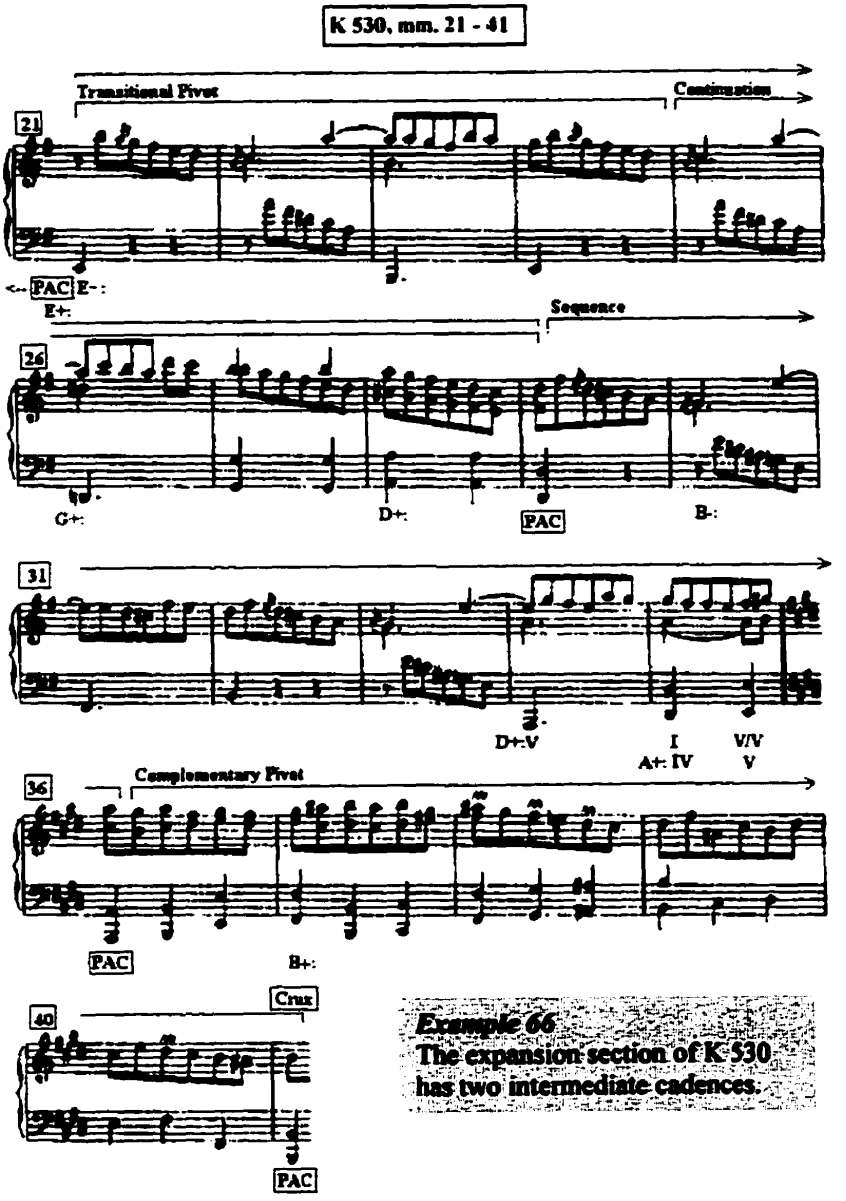
expansional techniques remain. The positions in separate phrases of the transitional pivot point (m. 20) and the complementary pivot (m. 35) clarify this. The intervening material in the complementary minor mode is a step *en route* to the proper complementary modality and, as such, forms an expansion section. The former phrase (mm. 20 to 27) forms the transitional pivot; the latter phrase (mm. 28 to 35) assumes a clearer complementary pivotal function, as its HC prepares the parallel major in measure 36. The closing section consists of two thematically contrasting areas in the dominant major. The first, a sentence structure, appears from measures 36 to 47 (PAC), followed by an exact repeat in measures 47 to 58. The second, a smaller sentence design, exists in measures 58 to 66, with a repeated cadential member from measures 66 to the end.

K 530's expansion section, beginning in measure 21, includes a broad sequential pattern that leads through, and not to, the complementary tonality in the minor mode (Example 66). It does not initiate the tonal plateau. This section consists of two, loosely organised modulating structures. The first structure serves as a model and the second follows, loosely, as a sequence. Measures 21 to 24 (transitional pivot) prolong the tonic minor mode (E-minor). Measures 25 to 29 follow with a continuation phrase that moves through G-major towards a D-major PAC. Measures 29 to 36 sequence the previous eight measures down a fourth, moving immediately from the D-major cadence to B-minor, the minor mode of the complementary tonality. The sequence compresses the last two measures from the model into one, and elides the PAC in A-major with the following segment on the downbeat of measure 36. Passing through the complementary B-minor tonality is a procedural event brought on by the sequential process that is the integral technique of this expansion section. The complementary pivot starts in measure 36 where the movement to B-major comprises a sequential-continuational phrase extending to the PAC and crux in measure 41 (and 85).[116] The complementary section consists of a sequential-cadential-type continuation phrase (mm. 41 to 45) that repeats with syncopation and variation (mm. 45 to 49). Codettas complete the final five-measure closing section.

K 530's central section is an expansion and not a transition because of the intermediate cadence in D-major. This cadence separates the transitional pivot from the complementary pivot. Classical influences encroach on Baroque sequential and spinning-

[116] Unger, "Methods and Incidents," 197, states that this is a perfect crux because the closing section in the second half uses the distinctive variant of the post-crux theme (mm. 45 to 49) throughout. I might accept this analysis but with reserved judgement. The material in the closing of the second half is motivically similar, but melodically and harmonically different in minute details from the first half. I agree, however, that the overall effect is recapitulatory from the crux to the end.

out tendencies through the implementation of various interruptive caesuras and repetitions that define periodic units. Structures such as these and configurations that verge on standard Classical theme-types are common in the mid-century. Despite these devices, Scarlatti keeps a continued, motoric flow spinning throughout the movement.



Example 66
The expansion section of K 530 has two intermediate cadences.

K 518 in F-major is tonally complex (Example 67 on page 132). The expansion section begins by spinning out from the opening without an intervening cadence (m. 7).[117] The sequential juxtaposition of the home tonality and its relative minor (mm. 7 to 15) characterises the transitional pivot. This close juxtaposition may be more than incidental as the complementary tonality (the mediant, in this case) represents the minor dominant of the relative tonality. The transition leads to the first cadence in the piece in measure 19: a PAC in G-minor, which falls half way between F and A (home and complementary tonalities). The next section leads sequentially through C-major to A-minor in measure 22, which represents the crucial tonality in this movement, but it does not yet form the complementary pivot. Measure 26 begins the tonal plateau in the "wrong" mode (A-major), carried by a tonic affirmation in the bass. Measures 26 to 29 form a presentational member over the tonic pedal, followed by a two-measure cadential member. The D-sharp in measure 30 pivots to an IAC in E-major (dominant of the complementary tonality). The pivot occurs so late in the phrase and close to the cadence that it is almost heard as no more than a tonicisation of E, but the cadential gesture is repeated in the next two measures. The inversion of the upper voices leads to a stronger PAC in E-major. Measures 26 to 33 form a modulatory, eight-measure thematic unit in the central expansion section with a goal of E-major. It now becomes clear that the A-pedal in measures 26-29 is not an affirmation of the complementary tonic, but it is treated as a passing auxiliary tonality.

Measures 33 to 39 sequence away from E-major, passing through a series of tonalities diversely related to the tonal complement: C-sharp-minor (relative minor of the dominant), B-major (the dominant of the dominant), and g-sharp-minor (the relative minor to the dominant of the dominant). In measure 40, an A-pedal slips in as an inner voice (creating Scarlatti's idiomatic $^{5}/_{4}$-chords on the dominant). This pedal becomes the complementary pivot as its tonic function emerges toward measure 44, where a fully diminished seventh chord brings about the change into the proper mode of the closing tonality. The complementary pivot confirmation occurs with the crux (mm. 48 and 94) and the onset of the complementary tonal section. The complementary section confirms the tonality with a sequential-continuational phrase ending in measure 54. This phrase repeats followed by closing codettas.

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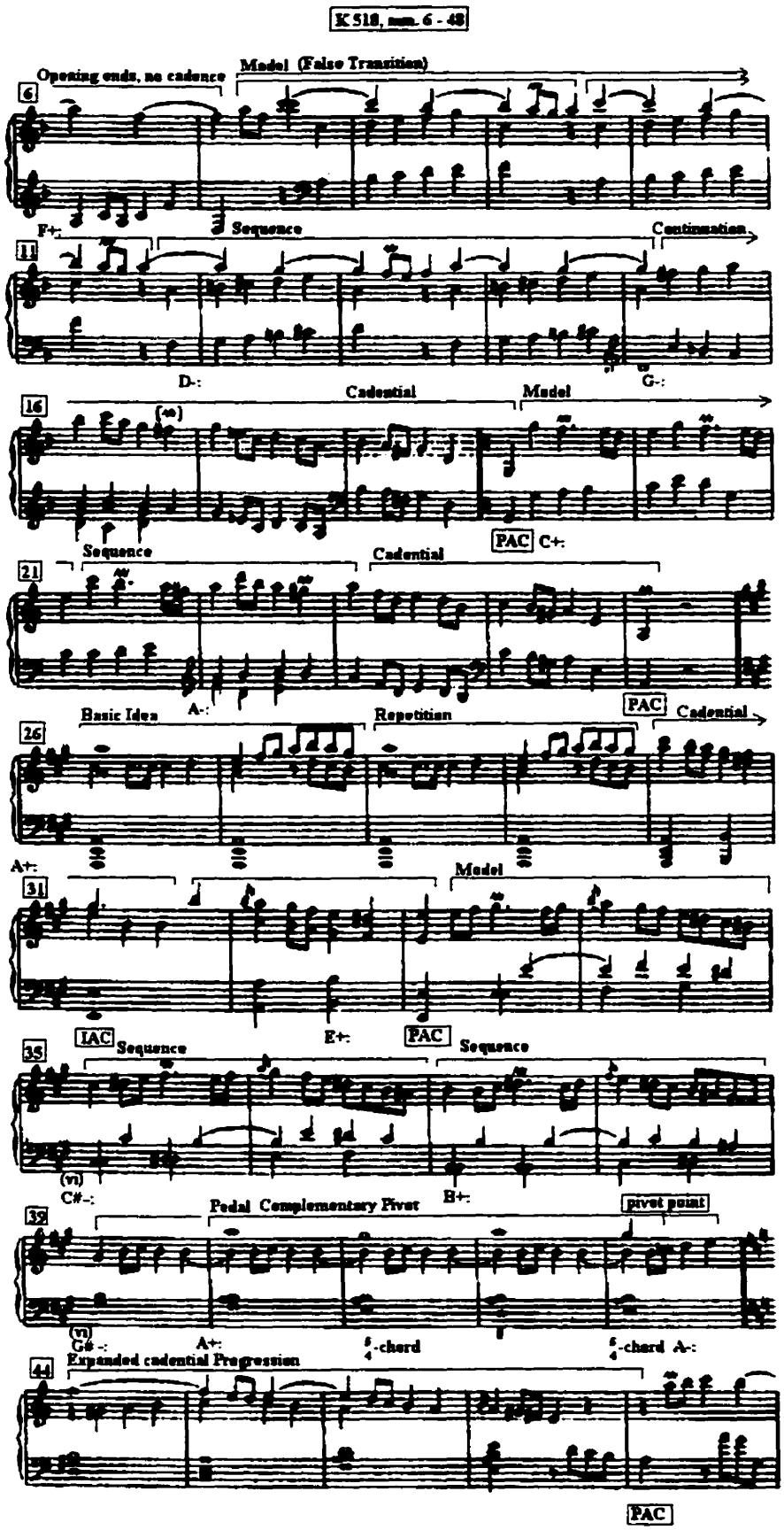
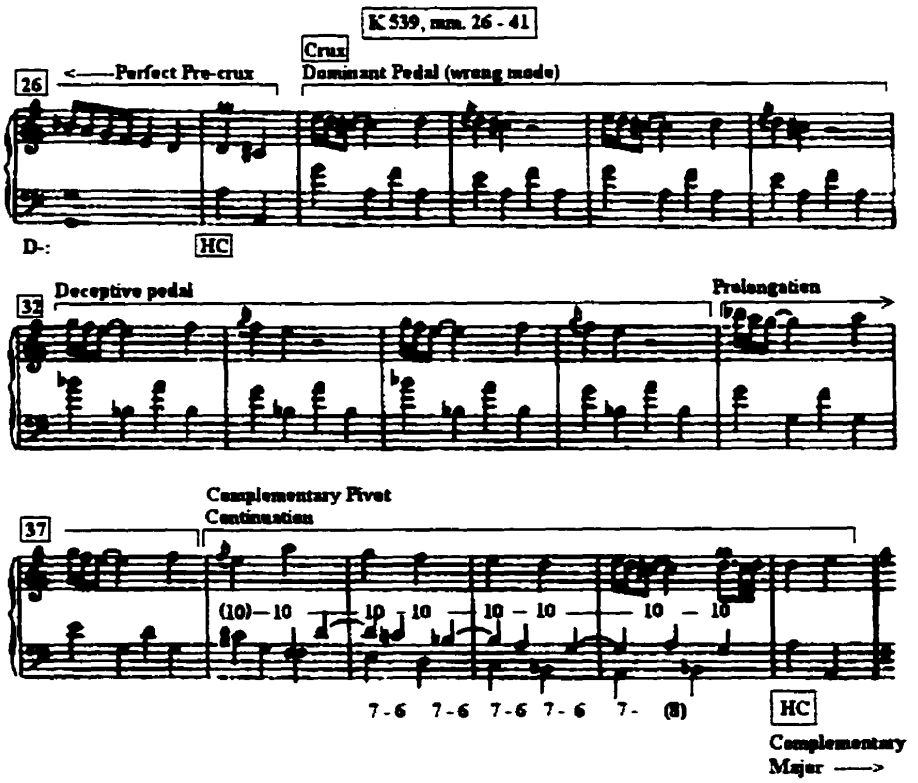
[117] Kirkpatrick, *Domenico Scarlatti*, 257, calls the section that provides the chain of modulations between the opening and the crux the "Central Section." He states that the central section often is not separable from the opening.



Example 67
Expansion section of K 518.

As a point of temporary tonal stability or repose, tonic affirmations commonly take on an auxiliary tonal function in the midst of the expansion section. In such cases, they do not serve to confirm a formal tonality (such as the home or complementary tonality), but emphasise a temporary, auxiliary tonal plateau. These auxiliary plateaux are often fleeting and may drift off into further expansional spinning-out sequences, or even move on to achieve other transient episodic plateaux.

K 539 (Example 68) begins its expansion section in measure 10 with a presentational phrase outlining I-V-I (mm. 10 to 14). This phrase repeats in the tonic minor from measures 14 to 18 (transitional pivot). The basic idea returns in measure 18, but sequences in measure 21 to overlap with the perfect pre-crux in the minor dominant tonality. Measures 22 to 27 form a rather irregular expanded cadential progression (I-ii^{o7}-V^{7}-I-ii^{o6} -V$_{5}^{6}$) that moves to a HC in measure 27. The perfect crux follows (mm. 28 and 91) with a four-measure dominant pedal. By measure 32, however, the dominant takes a deceptive half step up and sequences on the flattened submediant pedal. The complementary pivot follows with fragmentation and a long, sequential, parallel tenth descent to yet another HC in measure 42. This cadence only establishes the dominant that will lead to the proper mode of the complementary tonality, but does not establish the mode itself. An unusually long closing section begins in measure 43, now in the dominant major. The long closing section consists of a repeated scalar pattern in a sequential descent (mm. 43 to 52, PAC and 53 to 62, PAC), a repeated cadential progression (mm. 62 to 66, PAC and 66 to 70, PAC) and codettas.

