A STUDY OF CLOSURE IN SONATA-FORM FIRST MOVEMENTS
IN SELECTED WORKS OF W. A. MOZART

By

ROBERT GORDON BATT

B.Mus., McGill University, 1974
L.Mus., McGill University, 1976
M.A., McGill University, 1980

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We accept this thesis as conforming
to the required standard

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Department of Music

The University of British Columbia
1956 Main Mall
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V6T 1Y3

Date Oct. 14, 1988
Abstract

This study of large-scale closure in Mozart's sonata-form first movements focusses on the structure and function of the closing section in these works, the section that brings the exposition and recapitulation sections to an end. Also taken into account are closural effects of the coda (when present) and the subordinate theme area. Because sonata form in the 18th-century involves a variety of differently-functioning sections such as themes and transitions, the analytical approach adopted centers on matters of form—the ways in which all the various channels of musical structure (primarily rhythm, melody, and harmony) interact to shape a particular piece—and in particular on the form of the closing section. The study is limited to one composer's use of one section in one formal type, thereby reaching highly specific conclusions about this facet of sonata form at a particular stage in music history. Since each section of sonata form has a distinct, unique structure and function, the study aims at identifying these in the closing section, and at contrasting them with the other sections of the form. If closure is primarily generated in the closing section, then there must be particular structures found mainly in that section that are responsible for closure.

The majority of Mozart's closing sections are based on a model which can be simplified to aabbcc, where each letter symbolizes one group. The second, fourth, and sixth entries may be either exact repeats or variants of the first, third, and fifth entries respectively. The most common lengths in measures are
(4 + 4) + (2 + 2) + (1 + 1). An example is the Sonata for Violin and Piano in B-flat Major, K. 454, mm. 50-65.

Chapter 1 is primarily a survey of previous writing on the subject of closure. Chapter 2 presents a theory that accounts for structure at various levels of Mozart's sonata form. Chapters 3 through 6 contain discussion and analysis of different types of closing sections and movements. Chapter 7 includes a summary of the research undertaken.
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### Abbreviations

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<td>Codetta.</td>
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<td>CS</td>
<td>Closing section.</td>
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<tr>
<td>CT</td>
<td>Closing theme.</td>
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<td>D, Dev.</td>
<td>Development.</td>
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<td>DC</td>
<td>Deceptive cadence.</td>
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<td>E, Expo.</td>
<td>Exposition.</td>
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<tr>
<td>ECP</td>
<td>Expanded cadential progression.</td>
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<tr>
<td>HC</td>
<td>Half cadence.</td>
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<tr>
<td>IAC</td>
<td>Imperfect authentic cadence.</td>
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<tr>
<td>M. 1(1)</td>
<td>Measure one, beat one.</td>
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<td>MT</td>
<td>Main theme.</td>
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<tr>
<td>PAC</td>
<td>Perfect authentic cadence.</td>
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<td>R, Recap.</td>
<td>Recapitulation.</td>
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<tr>
<td>Retr.</td>
<td>Retransition.</td>
</tr>
<tr>
<td>ST</td>
<td>Subordinate theme.</td>
</tr>
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<td>TR</td>
<td>Transition.</td>
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Preface

The reader may find the glossary useful not only in that it includes definitions of terms such as motive and phrase, but also in that it serves as an index for many of the terms I use, at least to the extent that it refers the reader to fuller definitions of those terms. Musical examples are included only for chapter 2 (Concepts, Models, and Features): they are collected together as a unit at the end of the dissertation. To read the four chapters dealing with analysis of complete movements--chapters 3 through 6--the reader will have to obtain copies of the scores of these movements (the table of contents serves as a guide for the scores needed for each chapter). For editorial and stylistic matters I have been guided primarily by the *Chicago Manual of Style* (1982).

I acknowledge the assistance of my supervisory committee in preparing this dissertation, especially that of my research supervisor, Dr. William E. Benjamin, whose many valuable suggestions are only rarely documented in the text. I also thank Dr. Wallace Berry, not only for his work on my dissertation, but also for permitting me to use his office during the final stages of preparing the dissertation. I also extend my gratitude to my wife, Marie Cahill, for her assistance in preparing this final draft.
My primary goal in this dissertation is the study of large-scale closure in Mozart's sonata-form first movements. To this end I will focus my attention on the structure and function of the closing section in these works, the section that normally closes the exposition and recapitulation sections of these movements. Aspects of global closure are often found in the subordinate theme area and in the coda, when the latter is present, and these sections will also be discussed. I tend not to view high-level closure as the result of processes begun early in the movement, as would, for example, the analyst for whom all musical coherence flows from high level, piece spanning, structures; instead, I view closure as a relatively localized phenomenon, heard in the exposition in a dissonant tonality, then, tonally resolved, in the recapitulation. From time to time, however, other approaches, such as the Schenkerian one, will be invoked for specific analyses. Summaries of and commentaries on a number of views of closure, including that of Schenker, will be found later in this chapter.

I see this dissertation as a contribution to the history and theory of sonata form. By "form" I mean, from one point of view, the ways in which all the various channels of musical structure—primarily rhythm, harmony, and melody—interact to shape a particular piece. However, in this study I am more concerned with form in an historical sense, as the collection of norms of coor-
dinated patterning within these channels characteristic of particular styles. From this second point of view, studying form entails the application of a series of discrete theories, each pertaining to a more or less narrow repertory of music; for, the larger the repertory, the less style-specific is the resultant theory. Most textbooks and theories of form have been written neither from the first, nor from the second point of view. (Some illustrations will arise in the summaries of other approaches later in this chapter.) The standard "Forms of Tonal Music" textbook reveals little about the unique character of specific pieces because it normally presents one model for each type of musical form, for example, a model of sonata form allegedly used from Haydn to Brahms. For the same reason, though, it says little about the conventions of particular styles. By limiting my study to one composer's use of one section in one formal type, I hope to be able to reach highly specific conclusions about this facet of sonata form at a particular stage in music history.

Closing sections are defined as those parts of sonata forms which conclude the exposition and recapitulation sections. An obvious fact about closing sections is that they follow some statement, often thematic, in the subordinate key area (in Mozart's expositions, always the dominant of a major tonic, and the relative major of a minor tonic), but one has other intuitions about them as well. My object here is to explain the nature and function of closing sections. Why do closing sections sound "closing"? Are there characteristics of Mozart's closing sections which are fundamental to the closure of most larger tonal forms? Are there archetypal closing section patterns, and what are they? Are there aspects of earlier parts of movements which determine or condition features of these movements' closing sections? To what extent do Mozart's closing sections rely on common practices of the classic period and to what extent are they unique
to his music?

Research for this dissertation focussed on analysis of Mozart's instrumental works written in the last fifteen years of his life. Concertos were omitted because they use a modified type of sonata form. Minor works such as the church sonatas were also omitted. Only first movements were analysed, omitting those few first movements which are not in sonata form. (Movements other than the first generally use other types of sonata forms and other forms altogether; in any case, these will not be considered.) This leaves about a hundred first movements, of which I analysed half. Works from almost every genre were considered. The following work-list includes all of the works which were analysed.

Table 1 was compiled using the same genre classification system as found in the New Grove Dictionary. It is in fact based on the equivalent table in the New Grove article on Mozart, and on the revised version in Sadie, The New Grove Mozart. "K" refers to the number in Chronologisch-thematisches Verzeichnis sämtlicher Tonwerke Wolfgang Amade Mozarts, ed. L. von Köchel (Leipzig, 1862). "K^6" refers to the number in the sixth edition of this catalogue, ed. F. Giegling, A. Weinmann, and G. Sievers (1964). Items are arranged in each category by order of K^6 numbers. (In subsequent references to works I will not use both K and K^6 numbers; the K number alone will suffice. Symphonies will be referred to by their Breitkopf edition number, as they are best known in this way.) The dates of composition are not always certain or agreed upon by authorities.

From my study of this repertory of Mozart I have formulated a theory that accounts for structure at various levels of the sonata form: this theory is the subject of chapter 2. My research indicates on the one hand that there are certain recurring patterns and features in many closing sections, and on the
Table 1
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<td>Opus 6, no. 3</td>
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Notes: Abbreviations: bsn--bassoon, cl--clarinet, fl--flute, hn--horn, ob--oboe, pf--pianoforte, vn--violin, va--viola, vc--cello.

The number after each genre heading refers to the number of works in that genre which are analysed here. The total number of works analysed is 47, of which 8 are in the minor mode.

The final column--"CS"--refers to the closing section categories in this dissertation. Type 1 is discussed in chapter 3, type 2 in chapter 4, type 3 in chapter 5, and type 4 in chapter 6. Some works can be seen in two ways.
other hand that some movements seem to be unique in their closing processes. Chapters 3, 4, 5, and 6 contain discussion of these types together with analyses—some in depth—of representative examples.

The general procedure that I will use to study these movements involves the identification of, and the formulation of relations among, the various features of the music that I have observed as characteristic of closing sections, in particular those features which are found only in closing sections and which presumably thereby contribute to the closing process. The goal of my analytic methods is the combination of aspects of traditional thematic-motivic analysis with aspects of more recent theories of rhythm.

The most important—because it is the most frequently used—model of closing sections structure may be briefly discussed here (for comparison with different views of closure later in this chapter). See chapters 2 (level [c]) and 3 for more detailed discussion of this closing model, with examples. Some of the terms used below will be given specific meanings in chapter 2 (for example, codetta, codetta-complex, group, phrase, period, theme): the reader may wish to refer to the definitions of these terms in chapter 2 or in the glossary. For the moment, however, the important features of the model to keep in mind are repetition, pairing, and reduction in length of groups.

The majority of Mozart's closing sections are based on a model which can be simplified to $aabbcc$, where each letter symbolizes one group. The second, fourth, and sixth entries may be either exact repeats or variants of the first, third, and fifth entries respectively. (That is, one might find $aa^1bbcc$, $aa^1bb^1cc$, etc.) Normally $a$ is longer than $b$, and $b$ is longer than $c$, the most common ratio being $4:2:1$ between $a$, $b$, and $c$, as shown in the representation of the model below.
\[(4 + 4) + (2 + 2) + (1 + 1)\]

\[a \ a \ b \ b \ c \ c\]

Normally, each group ends with an authentic cadence, or at least with a tonic chord. The first eight bars—**aa**—are often like a simple period. The latter six bars of the model—**bbcc**—balance the first eight by functioning as a codetta-like subsection. These six bars are often characterised by fragmentation, elimination, and liquidation of motivic material, thereby contributing to closure. A 1- or 2-bar extension of the second **c** is common. A tonic pedal, or prolongation of tonic harmony with a series of simple V-I progressions, is common in the latter six bars of the model. Varying the second group of a pair by adding ornamentation or faster note values—especially changing eighth-notes to sixteenth-notes—is common. The closing model is a type of codetta-complex; however, in those cases where the first two units (comprising the **aa** pair) are phrase-like, forming a simple period, the model takes on the aspect of a theme followed by a codetta. The closing section of example 1 follows this version of the closing model fairly exactly. This closing section, in mm. 50–65, will be discussed in some detail in chapter 2.

Discussion of a number of views of closure is useful here in that alternate approaches to mine will be noted, approaches that differ either because the author has a different analytical strategy and/or because the music being analysed requires a different approach. In addition, the following summaries will raise various issues related to closure and analytical approach, issues that will receive fuller treatment in subsequent chapters. Some historical background will also be included here (e.g., LaRue). In some of these summaries
I will comment on how the author's approach might or might not apply to Mozart's sonata-form music and/or on how his approach relates to mine; in other cases I will merely offer a brief summary of the author's work. Arranging the following series of summaries according to issues would be difficult, if only because several writers deal with more than one issue, and would not lead to a significantly clearer presentation. Organizing it chronologically would likewise not lead to a better result. Therefore, if only to aid in referring to documentation of sources in the bibliography, I have arranged the material alphabetically.

(For the remainder of this chapter I will forego the use of endnotes and place page references in the text because they are so frequent. I will also use short reference forms for documentation; all publications so cited are referred to in full in the bibliography.)

In "Concepts of closure and Chopin's opus 28," Agawu takes a small repertoire and investigates it with respect to different kinds of closural processes. His study differs from mine, however, in that (1) Chopin's preludes are much shorter, and are in a different form, than Mozart's sonata-form movements; (2) Agawu does find a basic model that applies to many of the preludes: whereas his model applies to the whole of a prelude, mine applies only to the closing section (the preludes are so brief that closure often begins immediately, unlike sonata-form movements); and (3) he believes that understanding of the structure of nineteenth-century music is facilitated by reference to literature of the period; he specifically uses Smith, Poetic Closure (discussed later in this chapter) in his study, especially to formulate his definition of closure.

