THE DEVELOPMENT OF THE SONATA FORM

by

Harry Pooler Rickel

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H.P.R.
"The most important, purely abstract, musical form is the Sonata Form.** Musicians judge each other by their ability to write in this form. It consists usually of four movements each written with a definite idea in mind. The first movement is intellectual, the second emotional, the third expressive of the dance, and the fourth technical.

This form did not present itself suddenly as a complete design, but was rather the result of many influences appearing over a period of more than two hundred years. Some of these influences were (1) The expressive possibilities and the idioms of instruments, (2) The growth of harmony, (3) The growth of counterpoint, (4) The development of tonality, and (5) The effect of music designs upon each other. The effect of society on emotional content is an important point which cannot be overlooked. This is shown vividly by comparing the music of Haydn and Mozart with that of Beethoven following the French Revolution.

A knowledge of the development of the Sonata, and various influences which brought it about should form an important part of the musicological background of a musician.

*Andersen, Essentials of Music Form, p. 183. (Ms.)
INTRODUCTION

Developments Which Brought About the Sonata Form

The need for greater emotional outlet in music. If the musical forms at the close of the sixteenth century were examined it would be found that at that time the vocal literature of the church was the only highly developed form in the field of music. The only music existing outside the confines of religion were the light and popular folk tunes and dances. The contrapuntal vocal music of the church was understood and appreciated by few and, in its very form, prevented that freedom of expression for which a great need was felt at this time. It was therefore necessary to create a form which was capable of adequately expressing and appealing to a broader and deeper range of human emotion. To the Italian violin school must be given the credit for sowing the germinating seed of the highest and most expressive of musical forms—the sonata form.

The Italian violin school and monophonic form. It is difficult to overestimate the importance the violin played in making the establishment of the sonata form possible. In the writing of early instrumental composition, composers naturally turned to the polyphonic form of vocal music as their model, the result being that nearly all instrumental
music was written in the polyphonic style. However, in the development of the Italian violin school the composers, who were themselves performers, soon found by practical experience that the contrapuntal forms of art, such as the canzonas and fugues, were unsuited to the violin as a solo instrument. Its resources of expression could not have led to the development of the typical solo sonata of that time if the accompaniment had been on equal terms with the solo instrument. It is naturally a single-part instrument with a singing tone. It was therefore necessary to find a form which would not depend for its interest upon contrapuntal devices, but rather upon the distribution of melodious passages supported by systematic and simple harmonic accompaniment; and so it was that they turned to the development of a monophonic style of writing, and to the establishment of the principles of harmonic form as a firm basis for writing of the sonata order.

Had the polyphonic style persisted over the homophonic style in the evolution of instrumental form, that vast collection of instrumental sonatas, concertos, quartets, overtures, and symphonies we now possess would never have come into existence for there would have been no framework in all contrapuntal forms large enough to envelop that freedom of expression and design found in the homophonically developed sonata form, on which all of these larger works are based.
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Chapter I.

EVOLUTION OF THE CYCLIC FORM OF THE SONATA

Early Cyclic Writers: Biber and Kuhnau

The earliest known sonatas were those of Turlini (1624), consisting of but one movement, written in fugue and imitation throughout, having the character of the canzona. This was not at all the form of the sonata as we think of it even in the time of J. S. Bach, but rather a fugal exposition bearing the heading "Sonata." However, it was not long before this form began to give indication of its future character as it expanded into a work of larger proportions, often consisting of three or four movements.

At first, to form an aggregate of distinct movements, composers had to take their forms where they found them, and as a result there was little connection between the movements, little unity in the work as a whole. One could not expect the contrapuntalism of the church, the dance-tunes and the rhapsodic character of the operatic-overture or prelude—all to be brought together to form a smooth concrete whole.

It is not known who first experimented in sonatas of several distinct movements. Many composers are mentioned—Farina, Cesti, Graziani, Italians; Rosenmüller among Germans,

1The canzona type of movement remained and is found in the violin sonatas of J. S. Bach, Handel, and Porpora.
and Jenkins among Englishmen. An excellent example showing the arrangement and whereabouts of the movements is the following sonata by Biber (1681).

**Sonata in C minor for violin and figured bass**

**First movement:** introductory largo of contrapuntal character with clear treatment in fugally imitative manner.

**Second movement:** a passacaglia, answering roughly to a continuous string of variations on a short well-marked period.

**Third movement:** rhapsodical movement of poco lento, presto and adagio leading into a gavotte.

**Fourth movement:** gavotte.

**Fifth movement:** rhapsodical alternating adagio and allegro. 2

The first movement was derived from the contrapuntalism of the church, the second and fourth movements from dances, and the third and fifth from operatic or dramatic declamation. It is decidedly a violin sonata showing the rapid advance made in violin technique, for the writing is elaborate and difficult. In the structure of the alternating slow and fast movements fugal influences are most apparent. There are few signs of systematic repetition of subjects in connection with well-marked distribution of keys so typical of later works of the sonata order.

A contemporary of Biber, Johann Kuhnau, made an attempt

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in his seven clavier sonatas to balance "defined and distinct subjects, and to distribute key and subject in large expanses...." In portions of several movements true characteristic groups of figures or subjects are alternated in different positions of the scale and at irregular intervals of time. The important thing is that the device lies halfway between the fugue and true sonata-form. "The alternation is like the recurrence of subject and counter-subject in the former, wandering hazily in and out" in various closely related keys. But the subjects are not presented in single parts or fugally answered. "They enter and re-enter for the most part as concrete lumps of harmony, the harmonic accompaniment of the melody being taken as part of the idea, and this is essentially a quality of sonata form."

How obscure the ideas of the time on the subject were, is shown in that in a few cases, Kuhnau showed clear outlines of tonal form. Previous to this there was little to be found in the way of definite tonalities. One aria

"....consists of twenty bars in D minor representing one distinct idea, complete with close; then sixteen bars devoted to a different subject, beginning in B♭ and passing back ultimately to D minor, recapitulating the whole of the first twenty bars in that key, and emphasizing the close by repeating the last four bars. Such decisiveness when compared with the unbalanced wandering of longer movements, either points to the conclusion that composers did not realise

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4Ibid.
the desirableness of balance in coincident
ranges of subject and key on a large scale;
or that they were only capable of feeling it
in short and easily grasped movements."5

It is possible that they were so accustomed to the distri­
bution of subject matter as it occurred in fugal movements,
that they were not on the lookout for effects which later
were so obvious in the sonata. In the development of the
sonata composers did not know where they were going and
consequently for some time had to use materials on hand in
their search for those materials more appropriate to the
new sonata form.

The Corellian School: Sonata da Chiesa and
Sonata da Camera

With the cyclic form of the sonata once begun it re­
mained for Arcangelo Corelli (1653-1713) to definitely
establish the type that was to serve composers for several
generations to come. Tartini, Vivaldi, Nardini, and men
not attached to their violins such as Albinoni and Purcell,
and later Bach, Handel and Porpora, found Corelli's type
satisfactory.

"The twenty-four Sonata da Chiesa represent
absolute music of the type of modern sonatas,
aiming at technical artistic perfection and form­
al symmetry. The twenty-four Sonata da Camera
represent the grouping of dance movements such
as became familiar later in suites, 'ordres,'
'lessons,' and in more recent times in ballet
suites."6

There are no dance movements, so-called, in the church sonatas, although many of the movements have characteristic dance rhythms. These sonatas (church) are generally comprised of four movements—a slow and dignified introduction, a solid fugal allegro, an expressive slow movement, and a lively closing allegro. The general organization is somewhat like that appearing in the modern sonata, though the style throughout is contrapuntal, there being little in the way of figured accompaniment or arpeggios representing progressions of harmony in ornamented forms. The chamber sonatas usually consisted of the same alteration of movements as was found in the more serious sonatas. The first movement was a solid prelude, the second an allemande or something similar, the third a sarabande or some other slow expressive movement, and the last a lively movement such as a gigue, courante or gavotte.