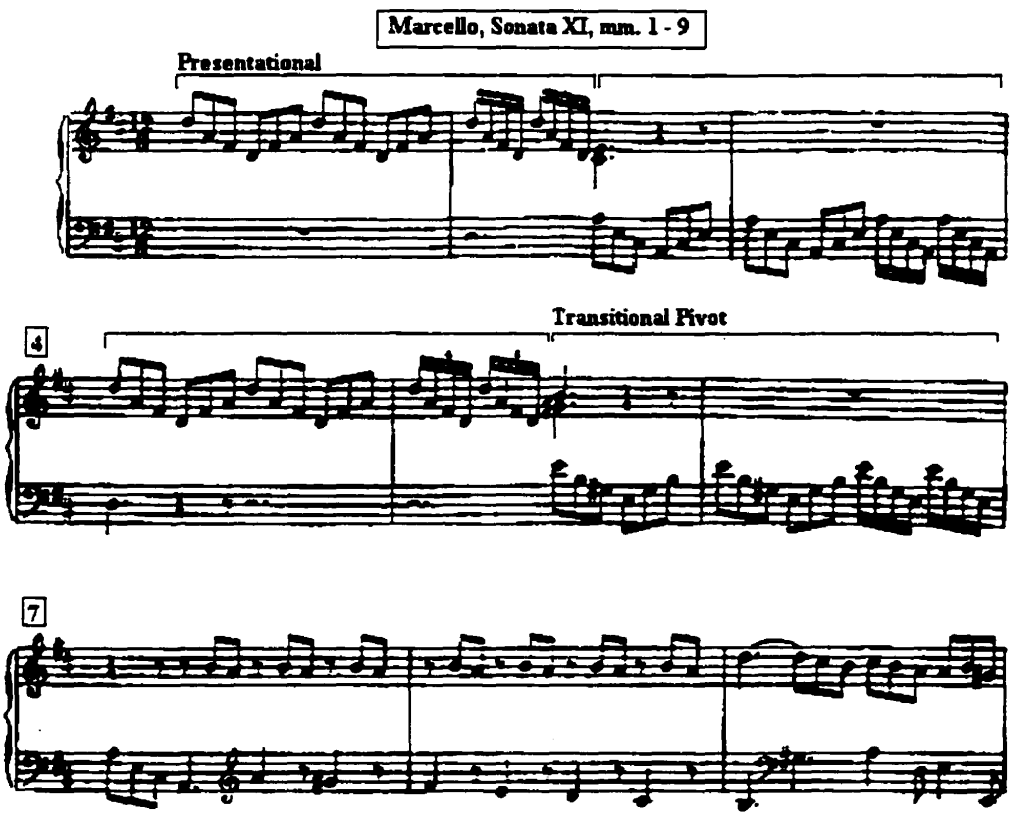


Example 68. **K 539's expansion section from the crux to the closing section. The post-crucial expansion holds back the proper closing mode by staying in the complementary minor, and drifting away from the dominant.**

Opening Material in the Transition

How Scarlatti manages opening material continuing into the transition section reflects contemporary mid-eighteenth-century style. The following comparisons with some works of his contemporaries clarify this.

Marcello's Sonata XI (*Prestissimo*) begins with an incipit fanfare (Example 69 below). Its character is worked into the entire presentational thematic area, which includes the modulation to the complementary tonality. The primary thematic material is still being executed when the modulation takes place. The appearance of the E-major triad in measure 5 begins a movement away from the home tonality. Though this triad points toward the dominant, it does not signify a clear break from the opening material. In measure 7, the A-major chord still functions as the dominant in D-major. It is the new material in measures 7 through 9 that prepares unequivocally for A-major. Opening material that effects a modulation can create a sense of drifting away gradually from a structural area, rather than changing decisively toward a new formal destination.



Example 69
The opening seems to merge with the transition.

Scarlatti's transitions and expansion sections often include some opening material. K 517, 519, 524, 525, 527, 529, 530, 534, and 536 are obvious examples. Scarlatti's works are so motivically unified that it is often possible to see an entire movement developing as an organic growth of a couple of embryonic motives.

The transitions of K 519 and 529 begin with material from the opening in the home tonality. This practice gains favour in the Classical period, but that this was a common Baroque formula is not clear. The sheer number and diversity of Baroque designs makes one formula as common (or as uncommon) as the next.[118]

Transitions that begin with varying degrees of material from the incipit occur in K 519, 524, 527, 529, 534, and 541. The repeated portion is normally not transposed and often contains only the merest fragments or gestures from the opening. Only two, K 524 and 534, contain repetitions of the incipit that are transposed to the new tonality. K 534 is a special case. The transposed repetition of the incipit, beginning in measure 5, results from a modulatory opening that starts the transitional process earlier. This repetition, therefore, is not the transitional pivot. (Please refer to Example 28 on page 65.)

K 524 employs a textural inversion at the beginning of the transition in measure 11: the left-hand portion of the incipit becomes transferred to the right, and the parallel third motion of the right hand in the incipit becomes transferred to the left (Example 31 on page 71). Furthermore, the transition (mm. 11-13) preserves the opening's three-fold presentational design (mm. 1-6). The descent by thirds and the ornamental B-naturals in the right hand enhance the progress to the B-natural in the left hand of measure 13. This B-natural's harmonic function forms the complementary pivot.

K 525, 527 and 541 use only the initial motives of the incipit to begin the transition and delve into the modulations even during their execution. For some contemporary examples of similar techniques, refer to Soler, Sonata IX (M9), mm. 7-11; C.P.E. Bach, Sonata 16, i (Wq.62/16), mm. 5-6; Zipoli, Sonata I, *Gavotta* and Albinoni, Op. 8: III, mm. 7-9.

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[118] In the one hundred and fourteen randomly selected Corelli sonata movements examined for the present study, opening material commonly appears transposed into the new tonality, but not to begin the transition section. In fact, immediate restatements of the incipit are regularly transposed. Corelli does this more in the slow movements of his *sonatas da chiesa* than in his *sonatas da camera*. In these cases, the incipit is a single, isolated introductory member, separated from the transitional region by rests. This represents the most basic manifestation of the incipit: a single phrase dedicated to introducing the home tonality and character of the piece. K 528 and 533 bear similarities in that the opening material appears in the new tonality after extremely short or vague complementary pivots, as was discussed earlier in the present study.

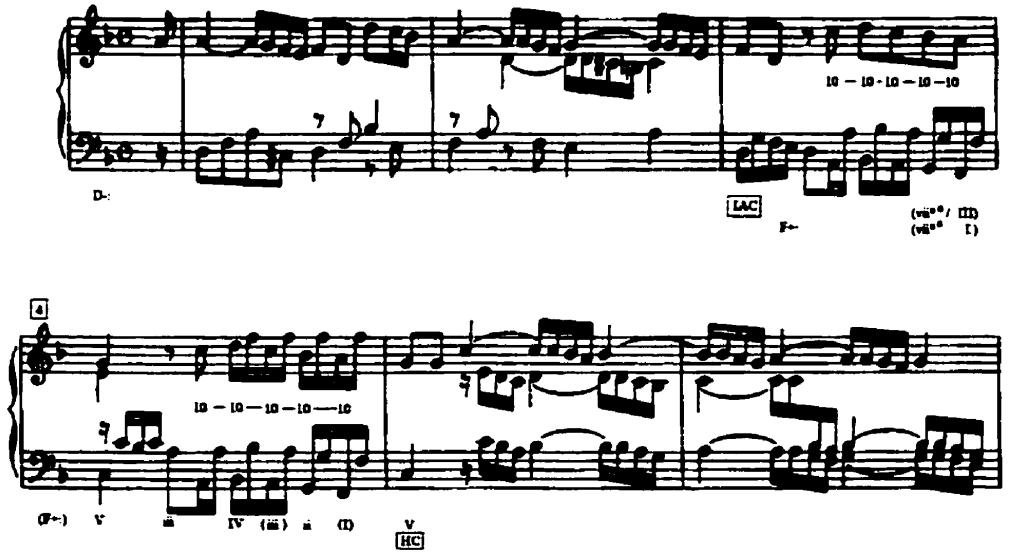
Samples of Central Sections in the Works of Scarlatti's Contemporaries

Scarlatti is remarkably consistent in his treatment of the transitional and following complementary tonal material in the Venice XIII collection. The variants of these four transition types alone are innumerable as evidenced in the given, limited examples from his contemporaries (below), which were chosen expressly for their similarities to Scarlatti. A study of each of these composers may yet reveal stylistic and formal tendencies similar to those of Scarlatti. A broader study of all of Scarlatti's keyboard sonatas, however, would reveal that Scarlatti, too, uses many different variants and species of transition types. That only four types show up in these eighteen examples of Venice XIII, might suggest that Scarlatti may have developed a personal preference for a few, specific formal designs during the period in which he composed these sonatas.

Sample of a Non-modulating Transition

The following is an example of a non-modulating transition from B. Marcello. Unlike the Scarlatti examples, the following excerpt is in the minor mode. Because the sixth and seventh degrees remain lowered when descending, the parallel tenth pattern is less transparent than in the major mode. A case for no transition at all could be argued, as the leading tone in D-minor does not appear in this member at all. The following material remains solidly in the complementary tonality of F-major.

Marcello, Sonata I, i, mm. 1 - 6

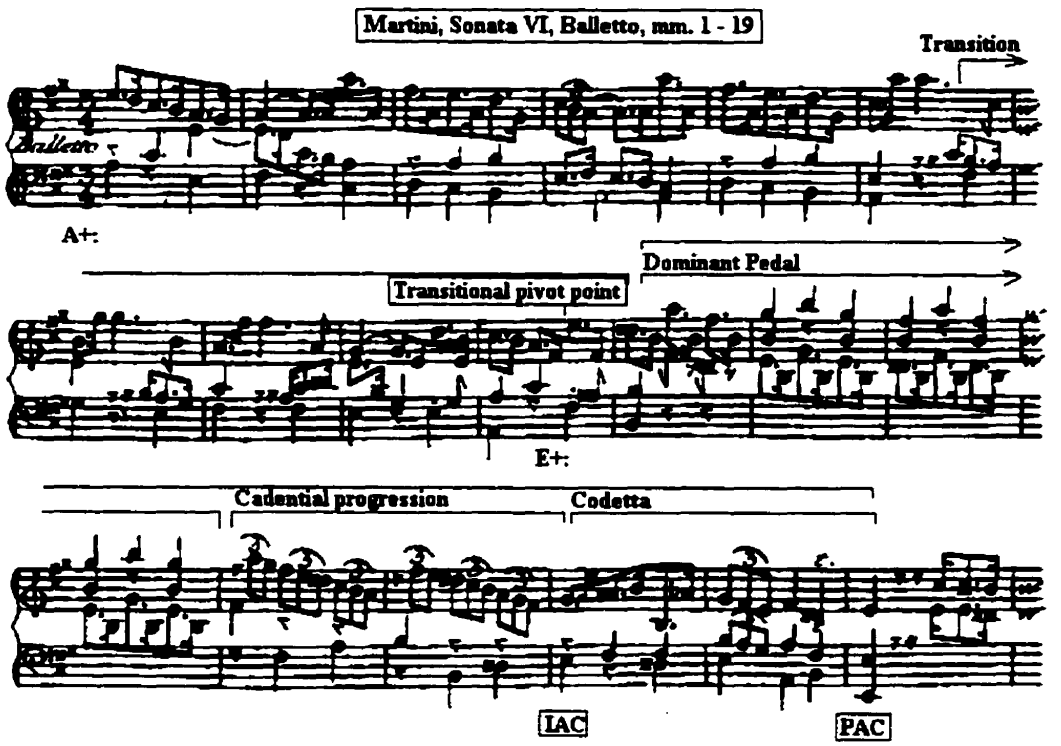


Example 70
Non-modulating transition

Parallel tenth or third patterns are common in all types of mid-century transitions. Examples can be found in the transitions of C.P.E. Bach, Sonata 23, iii (Wq.52/6), Seixas, Sonata 4 from *80 Sonatas para instrumentos de tecla*, and Galuppi, Sonata III, ii. Examples also appear in the Baroque repertoire (e.g.; J.S. Bach's F-major invention), which suggests that these patterns could stem from earlier types of transitions.

Sample of a Transition by Closed Dominant Pedal Point

Both closed dominant and closed tonic pedal points are common throughout the mid-century. Following is an example of a closed dominant pedal by Martini. The transition begins in the home tonality and does not pivot until just before the pedal point. This pedal point cadences with and IAC first, but it is confirmed immediately by a codetta ending with a PAC.

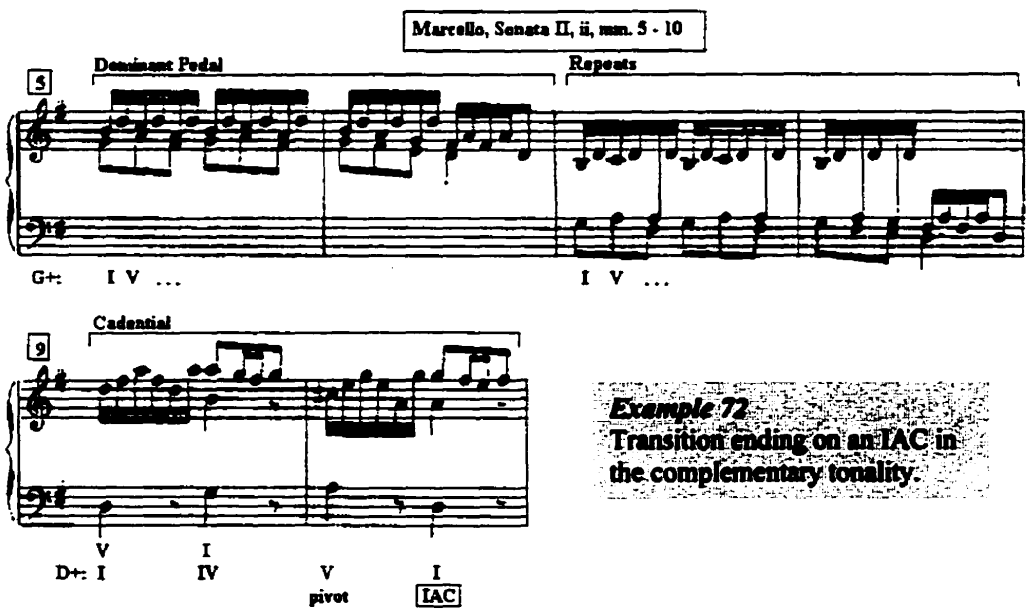


Example 7I
Transition by closed dominant pedal.

Other examples can be found in B. Marcello's Sonata II, ii and Sonata XII, ii; Martini's Sonata XII, iii; and Soler's, Sonata X, M10.

Sample of a Transition by Modulating Phrase ending in an IAC

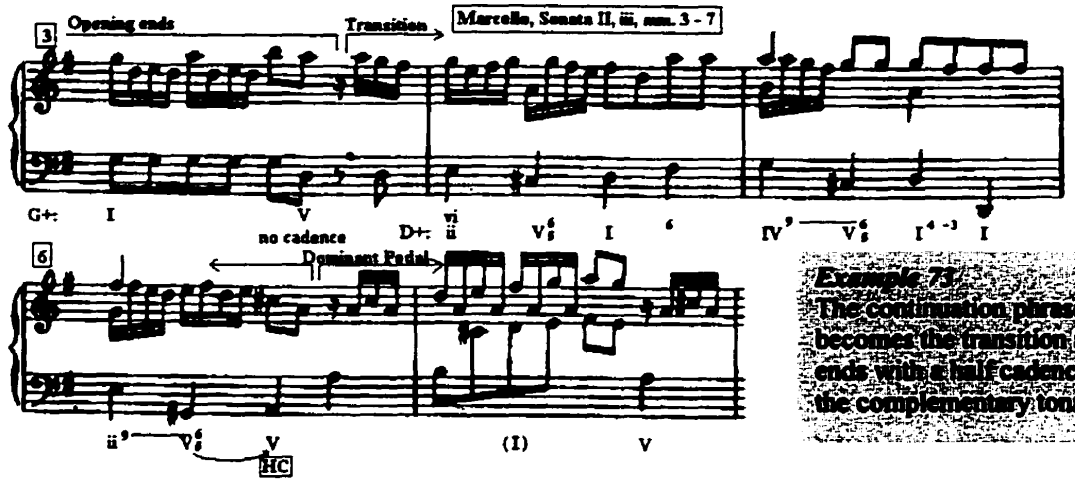
Scarlatti's contemporaries make use of this kind of transition when closing a pedal point. It is rarer to find a simple phrase that modulates to the complementary tonality and closes with an IAC than it is to find one that closes with a PAC. Martini's Sonata I, iv, *Giga* is one such rarer instance; however, its opening is complex in that it exploits both D-major and B-minor, respectively, before starting the transition to F#-minor. It is more common to find such cadences ending an expansion section, such as the one found in C.P.E. Bach's Sonata 13, i in E♭ (Wq. 65/28). The transition in B. Marcello's Sonata II, ii begins with a dominant pedal in the home tonality, but closes with a cadential progression in the complementary tonality ending with an IAC (Example 72 below). The simple opening closes in the home tonality of G-major in measure 4. Other examples of IAC's ending transition can be found in Martini's Sonata XII, iii and B. Marcello's Sonata XII, ii.