Agawu defines closure in three ways, aspects of which are general enough to apply to Mozart's sonata-form music:
1. Closure is a function of formal principles and/or generic signs. . . . various types of signs—some conventional, others arbitrary—are used to inform the listener of how or when a piece is going to end. . . .

2. Closure is not the same thing as an ending. . . . an ending refers to local elements in a musical structure, whereas closure denotes a global mechanism. . . .

3. Closure is a function of both syntactic and semantic principles. . . . [In this study] references to structure [i.e., syntax] always denote the harmonic-structural or melodic-structural aspects of a piece, as distinct from its ornamental aspects. "Semantic" on the other hand embraces the sense of the musical gesture, the meaning that emerges from the particular arrangement of notes. (Pp. 4-5)

Agawu's first category applies to most music; in Mozart's sonata-form music it applies in that a fixed pattern—the closing model—is used in a fixed formal location—the closing section—to generate closure. Someone who listens perceptively to a number of these works of Mozart may recognize this particular pattern's function. Agawu's second category is again applicable to most music; in Mozart's sonata-form music the "global mechanism" would be generated by processes taking place in the closing section and also, to a certain extent, in the second theme (although it may be possible to see certain kinds of closural processes initiated even earlier in the form). The "syntactic" portion of his third category will form the basis of my approach; his "semantic" portion does not apply to Mozart (although it is one of the most interesting and original aspects of Agawu's study).

There are two important issues in the application of his "syntactic principles": (1) The analyst must be sensitive to the variations in prominence of the various dimensions or channels of structure: harmony, melody, etc., may be involved in closure at different points in a piece; and (2) the analyst must evaluate the significance of closural events as local, intermediate, or global (p. 6).
Several writers discuss the idea of archetypal lengths for phrases, sections, etc. For example, in "A theory of musical meter," Benjamin writes:

The group structures of particular tonal styles, and most especially of the classical style, must be understood not only to "do" things (in a melodic-harmonic sense), but to do them in a specific number of measures. This "specific number" is, to some degree, a feature of the individual piece or movement, but the idea of a normative span in which to get things done relies on awareness of the stylistic context as a whole. (P. 392)

My closing model is an instance of such an archetype in terms of both its total length and the internal grouping of phrases.

Benjamin offers an interesting explanation of why many closing sections differ in their exposition and recapitulation forms in a given work:

A particular problem of dissipating the momentum of a context overburdened with metric levels arises with the necessity of bringing a movement to a convincing end. This is why, in classical sonata forms, the recapitulations are often expanded, in relation to corresponding expositions, just where they are preparing to end: These expansions obliterate enough levels of meter to allow a particular cadential arrival to stand out in a way in which the corresponding event in the exposition did not. (Pp. 405-406)

However, it is my observation that about as often as not Mozart's closing sections are similar in both exposition and recapitulation forms in a given work. This issue will arise in subsequent chapters.

Berry, in Form in Music, distinguishes three types of sonata-form closing sections, based on length and constituent material. (1) "The codetta is often a mere flourish of cadential chords" (p. 159). He cites a 2-bar example from a piano sonata by J. C. Bach (p. 159), that I would consider a closing codetta as discussed in my chapter 4. (2) A more substantial codetta may include "some motivic material of the first group, in casual, perfunctory references, or it may derive from other parts of the exposition" (p. 159). He cites Mozart's
Symphony no. 38, first movement, as an example of a closing section based on first theme material; this will be discussed in chapter 6 below.

[(3)] In some examples the second tonal group leads into a distinctive new theme of relatively resigned character and restricted content, or into a codetta containing such a theme. A thematic entity of this kind, set apart from the main body of the second group by a transitional passage (Mozart Sonata in F, K. 332, m. 71), by decisive cadential punctuation, possibly including rests, or appearing as part of the codetta, is called a closing theme. (P. 159)

This third type corresponds to my "closing theme followed by the closing codetta" as discussed in chapter 5 below.

Berry's ideas of metric progression and recession as discussed in his Structural Functions in Music imply that closure is characterized by "increased stability and longer units . . . recessive effect is of deceleration," whereas metric progression is characteristic of "(a) shorter unit and (b) increased instability, often significant in a process of mounting intensity; progressive effect is of acceleration" (p. 378). Berry's approach is in conflict with my research to the extent that my closing model is characterized by shorter and shorter units (which to Berry would signify instability). However, Berry's approach does explain the end of the subordinate theme area, which often features increasing unit size (see Caplin, below, for discussion of this). And in a more recent article Berry appears to restrict his notion of acceleration to development sections of sonata forms and such a restriction would alleviate the conflict between Berry's approach and mine. (See "Rhythmic accelerations in Beethoven," Journal of Music Theory, 22 [1978], 177-178.)
Caplin's "The 'expanded cadential progression': a category for the analysis of classical form" (hereafter referred to as Caplin, ECP), is particularly relevant to my topic because (1) it deals with a repertory that overlaps with mine, (2) it deals with closure of the sonata-form subordinate theme area, the area directly preceding the closing section, (3) it provides a way of distinguishing subordinate theme closure from closing section closure, and (4) it uses analytical techniques similar to some of those in my thesis. Although the article was published only last year, I have had the benefit of studying an earlier draft of it, and have incorporated in my own work the ECP concept as an analytical tool. As many readers may not have read Caplin's article, it may be useful to explain here the essential features of the ECP in addition to a few other related aspects of Caplin's approach to this music.

Following Ratz and Schoenberg, both of whose approaches are discussed later in this chapter, Caplin considers (as do I) that a theme is to be seen "not merely as a melody or collection of motives within a given tonal region, but rather as a complete musical complex that includes a soprano and bass counterpoint, a definite harmonic plan, a phrase-structural design, and cadential closure" (p. 216). The types of themes encountered in the classical style will be discussed in chapter 2; for now it may be noted that the subordinate theme is differentiated in part from the main theme by a looser structure that is generated in one respect by an "expansion of the cadential harmonies at the close of the theme" (p. 216). Caplin's goal is to formulate "how such an expansion is achieved and how it functions within the context of a complete subordinate theme" (p. 217). In discussing the types of cadential activity in the second key area, he notes that
a fundamental distinction must be drawn between the cadential progression that truly closes the subordinate theme and those harmonies that follow the actual cadence and serve to reinforce its final tonic. These "nonfunctional" cadence formulas provide the harmonic basis for the codettas that constitute the closing section of the exposition. ... The cadence formulas of the codettas are often compressed in relation to the expanded cadential harmonies that are an integral part of the subordinate theme proper and that effect its closure. (P. 217)

Indeed, the varying degree of cadential expansion and compression within an exposition often proves to be a useful guide for distinguishing between the subordinate area proper and the closing section. (P. 227)

In Caplin's view, then, the expanded cadential progression closes the subordinate theme, with the closing section functioning "as a series of codettas that prolong the cadential tonic" (p. 253). (See chapter 2, note 28, for further discussion of the ECP.) An issue that will be discussed later here is the extent to which the ECP, in closing the subordinate theme, also closes the entire exposition (and recapitulation), and that to which, as I would often claim, the closing section plays a distinct, essential role in providing closure for these large sections. I find that in Mozart's works the closing section may not always be merely a "series of codettas," at least not in the restricted sense that Caplin appears to use the term. (I define "codetta" in chapter 2; examples of Caplin's codettas include Beethoven, Piano Sonata in F Minor, op. 2, no. 1, first movement, mm. 41[3]-48, Caplin's example 1[c]; and Mozart, Piano Sonata in D Major, K. 576, first movement, mm. 53-58, Caplin's example 2[c], discussed in my chapter 6.) The few examples of closing sections that Caplin cites are all very short and clearly do not participate in large scale closure to any significant extent. In a personal communication (July 5, 1988), he writes that he is inclined toward the view that the closing section "does function to create closure for the exposition, at the same [time] as it functions post-cadentially for the subordinate theme."
In discussing the closing section in Beethoven's Piano Sonata op. 2, no. 1, first movement, made up of three similar 2-bar codettas, he notes that it does not have a true cadential role; it does not articulate thematic closure. That purpose has already been fulfilled by the genuine cadential phrase [the ECP]. Rather, the codettas function here to dissipate the energy built up by the cadential expansion at the close of the theme. They are clearly necessary for dynamic and rhythmic reasons, but they could have been eliminated without affecting the fundamental thematic and tonal structure of the exposition. (P. 222)

Many of Mozart's closing sections are similar in length, structure, and function to this one of Beethoven (they are of a type I call the closing codetta; see chapter 4 for examples). Caplin subsequently discusses K. 576, which has a closing section similar to this one.

Longer closing sections, ones normally based on the closing model, have a more significant function than merely dissipating subordinate theme energy, and could likely not be eliminated without affecting the exposition structure.

Davis, "Harmonic rhythm in Mozart's sonata form," a study similar to mine in its choice of repertory, demonstrates that "Mozart appears to distinguish various areas as clearly by harmonic-rhythmic structuring as by other compositional procedures such as melodic differentiation and changes of instrumentation or tessitura" (p. 27). A portion of his conclusions regarding exposition closing sections may be quoted:

The K section is the most strongly-articulated subdivision of the exposition, and to help the cadential drive, it usually provides one or more marked accelerations preceding a terminal punctuation of slower harmonic rhythm. The resulting juxtaposition of fast and slow produces a characteristic harmonic-rhythmic contrast. . . . oscillating harmonies appear more frequently in the K section than in any of the preceding sections. They are used primarily for articulation, occurring at the beginning and less often at or near the close of a theme or section. To end a K section, Mozart favours sustained harmonies over oscillation progressions.
Through the juxtaposing of active and stable areas, most K sections emphasize harmonic-rhythmic contrast over other features of design. (P. 33)

Davis gives many illustrations of these points, for example, the first movement of the Piano Sonata in F Major, K. 533, mm. 89-102.

Regarding recapitulation closing sections, he writes, in part:

When greater stability is required to consummate an entire movement, recapitulations conclude with further stabilizing additions. Internal changes that occur usually heighten contrast. Thus, as K sections tend to lengthen in recapitulations, the elements of articulation tend to increase. (P. 41)

He uses the first movements of the Symphonies nos. 40 and 41 as illustrations.

Hatmaker's "A theory of timbre in the late Classical symphony" confirms my observation that many of Mozart's symphonic first movements end with tuttis, this being an aspect of closure:

The "arrival" function of tutti and the phenomenon of timbre dominance gives rise to a timbral structure in the Classical symphony, the "timbre progression." The timbre progression, which may be defined as a succession of timbre events beginning with a partial ensemble and ending with tutti, typically shows a gradual "growth" (successive events increasing in likeness to tutti) in the Classical symphony. This tendency of growth toward tutti, combined with tutti's function as a sign of closure, allows me to infer a paradigm of timbre progression . . . that of the partial ensemble progressing to tutti. (Pp. 3-4)

In general, a fast rate of timbre change is associated with transitional, modulating music and a slower rate with stability. . . . The ends of many symphonies exemplify the latter. (P. 31)

Hopkins, in "Secondary parameters and closure in the symphonies of Gustav Mahler," understands closure to be operative at various levels and in various parameters, as does Meyer (see below). (Melody and harmony are Hopkins's primary parameters, the others secondary. Rhythm is not a parameter.) Most of his chapter 1, "Closure," is relevant to my topic, as he here summarizes closure in late eighteenth- and early nineteenth-century music. For example, he discusses
how different parameters can create closure. In the following quotation, from this chapter, he considers an aspect of closure in eighteenth-century music related to my closing model:

The degree of closure is also partly a consequence of its length. In general, closure is stronger when it is prolonged. For instance, composers of the classical period commonly strengthened primary parametric closure at the ends of large sections and movements by extending the chord of resolution. The extension might be produced by repeating scalar or triadic pitch patterns based on the tonic, reiterating the tonic harmony one or more times, or simply sustaining the tonic chord. (Pp. 14-15)

Kramer, in "Beginnings and endings in Western art music," discusses closure of music in the common practice period, focussing on tonality: "Only once tonality became fully developed was it possible for an entire composition to be a realization of a single tonal process" (p. 1). Although Kramer does not discuss details of such processes, he is likely referring to, for example, the overall view of a movement provided by a Schenkerian Ursatz.