The church sonata naturally used more contrapuntal methods, since these methods were the most capable of bringing out the intellectual elements to be found in the more serious forms of art. In the chamber sonatas, Corelli wrote according to the more popular trends of the day so that in these works more than in any others is reflected the contemporary progress

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Corelli later wrote a set of twelve solo sonatas, many movements of which are more harmonic in style being based on arpeggios and like marks of departure from contrapuntal style. Slow movements show the growth of ornamentation so suitable to the violin. Corelli's ornaments are graceful and appropriate in contrast to those of the operatic composers of the time.
of his day in the field of the sonata. He undoubtedly thought
of the sonata da chiesa as representing the highest ideal of
art, the sonata da camera the light familiar aspect of art.
The latter are therefore the groups in which the

"...features of the later development of in­
strumental music are most frequently to be found;
such as the definiteness of rhythmic or tuneful
subjects, the reiteration of phrases, the use of
sequences, the devices of systematic key-arrange­
ment, and so forth, which tend to the complete
organization of every part of a movement." 8

Corelli was the first composer to show a consistent
instinct for style, one of the most important steps forward
in instrumental music. In the earlier part of the century
composers had practically no idea of how to adapt their
thoughts to the peculiarities of their instruments and so
wrote mere voice-parts for them; but Corelli finally attained
to the point of writing music which could be adequately pre­
sented only on the instrument for which it was written. He
did not aim for brilliancy but rather for solidity and digni­
ty, and depended upon rhythm and melody to give interest to
his works. And so it was that his works marked the turning­
point when for the first time instrumental music exhibited
a genuine form of its own, free from that of the contrapuntal
vocal school. As Parry says:

"Corelli's works mark the turning point
when the struggles and experiments of the century
blossomed into the maturity of genuine instru­
mental music, establishing the principle of the

grouping of contrasted movements, sometimes even venturing so far as to allow the contrast to extend to change of key. They mark the complete emancipation of instrumental music from the trammels of the vocal style, the complete perception of tonality as a basis of structure, and the attainment of the essential quality of fitness of style."9

The cyclic form of the sonata of Corelli was thus established as usually containing four movements:

1. Summons to attention.
2. Appeal to intelligence through display of design.
3. Slow movement—appeal to the emotions.
4. Finale—lively reaction after emotion.

This is the outline of the scheme, which in the main has persisted from the establishment of genuine instrumental music to the present time. Of course, however, it has been varied, and especially in the earlier days of clavier writing when the introductory slow movement was generally omitted. As the sustained singing quality and depth of tone of the piano was improved through developments, the slow movement at the beginning was gradually added until at present it is quite common. This movement has always been found in violin sonatas as it is particularly suitable to the noble singing quality of the instrument.

With the cyclic form thus established there was now

9 Parry, The Evolution of Music, p. 357.
10 Henderson, How Music Developed, p. 130.
presented the most difficult task of all— that of finding a structural-form for the first (allegro) movement in which all the principles of homophonic design— contrast of thematic material, of tonal centres, of rhythm, etc.— could be embodied to the greatest degree of completeness, and not until the last period of Beethoven's life was this highest point of sonata development attained.

State of Sonata-Allegro Form at Time of J. S. Bach

Although both the Binary and Ternary structural forms were in existence in the folk-songs and dances of the seventeenth century, the Italian instrumental writers chose the simpler of these two in the construction of their sonatas; and it will be seen that the Binary form in various stages of development continued to serve composers until the time of Haydn and Mozart when it entered a higher stage of evolution.

Composers devised a scheme in which a series of connected melodic phrases supported by simple harmonic accompaniment gave the impression of tonality. They passed from one key to another without changing the established mood of the music, by using the same subjects and figures; they then gave the

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11 The other movements making up the sonata were established, as far as structural-form was concerned, quite early in the evolution of the sonata. The slow movement was derived from the da capo aria, and the rondo and variation forms combined to suggest the shape of the last movement.
impression of relative completeness by closing in a key of contrast (dominant) to the first, thus bringing the first half to an end. The balance was made complete in the second half by resuming the subjects and melodic figures of the first section in the dominant or some other nearly related key and working back to the starting point. The second part was concluded by using the same figures as were used to conclude the first half, but in the principal key instead of the key of contrast.

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<th>B. 12</th>
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<tr>
<td>Opening matter in Tonic, modulating to Dominant, in which key this part would conclude with some well-marked cadence bars.</td>
<td>Opening matter of (A) reproduced to some extent, starting from Dominant key, the music passing eventually—after a certain amount of modulation—to Tonic key, with reproduction of cadence-bars of (A), now transposed into the Tonic.</td>
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(*See "Allegro" in Handel's Suite in F (No. 2).)

This was practically the same scheme used in dance movements of the suites, but in the sonatas this form used the subjects in a much clearer manner, giving them a much wider range, making the principal key stand out more prominently. J. S. Bach used this structural form almost exclusively throughout all his works, as did other composers of that period.

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The range of each division of the movement was gradually extended (as we shall see) making each balance the other more completely. The second half of the movement was lengthened by introducing more extensive modulations in the middle, thus introducing a new and important element of contrast. All these things had taken place by the middle of the eighteenth century.
Chapter II.

CONTINUED DEVELOPMENT OF FORM THROUGH THE MIDDLE OF THE EIGHTEENTH CENTURY

J. S. Bach, The Polyphonist

Although his violin sonatas followed the main outlines characteristic of the Corellian school, and are considered the finest of this type, Bach was not satisfied from what angle the structural form of the sonata should be attacked. He first employed the illustrated form as used by Corelli; but as he advanced in skill and his hearers in understanding, there grew the need for a more developed method and so it was that Bach introduced his only innovation in the structural development of the sonata-form when he enlarged the second half of the Binary form. This is especially noticeable in his suites and partitas where he brings the Binary form to its highest degree of variety and flexibility.

"Sometimes he takes a passage or figure from the first part and plays with it contrapuntally, sometimes he intertwines it with a new theme, sometimes he alters its curve or enriches its harmony, often he carries it easily and continuously through a chain of modulations; in every case he arouses attention, stimulates curiosity, and challenges intelligence by confronting it with some new problem of design." 13

This elaboration of the thematic material when used in a

series of modulating passages required an expansion of the form, so that the second part became longer and more diverse than the first. Therefore, the original binary scheme \( a_1-b_2 \ a_2-b_1 \) was changed to \( a_1-b_2 \ a_2-c_3-b_1 \), with \( c_3 \) representing the expansion of thematic development or the introduction of new episodes. Examination shows that the tonic key is only touched upon for a few bars at the beginning and at the end of the movement, all the rest being gathered around different tonal centres. In this lies the one weakness of this stage of the development, for there is not enough feeling of a tonic tonal centre. If \( b_1 \) at the end could be extended to some length in the original key this feeling might be established. Only one further step and the modern three-part form would be established. It was C. P. E. Bach who realized that the three-part form was possible and necessary for the requirements of the sonata at that time.

It is in the slow movements of his violin sonatas that Bach reveals one of his greatest contributions to instrumental development, for in these he unfolds a wealth of rich and complex emotional expression, which in his hands music reached for the first time. He developed the accompaniment on a concise and strongly marked figure which by repetition formed a bond of connection throughout the movement. On this he built a passionate recitative perfectly suited to the idiom of the instrument. It was on the order of the rhapsodical movements in the earlier sonatas of Biber and Kuhnau.
Had Bach had the perfected sonata-allegro form at his disposal I think it doubtful if he could ever have written \textsuperscript{14} works of the sonata order such as we find in Beethoven, for he was primarily a polyphonic writer. The texture of all his movements—even the lightest—is polyphonic. As Henderson says:

"Bach’s manner of development was almost always polyphonic, and this was hostile to the sonata method, which was radically monophonic."

Bach tried experiments with the harmonic form of the sonata order and did his utmost to master and gauge the value of the new style by copying, rearranging, rewriting, and imitating the works of other composers in the new school, and though he looked further into the future in matters of expression and harmonic combination than any composer until the nineteenth century, still the polyphonic style of writing was so much a part of him that he was not able to develop any great degree of ease in monophonic writing. So it was that he attempted little of the sonata order, but focused his attention on works of the old style—the toccatas, canzonas, fantasies, fugues, suites, partitas, and other such works—of which he provided the most perfect examples.

\textsuperscript{14} Probably the best example of the closeness of Bach’s approach to the sonata as we understand it is in the Italian Concerto for harpsichord.