Example 72
Transition ending on an IAC in the complementary tonality.

Sample of a Transition by a Half Cadence in the Complementary Tonality

This type of transition is common among Scarlatti's contemporaries and they can develop in a variety of ways. In the following example from B. Marcello's Sonata II, iii, the simple opening begins to form a complete, four-measure presentation phrase but it is truncated by an early continuation in measure 3. This continuation modulates almost immediately, and becomes the transition. It half cadences in measure 6 in the complementary tonality. A typical confirmatory dominant pedal and post crux follows (mm. 6 to 16).



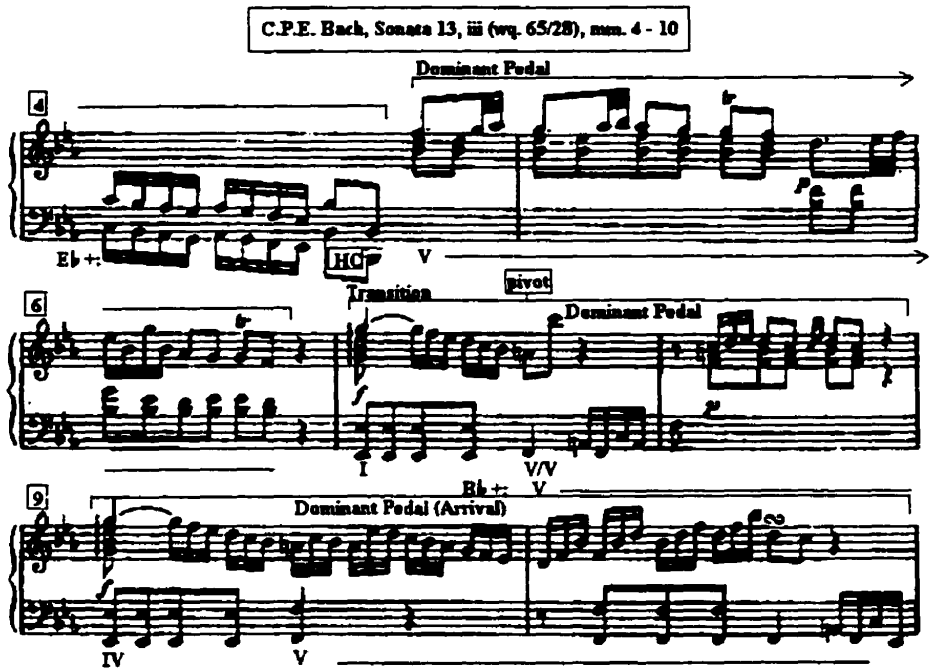
Example 73. The continuation phrase becomes the transition and ends with a half cadence in the complementary tonality.

Other examples of interesting transitions ending in half cadences include Galuppi, Sonata VI, ii; C.P.E. Bach, Sonata 13, i (Wq. 65/28); Marcello, Sonata IV, I; Soler, Sonata VIII (M8) and Seixas, Sonata I of *25 Sonatas para instrumentos de tecla.*

Sample of a Transition by Dominant Pedal Point in the Complementary Tonality

Pedal points of all types are common throughout the mid-century repertoire. They appear in all sections of the middle substructure level. Their nature is to emphasise a particular harmonic function, usually the dominant or the tonic. Composers naturally use them to highlight the new complementary tonality, often to end the transition and/or to begin the complementary tonal section. Pedal points in the mid-century repertoire are commonly of the closed variety, but not always, as indicated in the Scarlatti examples of this type. The pedal note itself does not have to be present on every beat, but any neighbouring harmonies should function to strengthen the pedal point and must lead back to it. Mid-century composers often use pedal points very imaginatively, and they appear in a variety of forms.

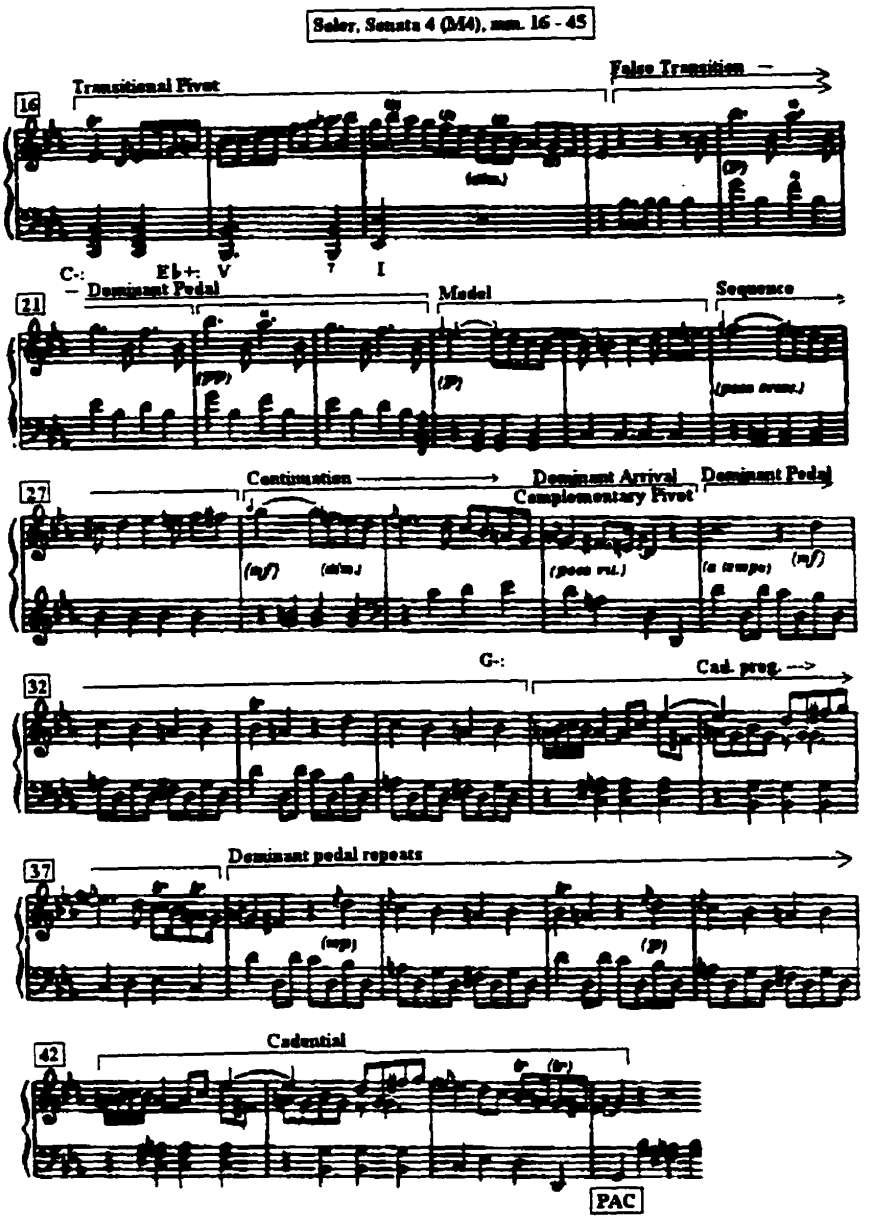
In the example from C.P.E. Bach's Sonata 13 (Wq. 65/28) below, three dominant pedals appear. The first is a dominant pedal in the home tonality that extends the half cadence that ended the opening (mm. 4-6). The second is a dominant pedal of the complementary tonality that forms the transitional pivot in the first member of the transition (mm. 7-8). The third transitional member begins by repeating the second, but this time the pedal constitutes the complementary pivot as it makes the definitive turn to the complementary tonality (mm. 9-10). Other interesting transitions by dominant pedal point in the complementary tonality can be found in Martini's Sonata XII, iii; Soler's Sonata X (M 10); C.P.E. Bach's Sonata 16, i (Wq. 62/16) and B. Marcello's Sonata XII, ii.



Example 74
Transition by pedal point in the complementary tonality.

Sample of an Expansion Section that includes a False Transition

Many sonatas contain false transitions leading to various tonalities that are traditionally plausible candidates for the complementary tonality. By far the most common tendency for a false transition in a sonata in the minor mode is to juxtapose the home tonality and the relative major. The Corelli excerpt in Example 62 on page 120 illustrates this. Some expansion sections begin by making false transitions to other related tonalities. Other sonatas in the minor mode do as K 519 and make a real transition to the complementary minor dominant, but then change to the major mode at the end of the closing section. The following example is a basic expansion section from Soler's Sonata 4, M4. The expansion section begins with the transitional pivot in measures 16 to 18. A dominant arrival makes a false transition to the relative major in measure 19 to 23. A model and sequence combination lead to the complementary pivot, which arrives on the dominant of the complementary tonality in measure 30. Post-crucial dominant pedals follow.

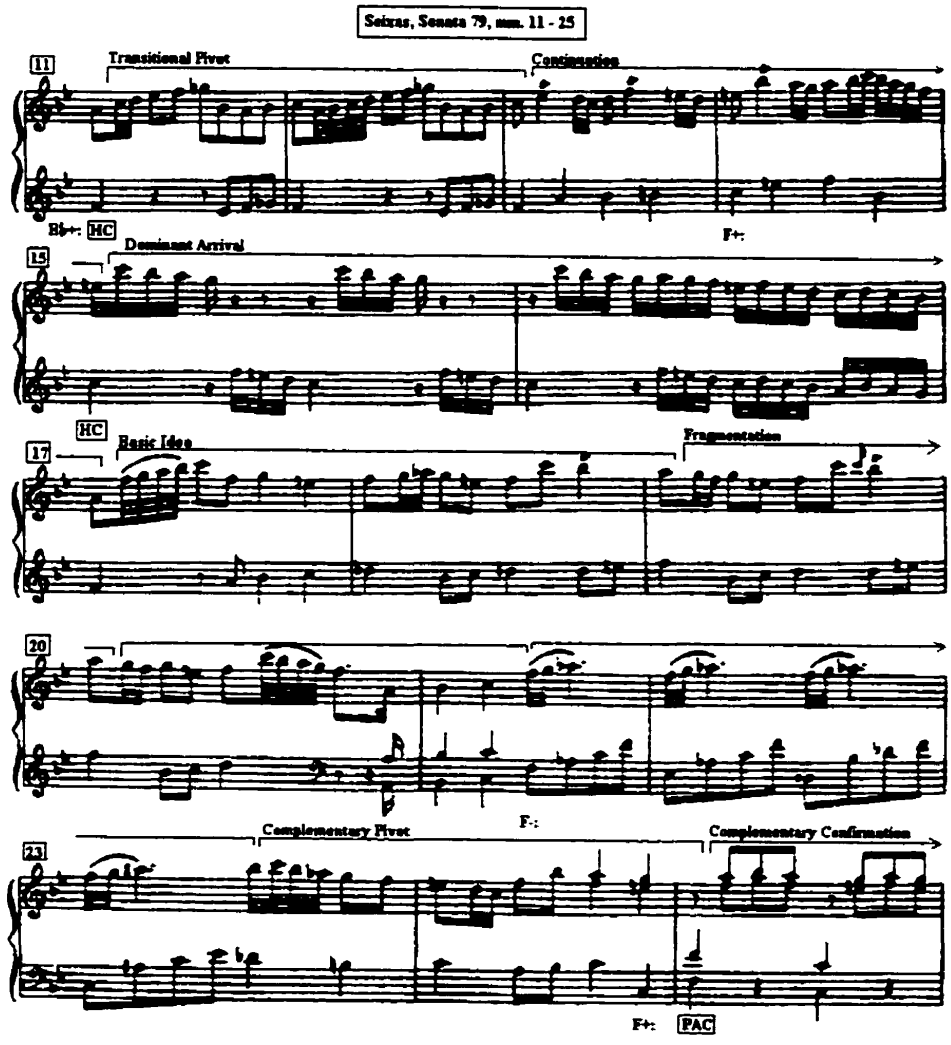


Example 75
Expansion section that includes a false transition.

Some other sonatas that include expansion sections with false transitions are Zipoli's Sonata I, i, ii and iii; Marcello, Sonata VII, ii; Soler Sonatas III (M3), IV (M4) and XII (M12), and Seixas, Sonatas 51, 68 and 69 from *80 Sonatas para instrumentos de tecla.*

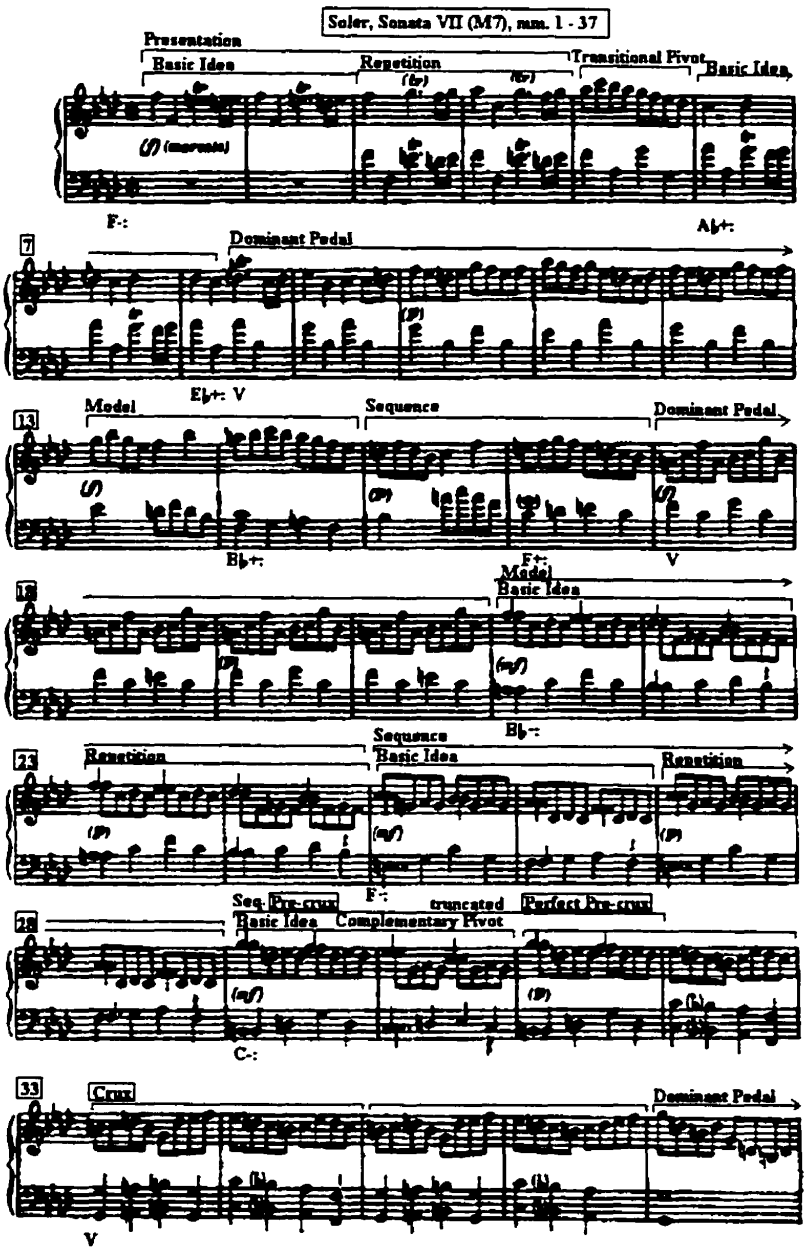
Samples of Various Expansional Techniques

The opposite mode can become an important expansional device within the tonal plateau. Soler's Sonata IX (M 9) emphasises the dominant minor in a movement whose complementary tonality is the dominant major. Seixas's Sonata 50 in g minor from *80 Sonatas para instrumentos de tecla* adjusts the minor complementary dominant tonality to the major (cf. Scarlatti's K 519 or 531). Sonata 79 in B-flat major from the same set has a true transition that establishes the major complementary tonality, but then it drifts off into the minor (Example 76 below). The expansion makes several shifts between the major and minor modes and ends on a major mode PAC in measure 25.