However, he also discusses a somewhat different approach to closure, an approach based not on an overall process but on a hierarchical arrangement of cadences:

A strong cadence ends not only its phrase but also several preceding phrases. A phrase group is created in this manner. The final cadence of the piece is of course the strongest, since it must bring to a close the entire work. Thus closure, like tonality itself, is hierarchical. (P. 2)

Again, Kramer does not elaborate on the hierarchy of closure. The comparison of cadential hierarchy with tonal hierarchy does not always apply to Mozart's works. Although a section such as a theme may be closed by virtue of its final cadence being the strongest, in Mozart's sonata-form movements the strongest cadence occurs at the end of the subordinate theme (i.e., the ECP), with the
closing section prolonging the final harmony, perhaps with weaker cadences or cadence-like progressions. Only in those movements in which the ECP is particularly lengthy could one say that it dominated all other cadences in the whole movement.

Another way Kramer explains endings is by reference to convention:

Anything is possible at the beginning but by the end the nature of the piece dictates the nature of its ending procedures. It is these strategies of ending more than the conventionalized last-thing-heard that are suggested by the piece's internal processes, and thus there are many routes to closure. . . . the prolongation of the final tonic, on the other hand, is harmonically rather standard . . . ; the actual closing gesture is often a stock convention, loosely linked or actually unrelated to the processes or materials of the composition. (P. 3)

Kramer's discussion here is not style-specific and is thus rather general. If anything, it applies more to romantic period music, in which, for example, almost anything can happen at the beginning of a work, unlike in classic music. Kramer's "many routes to closure" would not apply to Mozart's sonata-form music, as most of this repertory is conventionalized at least with respect to overall harmonic motion and form. However, the closing section is perhaps more often made of "stock conventions" than is the preceding subordinate theme area, with the exception of the ECP. Furthermore, the closing section is in fact often comprised of material "loosely linked or actually unrelated" to earlier sections.

Finally, Kramer also contrasts two explanations of endings, context and formula: (1) "An ending can be defined as the place at the close of the piece where all of its tensions have been resolved" (p. 6). In terms of my repertory, the closing section is in this view the location of tonic stability, and melodic and rhythmic liquidation. (2) "An ending can also be defined by the actual shape or profile of the final sounds—a thing (or product) rather than a process" (p. 6). In Mozart, the closing section, from this standpoint, is a con-
ventionalized form, usually an instance of the closing model, and it follows the conventionalized ECP.

LaRue's study of the eighteenth-century symphony (New Grove Dictionary, "Symphony: I"), includes discussion of the development of specific stylistic features that apply to most of classic period music. "To understand Classicism there is no better exercise than to follow the long evolution of the 18th-century symphony" (p. 438).

No mere collection of traits . . . can generate the full character of Classicism, which results not from individual processes but rather from a higher control, or concinnicity, a skilful and elegant arrangement and adjustment of the various elements. Once this central technique became current, composers could perfect various other characteristics that distinguish a Classical symphony, notably a hierarchy of punctuation necessary to clarify more complicated phrase, sentence and paragraph structures; and a differentiation and later specialization of sections (primary, transitional, secondary and closing). . . . The Classical style signals the contrast between primary and secondary groups not merely from changes in melody but also from changes in dynamics, texture, rhythm (both chord and surface) and phrase unit. (P. 440)

The "hierarchy of punctuation," the "differentiation and specialization of sections," and the "changes in phrase unit" are all central features of the development of sonata form (about which LaRue is essentially writing), and are also central to my study of closure in that closure is centered in a specialized section having its own types of punctuation and phrase units.

In LaRue's summaries of the styles of individual composers there are a number of references to closing processes. The Viennese J. B. Vanhal (1739-1813) has "a kinship to Mozart in the use of gentle, retrospective closing themes that interpolate a moment of quiet before the final trumpets" (p. 444). J. W. A. Stamitz (1717-1757) developed "a well-differentiated exposition" and an extensive development section, but did not include the primary material in the recapitula-
ion:

Structurally, the secondary and closing sections by themselves cannot stabilize the tonic sufficiently to balance the forceful Mannheim exposition and development. A recapitulation of only the secondary and closing material may produce too abrupt a conclusion. (P. 445)

Stamitz and other Mannheim composers sometimes recognized this and added further material to the recapitulation. A recapitulation based more closely on the exposition of course followed later in the century. In the areas of structure and orchestration "Mozart evidently learnt a good deal from Mannheim" (p. 446).

One of the best of the second generation of Mannheim composers was Ernst Eichner (1740-1777):

He attained a particularly advanced thematic differentiation that not only contrasted secondary sections but also individualized the material of transitions and closing sections; at the same time he was able to embed these ideas in sentences and paragraphs with strong directional flow. (P. 446)

One of the best composers in London was J. C. Bach (1735-1782), a composer who also had a significant influence on Mozart:

His combination of imagination and technical mastery made possible a wide variety and subtle gradation of thematic ideas, which he then distinguished according to expositional functions: even out of context his themes sound like primary, transitional, secondary or closing material. (P. 448)

In summarizing Mozart's style, LaRue comments on the importance of surface rhythm to structure:

He commanded a remarkable rhythmic vocabulary, which may also be a by-product of a larger colour contrast, as part of Mozart's strong characterization of structural areas by the creation of special thematic types; one can usually recognize the precise expositional function of a Mozart theme even when it is taken out of its context. (P. 450)
LaRue discusses a particular type of expanded closing section characteristic of Mozart's mature symphonies:

Between the usual cadential themes he introduced a piano penultimo: a quiet, reflective theme that enhances the brilliance of the final cadential trumpeting. This heightened contrast in the closing area lends a special conviction and definite repose to Mozart's conclusions, noticeable in embryo as early as K134. (P. 452)

In his discussion of sonata form in *The Rhythms of Tonal Music*, Lester takes a frequently-seen position:

Each passage in a sonata-form movement has its own role to play in the overall form and, therefore, its own internal structure. The themes that announce each of the key areas in the exposition, for instance, are more often than not presented in discrete phrases, as opposed to transitional, conclusive, or developmental passages that feature more continuous music and eliding phrases. (P. 229)

The distinction between two types of phrase structure is useful and will form part of my analytical approach in chapter 2 below.

Lester devotes most of his consideration of sonata form to the "second theme group" (by which he means all the material in the second key within the exposition), because he believes this area has a structure that can be generalized more than any other. This section

must establish the new key area, yet must hold off a conclusive arrival on the tonic of the new key as long as possible. For when the second theme group recurs in the recapitulation, it generally follows music in the tonic key (the first theme group). Premature closure would make the remainder of the recapitulation sound like a perfunctory tag.

In order to fulfill these roles, second theme groups, whatever their length or the number of themes, tend to begin with phrases or a period with extensions or elisions delaying the cadence of the consequent phrase. Later in the second theme group is usually a series of ever-shorter cadential phrases, each eliding with the next. The opening phrases establish the new key without necessarily cadencing in it conclusively; the later elisions and reiterated cadences project the finality of the section but hold off the final resolution until the end. (Pp. 229-230)
This is a good general description that applies in large measure to Mozart's sonata forms (a description partially amplified in Caplin's ECP, as noted above). Lester's "ever-shorter cadential phrases" correspond to my model of closing section structure. He later refers to this again in context of a specific analysis (Beethoven's Piano Sonata op. 14, no. 2, first movement), where the closing section is "cast in short, repetitive phrasing units" (p. 232). Note Lester's careful use of the term "phrasing unit," as opposed to "phrase," to distinguish the material here. He also uses the first movements of Mozart's Piano Sonata K. 545 and String Quintet K. 515 to illustrate his approach to second theme groups (pp. 233-235).

In discussing recapitulations, Lester notes that whereas first theme groups are often rewritten, "second theme groups maintain the structure described earlier" (p. 240). Further references to Lester's book will arise in chapter 2 in discussion of timespans and closing sections.

Several writers discuss the view that pieces of music never come to an absolute conclusion, that they are pieces of something bigger, i.e., of music. For example, in Musical Morphology, Leverie and Levy write: "By nature, musical flow is continuous, indefinite. The end of a piece is never quite free of a certain arbitrariness" (p. 198). Regarding the ending of tonal music, they write, for example:

In the terminal cadences of the high period of triadic tonality, the energetic character, the forceful dynamics, and the insistent reiterations that often form a chain are all means aimed at reducing the generative power of the perfect triad, isolating the "piece" from the indefinite, and affirming the end of the movement. Metric regularities contribute. (Pp. 140-141)

Their "insistent reiterations that often form a chain" and "metric regularities"
are supportive of features of my closing model.

In "Texture as a sign in Classic and early Romantic music," Levy describes a number of conventionalized textural signs, one of which is the unison (including octave doublings). Unisons are frequently used "as auxiliary signs of close. . . . The effect may be one of dissolution" (p. 519). The unison is also often used to "signal the close of the exposition" (p. 519). Among her examples are a number by Mozart.

Lorince, in "A study of musical texture in relation to sonata-form as evidenced in selected keyboard sonatas from C. P. E. Bach through Beethoven," finds that Mozart distinguishes sections of sonata-form movements by textural means (in addition to other means such as key). He finds Mozart's closing sections "characterized by simpler textural settings. . . . Sixteenth-note scale passages with a wide melodic range are typical as are short repeated passages emphasizing contrast" (pp. 283-284). He considers a variety of factors in the area of texture, such as contour, register, dynamics, and vertical span (or range). For instance, he finds that the widest vertical span in Mozart's works occurs in the closing section (pp. 289-290).

In Emotion and Meaning in Music, Meyer suggests that closure is partially dependent on the listener's knowledge of when a melody will close (pp. 78-79, 138). In other words, if a listener hears a cue for the beginning of a standard closing process, then that closing process will be more satisfying than one in which the listener was unaware that it was a closing process.
Most of Meyer's chapter 4, "Principles of pattern perception: completion and closure," is relevant to the topic of this dissertation. For example, he suggests that form ("shape and pattern") is the cause of both continuity and closure (p. 130). In discussing saturation—a process resulting from repetition, leading to the expectation of change—he notes that the expectation may be different according to the formal context:

A repeated pattern at the end of a work need not give rise to saturation, since at this point the listener understands ... the significance of the repetition: That is, because this is the end of the piece, lack of forward motion, a composed fermata, is expected and desirable. Thus the law of saturation is conditional: In a situation where repetition is not normal and understandable, the longer a pattern or process persists, the stronger the expectation of change. (P. 136)

This is particularly relevant to my dissertation because the closing model is composed of a series of repeated units. (Meyer's "saturation" applies to the thematic sections of Mozart's sonata form, in particular to the sentence model discussed in chapter 2 below.) Further support for my closing model is found in Meyer's discussion of the law of return:

The law of return appears to operate most effectively where the given sound term is left incomplete. Since the sound term is a Gestalt which sets up forces toward a particular kind of closure, the only way it can be closed is by repeating it with a new and more final ending. (P. 153)

Many examples of the closing model incorporate such a process, often in which repeated units are paired, the second of which is more closed than the first in the manner of a simple period. The repetition in closing sections is often very exact; this is supported by Meyer's statement that "the more closed a sound term is, the more its recurrence is likely to be exact or almost exact" (p. 153).
In *Explaining Music*, Meyer considers closure throughout the music at various levels.

Closure—the arrival at relative stability—is a result of the action and interaction among the several parameters of music. Because melody, rhythm, harmony, texture, timbre, and dynamics are relatively independent variables, some may act to create closure at a particular point in a work, while others are mobile and ongoing. (P. 81)

The structure of a composition is something which we infer from the hierarchy of closures which it presents. . . . The end of a movement is . . . the point at which all parameters move congruently to create the stability of closure. (P. 89)

Meyer's general approach to analysis of tonal melody—the implication-realization model discussed at length in *Explaining Music*—would lead him to categorize closing sections as normally lacking in melodic implications. In his analysis of the String Quartet in D Major, K. 575, second movement, for example, he considers the closing section, or coda (mm. 61-73), as an extension of the repeat of the main theme: "Since the extension is essentially a melodic prolongation of the tonic, A, moving through three octaves, no implicative relationships are generated" (pp. 233-235). This closing section is similar to my closing model.

