

Chapter 12, Additional Materials

FURTHER ANALYSIS

Extending Period Structures

In this section we will study two somewhat more complex cases of period extension: a further case of interpolation by Mozart and a cadential extension by Beethoven.

Recomposing an extended phrase

Mozart's Piano Concerto in Dm, K. 466, III, begins with the period reproduced in example 12.20. Although we do not have any previous unextended model for this period, we can immediately see that the first phrase is four measures long (mm. 1–4), and that the consequent, instead, goes on for nine measures. This is, clearly, an extended consequent phrase, as we can easily tell by listening to it. How was this phrase extended, based on the model provided by the antecedent?

A useful way to analyze phrase extension is to “recompose” the phrase as if it were not extended, and to rework the process of extension to see how many steps are needed to achieve the final result. Example 12.21 illustrates a process of “recomposition” for the Mozart passage from example 12.20 (to simplify this example, we show the piano's right hand only). First, we can imagine the consequent to be symmetrical with the antecedent, in a 4 + 4 parallel period. Example 12.21a shows this possibility, in which the music skips from m. 7 directly to the cadence in m. 12. Although this would be a perfectly satisfactory solution (resulting in a very common type of period), it is also quite predictable in its simplicity and offers no surprise to the listener.

Now play example 12.21b. A two-measure interpolation breaks the symmetry of the period, and also the expectations of the listener, based on the model established in the antecedent. This solution would also be satisfactory, and it would introduce an element of surprise and asymmetry (this would now be a 4 + 6 asymmetrical period). Mozart, however, did not settle for this solution either. In another surprising turn which further foils our expectation, a new, four-measure interpolation extends the period to a highly asymmetrical 4 + 9 phrase structure. The new interpolation includes a complete repetition of the previous interpolation (both are marked with brackets over the music in example 12.21c), and both statements are linked by two beats of connective material (marked with a slur). Listen to this passage again, anticipating the possible (and frustrated) resolutions to the cadence indicated in example 12.21. What is the effect of this extension process on the listener and the performer?

Example 12.20 W. A. Mozart, Piano Concerto in Dm, K. 466, III, mm. 1-13

The musical score for Example 12.20 consists of three systems of piano accompaniment. Each system is written for a grand piano with a treble and bass clef. The key signature is one flat (B-flat), and the time signature is common time (C). The first system covers measures 1-4, the second system covers measures 5-8, and the third system covers measures 9-13. The right hand features a melodic line with eighth and sixteenth notes, often beamed together, and includes dynamic markings such as *f* and *mf*. The left hand provides harmonic support with chords and single notes, including a prominent bass line with a descending eighth-note pattern in the final measures.

Example 12.21

The musical score for Example 12.21 consists of three systems labeled a, b, and c, which are variations of the piano accompaniment from Example 12.20. Each system is written for a grand piano with a treble and bass clef. The key signature is one flat (B-flat), and the time signature is common time (C). System a shows the original accompaniment with a long slur over the right-hand melody. System b shows a variation with a different phrasing in the right hand. System c shows a variation with a different phrasing in the right hand and a different bass line, including a dynamic marking of *f* and a slur over a sequence of notes. The systems are connected by vertical dashed lines, indicating their relationship to the original score.

An extended period by Beethoven

As a final example of cadential extension, we will look at the opening period of Beethoven's Piano Sonata in Cm, op. 13, III (anthology, no. 34, mm. 1–17). The first phrase (mm. 1–4) ends on a half cadence (HC). The second and contrasting phrase (mm. 5–8) ends on a PAC, which could conclude the period if it were going to have only two phrases. The period is prolonged, however, by a third phrase, actually a repetition of the second phrase (mm. 9–12). The PAC in mm. 11–12 could again end the period. Instead, we now have a six-measure cadential extension that is more than a simple reiteration of the cadential gesture. The thematic material in mm. 12–17 is actually new, although we do not hear these final measures quite as a new phrase. They really function as a cadential extension, because their harmonic function is to prolong the tonic reached at m. 12. The final set of PAC cadences at mm. 16–17 assert and confirm both the tonal goal and the end of this rather complex period.

As a final observation on this example, notice that the cadential extension itself has two segments (mm. 12–13 and 14–17), and that the second one is a varied repetition of the first one. The extension could have ended in m. 14 if the V_7 in m. 13 had resolved to i in 14. How did Beethoven resolve this V_7 in order not to stop the harmonic motion at this point?

Listen to the Beethoven period several times, and hear each of the formal and harmonic relationships that have been discussed. How is your listening (and your performance if you were to play this piece) enriched by the understanding of the harmonic and formal function of the different parts of this fragment?