\textsuperscript{15} Henderson, \textit{How Music Developed}, p. 132.
It is apparent that for some time the field of sonata writing was monopolized by violinists and writers for the violin, but with the appearance of Domenico Scarlatti we enter into an era of clavier sonata writing which in the course of a generation completely supplanted that of the violin.

And just as the violin composers had been obliged to go through a period of experimentation and adjustment, so the early clavier writers likewise for some time were chiefly engaged in experimenting with the techniques of the form and the instruments for which they wrote. Not least among these composers was Scarlatti, who laid the foundations of modern music for keyed instruments. His instinct for the requirements of his instrument was so marvelous, and his development of technique so wide and rich as compared with the early violin writers that it was amazing.

Scarlatti was greatly influenced by the simple aria as used by his father, Alessandro, in operatic works, and tried to imitate its general form and melodic fluency in his sonatas. As a result he developed a harpsichord style of much beauty. He had an astonishing mastery of the keyboard, and his knowledge of effect and contrast—the one thing that did not seem to be settled at the outset, due to the newness of harmonic as opposed to polyphonic style—was most noticeable. The harmonic principle of design came to him naturally, and his
movements were very lucid and definite in this respect. Probably the most important thing to note, in the way of development, is the definiteness of his ideas which are treated as "concrete lumps," and disposed in distinct portions of the unfugal movements.

"He was the first to attain to clear conception and treatment of a self-sufficing effective idea."16

Parry says:

"The definiteness of his musical ideas is one of the most surprising things about him. For when the development of any branch of art is in its infancy, it generally taxes all a man's powers to master the mere mechanical problems of technique and style. But Scarlatti steps out with a sort of diabolic masterfulness, and gives utterance with perfect ease to things which are unmistakable images of his characteristic personality."17

The "Exercises" (they are better known as "Sonatas") of Scarlatti do not have any connection with the fugal forms, nor do they originate in the suites. They are an innovation on the part of Scarlatti in which he tried to express his ideas in a new and modern way. His sonatas are often a string of short propositions held together by a feeling of consistency rather than by any real development. These ideas are often impressed more vividly on the mind by repeating them consecutively a number of times without alteration. Sometimes he repeats several small groups within the

repetition of larger ones, giving the appearance of the move­
ments being crowded with ideas. Again he may use his opening
bars merely to establish the character of the movement, these
bars not appearing again throughout the course of the piece.
He used with perfect success the idea of having the latter
part of each half of a movement correspond.

An excellent example of the form employed in most of
Scarlatti's works is shown in the following brief analysis
of his E minor sonata: The piece opens with eight bars con­
taining the principal subject in the key of E minor. This
modulates to the relative major in which key the first half
closes after forty-six bars, deviating very little from the
main course of the subject. The second half begins with the
opening figures of the first part and a little modulation;
then a characteristic portion of the second section of the
first half is repeated and the last thirty-four bars are re­
capitulations in E minor of the last thirty-five bars of the
first half, the three closing bars being condensed into two.
It is clear though the form he employed foreshadowed that
later taken by the classical sonata, his was nothing more
than the simple binary form already discussed.

It must be noted that this reduction of the sonata to
but one movement took away one of the most important features

18 Sometimes in the musical development of his theme he intro­
duces a new melody, different from the first. Later writers
catch at this idea and raised this second melody to an im­
portance equal to that of the first. Henderson, *How Music
Developed*, p. 131.
of the older violin sonatas, the concerto and the overture: the contrast of slow and fast movements. However, this was quickly realized and we find in the clavier works of C. P. E. Bach the grouping of several movements similar in design to those of the violin sonatas.

C. P. E. Bach, The Homophonist

As harmonic principles became more and more established in the clavier sonatas the same order in the distribution of materials was adopted as had persisted in the polyphonic style of writing; but according to the requirements of homophonic writing the passages had to be lengthened and made more definite in both melody and rhythm. This led to the expansion of the passage in the contrasting key (originally little more than a cadence) into a length similar to the passage in the principal key. It often contained a new idea which predominated throughout the key of contrast. The ideas in the keys of the first part were repeated in the second half of the movement as in the earlier form—the first idea coming in the key of contrast at the beginning of the second part, and the second in the tonic key at the end. In the second half the portion between the two subjects began to enlarge with wider ranges of modulation, and composers, realizing that the regularity and definiteness of the main divisions were too obviously making for a lack of contrast, began to use figures taken from the subjects in progressions which seemed unsystematic.
When the movement had thus been expanded the distribution of tonal centres was not good, for the restatement of the second subject in the original tonic at the end was not sufficient to give a definite feeling of the principal key. Therefore, the first as well as the second subject was repeated at the end thus making the principal key present over a longer period. It will be well to present diagrams showing these two further steps in the growth of the sonata-form:

A.  
(a) Opening theme in tonic, 
   modulating to  
(b) Second theme, often in Dominant.

B.  
(a) Opening theme starting from Dominant key; then some expansion of this, passing—after a certain amount of modulation—to  
(b) Second theme, in Tonic.

The above form led to:

(a) Opening theme in Tonic, 
   modulating to  
(b) Second theme, usually in Dominant.  

(a) Opening theme in Dominant—modulation and expansion—leading to  
(b) Second theme in Tonic.

This was the state of the sonata-form as developed by G. P. E. Bach. While this form represents the Binary type at its supreme limit, it still might be classed otherwise,

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for there remained but to remove the formal repetition of the
first subject (which obviously occurred too many times) at
the beginning of the second half, to expand the modulation
section into larger dimensions and we would have the ternary
form as used by Haydn, Mozart, and Beethoven. Thus we may
assume that C. P. E. Bach evolved the accepted three-part
form, but not completely organized—the Exposition divided
between two contrasting keys, the Development section with
wider modulations, and the Recapitulation restating the first
part in the tonic key.

Bach thus evolved a form which in its general outline
was the same as that of the later sonata. However, the first
part is not yet divided into definite subjects. The exposition
contains the contrasts of two different tonal centres
but the parts are not closely associated or evenly propor­
tioned. This section could not be divided into first subject,
transition, and second subject, for the style is too much
the same and the modulation too gradual and simple. The ab­
sence of distinct subjects from the first-movement forms of
C. P. E. Bach is not due to a mark of deficient melodic in­
vention on his part for Bach "had a remarkable gift of melody"
especially notable in his slow movements, but is rather due
to the fact that he was so preoccupied with clearing the out­
lines of his form and trying to develop a true pianistic style
that he gave little thought to the expressive possibilities
in this form. As he came to the end of his ninety sonatas
he began to more firmly differentiate the themes in the first-movement form, but by that time Haydn had completely overshadowed him. His treatment of the Development section was quite simple and rudimentary and it is in this section more than any other that his striving for pianistic style is most apparent.

The lines laid down for the construction of the first movement have already been discussed. Bach occasionally attached an adagio introduction to the exposition derived from the French overture of Lully. The adagio or andante was in some nearly related key and for this movement he selected his plan from some familiar types of the day such as the fugato, the old Binary form or the da capo aria. As stated before, it was in these movements that his ability in the invention of melodic phrases was most apparent for here he was aiming at true expressive beauty. In the finale the use of the extended dance-form or a looser version of the first-movement form was often used.

With the number and disposition of the movements more or less fixed and the first-movement form well outlined, the next great need, if the sonata order was to survive, was for a technique of expression to come into existence. As Ferguson says:

20 This later developed into the sonata-rondo form.
"Out of a similar futility of instrumental music it was necessary for a similar reality of expressive meaning to be suggested, if the new sonata-form was to survive. Not the rejection of the new form, but the discovery of a clearer, more significant thematic substance in which that form might be embodied, was the real need. And it was the imaginative genius of Haydn and Mozart which, in the next period of the sonata's history, supplied that clarity."21

21 Ferguson, History of Musical Thought, p. 269.
Chapter III.

DEFINITE ESTABLISHMENT OF THE SONATA-ALLEGRO FORM

Contributions of Haydn

Before the time of Haydn and Mozart there were only two branches of the instrumental field in which outstanding and mature work of the harmonic order had been accomplished—in the violin sonatas, chiefly those of the Italian violinists, and the clavier sonatas. The range of the movements was very small, without much development, and the ideas were rather indefinite. But by the close of these two great composers' careers instrumental music had branched out into a number of distinct and complete forms such as symphonies, concertos, quartets, trios, and sonatas for violin and clavier. The style suitable to each form had been quite definitely fixed and the schemes of design perfectly organized.