Ratz, *Einführung in die musikalische Formenlehre*, is primarily a study of eighteenth-century instrumental music. Ratz bases his approach to classical period music, and on Beethoven in particular, on the analytical principle, seen elsewhere, of differently-functioning sections. His two principles of formal organization are "(1) tightknit organization, which includes the main theme and to a certain extent the codettas, and (2) loose organization, which includes the subordinate theme, transition, retransition, [and] development" (p. 21 in the German original; all translations are done by Professor William E. Caplin of McGill University). Although Ratz includes the subordinate theme in his cate-
gory of loose organization, it is not as loose as the other sections included in this category. In my study I am categorizing both themes as relatively tightknit, at least in comparison with other sections.

Ratz describes the closing section in this way:

Codettas (Closing Section). The essence of the codettas consists in motivic liquidation and in cadential formations that are made increasingly closer until finally nothing more than the I degree remains: e.g., \((2 \times 4) + (2 \times 2) + (2 \times 1) + (2 \times \frac{1}{2}) + 1\). (P. 30)

The "motivic liquidation," the "increasingly closer cadential formations," the pairing of similar units, and the reduction in unit length from four bars to two to one to one-half are all features very closely related to my closing model.

In The Classical Style, Rosen considers at some length the issue of the classical composers' use of tonality to generate large-scale dissonance in sonata form (e.g., pp. 68-71). The use of contrasting keys in the second half of the exposition, and in the development, had its repercussions elsewhere in the form: "The stability and clarity of the opening and closing pages of a classical sonata are essential to its form, and they make the increased tension of the middle sections possible" (p. 70). One reason, then, for the use of a closing section was to assure tonal stability for the form. This feature of closing sections, shared with the first theme, is somewhat similar to Ratz's requirement of tonal stability (at least in the sense of not modulating) for the tightknit construction of the main theme and the codettas.

Much of Rosen's Sonata Forms is relevant to this dissertation, especially in that Rosen concentrates on eighteenth-century sonata forms and analyses many of the same works considered here (e.g., the Symphony in D Major, no. 38, pp. 194-217). Rosen considers the usual exposition model, "First Group, Bridge
Passage, Second Group, and Concluding Theme," to be "rare in the eighteenth century, as the move to the dominant is often initiated without a break from the statement or counterstatement [of the First Group], and the concluding theme may be a brief appendage to the second group: in this case, we have a two-part exposition" (p. 98). While some of Mozart's shorter expositions may be analysed as bipartite, I find that many others can be seen successfully as based on the four-section model. (I will not use the same terms as Rosen has; for example, he uses "theme" in a more general way than I do, and I prefer "closing section" to "Closing Theme").

Like some other writers, such as Ratz and Schoenberg, Rosen discusses differently-functioning elements and how they contribute to the form, although he does so in a different way from them:

In the sonata form, the meaning of a phrase depended on its place in the work as a whole, on its position in the general movement from polarization [of keys] to resolution. The forms, therefore, demanded clearly separable elements whose altered functions could be clearly recognized as they appeared at different points of the work. (P. 194)

This is certainly an approach I agree with, as I hope to demonstrate that what happens in a closing section is different from what happens elsewhere in the work.

Rosen's chapter on "Exposition" is quite useful, as he summarizes a number of ways that this section is organized, many of the ways being used by Mozart.

Although Schenker does not discuss the structure or function of closing sections, or closure in general, his theory as it applies to these matters can be surmised from his approach to sonata-form analysis as found in Free Composition (primarily chapter 5, section 3, paragraphs 311-316). The governing principle for the analysis of all sonata forms is the interruption. "Only the prolongation of a division (interruption) gives rise to sonata form" (p. 134).
The two types of interruption found in sonata form are those where the fundamental line begins with scale degrees 3 and 5. Diagram 1 is based on figure 23 from Free Composition, and illustrates the first type. (The second type is similar except that the fundamental line begins on $\frac{5}{2}$, returning there at the start of the recapitulation; in the minor mode the situation changes in that III or v is used instead of V, and the first $\frac{3}{2}$ arrives only at the end of the development; see figures 24 to 26 in Free Composition.)

I am not in a position to state whether all of Mozart's sonata-form movements can be analysed using this and Schenker's other models for sonata form, although certainly many could be. The modulatory scheme at least fits all of Mozart's sonata-form expositions, the prolongation of the dominant harmony beginning either during the transition or at the start of the second theme, depending on the particular movement. The development section of most of Mozart's sonata-form movements can be seen as dominant prolongations, the recapitulations as a return to the tonic along with a subsequent tonic prolongation.

The Schenkerian view of the closing section, both in the exposition and recapitulation, is that it has no fundamental line motion; instead, it prolongs
one or more already established tones and harmonies (in the major mode, the background $2$ and $V$ in the exposition, $I$ and $I$ in the recapitulation). In the exposition, the $2$ is prolonged by means of a fifth-progression descending from it, descending either before or during the closing section. (For examples, see Free Composition, figure 154, 1: Mozart, Piano Sonata in C Major, K. 279, first movement; and figure 47, 2: Beethoven, Piano Sonata in G Major, op. 14, no. 2, first movement.)

Schoenberg's Fundamentals of Musical Composition contains much that is related to my analytical approach. The emphasis on formal analysis, the distinction between primary and secondary sections, the focus on classical period music, and the use of the terms period and sentence for thematic types are all similar to my approach. He categorizes the sonata-form closing section as often being a "group of codettas," sometimes based on the main theme ("adapted to cadential harmonies") (pp. 202, 204). His use of the term "codetta" is similar to mine (his "group of codettas" is what I will call a "codetta-complex").

Codettas are primarily cadences. They serve as reaffirmations of the ending of a section. Harmonically, they may consist of the most rudimentary cadence, $V-I$; or they may be highly complex. Motivally, they may range from simple repetitions of small elements to rather independent formulations.¹

¹Usually, if more than one codetta appears, the later ones are shortened, often in the manner of a liquidation. (P. 155)

The technique of liquidation . . . [involves] gradually depriving the motive-forms of their characteristic features and dissolving them into uncharacteristic forms, such as scales, broken chords, etc. (P. 152)

As suggested by the above quotations, a common closural technique is liquidation, the purpose of which is "to counteract the tendency toward unlimited extension" (p. 58). Such a technique could be used to end a phrase or a section. Supporting my view of Mozart's closing sections is Schoenberg's statement that
"the liquidation is generally supported by a shortening of the phrase" (p. 58). And closing sections often feature "scales, broken chords, etc."

Smith's Poetic Closure has been referred to by several of the authors cited in this chapter; for example, Meyer and Agawu have both cited Smith's book as an influence on their own work. However, I have not used it much in my dissertation: nevertheless, it may be mentioned here because other writers on music have found some inspiration in it, because Smith makes various comparisons between music and poetic closure, and because, as one of the few thorough studies of closure in any art form it may be of some interest to readers studying the subject of closure.

For Smith, "the sense of closure is a function of the perception of structure" (p. 4). One of her analogies with music is concerned with explaining the dual nature of poetic structure:

The principles of poetic and musical structure are comparable insofar as both forms of art produce experiences which occur over a period of time and are continuously modified by successive events. Because language, however, has semantic or symbolic as well as physical properties, poetic structure is considerably more complex. A sonata consists only of an organization of sounds, but a sonnet consists of an organization of symbols as well. (Pp. 4-5)

Musical structure is thus analogous to formal structure in poetry, the latter defined as "the systematic repetition or patterning of various elements" (p. 6). Missing from musical structure is an analogy to thematic structure in poetry, a structure including "everything from reference to syntax to tone" (p. 6). (Many theorists would likely disagree with her restrictive view of musical meaning.)

One reason I have avoided reference to Smith's study is that there is this basic difference in structure between poetry and music. However, for an attempt to apply her approach to music, see Agawu's article, as discussed above.
Smyth's dissertation "Codas in classical form: aspects of large-scale rhythm and pattern completion" is especially relevant to my study, as he investigates a similar repertory to mine (including works of Haydn, Mozart, and Beethoven, and all movements of works, but not including works other than piano sonatas, string quartets, and symphonies), and because he studies closure in general, not just codas, in these works. In his chapter 2 he summarizes a number of previous studies dealing with closure and codas. One of these, which I have not seen, is a dissertation by Bohdan J. Kuschnir, "Zur Frühgeschichte des Kodaprinzips," (Erlangen, 1947); Smyth comments on one finding of this dissertation worth noting here:

With the rise of instrumental music during the baroque period, certain closural techniques were carried over from earlier practice. One was "echo-technique": repetition involving dynamic contrast articulates pairs of segments which constitute a greater whole, which is closed by virtue of the repetition. (Pp. 10-11)

The feature of pairs of repeated units is clearly related to my closing model for Mozart, and may be seen as a historical forerunner that may have led in part to the development of the closing model in the classical period. Also noteworthy here is the observation that larger-scale closure results from this lower-level repetition.

Smyth uses the term "codetta" for the closing section, which he notes is characterized by

a decrease in harmonic complexity (many employ pedal point) and in melodic interest (sometimes to the point of including only cadential cliches and conventional passage work), and rhythmic and textural simplification. Previously heard motives might be gradually liquidated, or, alternatively, a short burst of cadential energy might erupt. In either case, the "sense of an ending" will most often be quite clear. (Pp. 18-19)

Smyth's description of the closing section is very similar to mine.
Smyth devotes some discussion to definition of terms such as cadence, phrase, and coda. He sees the cadence as especially important (even though he defines most segments by initiation rather than by ending), and in fact demonstrates that, "in a very important sense, the coda and the codetta are precisely 'extensions of the cadence'" (p. 18).

Smyth includes an entire chapter devoted to sonata forms, a chapter that incorporates a useful survey of approaches to the analysis of this form type. In general, he says "formal closure is achieved when the overall pattern of tension/resolution is completed" (p. 178). His analytical technique focusses on how "grouping structures [e.g., the formal categories of themes, transitions, and closing sections] can underlie sonata forms and contribute to a 'symmetrical resolution of opposing forces'" (p. 180; his quotation is from Rosen).

Essentially, Smyth is concerned with demonstrating how formal closure results from high-level patterning. To do this he produces graphs of movements which include lengths of various sections; then he compares and discusses the lengths of these sections primarily as to how they balance. "Overall formal closure in classical instrumental music involves pattern completion and duplication of grouping structures on a much larger scale than most previous analysts have considered" (p. 219).

In The Symphonies of Johann Stamitz: A Study in the Formation of the Classic Style, Wolf includes one of the best theories of phrase and movement structures applicable to the classic period (see especially his chapters 8 and 9). He finds that phrase-level repetition--"(a + a)"--is especially characteristic of second themes and closing sections. "Most of Stamitz's closing (K) themes make use of repetition in order to stabilize the end of the exposition or recap-
itulation" (p. 108). In view of the similar type of repetition I find in Mozart's closing sections, Wolf's study is particularly relevant here.

Wolf discusses some eighteenth-century theories of phrase structure, including Riepel's *Grundregeln zur Tonordnung insgemein*. One of the ways Riepel notes for expansion of sections is "repetition of the cadential units (Verdoppelung der Cadenzen, pp. 61-63 [of Riepel])" (p. 115 [of Wolf]), a method corresponding to an aspect of my closing model. Wolf believes, in general, that Riepel's "compositional theory incorporates many of the actual procedures that contributed to the evolution of Classic phrase syntax" (p. 115).

Wolf summarizes closing material as follows:

> Whether area or section, K in Stamitz often includes literal repetition at the broadest level present within the exposition as a means of providing cadential stabilization. In addition, Stamitz commonly precedes and/or follows this repetition with one or more small-scale repetitions based on cadential harmonic formulas, regular chord rhythm, and perhaps pedal point. (P. 151)

These features are certainly often found in Mozart's closing sections.

Wolf also identifies a different type of exposition structure in which the second theme is followed by a section or sections transitional in style that lead to the closing section itself (p. 151). This too is seen in several of Mozart's movements (e.g., the Piano Sonata in B-flat Major, K. 333, to be discussed later), where such sections resemble typical transitions in terms of melodic material, texture, and rhythmic organization, though generally not with regard to harmonic function, since they do not modulate.
In this chapter I will be primarily concerned with explaining my view of those characteristics of Mozart's first movement sonata forms relevant to my study of closure in these works. Essentially, this will entail a definition and discussion of those features that distinguish the different sections of the sonata forms, the ultimate goal being the identification of features that promote closure of these works and that are characteristic of closing sections. Discussion of areas of sonata forms other than the closing section is necessary because comparing the characteristics of different areas will better reveal those of the closing section, and because the function of the closing section within the entire work must be examined.