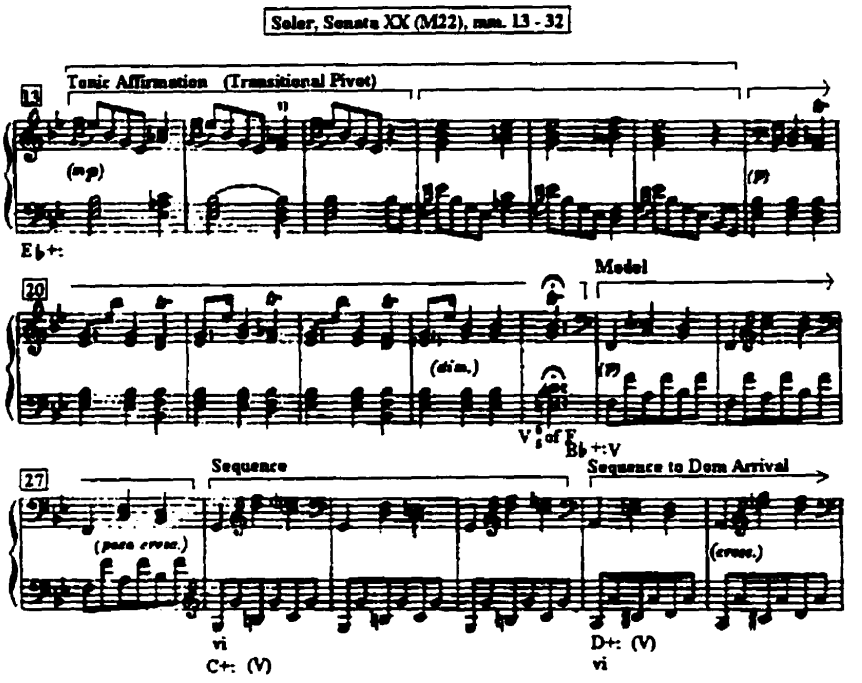
Example 76. Seixas uses the opposite mode of the complementary tonality to expand the tonal plateau.

Tonally complex expansion sections in this period almost always incorporate a sequence of dominant tonalities and their relative keys. Their tonal design usually follows a long-range expansion of a simple sequential progression. Soler's Sonatas III (M3), VII (M7), IX (M9) and XIX (M 19), Seixas's Sonatas 51 in G-minor and 69 in A-minor from *80 Sonatas para instrumentos de tecla*, Marcello's Sonatas VI, iii and VII, ii all include expansion sections that are tonally complex, sequencing through chains of related tonalities.



Example 77
Soler's Sonata VII expands a simple ascending circle of fifths progression with some modal adjustments to occupy the expansion section.

Auxiliary tonic affirmations are also a common device among Scarlatti's contemporaries. The following is an example from Soler's Sonata XX (M22), measures 13 to 32. The home tonality is G-minor and the complementary tonality is D-minor. An extensive tonic affirmation follows the opening's half cadence in E-flat major, the lowered submediant of the home tonality, or the Neapolitan region of complementary tonality.

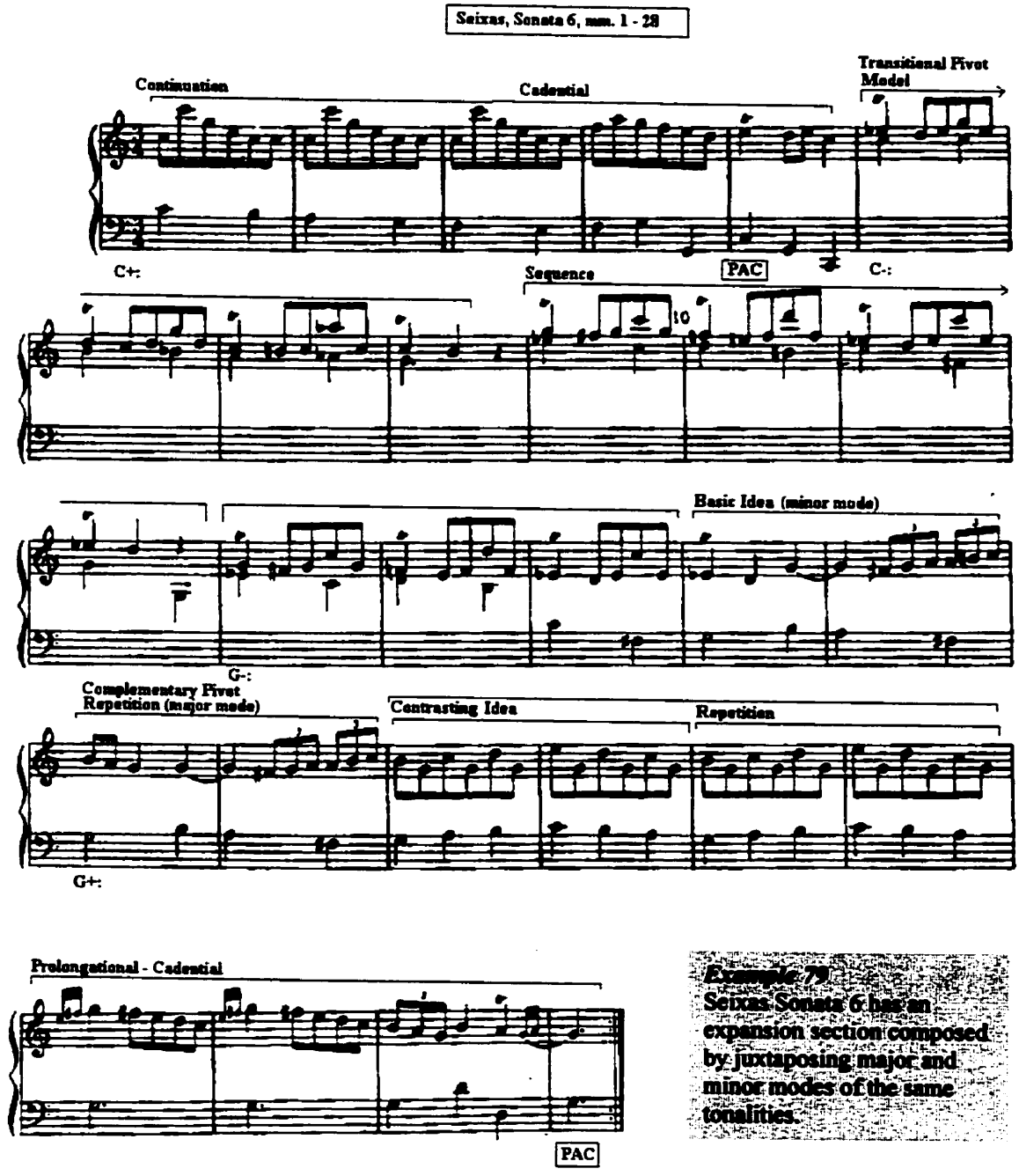


Example 78
Soler's Sonata 22 has an extensive auxiliary tonic affirmation beginning the expansion section.

For examples of sonatas that contain expansion sections that emphasise the opposite mode of the complementary tonality, please see Marcello's Sonata XII, iii and Seixas Sonatas 33 and 50 from *80 Sonatas para instrumentos de tecla*. Expansions that move to the relative tonality before moving to the complementary tonality include Marcello's Sonata VI, iii, and Soler's Sonatas XIX (M19) and XX (M20). Examples of expansion sections with other auxiliary tonalities are in Marcello's Sonata V, ii Galuppi's Sonata II, and Soler's Sonata VII (M7).

The juxtaposition of the home tonic major with the home tonic minor, as in K 539, occurs in the works of his Scarlatti's contemporaries. There is an exaggerated example of this in Seixas's Sonata 6 from *80 Sonatas para instrumentos de tecla*

(Example 79). In this example, new material in C-minor immediately follows the incipit in C-major. This sequence moves to G-minor before closing in the complementary tonality of G-major.



Example 79
Seixas Sonata 6 has an expansion section composed by juxtaposing major and minor modes of the same tonalities.

Summary of Scarlatti's Transitional and Expansional Processes

The preceding analysis shows that Scarlatti's first halves are either bipartite or tripartite, depending on the importance allotted to the central transition section. Two types of bipartite first halves exist: those with transitions and those without. Scarlatti favours using a transition in the Venice XIII repertoire, and composes them using four consistent methods: 1) closed dominant pedal point, 2) modulating phrase ending in and IAC, 3) half cadence in the complementary tonality, and 4) dominant pedal point in the complementary tonality. Sequences are common throughout transitions. Aside from the ponderous pedal point ending the transition, there is little that differs from types of transitions in the high-Classical repertoire. These structures reflect loose organisation.

Though the forms of expansion sections vary greatly, certain general characteristics and processes remain constant: they contain both transitional and complementary tonal material, they always contain the crux or the pre-crux, and they may continue well into the post-crux. The possible ways to incorporate an expansion section in a sonata are numerous; yet, Scarlatti uses the same processes again and again. The following are some major points:

1) The expansion section always modulates to the complementary tonality.

2) False transitions and auxiliary tonalities are frequent.

3) Long dominant pedals play important roles within the expansion section.

4) The dominant minor is not an adequate complement to a major home tonality and it becomes an expansional device.

5) The expansional post-crux usually consists of material that delays the complementary dominant.

6) Crucial material not in the proper mode expands the post-crux (and complementary tonal section) if it occupies a complete phrase; otherwise, it only extends the post-crux (as in K 532).

7) A true juxtaposition of several tonal areas in the first half can occur only in an expansion section.

8) The expansion section may contain several intermediate cadences.

9) Deceptive and evaded cadences do not create tonal stability. They are effective expansional processes.

10) Many expansion sections contain "pseudo-thematic" structures though, spinning-out formations and motivic developments commonly pervade the unit.

11) The pre-crucial expansion section usually leads to a repeated post-crux, and closing and cadential activity (often repeated with codettas).

12) The transitional pivot or member containing the transitional pivot function never juxtaposes the complementary pivot or the member containing the complementary pivot function. Intervening expansional material separates them.

13) If a transition occurs early within an expansion section it will not include the complementary pivot function, but it may achieve the complementary tonality. The complementary pivot function comes later when nearing the ultimate tonal (and modal) stability of the closing section.

Of the nine sonatas containing expansion sections, five include expansional post-cruxes (K 519, 521, 531, 539, and 542). Only K 521 has its expansion restricted entirely to the post-crux. The others begin with transitions to the crux and vary little from the paths of transitions that do not lead to expansion sections.

Fillion and Larsen have noted some expansion sections in works by Haydn and his contemporaries. This common mid-century process is short-lived in mainstream European Classical music. Later manifestations survive mainly in works by such peripheral composers as Antonio Soler.

Chapter Five

An Analysis of the Thirty Sonatas in the Venice XIII Manuscripts: The Complementary Tonal and Closing Sections

The analyses presented in this thesis have recognised the occurrences and construction of the complementary tonal and closing sections without discussing their significance in the mid-century sonata form. The closing section in the high-Classical sonata form becomes a vital unit of dramatic tension.[119] Tendencies towards this aesthetic exist in Scarlatti's music.

The role of a subordinate theme is distinctly different from that of a closing theme. In the high-Classical sonata, the subordinate theme is a vital part of the form. It not only creates tension and opposition to the main theme, but also rivals it in functional importance. The contrast in tonality and character between the main theme and the subordinate theme is a driving force behind the high-Classical sonata form. A closing theme simply functions as a thematic unit that performs a perfunctory cadence in the closing tonality.[120] The mid-century complementary and closing sections may contain the closing "theme" or "themes" and codettas.

As stated in Chapter Two, tripartite first halves do not contain subordinate themes. Any sense of drama or tension develops in the central portion. The closing section concludes the half by playing out and dissipating the energy generated by the vibrant expansion section. The expansional post-crux is a step closer to the Classical aesthetic than an expansional post-crux that exploits the transitional processes. The expansional post-cruxes that exploit the complementary tonality provide a dramatic point of contrast to the opening. Though they frequently do not contain thematic material in the Classical sense, they are comparatively no less thematic than the openings. Still, the inner tension is not drawn from a contrast in thematic material, but from the developmental and spinning-out character that plays out the process of expansion, and the tonal opposition to the opening.

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[119] ". . . the first [section (exposition)] moves from harmonic stability to tension and never ends on the tonic . . ." Rosen, *Sonata Forms*, 17.

[120] See Larsen, "Some Observations," *Studia Musicologica* 9 (1967), 138.

One important development towards Classicism in the complementary tonal section of the mid-century sonata forms is the extensive closed, repeated dominant pedal points and tonic affirmations. These frequently begin the tonal plateau well within the expansion section or transition. The repetition is fully part of the complementary section (post-crucial dominant pedals). The repertoire examined for the present study reveals that such techniques are not as pervasive within any single high-Classical movement as they are in the mid-century movements, since the subordinate theme is far more prominent in the later genre. As an emphatic gesture of having achieved a new tonality, however, the closed dominant pedal point and tonic affirmation can provide moments of dramatic tension without necessarily including an element of contrast. Still, these devices do not represent themes or theme types; rather, they are the manifestation of a tonal process. The complementary sections of tripartite forms, therefore, do not contain the necessary elements to provide for a subordinate theme. New thematic material often occurs in the complementary section, but there is no tension created through dramatic thematic contrast and opposition. Thematic material evolves more from a process of spinning-out phrase members than from building theme-types. Furthermore, the lack of a double return in the bipartite sonata compromises the concept of main theme. There is only the opening section. Without a main theme there can be no subordinate theme.

Most binary forms do not achieve the extreme degrees of tonal and thematic polarity, contrast and opposition necessary to produce Classical expositions (as discussed in Chapter Two); hence, the term "first half." Nevertheless, steps towards Classicism are clearer in the bipartite first halves than in the tripartite. To assess whether a Classically oriented subordinate theme is present in any given half, consider the criteria established by both Foster and Gerstenberg (presented on page 18 of the present study). Foster recognises that most of Scarlatti's sonatas fall into Gerstenberg's type II.[121] The repertoire under discussion in the present essay proves to be no exception. That both Gerstenberg's types I and II may easily accommodate expansion sections is interesting. This flexibility allows a superficial analysis of a tripartite form to reveal a main theme and subordinate theme architecture while the inner process is usually different. K 539 is a prime example. The greater the influence of the *Lied*-type formation within a structure, the more that structure tends towards typical Classical norms. The reverse is true for

[121] The aspects of Type II that affect the opening section are: the form is built as a chain of more or less contrasting motives, the motives may or may not be connected through an overlap between the cadence of the previous group and the beginning of the following group, and the several motive groups do not differ in rank or importance.

spinning-out formations, which tend towards Baroque norms.[122] Gerstenberg's three types of sonatas actually represent degrees of spinning-out or *Lied*-type formations; hence, they also represent, respectively, a more Baroque or a more Classical aesthetic.[123]

K 539's post-crux exhibits a common mid-century process that resembles a high-Classical subordinate theme-building technique (that is, harmonic prolongation and repetition of a basic idea, and continuation). The dominant pedal begins with thematic material in measure 28 (Example 68 on page 133). The entire section up to the HC in measure 42 does not reveal a stable thematic process. Instead, it reflects a continuation of a transitional process through long-range sequencing of material and pedal points. It represents a confirmation of the minor dominant, perhaps in answer to the tonic minor established in measure 14. The following major section, beginning in measure 43, juxtaposes the dominant major and minor at the end of the half. This echoes the juxtaposition of the tonic major and minor at the beginning of the expansion section (measures 10 through 18, Example 80 below). The contrast is more profound between the minor and major mode in the expansion and complementary sections than it is between the home tonality modes in the opening section and beginning of the expansion section. The final modal juxtaposition recalls the opening contrast and creates a sense of completion by closing it, rather than developing a perception of expectancy through opposition and tension. A gradual sense of closing exists where the post-crux expands by presenting both the minor and major modes of the tonal plateau. Contrast may exist, but there is no striking tension of opposition to the home tonality through the introduction of the parallel complementary mode.