By the time Haydn began writing to any great extent the sonata-form had become quite popular, not only with composers but with the public as well. The musical content was easy to follow and contained a great deal of variety of interest. The subject-matter, however, as was shown in C. P. E. Bach, still consisted mostly of figurations characteristic of the instruments used, rather than expressive in any way. Thus the next stage in the development of the homophonic form of the sonata was that of replacing these stereotyped phrases,
which lay naturally under the fingers of the performer, by themes more imaginative and expressive, and by technical passages which in themselves were also truly expressive in character. This enlarged and more developed first-movement form also called for a closer relation between the principal subjects, and for more emphasis to be placed on the importance of the transitional passages between subjects. To a certain degree the attainment of these next difficult steps may be attributed to Haydn and Mozart. As Ferguson says:

"The perfunctory filling-in of the formal outline was possible at a moment’s notice; but the achievement of that subtle balance and perfection in the design and relation of subjects and transitions which would give an impression of continuous interest was a problem which only genius could solve. None but men of the stamp of Mozart and Haydn were equal to such a task."22

It was not until the later works of Haydn that any marked change was noticeable in the form, and a great deal of this change was undoubtedly due to his association in later years with Mozart. Changes first took place in the symphonic form in which the first-movement form was given a more definite second subject, although this subject can still hardly be called little more than a subtheme. It is usually of secondary importance and is seldom foreshadowed.

22Ferguson, History of Musical Thought, p. 270

23Both Haydn and Mozart often let the second subject start out with the same melody as the first thus contrasting the two main sections of the exposition in key only. This is particularly true of their early works.
Even in several of his later works such as the "Military" symphony, the only real second subject comes in place of the usual closing theme at the end of the exposition. The transition between these two subjects comes into closer association through its use of material taken from the principal subject, and the development is expanded and intensified. Following the recapitulation a coda is now added, giving a more satisfactory feeling of completion, though it does not assume the connection or proportion it later attained with Beethoven. The general outline of the form was then as follows:

A. 
First theme in Tonic—
Second theme in Dominant

B. 
Development of ideas in other keys.

A² 24
First theme in Tonic—
Second theme in Tonic

This diagram represents the evolution of sonata-form in its final stage of development as far as its structural outlines are concerned, but it will be seen how after this point had been reached its internal form was greatly expanded through the genius of Beethoven. A comparison of this diagram with that of the Binary form on page 18 will reveal the disappearance of the first theme from the opening of part two. The modulatory expansion of the main ideas in the second part became so important that it took the form of a separate section, thus establishing the fully-developed

24 MacPherson, Form in Music, p. 252.
Ternary form. It is then apparent that the latter was the result of the stretching or expansion of that of the former, and from the time of Haydn, Mozart, and Beethoven until the present day the three-part canto with its greater possibilities of variety and development has taken the place of the old Binary form.

The slow movement of the symphonies, in the earlier works written in the sonata-allegro form, was changed to the da capo form of the operatic aria, giving greater possibilities for lyrical writing. A new movement was added by Haydn in the later symphonies when he included a minuet in the series of cyclic movements. The closing finale, in the earlier symphonies always written in sonata-allegro form, was later changed to a rondo approximating that of the first-movement form although much lighter in every respect. His continuous use of the string quartet as the favorite instrumental group for the divertimento led Haydn to finally see the possibilities of an expansion of its more important movements into the sonata. The second subject found in the sonata-allegro of his sonatas was added only after it had been used for some time in the quartets. Likewise the minuet was transplanted from the quartets to the sonatas, thus forming an excellent bridge between the emotional slow movement and the joyful finale.
Contributions of Mozart

Mozart was not interested, as was Haydn, in the matter of structure. He mastered the different forms such as the fugue and sonata as they then existed and was not so much interested in trying to develop further the structural form as he was interested in trying to further expand the internal form itself. The Oxford History says:

"Mozart found the established form sufficient for his needs, and set himself to fill it with a most varied content of melodic invention.... He cared nothing that his construction ran along familiar lines; indeed he was writing for a generation which could not have followed a more recondite scheme; he attains his end by taste, by imagination, by warmth of colour, and above all by that wonderful sanity and lucidity of style for which among all composers he stands preeminent."25

At the same time that he was expanding the internal form of the sonata-allegro movement, Mozart was also knitting its constituent parts into a more unified whole than had ever before existed. The exposition was richer in melodic invention than Haydn's, the second subject being elevated to a position of importance relative to that of the first. Whereas the first theme was usually quite vigorous, the second by way of contrast was usually quite melodious, consisting of several closely knit sections. The principal subject was designed on a larger and more sharply defined scale,

often by expanding the opening phrases and following this with a literal repetition of the beginning. By so doing the transitional passage became more obviously different from the principal subject and it was possible to use more subsidiary thematic fragments than would have been possible had the principal subject merely continued to the beginning of the second subject. The first subject thus expanded it was necessary to do likewise with the second, of course by contrasting means. But obtaining the proper degree of contrast to be striking and at the same time not overbalancing the principal subject was a feat which only rare genius could accomplish. The second subject, as mentioned before, usually consisted of a thematic group with the closing subject referring back to the principal subject, rounding out the exposition and making its repetition easier.

Such an expanded exposition full of thematic matter gave endless opportunities for a large development full of intense dramatic interest. (We will see this especially true in the case of Beethoven's sonatas, many of which are highly dramatic in their entire structure.) The recapitulation was no longer a mere restatement of the main part of the exposition but also included a coda at the end in which there were still further possibilities of development of thematic material, usually taken from the first subject.

It must not be thought that the expansion of form at this time was in any way comparable to that of Beethoven
or Brahms; nor did the thematic or expressive element aspire to anything like the point of development attained by the above-mentioned composers. However, the advance made by C. P. E. Bach, Haydn, and Mozart along these lines was remarkable when compared with the works of earlier composers.

The forms of the sonata, symphony, concerto, and quartet were by the year 1780 as completely organized as the time permitted. The general scheme as developed by C. P. E. Bach, Haydn, and Mozart seemed adequate, and no further development was necessary until the need of a greater emotional content forced the form to expand still further. As Parry says:

"...if the world could be satisfied with the ideal of perfectly organized simplicity, without any great force of expression, instrumental art might well have stopped at the point to which they brought it."26

Chapter IV.

BEETHOVEN AND THE SONATA-ALLEGRO FORM

The Exposition

In the opening part or the exposition of the sonata-allegro form is always found the principal thematic material of the entire movement, consisting, as was found in the works of Haydn and Mozart, of two subjects contrasted in style and key. The First Subject is nearly always found to be in the Tonic key and usually consists of strongly marked and definite rhythmic and harmonic characteristics, thus presenting an effective idea for future use in the development section as well as a theme which will easily be remembered by the listener. The opening subject is, therefore, usually lacking in melodic interest which partly accounts for its being shorter than that which follows. It contains one and sometimes two sentences which may be extended beyond the regular eight-bar formation; it usually ends with a full or half-cadence in the key of the tonic. In Beethoven's sonata, Opus 10, No. 2, the opening subject closes with a full cadence in the tonic key, the usual procedure. The tendency later was to make the first subject

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27 The opening movement of Beethoven's piano Sonata, Opus 101, is an exception to this rule, the Tonic key not being entered until the recapitulation.
dissolve into the transition, making for a continuous flow of the movement and thus eliminating the feeling of let-down.

It is seldom that the first subject modulates beyond the nearly related keys. However, Beethoven in the Waldstein Sonata (C major) introduces a sequential repetition of the opening phrase a tone lower, in B flat. Again, in the Appassionata Sonata (F minor) the same process is repeated, the transposition taking place a semitone higher.