It should already be apparent that I regard the discussion of the formal function of the traditionally analysed sections of sonata form—themes, transitions, closing sections; developments—as a central concern in my study of these works of Mozart. Having considered other analytical viewpoints, such as the Schenkerian one, in which the long-range harmonic and linear plan is the central issue, I am convinced that the most valuable approach to the study of closure in these works is that of dividing the piece into sections, according to the features found in each—features defined on the basis of melody, harmony, rhythm, texture, etc.—and then seeing how the different sections combine and relate on
the basis of these same features.

My approach is not dogmatic in the sense of applying one formal model to all of these works: many pieces cannot easily be heard as comprised of sections, or at least cannot be divided into the same sorts of sections found in the usual typology of sonata form. The formal, thematic, and phraseological models I propose below must be seen as applying to a greater or lesser extent to these pieces, with no value judgment implied. That is, a piece which does not conform to a particular model must not be understood as deviant: another way must be found to analyse such a piece.

This problem is only one of many in the use of models for musical analysis, some of which may be briefly mentioned here. How homogeneous does a particular repertory have to be for consideration as a distinct repertory, having its own models? Identifying accurate models involves a lengthy feedback process: I began my research by studying a number of randomly chosen works by Mozart, then identified models that applied to some of them. This encouraged me to widen the repertory. As more and more pieces were included in my study, the previously defined models were changed to reflect the new repertory to which they applied, and new models were developed to explain other newly analysed pieces. This process of revision and development of models could be continued until all of Mozart's music was analysed, as well as compared with music written by other composers working at the same time as Mozart. Although I have not analysed all of Mozart's music, nor even all of his sonata-form music, I am reasonably convinced that the models I present here may be used to explain enough aspects of the music under consideration to give the models validity.

Restricting the repertory for this dissertation chronologically is arbitrary because no justification can be found for a beginning date. Do the late
works begin with the year 1775, 1780, 1781, or some other year? Historians
cannot agree on what the various style periods of Mozart are, and even if they
could (or should), and I defined my repertory on this basis, many pieces would
not fit inferred stylistic norms of a period because they would be written in
earlier styles or in combinations of earlier styles and the current, defined
style (e.g., the Piano Sonata in C Major, K. 545, written in 1788 but having
obvious features of earlier styles).^1

Furthermore, there are many styles that were in vogue in the 1780s—for
example, opera buffa, ecclesiastical, Mannheim instrumental, concerto—and they
all figure to a greater or lesser extent in the repertory by Mozart that I have
chosen for analysis. That is, some pieces are more influenced by opera buffa
than by concerto style, some vice versa, and so on. How could one model possibly
account for all these stylistic influences and differences?

Much writing in music theory contains as implicit the assumption that the
analysis of the structure of music is the analysis of music itself. This concern
with structure is primarily a feature of twentieth-century writing, whereas nine­
teenth-century writers were more concerned with the aesthetics of music. The
structure and aesthetics of music are two of the concerns writers have had in the
past. By focussing on the application of models to Mozart's music I place myself
among those who see structure as primary. However, I do so with the reservation
that the analysis of structure, via models, leaves other areas, such as aesthe­
tics, untouched.2

Despite the various problems and limitations in the use of models for mus­
ical analysis, the use of models seems to me to be essential in discussing a
large number of related works that may in some senses appear to form a distinct
repertory. Eighteenth-century music is often regarded as being suitable for
theories based on norms of structure. In the eighteenth-century itself, music criticism focussed on the relation of the individual work to the norm of which it was an example. Dahlhaus comments on this:

The general concept or ideal type of a musical form (sonata or fugue), which gradually faded to a schema in the late nineteenth century and eventually degenerated to a label, still possessed historical substance around 1800. It was musically real.3

While identification of norms of structure in this repertory is the primary goal, I am also concerned with explicating the unique properties of these pieces to the extent that these properties are revealed by closing processes. In Narmour's terms, I am analysing both style structures and idiostructures.4 From Dahlhaus's point of view, I am writing a "theory based on analyses," and also writing analyses which "do justice to the particular and unrepeatable."5

The presentation of models will be done systematically according to the length of the unit of musical material. These discrete, related models occur in a variety of hierarchical grouping levels or formal contexts. The concept of hierarchy that I am using here is not the same as, for example, that used by Schenker, where the length of an event on the musical surface is not necessarily a determinant of the significance of that event on subsequent levels. In my system, each hierarchical level is primarily defined by the length of its characteristic unit (relative to the lengths of the units of the other levels in a given work), and by the formal context of its characteristic unit. To a large extent, I will use the terms "hierarchical level," "level," "formal context," and "context" interchangeably. The various contexts I am considering are arranged in table 2 from low to high level.

A further problem arises here as to method of presentation: is it better to begin with the low-level categories and proceed towards the entire movement,
Table 2

Levels, Formal Contexts, and Normative Lengths

<table>
<thead>
<tr>
<th>Level</th>
<th>Contexts &amp; formal names</th>
<th>Approx. normal lengths</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a)</td>
<td>segments (motivic segments, grouplets, and cadences; i.e., surface phenomena)</td>
<td>2 measures</td>
</tr>
<tr>
<td>(b)</td>
<td>phrases and groups</td>
<td>4 to 8 measures</td>
</tr>
<tr>
<td>(c)</td>
<td>small sections (themes, transitions, closing sections, etc.)</td>
<td>8 to 40 measures</td>
</tr>
<tr>
<td>(d)</td>
<td>large sections (exposition, development, recapitulation)</td>
<td>40 to 100 measures</td>
</tr>
<tr>
<td>(e)</td>
<td>entire movements (sonata form)</td>
<td>150 to 250 measures</td>
</tr>
</tbody>
</table>

or to reverse the process and start with the entire movement and work down?

This is not a small matter, since in order to discuss, for example, phrases, it may be necessary to discuss the contexts they occur in—for example, themes. A phrase in a theme may not have exactly the same model structure as one in a transition. That is, should phrases be discussed, while mentioning intrinsic phrase-level features, in terms of the larger context they occur in—for example, themes, or should themes be discussed in terms of the lower-level content they exhibit—for example, phrases? As long as the model for each level includes consideration of levels both above and below the one being defined—that is, in forming a model for, let us say, phrases, both segment and small-section levels, and possibly higher levels too, are incorporated—proceeding from high to low or from low to high will probably yield similar results, although via different routes. My general approach will be to begin with the low levels, working toward models of the entire movement.6
The approximate normal lengths in table 2 for each context are intended only as guidelines. They are more accurate for lower than for higher levels. Some movements will have these lengths doubled (e.g., 4-measure level [a]) due to tempo, etc.

I will begin the discussion of each formal context by defining that context in a general way, that is, without reference to higher levels. For example, a phrase would be first defined using a general model that would apply to all higher-level contexts in which all phrases would be found. In the discussion of subsequent levels, the definition of phrases would be refined to reflect specific types of phrases found in each context at each higher level; that is, the thematic phrase, the transitional phrase, etc., would each have more detailed definitions than the general one found in the discussion of the phrase level.

However, there will be certain contexts in which an accurate general definition is not possible without immediate reference to higher levels. For example, at the smallest level one way of identifying whether a segment is motivic rather than being a grouplet or a cadence is by the presence of connections between segments that might not be perceived as motivic when seen on their own (because their similarity is tenuous), but that are perceived as motivic because they are analogously placed in larger contexts. An event occurring at the beginning of the development might be seen as motivically related to another at the beginning of the exposition, whereas the same segments might not be seen in this light were they both in the exposition.

Since my use of levels is primarily a convenience for the presentation of definitions of terms, concepts, and models that will be used in subsequent chapters dealing with theoretical and analytical aspects of closing sections, rather than a theoretical end in itself, I will neither be concerned with formal
generation of each level nor with full discussion of all particulars of each level. Moreover, since it is the middle levels—(b) and (c)—as well as the exposition and recapitulation of level (d) that are most important to my discussion of closing sections, I will devote most of this chapter to a consideration of those levels.

The definition process will involve as many as three aspects, depending on the particular term under examination and the level being considered. First, the features from lower levels that combine to form the level being defined will be discussed: for example, a phrase would be defined partly in terms of types of motivic and cadential combinations. Second, in some cases it is necessary to invoke higher levels than the one being defined in order to obtain a general definition. A third part consists in isolating those traits characteristic of each level. Such traits can be noted in terms of patterning in four basic parameters (i.e., channels of structure): (1) harmony, (2) melody (linear pitch), (3) rhythm and meter, and (4) texture and timbre. I will assume a general understanding of these basic concepts as they apply to tonal music. Precise meaning for these terms will emerge in the definition of each level.

In summary, then, the definition process will consist of characterising each level by the harmonic, melodic, rhythmic, metric, textural, and timbral features found in each level as well as defining the relationship between levels.

Level (a): Segments

Motivic segments, grouplets, and cadences are the three types of segments found in level (a). There may be more than one, and more than one type, in a
given segment. This 2-bar level, the lowest I am considering, is comprised of shorter motives and grouplets, for example, 1-bar motives and 1-bar grouplets, which in turn are comprised of individual pitches and intervals.

Motives and motivic segments

A motive usually features a small number of linear (i.e., non-overlapping) pitches that form a unit due to their proximity in time and register. The pitches usually form a differentiated rhythmic pattern, they are expressed in a single texture and timbre, and they express one or two harmonies. A motive is commonly one bar long; a motivic segment usually has two 1-bar motives. (There is another type of motive several measures long—comprised of long notes—which often leads to the first type of motive; e.g., Symphony no. 41, fourth movement.)

A necessary characteristic of motivic segments is that they are subject to repetition and variation. While this happens to grouplets and cadences as well as to blocks of material on other levels, it happens there to a lesser extent, and is a primary feature only of motivic segments. In the case of exact or near-exact repetition it is clear that such a level-(a) event will be motivic. The less obvious the repetition, the more the need for reference to higher levels to demonstrate relationship between motive-forms.

A motivic segment, like most surface phenomena in Mozart's music, is usually found in the predominating top voice of a complex of voices. The types of textures in which motives are found are more varied than those of other surface phenomena. It is possible for a motivic segment to occur in several voices and even to be used polyphonically—for example in imitation. Some motivic segments may be used primarily as accompaniment while at times assuming a significant melodic role. Melodic and accompanimental motivic segments may or may not be related.
A segment is motivic if:

(1) it is immediately repeated and/or varied so as to give prominence to a particular melodic/rhythmic pattern;

(2) a non-immediate repetition occurs at (a) analogous places at higher levels, for example, at the start of two phrases, two small sections, or two large sections, in which case the motive may be substantially varied, or (b) non-analogous places at higher levels and the repetition is exact or near-exact (i.e., compensation for non-immediate repetition occurs either by contextual association of similar location within higher levels, or by close identity); or,

(3) it is transformed to fully occupy a timespan at a higher level through some operation that preserves the essential melodic/rhythmic pattern of the motive—for example, by augmentation.

An illustration of type (1) above is found in example 2, the Serenade in C Minor, K. 388. The segment from m. 5(3) to m. 7(2) becomes motivic through immediate sequence a third higher (oboe 1). Each segment is divided into two 1-bar suspension motives. The grouping of these suspension motives into motivic segments is created by several factors: (1) the second and fourth motives contain resolutions to tonic triad members, making them harmonically more important than the first and third motives; and (2) several details of orchestration contribute to 2-bar grouping, for example, the octave leap in bassoon 2.

An illustration of motive type 2(a) is found in the opening event—a phrase—of example 2, in mm. 1-5(2), which contains, in effect, two motivic segments, in mm. 1-3(2) and 3(3)-5(2). These segments become motivic through variation at mm. 22-26(2), where new motives are added; this is the start of a new small section—the transition. They are also motivic by reference to
mm. 130-134(2), the start of the recapitulation. The presence of exact repetition as well as the use of the motive at the start of a section at m. 130 make this occurrence more motivic than the variation at m. 22.

Part of the concluding segment in this phrase, in mm. 4-5(2), becomes motivic when transposed, harmonised, and varied with the addition of a trill in mm. 13-14 and 15-16. This is an illustration of type 2(b) above. Here, a concluding motive becomes an opening one at m. 13. The variation of this motive at mm. 10-12(1) is remote because it is an opening as opposed to a closing event and because it is varied in both pitch and rhythm. This is a type (3) motive because of the lengthening of and addition to the motive in mm. 12(2-3): it is transformed into a level-(b) event—the phrase in mm. 10-12. (The rests in mm. 9 and 12 isolate this event in the manner of a phrase, not of a motivic segment.)