INTRODUCTION TO FORMAL FUNCTIONS; THEMATIC DEVELOPMENT IN DEVELOPMENTAL SECTIONS

Although the techniques of melodic or thematic development we have studied in this chapter can be found in any section of a composition (and, as we have seen, are even present at the phrase and period level), some sections are actually built on them. These are developmental sections, and also often transitional sections, both of which are part of a variety of formal types. We will study large formal types in chapter 26. But before we get that far, it will be useful for you to be able to hear that, depending on their context within a large-scale design, musical units have different formal functions. Specifically, you should be able to locate and understand the function of developmental sections. The following comments, although no more than an introduction to these topics, will help you listen to larger movements with some general criteria to identify formal functions.

Compositions usually have an initial, tonally stable section in which thematic material is presented and tonality is established. The formal function of such a section is expository (and sometimes it is even called *exposition*). Very often the expository material and key return either at the end of the composition in the form of a recapitulation or several times during the movement in the form of a **refrain**. The formal type based on a refrain which always returns in the same key is called a **rondo**. Listen to anthology, no. 34 (Beethoven, Sonata op. 13 in Cm, III), a rondo, and identify all the returns of the expository material (mm. 1–17, the extended period we just analyzed). The contrasting sections between refrains are called **episodes**.

Now listen to anthology, no. 32 (Beethoven, Sonata op. 2, no. 1, I). This is a *sonata allegro*, in a formal type which is usually called **sonata form**. The initial section, up to the repeat signs, is called the **exposition**. First you will hear a theme stated in Fm, the home key (mm. 1–8), then a section that takes us

from Fm to A \flat M (mm. 9–20), followed by the new section in the latter key, in which several new themes are presented. Notice, for instance, the theme in mm. 20–24, another one in mm. 33–36, and a third one in mm. 41–43. A sonata form exposition usually has two key areas.

Now refer, as you listen, to m. 101. You will hear that the initial theme is stated again, in the original key. Not only this, but the complete exposition is repeated with a few changes, and the main one is that here the themes, which in the exposition were in A \flat M, now remain in the original key of Fm. This section (m. 101–end) is called the **recapitulation**, and it ultimately leads to the closing cadence. In a sonata form recapitulation, the material from the exposition returns, but now it is usually all in the main key, rather than in the two keys that were featured in the exposition. Refrains and recapitulations, which musically represent a *return*, not only of thematic material, but also of the main key, have a *resolutive function*, that is, they resolve a tension created by contrast, harmonic instability, and so forth.

Let us now focus on two sections of this movement. In the first place, the passage in mm. 9–20, as we just saw, has the function of taking us from Fm to A \flat M, in other words, to modulate. This is a **transition**, hence the term *transitional function*. Transitional sections are often (although not always) developmental, that is, they build on a theme previously presented, and develop it by means of some of the techniques we have discussed in this chapter. Is this transition developmental? Is it based on the first theme? How?

The section between the exposition and the recapitulation (mm. 49–100) in a sonata form is called the **development**. This is the freest section in the movement, one in which composers may use any developmental technique to expound on some thematic material previously presented or, if they so wish, on new material. This type of section, in which thematic material is freely developed by means of any type of developmental technique, has what we call a *developmental function*. Developmental sections are harmonically unstable, that is, they modulate to a variety of keys as part of the developmental process. Discuss the development in Beethoven's sonata in terms of thematic (melodic) developmental techniques. What themes is it based on, and what techniques of melodic development can you identify?

Finally, movements, especially long ones, sometimes end with a coda, which, as we defined, is a large cadential extension. Codas have a *conclusive function* and bring movements to a close by means of reiterated cadential gestures. Mozart closes the third movement of his B \flat M Sonata, K. 333 (anthology, no. 28) with a coda. The last section of the movement, beginning in m. 200, is a return to the refrain, and it includes a cadential extension (mm. 207–214) in which the refrain is expanded by means of inconclusive imperfect authentic cadences (IACs). After the big cadential gesture of mm. 212–214, Mozart could have written a final confirmation of the cadence, such as the one he wrote in the last two measures of the movement. Instead, he appended yet one more brief section, a conclusive coda, meant to provide still some more space for reiterated cadential gestures. Cadential extensions and codas such as these provide ample musical space for the grounding of the tensions accumulated throughout long movements.

In summary, the **formal function** of musical material may be **expository** (to present the material), **transitional** (to take us from one key area and formal section to another key area and formal section), **developmental** (to expand and develop material that, most often, has been previously presented), **resolutive** (to resolve a tension created by previous material), or **conclusive** (to bring movements or large formal sections to a close). These functions may, of course, be combined in a variety of ways (a section, for instance, may be both transitional and developmental, or resolutive and conclusive).

As an additional exercise, you may listen to two other sonata form movements in the anthology and comment on the developmental techniques used in their development sections: anthology, no. 25

(Mozart, Sonata in CM, K. 309, I; development: mm. 59–93), and anthology, no. 35 (Beethoven, Sonata in CM, op. 53, “Waldstein,” I; development: mm. 90–156).