The transitional passages between subjects offer us one of Beethoven's greatest contributions to the sonata-form. Until his time the bridge-passage was considered as little more than a filling-in and merely consisted of scale-passages and broken-chord figures. It was an excellent means of keeping the listener informed as to his whereabouts in the movement. But with Beethoven the transition takes on a new meaning and in this passage is seen one of the answers to the question as to how Beethoven attained such marvelous coherency within each movement, as well as between successive movements. In his hands it became organic, inevitable within the scheme, and was the natural outcome of that which had gone before. With the object of greater continuity always in mind Beethoven usually developed his transitional passages in such a way that there was a gradual obliteration of the key and feeling of the first theme leading smoothly into the second subject without any noticeable break. With Beethoven this passage sometimes consisted of entirely new matter, and sometimes was founded on some figure or figures of the
first subject, or again was made up of a combination of both. Passages composed of new material are found in the first movement of the following sonatas: Opus 28; Opus 31, No. 2; Opus 78; and Opus 90. Transitions as the outcome of the first subject are found in sonatas Opus 2, No. 1; Opus 27, No. 2 (last movement); Opus 53; and Opus 57. As before mentioned, frequently a combination of these two methods is employed in which the transition is formed "partly of new matter, and partly of an expansion of the idea of the First Subject." An example of this is found in Sonata in E flat, Opus 31, No. 3.

The second subject is constructed usually of thematic material entirely different from that of the first subject, but at the same time the contrast must not be so great as to disturb the continuity of the movement. This subject should be more like a continuation of the line of thought of the beginning. Being considerably longer than the first, the second subject often consists of three, four, or even more sections, each containing some entirely new thought. The most interesting point of discussion with regard to this part lies in Beethoven's choice of key. Until his time those chosen were almost without exception, the dominant, if

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28 MacPherson, Form in Music, p. 127.

29 With Haydn and Mozart the first part of the second subject often consisted of a transposition of the first subject, slightly altered, into the dominant key. MacPherson, Form in Music, p. 139.
the principal key were in major; or the relative major, if
the principal key were in minor. Prout says:

"The great innovation made by Beethoven
in the sonata form was the introduction of the
second subject in a major movement in a key
which was in the second, instead of in the first
degree of relationship to the tonic."\(^{30}\)

Beethoven never uses any of these keys of second relationship without some definite aim or purpose. He invariably makes his choice of key for the second subject from the dominant side of the tonic. This choice is undoubtedly due to the emotional effect of modulations. At this point in the movement Beethoven did not wish to create that feeling of let-down which would have been the result had he chosen a key from the subdominant side, but rather wished to create a feeling of intensification and so turned to the sharp side of the tonic for his choice. However, one twentieth century explanation of Beethoven's choice would be as follows: Every major key is derived from a key containing one more flat than itself, whereas keys containing more sharps are generated from the tonic. If a modulation were made into a key containing more flats than the original key then the original tonic would immediately take a subordinate position as a derived key. Therefore, Beethoven never begins a second subject in the subdominant or flat submediant keys.


\(^{31}\)An exception is found in the B flat quartet, Opus 130, in which the second subject is in G flat major.
but always goes to the sharp side of the tonic for his choice of key.

The mediant key is used in several instances for the second subject as in the first movement of Sonatas, Opus 31, No. 1, and Opus 53, both working into the mediant minor and ending in that key. Sometimes the mediant minor (relative minor of the dominant) is used for the entire second subject, but never does Beethoven use the flat mediant. Likewise, the submediant is found as the key of the second subject as in the Hammerklavier Sonata, Opus 106, in which this part is in the key of G major. In sonatas of the minor mode the dominant minor or relative major keys are used, but here again we find Beethoven making another innovation when in the first movement of the Kreutzer Sonata in A minor he begins the second subject in the key of the dominant major. This example is the only one found in Beethoven, but similar examples are found in later composers such as Schubert and Brahms.

While in earlier works the second subject was usually written in one key throughout, in later works of Beethoven it will be found that this part often ends in a key different from that in which it began. In many cases the second subject begins in the usual key but with the mode changed from major to minor, in which case the first section is usually a free modulation. Examples will be found in Sonatas, Opus 2, No. 2, and 3. In the Sonata Pathetique the second subject has a preliminary modulating section beginning in
E flat minor. In the sonata Opus 28 in D major the second subject begins in the relative minor (F sharp minor) of the dominant, A major, which is later established. Again in Sonata, Opus 10, No. 3, also in D major, the second subject is begun in the relative minor (B minor) of the tonic key, gradually modulates into F sharp minor, the relative minor of the dominant, and finally reaches the dominant A major itself. This method of presenting the second subject in some other than its principal key is, with the one exception quoted above in the Sonata, Opus 13, found only in movements written in major keys. Occasionally the second subject in a minor key ends in the minor mode after beginning in the major as in the first movement of Sonata, Opus 57, in which the second subject, beginning in A flat major, modulates to A flat minor in which key the subject closes.

With the exposition thus completed it was customary in earlier sonatas to repeat this entire first part of the movement, repetition being necessitated by the unfamiliarity of the form and the inability of the listeners to grasp the themes on their initial appearance. Even in the works of Beethoven this repetition is found where he wishes to stress the importance of the design of a movement. In such cases there is usually a short transition suggesting and leading back to the first subject. However, because the great majority of the movements of his last years were of an extremely emotional type, the repeat was invariably dropped, thus
not hindering or breaking the continuous flow of ever rising emotional feeling from the exposition into the development section.

The Development

It is in this, the development section, that the imaginative powers of the composer are allowed their fullest sway, and it is at this point that many writers such as Schubert and Liszt have quite noticeably failed. Among all composers Beethoven stands foremost in his use of this section and it is here that his supremacy as an instrumental composer shows itself most conspicuously. MacPherson says:

"...of all composers, perhaps Beethoven has exhibited the greatest ingenuity and fertility of resource in this direction. The truly amazing way in which some obscure and apparently unimportant little group of two or three notes ...is made the basis of almost the whole fabric of the Development is one of the most striking evidences of the intellectual grip and extraordinary concentration of purpose that are so characteristic of the great master."32

His ideas, ever presented in a new manner, are always well connected, each growing naturally out of the preceding, and leading naturally into what follows.

The purpose of the development section with its freedom of form and limitless possibilities, is to offer relief from the formality of the exposition and to make a contrast between

32MacPherson, Form in Music, p. 147.
the material appearing in the exposition and the appearance in the development by presenting it in new ways. The possibilities of thematic development as shown by Beethoven are so limitless that only a few can be mentioned. The material chosen from the exposition for development depends entirely upon its suitability and it will be found that continuous melodies of a lyrical nature are seldom employed, but rather those subjects which are short and formed upon some easily recognizable rhythmic figure. In the development section of the first movement of the Pastoral Symphony we find the free fantasie developed almost entirely from two or three motives of the first subject. The same section of the Sonata in E flat, Opus 7, is composed of three fragments taken from the exposition as a whole rather than from the first subject only, these are namely—the opening of the first subject, the beginning of the bridge passage, and the beginning of the last section of the second subject. The opening of the first subject assumes a new character here through harmonic changes. One of the striking characteristics of Beethoven's developments is found in the free fantasie of the first movement of the Waldstein Sonata in which in the later course of development the second section of the second subject is used. In this Beethoven uses first a four-bar phrase, then the second

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33 This undoubtedly accounts in the main for the fact that (in the majority of cases) the first subject of the exposition is used as the germ of the development section, because of the manner in which it is built. (See p. 29.)
half of it, and finally only its final bar, developing these portions in turn. This breaking up of the subject into small bits is typical of Beethoven. Sometimes the developments are contrapuntal in style, as is found in his later Sonatas of Opus 106 and Opus 111. The free fantasia of the closing movement of Sonata, Opus 101, consists of a fugato.

The developments mentioned above have all been entirely founded upon the material of the exposition. However, there is often introduced into the course of the development episodical matter which in some instances takes up the entire second part. In all cases, however, this new material must be in keeping with the character of the movement. It may be introduced as a counterpoint against the principal theme of the movement, or as more frequently is the case, may be entirely independent of the exposition. Such is the case with the episodes in the first movement of the Eroica Symphony. The Sonata, Opus 14, No. 1, in E major contains a development in which the greater portion consists of episodical matter. When this matter is employed it is not uncommon to find considerable use made of the episodes in the codas closing such movements; and just as it is not uncommon to find episodical material in the coda, so it is not uncommon to find the slow introduction of sonatas beginning with such, used at the beginning or in the course of the free fantasia. In the Sonata, Opus 13, the opening bars of the Grave are used again at the end of the exposition, modulating into the key of E minor.
in which the development begins. The fourth and fifth measures of this part are a modified version of the first measure of the introduction. An extremely interesting example is the first-movement form of Sonata, Opus 2, No. 1, in F minor, in which the development section consists of a three-part song form. It is founded entirely upon episodical material.