Grouplets

A grouplet is a level-(a) segment which is either not repeated or is repeated only in a local context and in an obvious way, involving sequence and similar pattern formation. A motivic segment has long-range significance and a pervasive melodic influence. A grouplet, on the other hand, is only a local event and need not even be repeated. Whereas a motivic segment is normally characterised by a variety of rhythms and pitches, set off by rests from surrounding events, a grouplet usually has fewer note values (often either only one or a prominent one among two or three) and fewer significant pitches. (Although there may be many pitches, they are often merely scale or arpeggio patterns.) Also, grouplets often occur in immediate repetition without separation by rests. In general, a motivic segment is more interesting than a grouplet.
both intrinsically and also in how it is used. Whereas it is possible to speak of motivic segments as being normally two bars long, grouplets are more variable in length, within a range of one to three measures. A grouplet is typically composed of still smaller sub-groups, delineated by melodic or rhythmic factors.

The distinction between a motivic segment and a grouplet is not always obvious. While there are many segments which will be clearly one or the other, at times a segment may have some characteristics of a motive and some of a grouplet. For example, a segment might have the intrinsic features of a grouplet but be used in a more developmental way characteristic of a motivic segment. In short, there is a range of possible types of level-(a) non-cadential segments between the common extremes of motivic segment and grouplet.7

In example 3, from the Piano Sonata in B-flat Major, K. 333, all of the non-cadential segments in the first ten bars are motivic. Here the segments are separated by relatively long note values—that is, the dotted quarter-notes in the first three bars, or by subsidiary link material (in mm. 6 and 8) rather than by rests between motives, only one of which is found here, in m. 4. A gradual shift to grouplets begins in mm. 10(4)-14(2). The sixteenth-note linking material, a string of equal note values, is used in this variation of the opening four bars to weaken the motivic nature of mm. 12(3)-14, while at the same time there is no doubt that these bars are a variation of a previously-heard motive.

The statement of a motive three times in mm. 14(4)-17 is a different kind of weakening of motivic character. Here, although these three segments are intrinsically motivic, their overall motivic character is weakened because they are almost identical, immediately adjacent without being separated by rests or long notes, and used with a similar, simple cadential progression (F: V₄ → I). This is a relatively local indication of the fact that one must often go beyond

\[ V₄ \rightarrow I \]
the segment level to determine motivic character. Each individual segment is motivic but the way these three segments are used in the larger unit is not.

A segment which has some features of motives and some of grouplets may be termed a motive/grouplet segment. This is how I would describe the segments in mm. 14(4)-17. (The material here is discussed in detail in note 30 in reference to transition structure.)

The weakening of the motivic character of this area of the movement is further accomplished by the two grouplets in mm. 18-22. Each of the previous motivic segments and motive/grouplet segments began with an anacrusis and had a beginning and ending that were clear, except for the ending of the motive/grouplet segment in mm. 16(3)-18(1). The two grouplets in mm. 18-22 have no anacrusis and have beginnings and endings that are externally created rather than internally by cadences. That is, each of these two grouplets begins on a downbeat and ends on a downbeat three bars later (except for the extension here of the second grouplet through m. 22), overlapping with the start of the second grouplet in m. 20. Although these units have more features of grouplets than those in mm. 14-17, they are not as completely so as the model grouplets in mm. 39-40 and 41-42 (the latter are completely self-contained, in that they end on I, whereas the former can end only with the downbeat harmony, and thus involve overlapping, a feature not present in mm. 39-42). Also characteristic of these grouplets is the use of only two note values (and these not in combination but in separate bars), and the use of common figuration patterns, that is, the passage-work in mm. 18 and 20, which is found in many pieces. The use of low-level sequencing of the figure in mm. 18 and 20, forming a series of 1-beat long sub-grouplets, and the use of parallel tenths throughout are also common features. (Outer-voice parallelism is a feature of grouplets because it is the opposite
of the standard motive/accompaniment texture found in motivic segments; parallelism is thus a way of generating the equalized texture characteristic of grouplets.) Overall, then, there has been a gradual change from motivic segments to grouplets over these bars, mm. 11-22.

Cadences

Cadences are special types of grouplets—closing grouplets—that follow motivic segments. They are normally conventional formations, conventional in harmonic and melodic senses. Expansions of cadence norms are possible, as are expansions of other segment norms. Such expansions usually occur in the context of an expansion at level (b): for example, a phrase might be expanded from four to eight bars, with its cadence segment being expanded from two to four bars. Cadences may have motivic associations and may be preceded by (neutral) grouplets. Coordination of harmony, melody, rhythm, and texture is necessary for there to be a cadence. There are a limited number of harmonic and melodic closural patterns, mentioned below, that are used at cadences. Rhythmically, cadences occur at the end of higher-level units. The final chord is usually metrically strong, often on a downbeat (although, somewhat circularly, metrical strength at cadences, and meter in general, are partly defined by cadential accent and placement). The dimension of texture and timbre is the least variable at cadences. Essentially, one texture and one timbre must be maintained throughout the cadence. A change of texture or timbre during a cadence will not totally destroy the cadence but will weaken it to a certain extent.

This latter statement indicates that cadences are generally perceived to have varying degrees of strength or weakness, depending on the extent of coordination of the various dimensions and on the actual length of the cadence. A cad-
ence that uses only two harmonies over two beats in a common-time allegro will not be as strong as a cadence that uses several harmonies over several beats, or even, in extended cases, over several measures.

Some examples will serve to illustrate these characteristics; further examples will be seen later. A perfect authentic cadence (PAC) is found in mm. 9-10 of example 3. An imperfect authentic cadence (IAC) is found in mm. 8-9 of example 2. Half cadences (HC) are found in mm. 29-30 of example 3 (in F major), and in mm. 110-111(1) of example 1. Other types of cadences are rare.

Discussion of all segment types

While the discussion of cadential and non-cadential endings will assume greater significance at higher levels, a few more musical examples and comparisons with motivic segments and grouplets will help to clarify just what is, and what is not, a cadence. The central point is that cadences are endings. In general, the weaker the cadence, the more open-ended is the higher-level unit. All segments may be regarded as having some cadential properties, because all segments must have some kind of ending in order to be perceived as discrete events. Normally, however, the term cadence will be applied only to those level-(a) endings that exhibit coordinated closure in most dimensions.

In example 1, the opening segment of the allegro, in mm. 14-15(1), is motivic rather than cadential because the harmonic motion is very weak and because it begins a new theme in a new tempo. The next segment, in mm. 15(1)-17(2), is still primarily motivic but has some cadential features: the change of texture in m. 17 from the end of one segment to the start of another makes stronger the ending of the segment in mm. 15(1)-17(2). However, this textural change occurs
after the segment ends and therefore contributes to closure only by hindsight. (If the bass had F – B-flat in octaves on beats one and two of m. 17 the ending would be much stronger.)

There is a half cadence at mm. 20-21 of example 1 because (1) there is strong harmonic motion: the bass pattern 3→4→5 is frequently heard at strong half and authentic cadences, with the harmonies I6 – IV(or ii6) – V; (2) the melodic sequence in m. 20 arrives at 2 coordinate with the arrival of the dominant harmony, and the sequence breaks off at this point, the melody dissolving into a common passage-work figure; (3) the dominant harmony arrives on a downbeat, specifically, the downbeat of the eighth bar of the allegro (higher-level coordination will be discussed later); (4) these two bars are texturally unified; and (5) the single bass note in m. 21 punctuates the cadence.10

The musical surface may be seen as a series of segments of various kinds. Most segments have some degree of both melodic and harmonic activity: that is, it is rare to find a segment which has no melodic or no harmonic function. There is, instead, a melodic-harmonic continuum in which some segments have more melodic distinctiveness than harmonic, some segments about the same strengths of these two aspects, and some segments more harmonic than melodic strength. Essentially, those segments that are primarily melodic are likely to be motives or grouplets, and those which are primarily harmonic are likely to be cadences. It should be apparent that the motivic segment in mm. 14-15(1) of example 1 is primarily melodic rather than harmonic. A motivic segment may be defined as an event on the musical surface that is primarily melodic as opposed to harmonic.

Almost any segment, or fragment of musical material, may be motivic. As discussed above, motives tend to have a variety of note values and pitches, but sometimes the barest of material may be made motivic (e.g., the opening mo-
tive of example 2). The characterization of a segment as motivic depends both on intrinsic qualities—is the material interesting enough to be motivic?—\textsuperscript{11} and on extrinsic relations—where does the motive occur in higher levels; for example, does it begin a phrase?  

An achievement of the classical style lies in the balance between elements of the musical texture. The texture is neither devoid of motivic relationships nor is it saturated with them. A typical work by Mozart will have a variety of motives which will be used in a variety of ways, never dominating the texture. Local and long-range motivic relationships will be present, but will form only one aspect of the texture. Rarely will even a small section of a work be dominated by one motive or by motives in general. Usually a combination of new and old motives, grouplets, and cadences will exist in a balanced texture, the sort of texture characteristic of the late classical style.  \textsuperscript{12}

Level (b): Phrases, Groups, and Timespans

Phrases

The simplest model for a phrase in this music is that of a motivic segment leading to a cadence. Sometimes there may be more than one motivic segment, either linearly or vertically joined. In addition, initiating motives may be worked into the cadence. Usually, however, the motivic segment is of prime interest in a phrase, while the cadence serves to close off motivic continuation. That is, in the simplest case, where a phrase consists of a motivic segment and a cadence, one melodic function of the cadence is often to liquidate the preceding motives. This can best be seen in an illustration in which the cadence
is a lengthy one. In example 1, the phrase from m. 41(3) to m. 50(1) includes a sequence of a 1-bar motive (I x 3), a repeat of another 1-bar motive (1 x 2), and a 5-bar cadence from m. 46 to m. 50. This cadence begins with some undistinctive figuration which has some slight connection to previous motives, and concludes with a completely non-motivic bar of trill.

Of course, the cadence functions melodically to close the entire phrase, whether or not there are any motivic connections with the previous motive. This cadential function, as distinct from prior motivic functions, is best illustrated by a case in which the motive and cadence are separated by a rest or a link. In example 3, the phrase from m. 4(4) to m. 10 is made up of a 2-bar motivic segment, repeated with slight variations, and the cadence, in mm. 9-10, which in this case contains a varied form of the motive. See diagram 2. Here the cadence melodically closes the phrase by stating the motive an octave higher in the soprano voice, which previously had only an implied pedal tone on scale degree 5.

Diagram 2
Piano Sonata K. 333: Analysis of measures 4(4) to 10(1)
In addition to the motivic segment and cadence of a phrase being differentiated by motivic and generally by melodic means, there is usually differentiation by harmonic means. In the phrase discussed in the previous paragraph, it is clear that the first two statements of the motivic segment are non-cadential not only because of the F (5) left "hanging" in the soprano voice, but also because the harmonic motion is weak due to the use of inversions. The third statement puts the final dominant and tonic chords into root position, thereby making the cadence perfect authentic, and it does so in the normal bass register, in contrast to the two previous statements which were an octave higher.

The phrase represented in diagram 2 is a good example of a phrase that may be seen as an expansion of a 4-bar one. Here the expansion occurs as a result of the repetition of the 2-bar motivic segment. Omitting mm. 6 and 7 would produce a perfectly acceptable 4-bar phrase (mm. 4[4] combined with mm. 8-10) that would fit in well with the larger thematic context.

The demarcation of the end of a phrase by the cadence is normally unequivocal. A rest in one or more voices will even follow the cadence. The beginning of a phrase is usually also clearly indicated, often by a rest preceding the phrase. Normally a phrase is in one key, and has clearly defined tonal and melodic motions, the cadence being almost always authentic or half.