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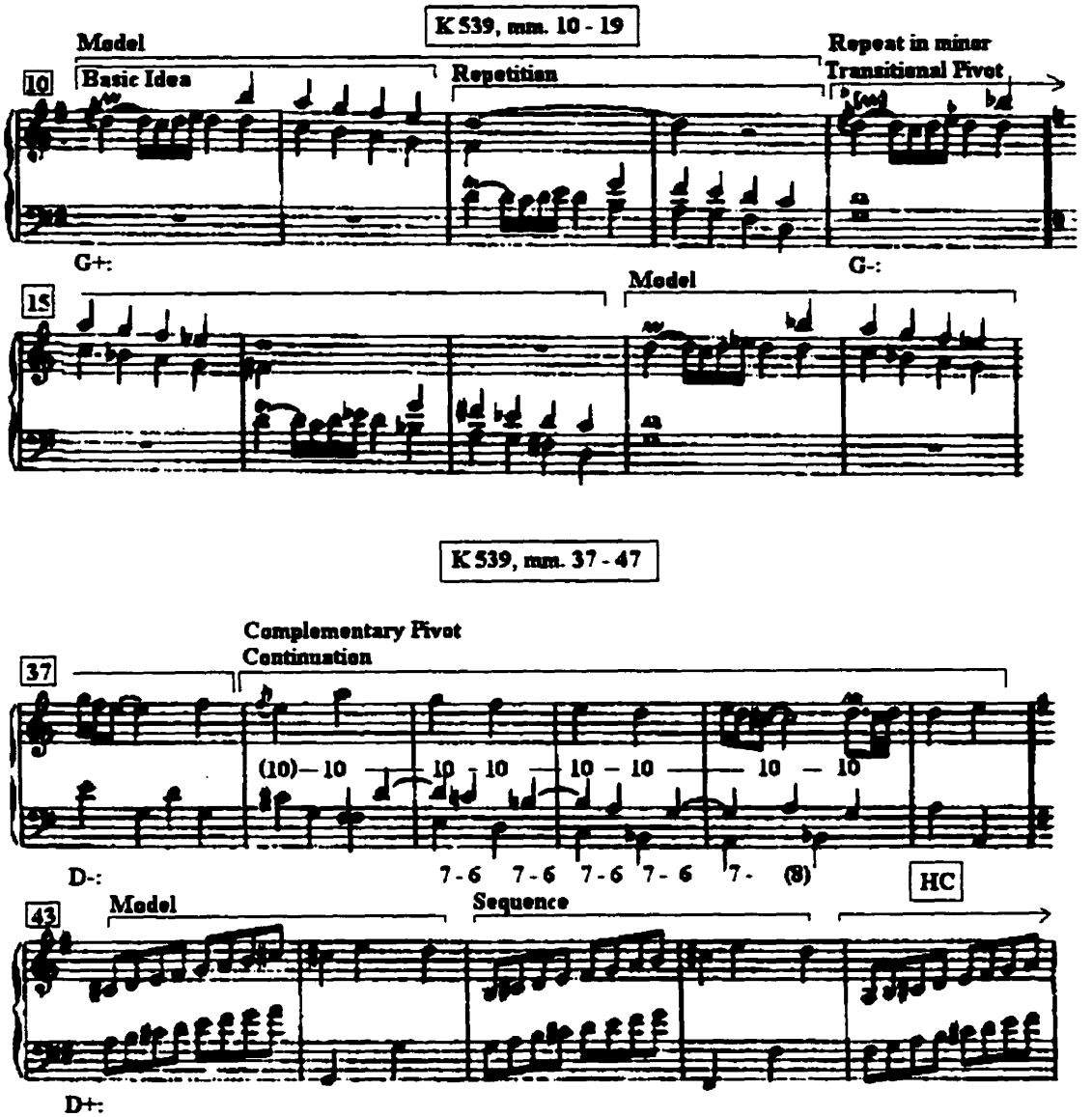
[122] See Fischer, "Wiener klassischen Stils," 25-28, for his presentation of this idea. Also, see the present thesis pages 11 to 13.

[123] Periods and sentences are standards of Classical phrase organisation, but many less structurally defined phrase configurations continue throughout that era. Residual Baroque traits survive diversely throughout the Classical repertoire, just as standard designs for the Classical era exist diversely in the Baroque. The mid-century style reflects a growing preference for periodic structure and facile melodic patterns while still preserving an abundance of linear and spinning-out techniques. See Rosen, *Sonata Forms*, 13. He discusses the stylistic revolution from 1735 to 1765, and states that an easy literature for the amateur was increasingly in demand.

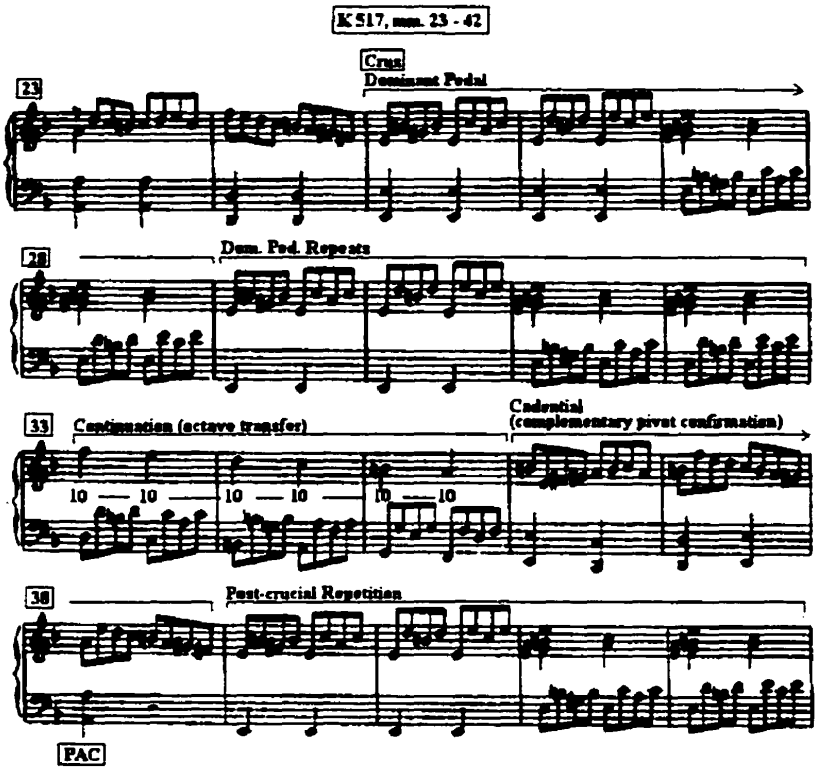


Example 80
K 539 begins the expansion section by juxtaposing the home major and minor, and ends it by juxtaposing the complementary minor and major, respectively.

One noticeable characteristic of the complementary tonal section is its focus on confirming the crucial tonality rather than building a theme. This focus may not be too surprising when compared to the opening, which often spends its greater part confirming the home tonality. Tripartite forms usually spend less time in the complementary tonality than bipartite forms; however, this is not always the case, as in K 539 discussed above. K 521 spends exactly fifty percent playing out the closing section following the post-crucial expansion. This lengthiness is due to the nature of the expansion section and the

early crux. The closing still has two, repeated, confirmatory, sentences which end with cadential progression phrases. The repetition of cadential progression phrases is normal for a closing section. The remaining three sonatas with expansional post-cruxes, K 519, 531, and 542, have proportionally much shorter closing sections; K 542 being the longest at one third the length of the first half. The four sonatas with pre-crucial expansion sections, K 516, 518, 530, and 537, have typical complementary sections with repeated post-cruxes and short closing sections. None of them exceeds a third the size of the first half.

Drawing the line between expansion section and transition is sometimes challenging, especially when the central section merges with the complementary tonal section. Such is the nature of K 517 (Example 81). The dominant arrival of a typical transition is either open (as they usually are in the high-Classical genre) or closed (as they may be in the earlier sonata forms). In measure 33 of K 517, however, the open dominant pedal does something unusual. A continuation member consisting of a parallel tenth descent to measure 36 carries an octave transfer of the dominant. The cadential progression follows to a confirmatory PAC in measure 38. The terminology section of this thesis observes that a dominant pedal frequently ends the transition while simultaneously opening the tonal plateau and complementary section (page 49). The post-crucial dominant pedal repeats *immediately* without intervening material. Scarlatti sometimes employs the parallel tenth descent as a usual transitional or "bridge" technique to slip easily from the home tonality to its complement (cf. K 528, Example 54 on page 104). In K 517, it separates the model dominant pedal from its repetition and delays (or expands) the complementary pivot confirmation. The post-crucial dominant arrival confirms the complementary section, which suggests that the previous, apparently transitional material might expand the post-crux. On the other hand, since the interpolated octave transfer does not exploit the complementary tonality, this resembles a transition by closed dominant pedal point (rather than a transition by dominant pedal point in the new tonality, as I classify it above). The repetition of the entire post-crucial construct (mm. 25 to 38, repeated in mm. 39 to 52) is consistent with the form of the "unexpanded" post-crux and adds weight to this point of view. The transitional device employed here does not expand the post-crux, but only extends it, just as the evaded cadences extended the post-crux in K 532 (page 115).



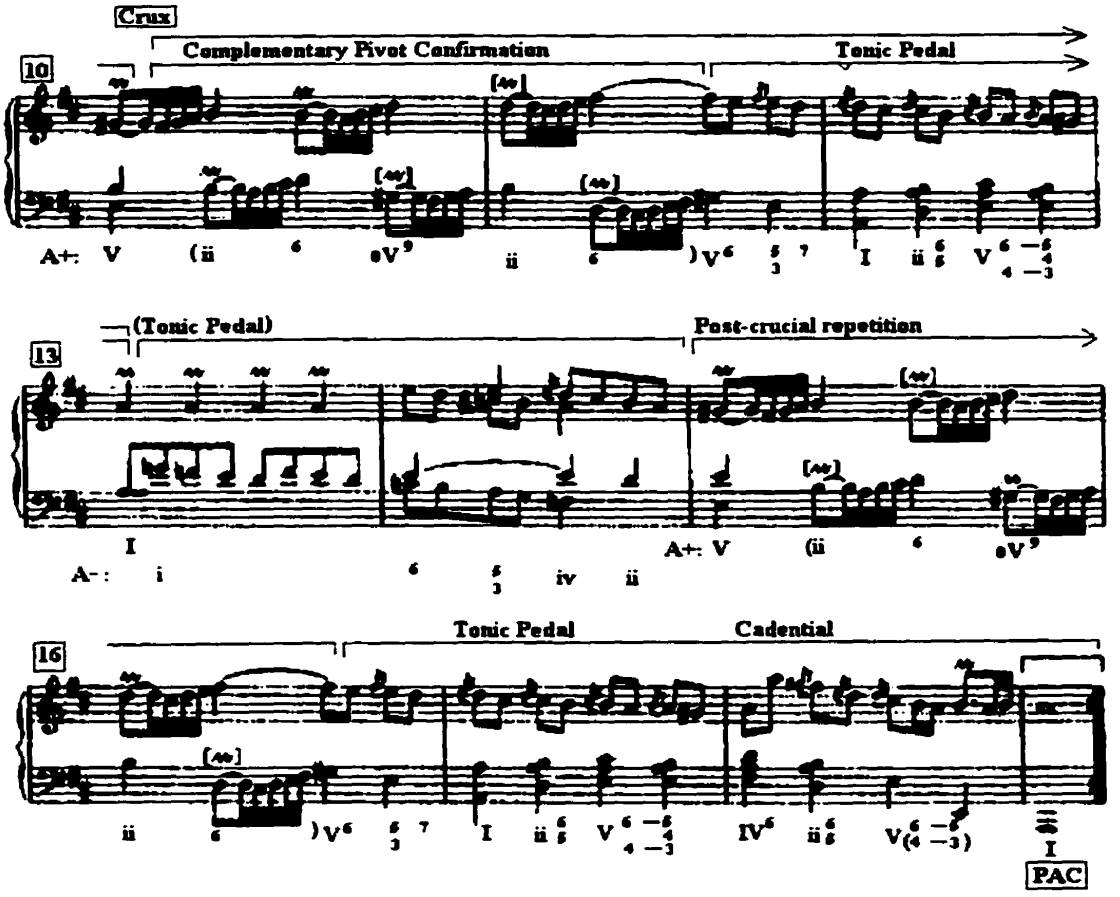
Example 81
K 517 incorporates an interpolation between the post-crucial dominant pedal and the complementary pivot confirmation.

In the mid-century style the dominant pedal point can mark a beginning, as well as a goal. In the Classical form the dominant arrival ends the transition while a standing on the dominant can begin the subordinate section. If the complementary pivot in K 517 were to end in measure 25, the cadence point at the end of the dominant pedal would not be the confirmation. The beginning of a new section in the complementary tonality would perform this function. The different texture of this section, combined with the octave transfer in the post-crux, almost yields a subordinate theme group. In any case, classifying this half is not nearly as interesting as discovering how it maintains and uses a combination of typical Scarlatti devices (that is, dominant pedal point, complementary pivot confirmation, and the parallel tenth pattern).

K 534 is similar (Example 82). The complementary section begins in measure 10. The complementary pivot confirmation merges the transition with a dominant arrival section in the complementary tonality. A complementary tonic A-pedal appears in measures 12 and 13. This pedal blurs the underlying cadential progression by creating a dominant $^{5}/_{4}$-chord on beat 4 of measure 12. The melodic activity continues through this pedal, though the harmonic flow stops briefly. In measure 13, most of the energy dissipates and the tonic minor returns (cf. m. 8, Example 60 on page 118). This

movement away from the complementary major invites a further reestablishment of A-major, which is accomplished by the return of the material from measures 10 to 13 in measures 15 to 17. This passage functions as a post-crucial repetition, but like K 517, there is an interpolation between the post-crux and its repetition. Measures 18 and 19 finally arrive at the solid PAC in A-major.

K 534, mm. 10 - 19



Example 82 **The post-crux of K.534 and its repetition are separated by an interpolation.**

The shift from the major to the minor mode and back again in the complementary tonal section is not an uncommon occurrence in this period and may or may not indicate an expansion.

> The Post-Crux always performs a cadence in the closing tonality. Occasionally it delays finality by shifting from major to minor or by tentative or deceptive cadences. Only exceptionally is the Post-Crux followed by even a temporary deviation from the closing tonality.[124]

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[124] Kirkpatrick, *Domenico Scarlatti*, 263. Kirkpatrick defines the Post-Crux as that member which immediately follows the crux. This might not represent the area of the complementary tonal plateau defined in the context of the present study.

The delaying of finality combined with the ambiguity of motivic recurrences creates a motoric central section to this movement. These techniques are also common in expansion sections. Despite the establishment of the complementary dominant as early as measure 5, its confirmation in the proper mode is not until two measures before the end. The transition merges with its adjacent sections. The complementary section brings back motivic material from the opening four measures in measures 10 through 14. This material coincides with the crux, which suggests the onset of the "monothematic" complementary section (though these phrase structures are not dependent on any Classical theme-types per se). The transition bears an uncanny resemblance to the opening phrase of the complementary section in both material and harmonic design. Measures 5 and 6 introduce the complementary dominant and move to the dominant pedal in measures 7 and 8. Measures 10 and 11 also begin with the dominant and move to a tonic pedal in measures 12 and 13. Measures 9 and 14 both introduce a half-cadential progression in the complementary minor that leads to an elision of the dominant arrival in their respective succeeding measures. This elision enhances the sonata's "monothematicism." Hints of the tonic minor and relative major throughout add to the restlessness that carries through to the end of the movement. The introduction of the opposite mode in the tonal plateau is an extension that serves as the impetus to the further development of crucial material, which brings about a solid tonal closing.

The complementary tonal sections of bipartite structures are normally longer than those of the tripartite designs. The post-crux typically repeats, as in the tripartite form with a pre-crucial expansion section. The post-crux and its repetition help to detract from the sense a subordinate theme group. Since the post-crux emphasises the goal of the transition, typically with dominant pedals or cadential progressions, it plays a confirmatory role. This confirmation yields a sense of arrival after the transitional process. The high-Classical subordinate theme does not complete a transitional process nor does it result from a spinning-out of preceding material. It is a beginning in a new tonality, providing a dramatic contrast to the opening section, even in the monothematic sonata. This contrast comes about due to a distinct emphasis on the main and subordinate theme groups. The post-crux in the mid-century sonata simply continues the spinning-out that started with the opening. The post-crucial repetition is a method of emphasising the arrival of the new tonality that compensates for the lack of dramatic contrast to enhance it.[125] Of the twenty-one bipartite sonatas in the Venice XIII collection only K 514

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[125] Gerstenberg's types II and III suggest this distinction between the mid-century and high-Classical forms. See Foster, "Dramatic Contrast," 5-6. Gerstenberg, *Die Klavierkompositionen Domenico Scarlattis*, 49-73, *passim*.

contains a post-crux that does not repeat (Example 23 on page 52). However, what follows the post-crux also continues the process of affirming the new tonic. The motivic content of the right hand comes from the cadential gesture of the post-crux (mm. 16-17). This gesture hints that the entire closing section might be an extension forming an elaborate codetta.