In closing, something should be said with regard to the keys used in the course of the development section. The principal keys of the exposition, the tonic of the entire movement and key of the second subject, rarely appear, except transitionally, in the free fantasie. However, it often happens that this part begins in the key in which the exposition ends, but as soon as that key is left and modulation begins it does not reappear. This prevents that monotony of tonality which would persist were the two principal keys of the exposition to be used in this section. With care being taken as to its use, any other key was employed in the course of this part. Beethoven never stays long in a new key, thus preventing the establishment of any new tonality in the listener’s mind; never does he employ the subdominant in the latter part of the free fantasie, for this key in leading back to the recapitulation is liable to make the original tonic of the movement appear to be dominant rather than tonic in quality. In almost all instances the return to the tonic is made from a key on its sharp side with the close taking place on the dominant or dominant seventh chord. In the
Sonata, Opus 10, No. 1, Beethoven returns to the first subject through the leading tone diminished seventh, and again in other instances he makes the return to the first subject in a major key through the dominant of a nearly related minor key. However, such instances rarely occur and it is the first mentioned method which is most commonly found. The return to the first subject (first movement) of the Waldstein Sonata gives an excellent illustration of the interesting manner in which Beethoven made use of this dominant progression. The last fourteen bars are in the dominant and are devoid of theme. They are a preparation for the return to the first subject of the exposition. During four bars the right and left hands alternate a roll in G major, the roll finally being restricted to the left hand, above which is heard rising short runs in three 2-bar groups. A fourth group of short runs reaches the highest point on the seventh of the dominant chord which is followed by two bars in contrary motion leading into the main theme.

The Recapitulation

The recapitulation may be defined as the return to the beginning following the development of a portion of the ideas contained in the exposition, a return in which the material of the first part is more or less modified. In many cases this modification consists only in the transposition of the second subject from the secondary key of the first part into the tonic, with a slight change taking place in the transitional passage. Again, as will be seen, many variations may take place within the re-statement.
In a regularly constructed recapitulation the first subject reappears, following the development section, in the tonic key and in most instances will be found to remain in its original form with little alteration other than possibly ornamentation in a small degree, as in Beethoven's Sonata, Opus 28. Such is the case with the majority of re-statements. However, in some instances there is considerable abridgement of the first subject as in Sonata, Opus 101, in which only the first sentence of the subject appears in the recapitulation. On the other hand, in Sonata, Opus 10, No. 2, in F, the first subject is extended in the recapitulation. It first appears in full form in the submediant key followed by the recurrence of its last eight bars in the tonic key of F major. It is seldom, however, that the first subject begins in a key different from that in which it ends.

In the majority of cases the transitional passage of the recapitulation uses the same material as that of the exposition. It is often shortened and its modulation is varied according to the key in which the second subject is to begin, usually ending on the dominant of that key, which in most instances is the principal key of the movement. In the last movement of Sonata, Opus 27, No. 2, the transitional passage is entirely omitted, the second subject immediately following the first. Beethoven's use of the transition is indeed remarkable for it completely conceals the division of subjects, parts, and in some instances even movements,
making one merge smoothly into the other and thus tending toward perfect continuity within movements and between move­
ments themselves. In his hands this passage became an inte­
gral part of a movement closely allied with what preceded and followed its appearance.

The alteration of the second subject in the last part of the movement is much more frequent than that of the first. Sometimes the outline remains the same, but the details are changed. A great deal of variation is found in the re­statement of the second subject in the F major Sonata, Opus 10, No. 2. If this subject is written in the dominant in the exposition of a major movement, it will always occur in the tonic key in its return in the last part. However, if in the first part it appeared in some other key, its return may be irregular. With regard to the "Waldstein," MacPherson says:

"The second subject, first heard in E major (the Mediant) recurs in A major, work­
ing back by means of a beautiful modulatory 'glimpse' of A minor to C major, in which key the rest of the theme proceeds." 34

The last part of the subject written in E minor in the expo­
sition, is repeated in C minor, the major key not returning until the coda. In another instance of the mediant being used for the second subject in the exposition (Sonata, Op. 51, No. 1), its recurrence is found in the submediant major

34MacPherson, Form in Music, p. 161.
which is then followed by its appearance in the tonic key.

When in the exposition the different sections of the second subject are not in the same key, their relation to each other in the recapitulation will be the same as took place in the first part. In the Sonata, Opus 28, in D major, the second subject begins in F sharp minor and goes to A major; in the re-statement the keys used are B minor and D major. Likewise in the Sonata, Opus 10, No. 3, also in D major, the second subject begins in B minor, the supertonic minor of the dominant, and then modulates to A major. In the re-statement the second subject begins in E minor, the supertonic of the tonic D, later modulating to the tonic key of the movement.

When a movement written in minor has its second subject in the dominant minor, such as is found in Sonatas, Opus 27, No. 2, and Opus 90 in E minor, its recurrence in the recapitulation will be in the tonic key. More often the second subject of the exposition is found in the relative major in which case the earlier writers usually transposed it into the tonic minor. But this modulation was not satisfactory as it required changes in both the melody and harmony. Therefore Beethoven (in his later works) and others wrote the second subject of the recapitulation in the tonic major.

35 The tonal relation of the two appearances of the second subject (in mediant and submediant keys) is the same as if the keys had been, as usual, dominant and tonic. Prout, Applied Form, p. 185.
key, in which key the movement closed unless a coda again brought back the tonic minor. If, as in the Appassionata Sonata, the second subject is in two keys, this relationship will usually persist in the recapitulation. In the Opus 57 Sonata the second subject begins in A flat major and ends in A flat minor so that in the re-statement it is presented in F major and F minor, respectively.

The Coda

In the further expansion of the sonata-allegro form through the addition of the coda, Beethoven has given one of his greatest contributions. The coda as found in the first-movement form of sonatas, symphonies or chamber-music differs from the variation and rondo forms in that it usually assumes greater significance and is more elaborate. Its purposes are:

"To round off the form, by taking up any loose thematic ends that may seem to be unfinished; to establish more perfect balance in the proportions of the Divisions; possibly—though rarely—to create an additional climax, or to provide a brilliant finish. Its most natural and general artistic object is, however, to converge the whole design into the tonic, and to establish and confirm the latter, as ultimate aim; hence the very common, and usually very marked, inclination into the subdominant keys."37

36 There are examples of the second subject beginning in the subdominant major and gradually modulating back into the tonic minor.

37 Goetschius, The Larger Forms of Musical Composition, p. 178.
In many instances the coda contains at the most five or six bars, mainly serving to emphasize the tonic key. The coda of Sonata, Opus 2, No. 1, is six bars in length being simply an extension of the final codetta. Again in Sonata, Opus 10, No. 1, the coda of the first movement is nothing more than two cadence-chords added to the final codetta. However, this simple type of coda is often quite long as in Sonata, Opus 31, No. 1, in which the coda (46 measures) is derived wholly from the principal subject. It begins like the development section but is really nothing more than an exposition of the dominant and tonic chords.

A characteristic feature of codas in all forms is that they consist (in the majority of cases) of a number of successive sections, the character and extent of which depends upon the movement in which the coda occurs. Therefore, in the sonata-allegro form the coda is indefinite and free with regard to structural form. This freedom of form gives an important contrasting element to the otherwise systematic structure of the movement, and offers an opportunity for the coda to assume the proportions and character of a second development section. In Sonata, Opus 7, the coda of the first movement consists of fifty measures containing four sections using successively the second subject, the last codetta, and the first part of the principal subject. Again

Codas assuming the proportions of the development section are more often to be found in the broader sonata-allegro forms as found in symphonies and chamber-music.
in Sonata, Opus 81, the coda is as long as the rest of the movement. It is made up of five sections (98 bars); the first one begins in like manner to the development but is a restatement of the first part of the principal subject in related keys. The other four sections are partly polyphonic treatment of the basic motive of the introduction. Another similar example may be found in the coda of the first movement of Sonata, Opus 53.