The normal motivic or cadential relationships may be altered when a motive is used at a cadence. In such cases the models for the normal uses of motives, cadences, and phrases are inapplicable. Another case requiring new models occurs when cadential material becomes motivic: when cadential segments become motivic, when material previously heard in a piece as cadential is used as motivic, or when material normally used in the style as cadential becomes motivic. A well-known example of the latter case is the opening of the trio from
the Symphony no. 41 (Jupiter), reproduced as example 4. Here the cart is put before the horse, so to speak: a motive masquerading as a cadence is heard first, and a motive incorporating a real cadence second. This would have been a particularly good example of the phrase model of "motivic segment plus cadence" if mm. 2(3)-6(1) were taken as the phrase. In order for Mozart's joke to be clear to the listener, the motive and the cadence must be more clearly distinguished as such than in the average phrase. That is, the average phrase has a process of gradual liquidation of motivic features leading from the motivic segment to the cadence, "motivic segment plus cadence" being somewhat a simplification of the phrase model.  

An example of material previously heard as cadential subsequently becoming motivic is found in example 1, at the opening of the development section, in mm. 66-69. The two 2-bar sequences are based on the final cadential bar of the closing section. What was first heard as ending a phrase (and section) is now heard as opening a phrase (and section). Because it now opens (and closes) as opposed to only closing, this material acquires more motivic significance, and the listener is more likely to hear the melodic thirds, for example, F-A-flat-F, and the octave leaps in the bass as motivic, that is, as based on motives in mm. 14-17 from the opening of the main theme.

Groups and timespans

A group is a level-(b) unit that incorporates two grouplets and is not punctuated by a cadence. Whereas phrases are internally closed, groups are open-ended and are often distinguishable primarily by association with immediately adjacent groups—particularly when a group is repeated—because groups lack the strong internal closure of cadences. See example 3, mm. 39-42, which
contains two identical grouplets.

In order to clarify the term group, and to distinguish it from phrase, I will introduce a third term--the timespan--which is not level-specific. Although it is possible to speak of timespans occurring at any level, it is at levels (b) and (c) that they are of most value in analysis. A timespan at level (a) would usually be equivalent to two measures. One may think of timespans as the next higher level of metric partitioning beyond the measure: as measures are divided into beats, so timespans are divided into measures; as measures have periodic alternation of strong and weak beats, so timespans have periodic alternation of strong and weak measures; as measures have phenomenological accents on their weak beats (syncopated beats), so timespans may have accented weak-measure downbeats.

Measures usually occur in a series where all measures are the same length (i.e., a movement is usually written in one meter throughout). Occasionally a bar or series of bars will be altered, aurally if not visually on the score, such that not all bars will be of equal length. Similar alterations in timespan series are more common. As will be seen later in the discussion of level (c), a series of timespans which features compression or expansion of its length may at times be normative.16

A timespan is more than just a collection of adjacent measures: it is a frame within which phrases and groups move. In these works of Mozart, timespans are delineated by a variety of factors. Typically, it is middleground harmonic criteria--that is, at levels (b) and (c)--that are the most important factors in creating timespans. One important reason for introducing the concept of timespan here is that timespans are often more prominent in closing sections than in other small sections. In particular, the relation between the events
and the timespans in closing sections is often one that is unique to the closing section. Since many of these pieces have similar relationships within the closing section, discussing timespan relationships is a way of focusing on some of the unique features of closing sections.

Although the main attribute of phrases, and to a lesser extent of groups, is a series of events, phrases and groups also have length, a length not necessarily identical to or coincident with the timespans of those phrases and groups. Phrases and groups will therefore be symbolized by lower case letters whether their events or their length are being discussed. Timespans will be symbolized by capital letters. Timespan A would be that associated with phrase or group a. The distinction between the length of a phrase or group and that of its associated timespan, while appearing at first to be a trivial one, is in fact quite useful for the analysis of this music. This should become clear later in the dissertation.

In example 1, the closing section timespan of mm. 50-65 is a 16-bar tonic unit: it is the final tonic prolongation. (The previous timespan concludes at the end of m. 49 and will be discussed later.) Other movements have closing sections in which the first phrase or group begins directly on the first beat of the first bar of the closing section timespan. That is, the timespan and group begin simultaneously, unlike in example 1, where the phrase begins on beat three of m. 50. The timespan is more obvious here than in other small sections of this movement because it begins independently of the melodic structure. Compare the beginnings of the other small sections of this movement. In the introduction, the timespan and events begin together (m. 1), as also in the main theme (m. 14). The subordinate theme begins at m. 30 with a melodic anacrusis in m. 29. However, m. 29 is primarily the end of a 16-bar unit begun in m. 14,
and therefore it is not likely that m. 29 would be heard as part of the subordinate theme timespan, which instead begins with m. 30. In m. 50, on the other hand, there is a different kind of anacrusis, one that takes place after the timespan has begun.  

The concluding event/timespan relationship is also often different in each small section of a movement. The main theme of example 1 concludes on beat two of the final bar of its 16-bar timespan, m. 29. The subordinate theme of example 1 concludes in the first bars of the succeeding timespan, m. 50. And the closing section concludes with the final bar of its 16-bar timespan, m. 65. In summary, each small section in the exposition of example 1 has a different event/timespan relationship. See diagram 3.

Diagram 3
Violin Sonata K. 454: Event/Timespan Relationships in the Exposition

<table>
<thead>
<tr>
<th>Main theme</th>
<th>events:</th>
<th>15½</th>
<th>timespan:</th>
<th>16</th>
<th>(mm. 14-29)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Subordinate theme</td>
<td>events:</td>
<td>21</td>
<td>timespan:</td>
<td>20</td>
<td>(mm. 30-49)</td>
</tr>
<tr>
<td>Closing section</td>
<td>events:</td>
<td>15½</td>
<td>timespan:</td>
<td>16</td>
<td>(mm. 50-65)</td>
</tr>
</tbody>
</table>

The relation of events to timespans is a factor in the delineation of function of units at all levels, notably at level (c). There are four 4-bar level-(b) units (a, b, c, d) in the closing section of example 1, corresponding
to the four 4-bar timespans (A, B, C, D) in mm. 50-53, 54-57, 58-61, and 62-65 (bar numbers indicate timespans). Each unit begins on the third beat of its first timespan, concluding on the first and second beats of the following timespan, except for the final unit, which ends in the fourth bar (m. 65) of its timespan.

There are three types of phrases or groups in this closing section. The first, found in the two groups in mm. 50-58, is the nearest to being a phrase, in that it is the normal 4-bar phrase length, it has a discernable melodic shape, it has some motivic interest, and it has a weak but distinguishable cadence—a cadence that brings the preceding material to a close. The second type, found in the two groups in mm. 58-62, is further removed from being a phrase in that it is only two bars long and contains only one bar of the barest of melodic material prior to the 1-bar cadence. The third type is the 1-bar cadence formula found four times in mm. 62-65. The term phrase should obviously not apply to the third type—the 1-bar cadence formula. Neither should it apply to the second type—the 2-bar group. It applies in a weakened sense to the first type, and it does so in part because the two phrases in mm. 50-58 form a period.

Devising new terminology to suit each type of group is not practical because there are so many types and because some types have some phrase features and might therefore at times be correctly regarded as phrases, as in mm. 50-58 of example 1. Instead, I will discuss groups in terms of the extent to which they have features of phrase structure. If the thematic phrase is taken as a norm for this style, then groups become phrases as they acquire more features of normal phrases. There is thus a continuum of possible group structures, varying with the number of phrase features present.
The terms group and phrase refer, in my approach, to motivic-melodic units, one distinction between the two terms being the extent to which the underlying timespan is prominent: the richer the motivic-melodic content, the less evident the timespan, particularly on the musical surface, and the more applicable is the term phrase.

A discussion of a theoretical case at an extreme end of the group structure continuum will help further to clarify my terminology. If phrases are characterized by melodic and harmonic activity on the musical surface, then all groups are to a certain extent phrases, because no musical surface is completely devoid of activity. However, the extreme example of a foreground unit without any melodic or harmonic motion would still possess one musical feature: it would be a prolongation of a single harmony for the duration of that unit. In other words, such a group would be a timespan.

In a given level-(b) unit, the greater the number of phrase features the more applicable is the term phrase. The smaller the number of phrase features the more applicable is the term group. Timespans are always present, but their presence may be masked as the number of phrase features increases.19

Level (c): Small Sections

Phrases and groups combine to form small sections such as themes, transitions, and closing sections. The division of movements into a variety of differently functioning small sections is more apparent in music of the classical period than of other periods. Sonata form could not have arisen without this characteristic feature. Levels (a) and (b) of sonata form tend to be perceived
in the context of small sections (notwithstanding prominent exceptions such as motivic relationships at higher levels). And in conceptualizing an entire exposition or recapitulation we tend to relate the small sections of which it is comprised.

This special nature of small sections has to do with a higher degree of closure of small sections. Each level of sonata-form structure is itself closed, but because of relationships between levels, small sections are more closed than are others. A phrase may itself be closed, but because it is usually adjacent to like phrases, it is the unit—for example, a theme—on level (c) that is perceived as being more closed. And because small sections tend not to be adjacent to other similar small sections, closure at level (d) is not as great as at level (c). In summary, level (c) differs from other levels in the greater differentiation of its units, a differentiation so great that level (c) has more types of commonly-occurring units—themes, transitions, etc.—than does any other level. At level (d) then, within each type of large section there are no similar small sections. (For example, an exposition is comprised of a series of different small sections.)

A small section is not closed merely due to a strong cadence at its end. It is the relation between units within a small section that creates the strongest closural forces. In general, closure of a small section is dependent upon a strong cadence at its conclusion; a strong goal-directed harmonic plan, such as the interruption model of Schenker; and elimination of motivic continuation. The more of these factors that are present, the stronger closure will be. If, for example, a theme ends with a half cadence rather than a perfect authentic one, this will obviously weaken the closure of the theme. In such cases, other factors may balance the weakened sense of harmonic closure. At times, closure will be
affected by relationships between, and by location of, small sections: this will be discussed below as to level (d).

Small sections are functionally different because of the different kinds of units within them and the relations among those units. Position-finding within sonata-form music is made possible by differently functioning sections that occur in standard sequences, coupled with a more-or-less fixed tonal plan.

I am more concerned with expositions and recapitulations than with developments because closing sections are part of the two outer sections. In addition, the development tends not to be divided into small sections as clearly as the other two large sections are, and Mozart's development sections often tend to be short enough to be the length of small sections. For these reasons I will deal here, with respect to level (c), with small sections of expositions and recapitulations. I will leave the issue of recapitulation forms of exposition small sections to the discussion of level (d), where recapitulations will be dealt with in their entirety.

The small sections will be discussed in the following order: themes, transitions, retransitions, codettas, closing sections, codas, and introductions. It should be noted that in some pieces these small sections combine to form larger parts that are shorter than large sections. In such pieces there will be a level between that of the small section and that of the large section. This will be discussed in connection with level (d), although some shorter pairings will be mentioned here.  

Themes

Four different categories of themes will be considered here: sentences, periods, small ternaries, and unique structures. The models I use for the first
three are largely based on previous work in thematic and formal theories of classical period music, in particular on an approach used mainly by many twentieth-century German and Austrian theorists.21

Thematic structures are used, obviously, in those small sections termed main theme (MT), or first theme, and subordinate theme (ST), or second theme. They are also sometimes used in varied form in the other small sections. It is important then to distinguish between the thematic models—sentence, period, and small ternary—and the thematic small sections—MT and ST. I will discuss the models in some detail here because they are used throughout the sonata form.

Two generalizations may be made concerning thematic small sections: (1) modulations do not normally occur in them, and (2) tonalities may be specified: major mode expositions have the MT in the tonic, the ST in the dominant, with the recapitulations having both themes in the tonic; minor mode expositions have the MT in the tonic, the ST in the relative major, with the recapitulations having both themes in the tonic.

Sentence. The model for the sentence is shown in diagram 4. The normal 8-bar length is sometimes doubled to sixteen bars, and variants occur which involve lengths other than these. Some examples of common motivic structure are noted in diagram 4. The motive-forms of mm. 3 and 4 of the sentence are often varied with respect to the motives in mm. 1 and 2 to conform to minimal harmonic alterations which may, at times, give the (false) impression of cadences. That is, commonly the first 2-bar unit moves from tonic to dominant with the second unit reversing this motion, the motivic alterations being only those required to have the second unit conform to the change in harmony. Normally, however, cadential implications will be weakened by the use of inverted harmonies. (A
Diagram 4

Sentence Model of Thematic Structure

<table>
<thead>
<tr>
<th>Phrase/group length, level (b)</th>
<th>4</th>
<th>+</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Segment length, level (a)</td>
<td>(2 + 2) + (1 + 1 + 2)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Motives</td>
<td>a  a  a^1  a^1  b</td>
<td></td>
<td></td>
</tr>
<tr>
<td>or</td>
<td>a  a^1  b  b  c</td>
<td></td>
<td></td>
</tr>
<tr>
<td>or</td>
<td>ab  ab  ab^1  ab^1  c</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Harmony and cadences</td>
<td>I - V  V - I  I - - - -  PAC or HC</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The common bass line for the first four bars is \(\uparrow-\downarrow, \uparrow-\downarrow\). This means that the first half of a sentence may be (1) a phrase, if the second unit ends with a strong enough cadence, or (2) two 2-bar phrases, if the cadential implications in mm. 2 and 4 are both strong, or (3) a group having motives instead of grouplets, and therefore being more like a phrase without a cadence.