Seventeen of the bipartite first halves have post-cruxes that contain a prolongational-cadential phrase of some type. The prolongational member often forms some kind of presentation; however, it does not prolong a tonic function as is typical in a sentence structure. Instead, it prolongs and presents the complementary dominant. These phrases can be sentential in their design, but only occasionally do they form sentence theme-types. Twelve of these seventeen post-cruxes contain closed dominant pedals with the greater part of the pedal portion in the presentational member. Theses are K 514, 517, 523, 524, 525, 528, 532, 535, 536, 538, 540 and 541. K 517's special design is discussed on pages 149 and 150 above. K 523 is a typical example (Example 21 on page 50). Measures 21 to 24 form the presentational dominant pedal point, and measures 25 to 29 form the closing cadential member (PAC). The structure repeats in the succeeding measures. K 528 exemplifies another post-crux of this type. K 528's post-crux contains a condensed, four-measure sentential design and its repetition (Example 83 below). The repetition is typical, but it is clearly written as an exercise, as the right and left hands switch parts in the repeat, but remain in the same octaves as the original.[126] The closing section follows with similar, repeated prolongational-cadential phrases. Whether K 535's prolongation can be considered a pedal point is debatable, as it is composed of rapidly ascending scale passages; however, each ascending articulation begins on the dominant. K 536's post-crucial repetition manifests in a different manner. Only the cadential member is repeated, and then only as the result of a one-more-time technique. This is discussed in greater length below (Example 90 on page 164). K 538 exhibits a variation in the prolongational member in the repeat. K 541's post-crucial repetition is in the complementary tonic minor, extending the complementary tonality. This was discussed on page 106 and 107 above.

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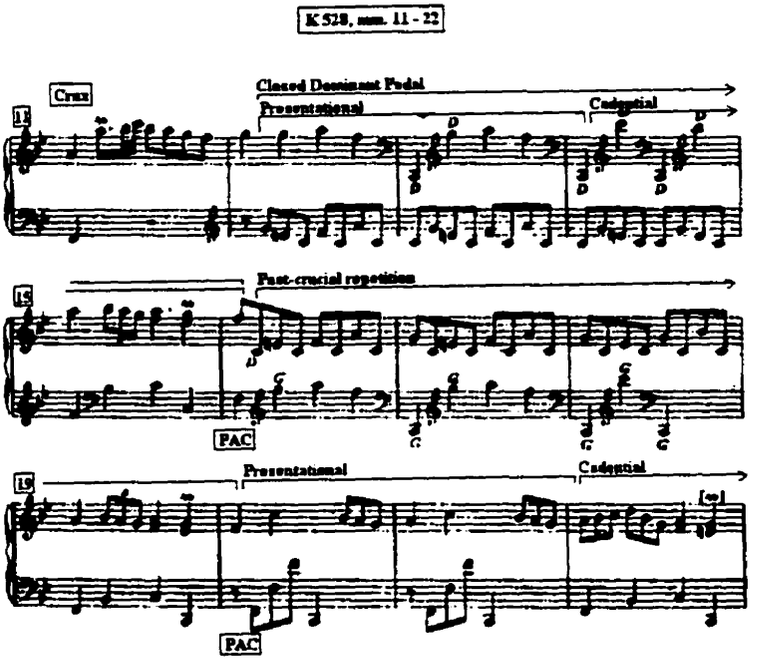
[126] Kirkpatrick, *Domenico Scarlatti*, 137. Scarlatti entitled his sonatas for his royal Portuguese patrons *Essercizi per Gravicembalo.*



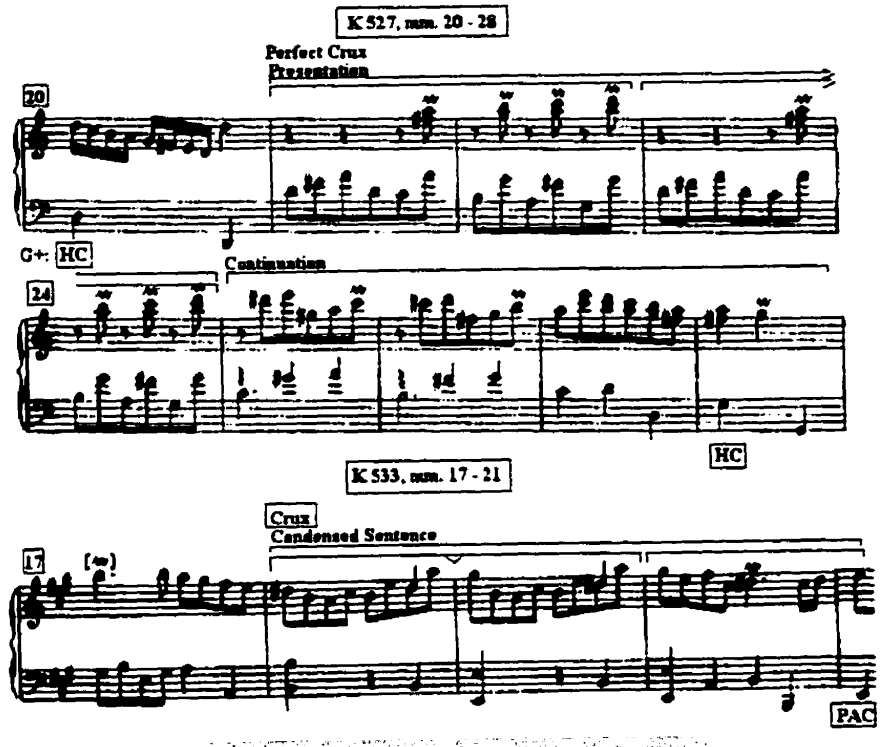
Example 83: K 528's post-crux and post-crucial repetitions are typical.

The remaining five of the seventeen prolongational-cadential post-cruxes contain sentential designs without extended dominant pedal points: K 520, 527, 529, 533 and 534. K 527 (Example 84 on the next page) and K 529's post-cruxes form eight- and ten-measure sentences, respectively. The basic ideas of the presentational member in both express a complementary dominant / tonic relationship. K 533 (Example 84 below) contains a condensed sentential form (1+1, presentation and 1 measure + 1 beat cadential) in the post-crux. Its opening repetition uses a statement and response format. K 534 is discussed above (Example 82 on page 154). Measures 10 to 11 and 15 to 16 form loose prolongations of the dominant. The cadential member in measures 11 to 12 evades its cadence.

K 520's post crux is an odd mixture of both a sequential-cadential and a prolongational-cadential phrase. Its basic idea (mm. 23 to 24) sequences melodically by ascending step to measure 28, but every second measure returns to a dominant pedal in the bass up to measure 29. This sequence launches the cadential member in measures 29 to 31. Despite the melodic sequence, measures 23 to 29 are clearly dominant prolongation.

The remaining four bipartite sonatas which do not contain sentential designs in the post-crux are K 515, 522, 526 and 543. K 515 and 543 each contain a repeated, sequential-cadential (continuation) phrase, forming the post-crux; K 515 in measures 22 to 28 (Example 88 on page 162) and K 543 in measures 22 to 30. K 522's post-crux begins in measure 27 with three measures of dominant prolongation (no pedal) that ends

with a HC. This material repeats, but Scarlatti adjusts the ending to form an IAC. The six measures together form a periodic structure. The whole unit varies and repeats to compose a complementary tonic prolongation and cadential progression through the next six measures. Adjustments to both cadences form IAC's through the latter six-measure unit thereby modifying the periodic integrity of the former six measures.



Example 84. **The presentations of the post-cruxes of K 527 and K 533 are not built on the sustained tones of closed dominant pedals.**

K 526's post-crux begins with a unique six-measure unit (2+2+2) that cadences on the downbeat of the seventh (mm. 23 to 29). An elision of cadence begins the post-crucial repetition. The post-crux is free-flowing with a particular thematic character of its own. Its expression not strikingly different from the preceding material, as it spins out from the transition, but it offers a contrast to the transition's sequential activity. This post-crux very nearly serves the function of a subordinate theme.[127]

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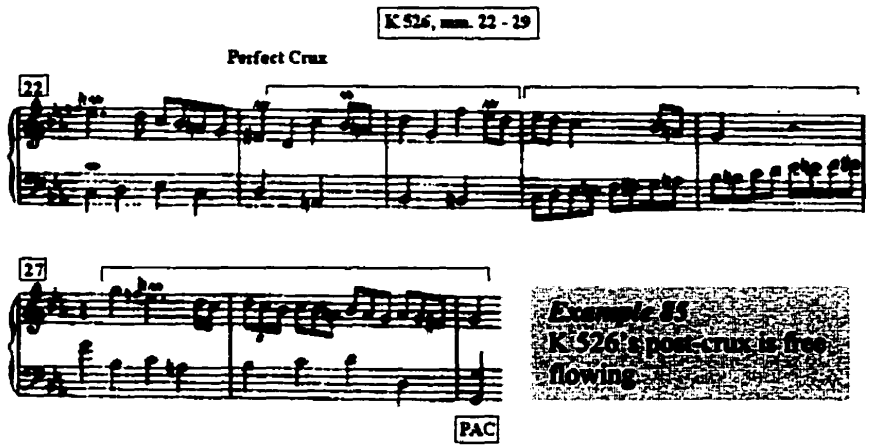
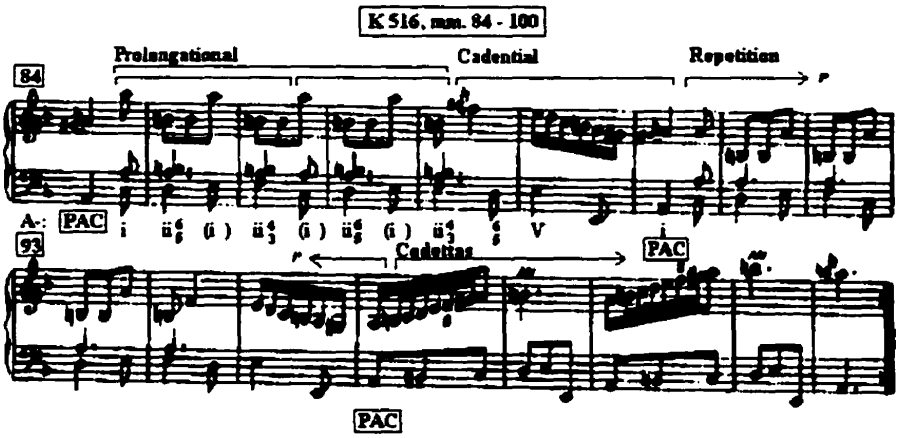
[127] Please see Gerstenberg's criteria for a Type III (closest to Classical) sonata on page 18 of the present study.



Example 35
K 526's post-crux is free flowing.

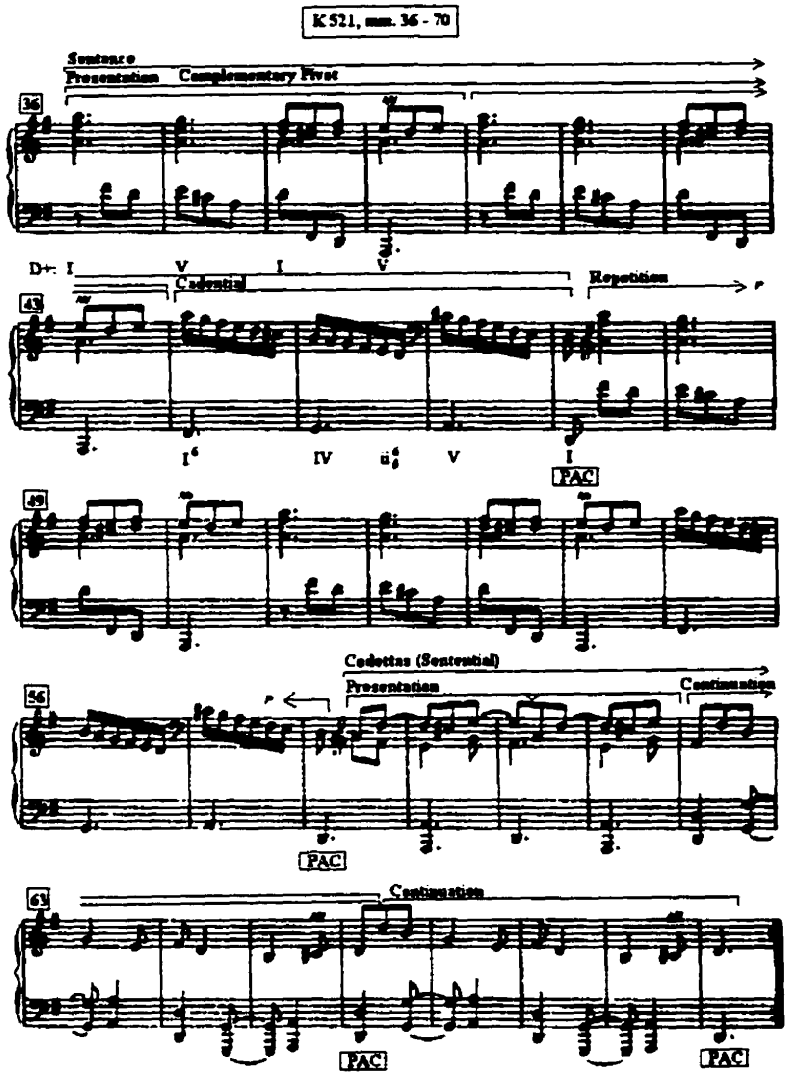
The closing sections in the sonatas of the Venice XIII collection are typically mid-century in character; that is, they consist of a chain of variably contrasting phrases continuing from the post-crux that confirm the complementary tonality. They usually contain closed dominant pedal points or tonic affirmations and they always have cadential progressions. Codettas occur frequently, especially to end the section. As in the post-crux, phrase repetition is common in the closing section. Though the phrases regularly feature a sentential design, they are not often thematic, as they commonly flow from a series of continuing or contrasting phrases. Their characteristics differ little from the previous sections', except they remain firmly in the complementary tonality. Even so, they are less forceful than the emphatic confirmatory process of the preceding post-crucial section. They often simply play out the remaining energy of the tonal plateau, even if only to better balance the complementary tonal section against the opening and central sections. As such, they may do little more than continue or extend the confirmatory process begun by the post-crux. K 514 contains a typical closing section (Example 26 on page 58). It follows the post-crux in measure 17 with a two-measure repeated basic idea built over a tonic affirmation (mm. 17 to 20). The melodic material comes from the cadential motivic gesture of the post-crux (mm. 16-17), but it is not a continuation of the post-crux, as its function differs within the tonic affirmation. Measures 21 to the downbeat of measure 23 contain a cadential progression (PAC). The sentential structure repeats from measures 23 to 29, followed by a three-measure codetta.

Among the tripartite forms, the closing sections are usually quite short, though they maintain the same characteristics of closing sections overall; that is, they frequently repeat phrases and end with closing codettas. K 516's is typical: a sentential design (prolongational-cadential) exists from measures 84 to 90, it repeats in measures 90 to 96 and codettas follow. In this example, the presentational member (mm. 84 to 88) prolongs the complementary supertonic as a dominant preparation (inversions of ii^7) through a pedal point (B-natural), while emphasising the complementary tonic (A).



Example 86
The closing section of K 516 incorporates a repeated prolongational-cadential phrase and codettas.