This discussion should give to some extent an idea of the great wealth of constructive material to be found within the flexible framework of the sonata-allegro form, a form offering limitless possibilities to the imaginative and creative mind, and which in the hands of Beethoven, reached its highest state of perfection in the expression of the deepest and noblest thoughts of mankind.

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39 See Footnote on page 51.
Chapter V.

THE THIRTY-TWO--
THE TRUE REVELATION OF BEETHOVEN'S DEVELOPMENT

First Period

Beginning to write at a time, just following the French Revolution, when the very principles he believed in—liberty, equality, and fraternity—were being stressed, when that system of patronage so noticeable with Haydn and Mozart was being overthrown, Beethoven was free (as few composers up to this time had been) to try and express his own ideals in terms of music. It was therefore natural that he should turn to the sonata form for the means of conveying these firm convictions and beliefs, for nowhere was there another form offering such wide possibilities of expression. However, this was not the only reason for the great preponderance of compositions of the sonata type in his works. Beethoven had to make use of a form whose principles were fully understood by the public if he wished to put into practice the many possibilities he foresaw, and he was indeed fortunate that the sonata form was so familiar and had been so perfectly organized.

Beethoven's music has been divided into three styles—the earliest works showing the influence of Haydn and Mozart; a transition containing the "Kreutzer" sonata and the
"Eroica" symphony; the second period showing the first works of the mature type such as the "Waldstein" and "Appassionata" sonatas, and the fifth and seventh symphonies; and the third period containing the ninth symphony and last five piano sonatas and quartets, depicting the sorrow and bitterness of Beethoven's unhappy last years.

Beethoven learned a great deal from the sonatas of Clementi, Haydn, and Mozart, and followed them in his first works which contain many of their features both in form and theme. But even in the earliest of his sonatas (Opus 2, No. 40 in F minor) there is apparent a new personality. As Behrend says:

"...we hear in them at the very outset the voice of a new and independent personality, which increases with astonishing speed in each new opus and develops more and more as it forgets its original source in a greater and greater degree and creates its own form."41

During the first and the second periods the sonata form was expanded into a far greater design than was found in the works of Haydn and Mozart. The piano sonatas many of them assumed as large a scale as the quartets of the above-mentioned composers. They were large, lacking the daintiness found in

40 An excellent discussion of the opening subject of this sonata as compared with the same theme treated in Mozart's G Minor Symphony is given in Parry's The Evolution of Music, p. 338, in commenting on design in music. This same theme is again used by Beethoven in the Scherzo of his C Minor Symphony.
41 Behrend, Beethoven's Pianoforte Sonatas, p. 22.
Mozart, but compensating for this lack in their breadth and dignity. The number of movements (at this time usually four) was determined by the character of the work. The "repeats" always found in earlier works gradually disappeared entirely. In sonatas stressing design the repeats were often found, but in those movements strongly emotional and expressive, these signs were omitted entirely. With Beethoven the whole scheme of key-distribution was made free and he chose any tonal centre giving the required contrast and antithesis. Beethoven was too much concerned with the development of musical construction and expression to let existing conventionalities prevent his continued progress toward perfection.

In the very first catalogued Sonata (Opus 2, No. 1), Beethoven surpassed Haydn and Mozart by placing the greatest climatic point in the final movement. The closing part of the latter composers' sonatas was usually written in a lighter mood, the point of highest interest being in some other portion of the work. But in this early opus number, as in most of the succeeding ones, Beethoven saved his force for the final movement making everything converge toward that point, thus giving a weighty and extremely effective close to the work as well as making this the obvious climax of the

42 The great episodical theme found in the finale of this sonata contains a figure from the second subject of Mozart's piano sonata in D major. Oxford History of Music, Vol. V, p. 275.
whole sonata. Even in such an early work as this it is apparent that the coherence of design was not an evidence of conformity to tradition, but the outgrowth of the idea contained in the work itself. This sonata is quite remote from the other two of the same opus "in its introspective and personal intensity." The latter two sonatas of Opus 2 were written more with the idea in mind of trying to gain the approval of the aristocracy of Vienna, for Beethoven was in dire need of financial help at this time. As a result their texture is quite gay, with a brilliance and variety in harmonies, subjects, and pianistic style. The third sonata in C major contains the first real scherzo (with coda) in the series of thirty-two sonatas in which the character is quite distinguishable from the Haydn-Mozartian minuet movement.

The first sonata-allegro movements of the three sonatas contained in Opus 2 are written in the established manner with little or no additions; but in the next work, that of Opus 7 in E flat, there came about a marked change. The development section of the rather comprehensive first movement is shorter than it would seem to warrant. However, this was done to make room for the coda, the first of the broadly planned type so typical of Beethoven. These great codas are really nothing more than a second development section, and such is that of this sonata in which the second subject, not previously used in the modulatory part, is employed. The coda originated in the time of Haydn through the need of a
more satisfactory closing for movements in which the second half was formally repeated. However, its use by Haydn and Mozart was infrequent and is seldom of great structural importance, but with Beethoven its use was habitual and often aspired to such proportions that it was no longer an epilogue but an entire section in itself. In the "Eroica" symphony the coda is almost as long as the recapitulation; in the "Adieu" sonata it is longer than the rest of the movement; while in the "Appassionata" it uses a new theme which is the most penetrating of the whole movement. These large codas show Beethoven's growing dissatisfaction with the limits of the established sonata form.

The following three sonatas of Opus 10 offer nothing new in the way of form. In the first work of this group the slow movement, as in the F minor Sonata, Opus 2, is written in the abridged sonata-form. In the Sonata, Opus 13, is revealed for the first time the revolutionary Beethoven. The Grave introduction, the first in the series, is the finest that had yet been written both with respect to its arresting intensity and orchestral coloring. This prologue, derived from the old French Overture, was similar to the coda in that when it came into Beethoven's hands it bore very little organic relation to the music that followed. As a rule it was detached and separate serving as an announcement, preparing

43The abridged-sonata is that in which there is no development section, the exposition proceeding directly into the recapitulation.
or emphasizing by contrast the character or tonality of the movement to follow. With Beethoven the introduction became very flexible and its function was determined by the character of the main portion of the movement itself; in all cases it became an integral part of the movement. In the "Pathétique" the introduction reappears twice within the Allegro di molto e con brio, making for greater unity within the movement. Greater unity within the sonata as a whole is here partly attained for the first time. In the Finale the leading subject is quite similar to the second of the first movement. This work is tragic and full of tragic passion, and yet Tovey says:

"In actual depth of idea, and even in pathos, this sonata does not surpass, if it equals, Mozart's in the same key; and the pathos of Beethoven's finale is mingled with a humour which is certainly not so nearly akin to tragedy as Mozart's C minor finale."45

By the year 1800 with his position as an artist firmly established Beethoven felt he now had the power to achieve greater things and so turned from the small aristocratic circle to the larger concert-room, and in so doing wrote sonatas, symphonies, and piano concertos in a larger scale than before. In subject matter and construction these works

44In the "Les Adieux" Sonata, Opus 81, the first figure of the introduction is not only the basis of the second subject, but is the most prominent feature in the development section and coda, thus bringing about a marvelous unity within the movement as a whole.

45Tovey, A Companion to Beethoven's Pianoforte Sonatas, p. 68.
were written with the idea of winning the respect and understanding of the whole of musical Vienna. However, not all the sonatas or similar works are written in this idiom. There are those revealing the true inner Beethoven, intimate sonatas written not for the concert-room but for Beethoven's own satisfaction, works in which Beethoven pours his soul out in intimate confidence. At times he apparently felt the need of turning away from the concert-room, secluding himself, and it was at such times that these intimate sonatas came into being. (Works of this order will chiefly be noted in his last period.) Among those sonatas written in the concert style may be listed Opus 22 in B flat major, Opus 26 in A flat major, Opus 31, No. 2 in D minor, Opus 53 in C major, Opus 57 in F minor, and Opus 81 in E flat. With this last opus, the "Lebewohl" sonata, the piano ceased to be used as a concert instrument and the works from then on fall in the contrasting type. The sonatas of the latter type include Opus 27, No. 1 in E flat major, Opus 31, No. 3 in E flat major, Opus 54 in F major, Opus 78 in F sharp major, and Opus 90, with which the second period closes.

**Second Period**

The entire second period might be termed under the heading "declamative." Beethoven had absolute confidence and self-assurance that all he was doing was right. His music teems with this feeling. He reached great depths but there
is nothing which is not externally quite apparent, and few are the suggestions of his later prophetic writing. The sonata-form was expanded, but its main outlines were little changed. Beginning with the "Eroica" symphony his subject-matter was so conceived that its phrases or figures were capable of endless development and it was through this development that his innovations were accomplished. His harmonic texture remained about the same as during the first period, there being few new chords or harmonic progressions. He sometimes jumped from one key to another without any modulation, as in the opening of the Waldstein sonata; in the development section of the first movement of this same work he used large masses of harmony without much notice as to thematic line. His greatest resources at this time, however, were to be found in his thematic materials, which were, as Parry says, "of another age and generation," and also in his unrivaled rhythmic vitality. In regard to structure, this period was merely an expansion of that which had been assimilated in the earlier period, the only innovation being that of the scherzo which was substituted for the minuet used by Haydn and Mozart. (The scherzo will shortly be discussed.)

The three sonatas of Opus 31 with which the second period opens, as well as the two preceding "Fantasia" sonatas, are very unusual in form and show the beginning of Beethoven's disposition to make the form subservient to the idea. This emphasis on the idea becomes more apparent in each successive
work until in the last five sonatas, and particularly the quartets, the culmination of his efforts is found in the perfect union of form and thought. In the third sonata of this opus (E flat major), in which there is no slow movement, we come to the first really great scherzo in Beethoven's sonatas, written in sonata-form with coda. The structure of the omitted slow movement is employed in this movement while its character is used in the minuet following the scherzo. The traditional triple time is abandoned and the common two-four signature employed. The whole movement is a masterpiece of technique, invention, and humor.

The scherzo had become one of the most important types of movement for presenting expressions differing from those which are sentimental, expressions defined in terms of vigorous motion rather than of lyricism. In the scherzo the rhythmic element of music is more apparent than in any other movement. Beethoven made the scherzo the most free of all the movements in the sonata cycle. As is noted above, he did not restrict it to the characteristic triple time of the minuet, but used any meter appropriate to the particular situation involved. He completely did away with that systematic order so characteristic of works of harmonic design so that the plan of such movements is often very difficult to ascertain. His vivid imagination and keen insight are most noticeable in this type of movement. As Parry says:
"His deep interest in everything that concerned the human creature, without respect of persons or classes, comes out. Other movements supplied him with the opportunities for uttering graver sentiments and emotions; here he dealt with mischief, raillery, humour, fun of every description, in terms that are like the healthy honest spirits of a child."46

In the next important sonata following Opus 30, the "Walstein," Opus 53, Beethoven in the last movement again shows his aptitude in that he likewise makes the rondo subservient to any mood he pleases. It is merry, wistful, serious, or reflective, according to his demands and it is undoubtedly through such expanding and contracting of the emotional content that he acquired his flexibility of form.

**Third Period**

As Beethoven's opus numbers pass into the nineties there is a marked change in his style. The warmth of expression and free flow of energetic thought so typical of the second period are replaced by moods which are sadder and more reflective. Through his many troubles Beethoven profited in the greatness of his writing. The melodies of these last years are the most profound and beautiful to be found in all his works, and throughout there is revealed his suffering and his determination to emerge triumphant from his many trials. There is exhibited deeper thought,

a far wider range of feeling, expression and style. "It seems as if his art had widened out from being the mere expression of his own wonderful personality, and had become the interpreter of the innermost joys and sorrows of all human creatures."

The many difficulties confronting Beethoven in his later years caused him to look inward upon himself rather than upon the world without and as such to develop a new attitude towards art and expression. This attitude necessitated a change in the form-organization of instrumental works, a change capable of adequately enveloping and expressing his prophetic ideas. As a result very little of this later music was understood by his contemporaries and its performance was very restricted, not because of technical handicaps but because of its interpretive difficulties.

This new manner of writing is firmly established in the piano Sonata, Opus 101, and is continued throughout the remainder of his works. The substance of these last sonatas is so new and strange that the form is in some cases quite changed. There seems to be a great deal of fantasy taking the place of the direct statement found so abundantly in the second period. The Sonata, Opus 101, opens with a movement covering but three pages yet written in a highly concentrated sonata-form. The harmonic design is so distributed that the

main tonic key of the work (A major) is not established until
the recapitulation. The second movement is written in a song
form with trio, the song form being in the lowered submediant
key. It is a strange piece written in an elaborate melodic
Binary form. The Trio is a weird canon in the octave. The
Adagio, really an interlude, is in the parallel tonic minor
and presents that feeling which Beethoven was so pre-eminent
in interpreting—that of longing. The last movement is
written in the sonata-form with the development section in
the form of a fugato. Likewise, in the Sonata in B flat
major, Opus 106, the development section of the first move­
ment, beginning with the usual thematic treatment, is fol­
lowed by a fugato after which the thematic treatment is
resumed. The movement closes with a long coda. Following
the scherzo in B flat is found an Adagio in F sharp minor.
Written in sonata-form this slow movement is considered the
greatest in all Beethoven's music; it is written on broad
lines containing both an introduction and coda. The closing
Allegro is one of the greatest fugues ever penned by Bee­
thoven. In it the composer produced a scheme of key contrasts,
tremendous in range and yet well balanced, something termed
amazing, for in fugue writing keys usually drift between
"natural" limits contained in first-key-relationships. How­
ever, the meaning of this fugue is difficult to catch so
complex is it with strettos, inversions, and other devices
of contrapuntal writing. In the opening sonata-allegro of
the E major Sonata, Opus 109, two ideas are presented in contrasting tempi, a vivace alternating with an adagio. This is immediately followed by another movement also written in the sonata-form. The work closes with an andante and variations, the theme repeated at the end in Binary form. The sonata-allegro form is employed for the opening movement of the last two sonatas. The great C minor Sonata with which the series closes contains but two movements, the second consisting of a theme and four variations, a modulating coda, a da capo of the theme, and an epilogue.

The above discussion will give somewhat of an idea of how during the last period the form, number, and distribution of the movements were entirely determined by the idea Beethoven wished to convey in the work in question. No two of the sonatas are alike in form, but there is one feature common to all—the frequent use of polyphonic writing, characteristic of all the works of the last period. Ferguson comments on this by saying:

"It is by no means however the counterpoint of Bach or that of the textbooks, but is rather a new and free kind of many-voiced music, enriching beyond measure the sound value of the whole, and voicing a certain strangeness which is characteristic of all the more purely romantic music to come."48

Through his adoption of the fugal principle and contrapuntal style in such works as Opus 101, Opus 106, and Opus 110,

48 Ferguson, History of Musical Thought, p. 305.
Beethoven added a new resource to the sonata. In the E major and C minor sonatas another new principle is introduced, that of using but one forceful phrase which dominates everything about it, replacing the method of having several melodic ideas gathered around a single key. As mentioned before, Beethoven often gives the impression that a work is a vast fantasia by beginning to develop themes already introduced before the remainder have been presented, but an examination of the design and placement of climaxes shows this to be a fallacy.

In closing may it be said that in all the world there is no music more difficult to understand, no music more of another world, more superhuman, than that of the last period of Beethoven's life. Until we understand it the music seems harsh, grim, or "crabbed." In the last sonatas Beethoven was striving for a freedom of form which would enable him to express fully his ideas. It is in the closing works of his career, the last five string quartets, that his greatest ambition was finally realized, for in these, the greatest of Beethoven's masterpieces, is found the perfect union of form and thought--form and thought are as one.

"Each idea seems (as indeed it should) to create its own form; and while the listener's effort in adjusting his expectations to an ever-new musical order is at first so great that the music seems hardly intelligible, repeated experience only increases our certainty that in these quartets Beethoven has attained the highest ambition of the creative artist--to make form and thought indissoluble."49

49 Ferguson, History of Musical Thought, p. 307.
In his search for a means of imparting his intense expression into music, Beethoven solidified the entire structure of the sonata in such a way that he made it the most highly organized and yet elastic of all musical forms, and paved the way for the whole school of romantic composers yet to come.
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