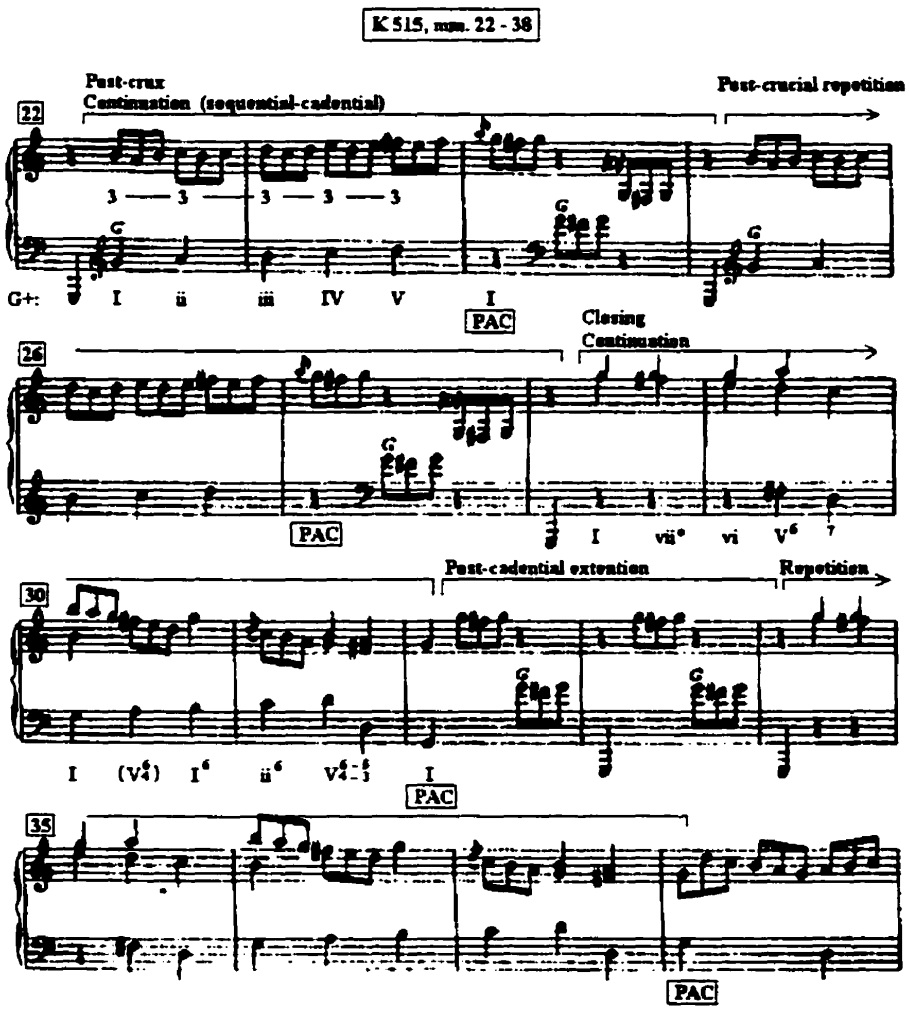
K 521 (Example 87), 539 and 542 all contain unusually long closing sections, considering that they include post-crucial expansion sections. K 521 was discussed above. As the post-crucial expansion is in the parallel complementary mode, it does not bring about a strong confirmation of the complementary tonality. The post-crucial function is somewhat weak. The beginning of the closing section performs complementary pivot function by employing the typical, repeated, closed dominant pedal that is so indigenous to a confirmatory post-crux (mm. 36 to 47: 4+4, presentational dominant pedal; and 4, cadential progression). The rest of the closing section continues proportionally with prolongational-cadential codettas that form small sentential patterns.



Example 87. **The closing section of K 521 incorporates sentential patterns throughout.**

Both K 539 and 542 are similar to K 521 as both their expansional post-cruxes end on the complementary dominant in the parallel complementary minor mode. The closing sections in each begin with repeated, sequential-cadential phrases (rather than prolongational-cadential phrases) that bring about the strong cadence in the proper mode (see the beginning of K 539's closing section, measure 43, in Example 80 on page 151).

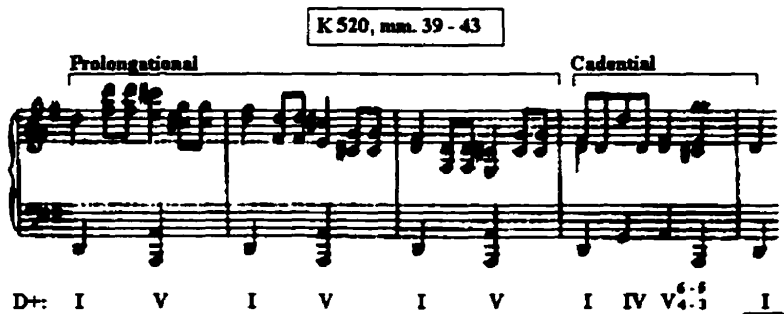
The closing sections are regular in the bipartite first halves. Many are very short, forming codettas to the more vibrant post-cruxes. K 517, 523, 524, 525, and 527 are of this nature. K 524 and 525 simply repeat the cadential member of the post-crux. Others might extend post-crucial material, such as in K 515 (Example 88) where the closing section begins by employing a bass progression and cadential confirmation similar to the post-crux (compare mm. 22 to 28 to mm. 28 to 38). In general, there are two types of similar constructs that pervade most of the longer closing sections; these are the prolongational-cadential (sentential) and the continuational designs.



Example 88. **K 515 begins the closing section with some material from the post-crux presented in a slightly different context, such as the bass ascent in mm. 22-23 and 30-31, and the post-cadential extensions in mm. 24 and 32-33. All phrases are continuations; the post-crux is a sequential-cadential continuation with parallel third motion.**

Condensed sentences (prolongational-cadential phrases) are common in closing sections. K 520's closing consists of such a phrase structure in measures 39 to 43 (Example 89). Three measures of prolongational repetitions precede a curt cadential progression. Sentential designs exist in K 514, 515, 520, 524, 528, 529, 533, 535, 540, and 543. A repetition takes place in all cases. K 535 contains two sentential structures; only one of them repeats with variations. K 533 contains a repeated, condensed sentential design in measures 30 through 38. This passage follows a repeated consequent phrase in

measures 24 to 30 (3+3). The repeated, condensed, three-measure sentential designs in K 528 precede equally condensed, repeated consequent phrases which form the closing codettas. The presentation of K 524 (mm. 25-27) consists of a repeated one measure unit. Its four-measure continuation is standard, and it repeats as a codetta following the post-crucial repetition.

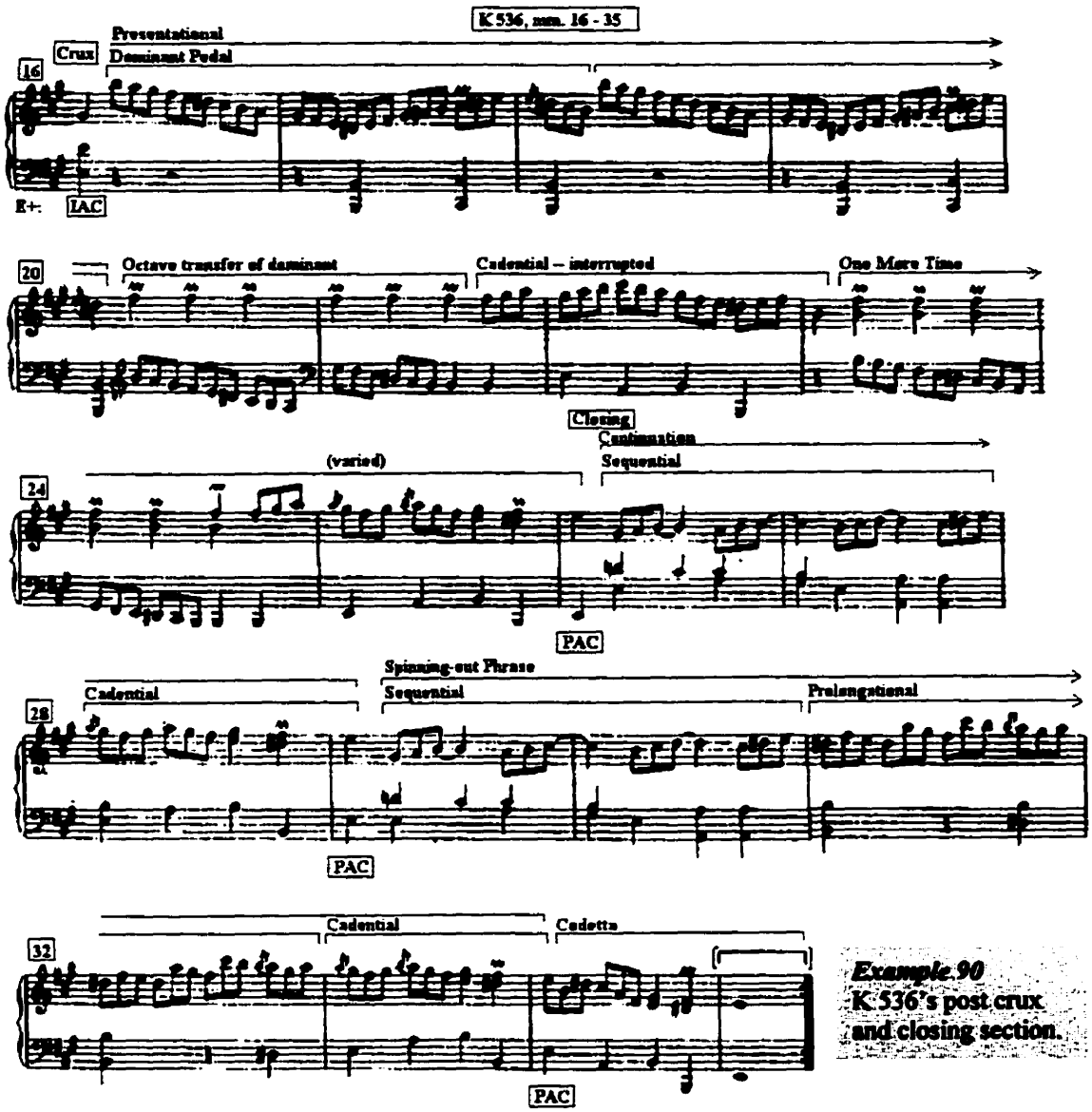


Example 89
K 520's closing consists of prolongational-cadential phrases (condensed sentential design).

K 522 contains such a sequential-cadential phrase in measures 39 to 43. Like the prolongational-cadential (sentential) design, these phrases vary in size. K 522, 526 and 541 contain sequential-cadential closing phrases. K 515 contains both a sequential-cadential and a sentential structure in the closing section.

K 536 contains a repeated sequential-cadential phrase in measures 26 to 34, but it is preceded by different material (Example 90). Measures 16 to 20 display a presentational, post-crucial, dominant pedal point. Measures 20 to 21 carry the descending scalar pattern from the previous measures to the left hand, which serves to extend the pedal point by transferring it over two octaves. This passage prepares the cadential progression in measure 22. The closing of the pedal point is interrupted, however, by a one-more-time gesture, as measure 23 returns to the octave transfer.[128] The pedal point's ultimate closure comes on the PAC in measure 26. Measures 23 to 26 replace the full post-crucial repetition. The closing section follows, consisting of a sequential-cadential phrase with a varied repeat that turns it into a spinning-out phrase. A codetta follows.

[128] Schmalfeldt, "Cadential Processes," 1-51.

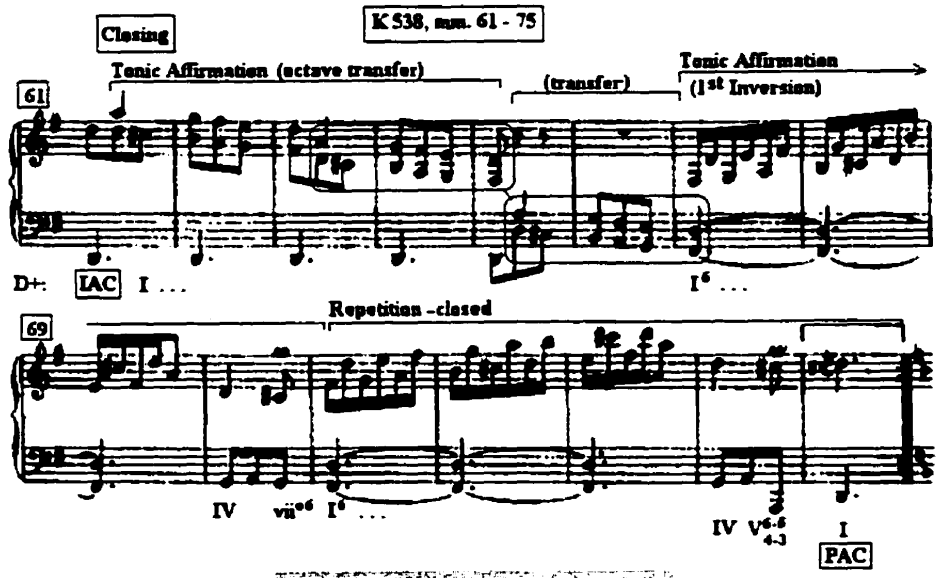


Example 90
K 536's post crux and closing section.

There is no real dynamic or dramatic contrast between any of the sections in K 536. Every phrase, from the beginning to the end of the half, is roughly the same length and one simply spins out after the other. The dynamic process is rooted in the playing-out of motivic minutiae in the gradual attainment specific tonal goals. The drama is cultivated in the prolongation of tonal regions and the delaying of tonal goals. In such sonatas as these, the process (spinning-out) dominates the form. In the high-Classical sonata, the form directs the process with established formal functions.

A four-measure, descending, scalar octave transfer (mm.45 - 48) interrupts the cadential progression in the closed dominant pedal in K 538. This interpolation leads to

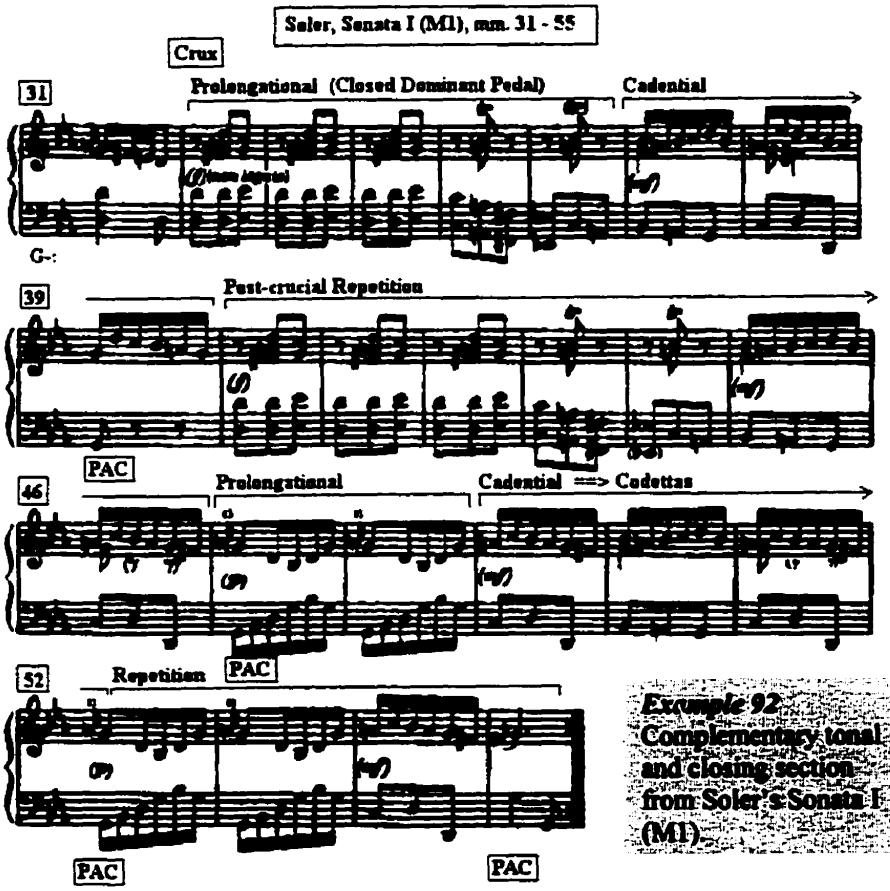
the post-crucial repetition, which concludes with the regular cadential progression. The interpolation adds diversity to the otherwise repetitious dominant pedal. The following closing section (Example 91 below) contains the only form dissimilar to the rest, consisting of a three-phrase, fifteen measure unit (unevenly, 6+4+5). It begins in measure 61 with a tonic affirmation. A new phrase begins by imitating the octave transfer from the right hand in the left in measures 65 and 66, but stops short of a complete transfer in the bass, and lands on the mediant. The rest of the phrase maintains the tonic pedal in an inner voice, leaving the tonic prolongation in first inversion. The held mediant in the bass resolves to the subdominant in measure 70. The structure repeats, and this time the resolution to the subdominant brings about the final cadential progression to the ultimate PAC.



Example 91. **K 538 has an unusual closing in that it does not consist solely of typical cadential progressions and codettas.**

Samples of Complementary Tonal and Closing Sections in the Works of Scarlatti's Contemporaries

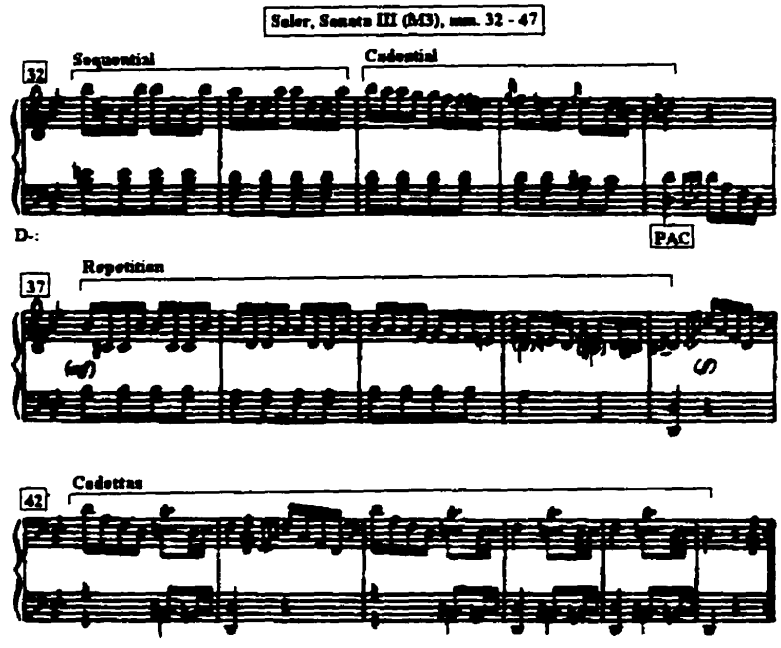
Complementary sections similar to those found in the works of Scarlatti exist in the works of his contemporaries as well. Soler's Sonata I, for example, contains a repeated, closed dominant pedal, forming a prolongational-cadential post-crux (mm. 32 to 47). This pedal leads to a typical closing consisting of prolongational-cadential phrases functioning as codettas. Many of Scarlatti's contemporaries tend to end with much longer complementary tonal and closing sections, with constructs resembling high-Classical subordinate theme-types (Soler's Sonata VII (M7), for example).



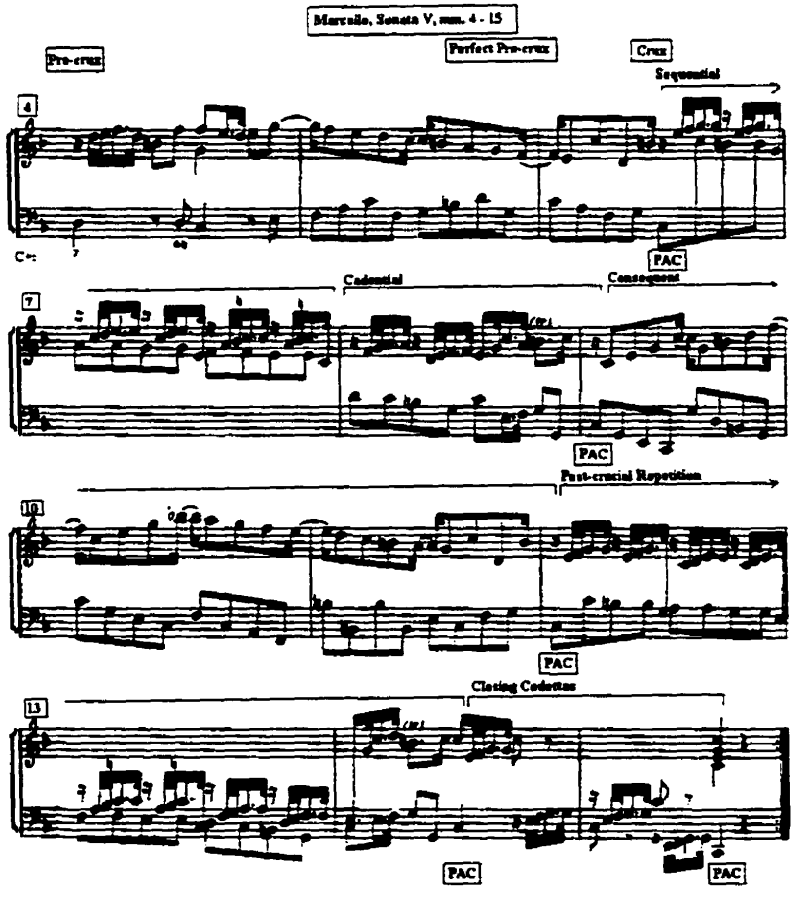
Example 92
Complementary tonal and closing section from Soler's Sonata I (M1).

Soler's Sonata III (M3) exhibits a simple sequential cadential post-crux, which is followed by codettas (Example 93 below). Sequential-cadential and prolongational-cadential phrases are just as common among Scarlatti's contemporaries in the complementary tonal and closing sections as they are in the Venice XIII repertoire, and

appear with as many variations. Example 94 shows a short complementary tonal section in Marcello's Sonata V with a different approach to the post-crucial repetition.



Example 93
Simple sequential-cadential phrase ending Soler's Sonata III (M3).



Example 94
Marcello interpolates a consequent phrase based on the pre-crux between the post-crux and the post-crucial repetition.

Other examples of complementary tonal and closing sections similar to Scarlatti's appear throughout the mid-eighteenth century repertoire. Some examples with long dominant pedals appear in Marcello's Sonata VI and Seixas's Sonata 68 from *80 Sonatas para instrumentos de tecla*. Soler's Sonata VI (M6) includes a long tonic affirmation.

Summary of Complementary and Closing Processes

The "unexpanded" post-crux occurs with remarkable formal consistency. It almost always repeats and frequently contains a closed dominant pedal point. Sentential and continuational constructs pervade this member and it always confirms the complementary tonality. The transition and the complementary tonal section merge as the former finds its resolution in the birth of the latter. This junction is probably why the post-crucial dominant pedal emerges: to confirm the opening of the new tonal section by restating the post-crux as a member separate from the transition.

The expansional post-crux develops as an unconstrained section. Postponement of the complementary pivot confirmation delays the confirmatory function. This delay may happen through the introduction of the parallel mode at the crux, a movement away from the complementary tonality, or the implementation of evaded or deceptive cadences.

The various constructs in the closing sections confirm the complementary tonality following the post-crux. They originate mainly to end the spinning-out that occupies the formal process of the first half of the binary sonata form. These phrases contain no more thematic weight than do the phrases of the opening and central section. Phrases in the closing section may repeat or lead to codettas to add balance and emphasis to the final section of the half.

As noted on page 155 above, the closing sections of bipartite forms are generally longer than those of tripartite forms. A post-crucial expansion section can weaken the complementary tonal confirmation. In this case, the closing section reinforces the complementary tonality, potentially adding to its length. There is little thematic substance in the complementary section. Each phrase cadences to perform a confirmatory function even while it continues to spin out into the next.

The complementary tonal section's frequent use of cadential progressions and codettas is disruptive to any spinning-out process. The typical employment of these

devices—as well as dominant pedal points and tonic affirmations—adds an element of punctuation to the Baroque spinning-out formation. These delimitations lead ultimately to its demise in the later high-Classical genres. Furthermore, the effective isolation of thematic units delimited by these devices develops into sections and the formal organisation that peaks in the high-Classical sonata. The condensation of the Baroque spinning-out process gives birth to the Classical aesthetic.

Chapter Six

Conclusions

The mid-eighteenth century presents a rich culmination of musical genres and styles. The high-Baroque and high-Classical eras form two distinct poles, between which a diverse, intricate and abstract flow of mid-century styles pour with bountiful variety and experimentation. The keyboard sonatas of Domenico Scarlatti run among the strongest in this current. They offer a unique opportunity to study the diversity of a changing sonata form.

This thesis proposes an analytical protocol to develop a meaningful terminology and a pertinent method for critical analysis of the mid-century sonata form. Combining the structural principles of Schoenberg, Ratz and Caplin, the formal philosophies of Rosen, Newman and Kirkpatrick, and the understanding of formal processes presented by Fischer, Larsen, Heimes and Fillion, yields a flexible and expressive approach to mid-eighteenth-century sonata form. The *ad hoc* studies of Foster (Gerstenberg) and Unger, and the broad research of Sheveloff and Boyd, clarify Scarlatti's repertoire in particular. Foster and Fischer present studies that reveal the gradual emancipation from Baroque form in the mid-century. Unger's theory may prove less successful when applied to the compositions of mid-century composer's other than Scarlatti. His understanding of preparatory material might sometimes compromise the realisation of the overall sonata formal process.[129]

This paper set out, in part, to discover if the keyboard sonatas of Domenico Scarlatti are digressions from the mainstream eighteenth-century sonata forms. It compares the Venice XIII collection to a selected repertoire by his predecessors, contemporaries and successors. This comparison presents a meaningful analysis of formal elements that allows for criticism of each movement in its historical context. These comparative analyses suggest that Domenico Scarlatti shares with his contemporaries many of the methods and devices employed in the Venice XIII collection. It further shows an individual sense of regularity that expresses the composer's awareness of contemporary sonata form. A stylistic chain links Corelli, through Domenico Scarlatti,

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[129] See pages 15 to 17 of the present study for this argument.

to Seixas and Soler. Formal and structural methods and devices recur with relative consistency between Scarlatti and such composers as Marcello, Galuppi and Haydn. This consistency reveals the continuity of sonata form through varying styles. The small binary dance movements of the Baroque *sonata da camera* and the free developmental elements indigenous to the *sonata da chiesa* strongly influence the mid-eighteenth-century sonata form. The standardisation of sonata formations by Corelli in the late seventeenth century is the framework that lies beneath later developments. Experimentation and diversity in mid-century works represent challenges to inherited conventions. This experimentation suggests an effort on the part of mid-century composers to explore and establish new conventions that reflect a changing aesthetic. The changing aesthetic helped to expand and develop mid-eighteenth century music in several ways. This diversity is evident in Scarlatti's works. The preference for bipartition or tripartition in a sonata's first half does not develop out of any conscious effort to establish a new convention; rather, it evolves in response to the composer's need to satisfy the demands of a changing aesthetic through experimenting with existing forms. Many bipartite and tripartite first halves share common compositional techniques (i.e., the spinning-out process, periodic structures, etc.). This suggests that the switch from "sonata first half" to "sonata exposition" did not occur because of a change in procedural techniques. It shifted because these processes could reflect the changing aesthetic. The means of application, the degree of exploitation, and the extent to which one process affected the other, gradually yielded a preference for the high-Classical standard.

Scarlatti's thematic unity does not point towards the typical high-Classical aesthetic. It exists in the qualitative unity and manipulation of motivic elements that is so much a part of the Baroque philosophy. Still, Scarlatti's opening material verges on Classical designs. In the first half, Classical influences encroach on Baroque sequential and spinning-out characteristics. Various interruptive caesuras and repetitions define periodic units. The spinning-out-type becomes the formal design overall of the first half, while its inner processes condense into (more Classical) *Lied*-type structures. Furthermore, Scarlatti's contemporaries exhibit similar tendencies. These widespread developments demonstrate that certain processes, if not specific structures, are common to the mid-century era.

The present study shows that Larsen and Fillion's observations of tripartite expositions in the early works of Haydn apply to Scarlatti and likely to much of the repertoire of the mid-eighteenth century. The existence of Fischer's spinning-out and *Lied*-type formations educes the tripartite organisation in sonata forms as stemming

directly from Baroque genres. Further, the binary sonata form, used so prolifically by Scarlatti, descends from the binary dance movements of the Baroque sonatas. This form appeared widely and further developed during the mid-century period.

The expansion section is the nucleus of the tripartite first half. Its relationship to Fischer's spinning-out-type is unequivocal. Though the spinning-out process is the impetus behind the expansion section and the tripartite first half, it is not exclusive to it. Many bipartite first halves also contain a motivic spinning-out. A greater degree of sectioning through cadences, closed dominant pedal points and tonic affirmations tempers the running-on effect of the spinning-out. It functions to confine motivic activity within broad thematic areas supported by even broader tonal regions. In this way, a bipartition can impose on a spinning-out process by limiting the tonal activity to two broad regions: the home tonality and the complementary tonality. Monothematicism adapts easily to spinning-out formations. This yields a bipartite design that is more dependent on tonal organisation than thematic arrangement.

The expansion section is not only a simple development from an older technique. It becomes a vehicle for greater artistic expression. Certain subtleties of form surface only in the context of an expansion section. Such devices as false transitions and auxiliary tonalities are not readily a part of sonata exposition design. The juxtaposition of alternative complementary tonalities is not possible except in the first half and only in an expansion section. The composer expresses artistic genius by revealing and exploiting several tonal possibilities before achieving an ultimate goal. By investigating other tonal and motivic regions, the expansion section fulfils a dynamic role that a simple transition cannot fully accomplish. The deeper the exploration of other tonal regions, the more expressive the section becomes, and the more intense the musical affect.

The tripartite first half is indigenous to the binary sonata form. No expansion section studied in this paper occurs in the exposition of a ternary sonata form. An aesthetic conflict exists if a complete recapitulation of the expanded first half follows a lengthy development in the second half. The result would be a rather cumbersome form where any sense of development and return in the second half vanishes due to its immensity and continuity. The expansion section develops the first half while retaining the comparatively equal balance of the two halves so necessary to the form. The balance of a ternary sonata is different, and allows an expansive development section. This shifting of weight from one section to the other might account for the abandonment of the expansive binary sonata form in favour of the Classical ternary sonata style.

This thesis concludes that the keyboard sonatas of Domenico Scarlatti are, indeed, formally and stylistically in stride with contemporary norms, especially in their first halves. It is true that his style differs from his mainstream middle-European contemporaries, but the examples in this thesis show some striking similarities to his Iberian compeers. The present study does not delve into questions of Spanish and Portuguese mid-century styles, but his Iberian environment probably had some influence on his personal style, which could account for his music's striking peculiarity. A deeper study would likely show that this is only superficial, however, as his middle-European Italian heritage is still apparent in his formal processes.[130]

Historically, theories of sonata form have placed so much emphasis on the relative weight of main theme versus subordinate theme (or vice versa), and on the juxtaposition of two tonalities, that the magnitude of formal implications within the transition goes by almost unnoticed. The development of an analytical protocol that focuses on the mid-eighteenth-century sonata style within the greater sonata sphere reveals that the transition can become as important a structural unit as either of the two regions surrounding it (that is,. the opening and closing sections). In the mid-eighteenth-century style, the life of a sonata movement can thrive in the transitional process. This is an inheritance passed on to mid-century composers from their Baroque predecessors. Scarlatti and his contemporaries continue in a common vein. By proposing an analytical protocol that can be applied to the mid-eighteenth century sonata style, this thesis determines that Scarlatti does not only compose within contemporary norms, but that he uses components of style that were common and widespread at the time. This study also shows that mid-century processes define structural norms that lead to high-Classical formalisation.

Scarlatti uses common, mid-century processes and devices consistently in this isolated, Venice XIII repertoire. His contemporaries use of the same devices is often not as concise and well-defined as they are in the keyboard sonatas of Scarlatti. This assertion is a far cry from the way some scholars, such as Rosen and Kamien, dismiss Scarlatti's sonatas.[131] J.S. Bach and G.F. Handel may overshadow Scarlatti as contemporary masters whose works set the standards for the time, but Scarlatti's keyboard sonata forms are just as masterful even if they are less influential. In fact, the devices Scarlatti uses are representative of similar techniques in contemporaneous,

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[130] See Newman, *The Sonata in the Classic Era*. Newman discusses Scarlatti's Spanish style (126) and examines Scarlatti's style with respect to his contemporaries (259-85). See Zuber, Barbara, "Wilde Blumen am Zaun der Klassik: Das spanische Idiom in Domenico Scarlattis Klavier Musik," *Musik Konzepte 47: Domenico Scarlatti* (1986): 3-39. Zuber provides some insightful research concerning the influence of Spanish styles in Scarlatti's music, which opens the door to a much broader study.

[131] Please refer to pages 4 and 5 of this thesis for the points of view of Rosen and Kamien.

innovative and influential music that was widely spread by composers such as C.P.E. Bach and Haydn. Scarlatti's mastery of the keyboard sonata style holds as prominent a place in the history of sonata form as do the works of any of his great contemporaries. To what extent he may have influenced any mainstream composers is not known, but this does not detract from the fact that his works are both current and progressive. The keyboard sonatas of Scarlatti are not only representative of the music of his time, but his style parallels the developments that were being explored by mainstream contemporaries who had profound effects on the emerging high-Classical sonata form. Domenico Scarlatti is a true, stylistic master of the mid-eighteenth-century keyboard sonata form.

Domenico Scarlatti

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Special Note

Sankey, John. *John Sankey, Harpsichordist to the Internet.* http://www.geocities.com/Vienna/Studio/1714/harpsichord.html. John Sankey has recorded all 555 of Domenico Scarlatti's keyboard sonatas and has made them available as MIDI files free of charge at this site.