The second half of the sentence, while possessing the clear timespan and motivic division \((1 + 1 + 2)\), is unified into one phrase by harmonic and melodic means. Usually the second half contrasts with the first by having a more active harmonic structure, if only because of the strong cadence, and this more active harmony is usually articulated by a more active bass line. Whereas the harmony of the first half of the sentence is usually characterized by the mere interchange of tonic and dominant, the harmony of the second half is usually strongly goal-directed. Whereas the first half presents the main motive in two closely-related forms, the second half develops the motive, often in fragmentation, that is, as \((1 + 1)\), or presents contrasting material.

A good illustration of a sentence is given in example 5, the main theme from the String Quartet in A Major, K. 464. The doubled length—sixteen bars
instead of eight—is mitigated by the shorter bar length—$3/4$ instead of the usual $4/4$—and by the obvious grouping of bars into 2-bar timespans (mm. 1-2, 3-4, etc.), so that the theme could easily be heard as eight bars of $6/4$.

Motivically, this theme could be represented as follows:

$$ (4 + 4) + (2 + 2 + 4) $$

The $a$ and $b$ motives are combined in the first half, forming two 4-bar phrases which alternate tonic and dominant as in the model, having very weak cadences. The $a$ motive is separated from $b$ and sequenced in a varied form in mm. 8(3)-12(1) and is used in a lengthened variation in mm. 12(3)-16. The bass of the second half of the sentence is more active than the first, illustrating a common pattern in which it rises stepwise from $\uparrow$ to $\uparrow$, cadencing on $\uparrow$. The second half of this sentence is one phrase.

**Period.** The second type of thematic structure I am considering as archetypal is the period. See diagram 5. The essential features of a period are (1) the balance between, and similar structure of, the two phrases, created by parallel motivic structure ($a \ldots + a \ldots$) and equal length of phrases, and (2) the use of two cadences, the second of which is stronger than the first. There are a number of different possibilities for motivic and timespan structure within phrases, some of which are shown in diagram 5. However, more important as an essential feature than the internal structure of each phrase is the motivic parallelism between the beginnings of the two phrases, if not between the entire two phrases.

Like the sentence, the period is sometimes found doubled or otherwise altered in length. In some of these cases, there may be four 4-bar phrases
Diagram 5

Period Model of Thematic Structure

<table>
<thead>
<tr>
<th>Phrase length</th>
<th>4</th>
<th>+</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>Motives</td>
<td>a</td>
<td>a(^1)</td>
<td>a</td>
</tr>
<tr>
<td></td>
<td>a</td>
<td>b</td>
<td>b(^1) (or a . . . c)</td>
</tr>
<tr>
<td>Harmony and cadences</td>
<td>I</td>
<td>HC</td>
<td>I</td>
</tr>
</tbody>
</table>

instead of two 8-bar ones; such structures may be termed **double periods**. In these cases the first and third phrases will have weaker cadences than the second phrase, which will in turn have a weaker cadence than the fourth phrase. (See example 3, mm. 23-38.)

Unlike the sentence, the period is a more stable, less developmental structure. This is due to the period's parallel phrase structure; the sentence, on the other hand, has a built-in imbalance of timespan, motivic, and harmonic structures. The repetition of motives in the period occurs over eight bars (\(a . . . + a . . .\)); the sentence does this in four bars and then develops or contrasts this (\(aa, a\(^1\) or b\)). The first half of a sentence in fact often resembles a period. (See example 1, mm. 1-4, which if taken out of context might be considered to have many of the features of a period.)

A further cause of stability in the period is the usual presence of an interruption (in the Schenkerian sense).\(^{23}\) That is, the melodic-harmonic structure of the two phrases is normally as follows:

\[
\begin{align*}
\hat{3} - \hat{2} & | \hat{3} - \hat{2} - \hat{1} \\
I - V & | I - V - I
\end{align*}
\]

This creates strong closural forces at the small section level, forces usually absent from the sentence, which rarely has such interruption structure. This
correlates with my observation that sentences are more characteristic of main themes than of subordinate themes and that periods are more characteristic of subordinate themes than of main themes; in other words, the more open structure—the sentence—is more common at the start of an exposition, while the more closed structure—the period—is more common towards the end of the exposition. (My observations regarding distribution of thematic types are cited in note 28.)

An illustration of the period model will be found in example 6, the theme of the Piano Sonata in A Major, first movement, K. 331, mm. 1-8. This theme embodies most of the features of the period as discussed above. (The period is found in mm. 1-8; the remainder of the theme quoted in example 6 will be discussed shortly.) The internal structure of the two phrases is as follows:

\[
\begin{align*}
\text{a a b} & \quad \text{||} \quad \text{a a b}^1 \\
1 + 1 + 2 & \quad \text{||} \quad 1 + 1 + 2
\end{align*}
\]

The antecedent-consequent construction is very clear.\(^{25}\)

**Small ternary.** The third type of thematic structure is the small ternary form. This is not seen nearly as often in sonata-form movements as the period and the sentence, it being more commonly used as the form of the theme in theme and variation movements, and as the form of minuets and of trios. See diagram 6. The first A-subsection is often a period, sometimes a sentence, usually ending with a PAC in the dominant or in the tonic. The B-subsection contrasts both harmonically and motivically with the A-subsection, always ending on the dominant, if not being entirely dominant prolongation (but not modulating to the dominant, or to any other key). The A\(^1\)-subsection is usually a repeat of part or all of the A-subsection, and nearly always begins on the tonic, thus emphasizing the return to the tonic and to the original motive-forms. The small ternary is
therefore different from the period and the sentence in that it is normally twice as long as the other two types. In addition, the B-subsection contains more of a contrast than is found within either the period or the sentence. In particular, the B-subsection may contrast texturally with the A-subsection, and such contrast is normally missing from the other types of themes.

An illustration of the small ternary form is found in example 6. The A-subsection, in mm. 1-8, is a period as discussed above. The B-subsection, in mm. 9-12, contains the bare minimum of motivic and harmonic contrast to the A-subsection. One reason for the small harmonic contrast in B is that A was itself entirely diatonic, even ending on the tonic as opposed to ending on the dominant as is seen more often. Therefore, the fact that B ends on the dominant, weakly tonicized with the only chromatic note in the theme, is sufficient contrast here. The $A^1$-subsection is similar to the second phrase of the period, and a 2-bar codetta, or cadential extension, based on mm. 15-16, is added. The $A^1$-subsection differs from the model in that it is not four bars long, although it is clear here that the final two bars are an extension (i.e., $A^1$ is $[4 + 2]$). A wide range of variation in $A^1$ is found in the small ternary form: it may be a full repeat of A, sometimes even with an extension.
Unique themes. Thematic structures which are not sentences, periods, or small ternaries, or relatively close variants of these three, fall into my fourth category, that of unique, or original structures. Obviously, all of Mozart's themes are unique and original in the broad meanings of the terms, but those which are not based on one of the three models perhaps deserve the terms unique and original in a special sense. In addition, this category includes those themes which are remote variants of the three models and those which are based only in part on the models. Of course there is no model for this fourth category: there is instead a wide range of possible structures, all of which are closed, but looser in structure than the three models. They must be closed in order to be thematic. This category applies only to the two thematic small sections (MT and ST); the other three types may be found in other small sections.

The full range of thematic structures is summarized in table 3.

Table 3

Summary of Thematic Structures

<table>
<thead>
<tr>
<th></th>
<th>Thematic model</th>
<th>Thematic function</th>
<th>Used as MT, ST</th>
<th>Used only as MT, ST</th>
<th>Also used in other small sections</th>
</tr>
</thead>
<tbody>
<tr>
<td>Period</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Sentence</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Small ternary</td>
<td>x</td>
<td>x</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
<tr>
<td>Unique themes</td>
<td></td>
<td>x</td>
<td>x</td>
<td></td>
<td>x</td>
</tr>
</tbody>
</table>
Most main themes are based closely on the thematic models. However, subordinate themes depend less on models and have a wider range of possible structures.

Transitions

Transitions differ from thematic small sections in that transitions are subsidiary as opposed to primary small sections, and also in that there are no models that account for their melodic, rhythmic, and harmonic features. Transitions have a subsidiary function because their features are looser in construction than are those of themes. (This is particularly apparent in that transitions follow main themes, which have closed constructions.) The fact that transitions cannot be explained by models means that it is more difficult to present an overall view of transitions.

The looser construction of transitions is generated by the following normative features:

(1) In those cases where a thematic model is used for all or part of a transition, the model will invariably be radically altered in its projection into a transition. Regardless of whether any thematic model is used, the segment structure will be looser because (a) both motivic segments and grouplets will be used, together with both phrases and groups (there will often be a shift from one to the other, usually motivic segments and phrases becoming, respectively, grouplets and groups), and (b) motivic associations within the transition will be weaker, to the point where each phrase/group may have different motives/grouplets, and there may be motivic associations with both the preceding main theme and the succeeding subordinate theme. In short, the transition usually has a series of motives/grouplets based on unrelated materials.
(2) Transitions include a modulatory function, although this function is often attenuated in the recapitulation form of the transition. (The fact that there are often two quite different forms of the transition—an exposition form and a recapitulation form—is another reason why there are no models for transitions.) Whatever the nature or extent of the modulation, such modulation means that the transition will be open-ended, as opposed to closed, as is the norm for thematic small sections. All transitions are open-ended, no matter how weak or strong the modulation is. This open-ended feature is usually preserved in recapitulation forms of transitions: where the transition ends on V/V in the exposition, it will usually end on V in the recapitulation; where it ends on V in the exposition (i.e., where there is no modulation), it will usually be rewritten in the recapitulation so that it still ends on V. Rarely will such a transition not be altered in the recapitulation, even though there is no apparent need for such alteration.

(3) The timespan structure is not uniformly periodic ("periodic" here meaning successions of equal-length units). Whereas the thematic models employ timespans that are periodic at both the 2- and 4-bar levels, transitions are not entirely governed by such patterning on any timespan level. Normally, a regularity is established, often at the 2-bar level, at the beginning of a transition (for example, based on the main theme opening). This regularity is then upset at some point, and is followed by a series of unequal timespans, in addition possibly to some short successions of similar timespans.

In summary, the melodic structure, the harmonic structure, and the timespan structure of transitions are all intrinsically irregular, at least in that they all contrast with the more regular structure of the first theme. This complex of irregular structures is responsible for the loose, open nature of
transitions.  

Retransitions

Retransitions are short, subsidiary small sections that connect a small section in the secondary key (or other non-tonic key) to a small section in (or starting in) the tonic key. One type occurs immediately after the exposition's closing section. A second type is found at the end of the development section, leading to the main theme in the recapitulation.

The first type occurs infrequently, but is of most relevance here because it follows immediately upon the closing section, often being connected to the closing section in some ways. It is normally very short, and hardly rates the designation small section. However, its function is an important one, and it clearly does not belong to either of the adjacent small sections. Normally, it occurs before the repeat sign of the exposition, and may have two different endings, one to return to the tonic key and the repeat of the main theme, the second to proceed to the opening key area of the development section. In the recapitulation, such retransitions are either omitted or rewritten to lead to a coda.

Neither example 1 nor example 2 has such retransitions. In example 7, from the String Quartet in C Major, K. 465, the retransition is found between mm. 99 and 106. In addition to having the usual harmonic function of converting the tonic of G major into the dominant of C major, it includes a development of the opening main theme motive, here sequenced in the bass voice. The retransition begins by overlapping the end of the closing section; however, it is not part of the closing section and is not closural in function because it is not in the same key as the closing section (in fact it is not in one key; rather, it modulates), and because it is distinct from the closing section by virtue of
different motive-forms and texture (e.g., the cello solo in mm. 99-104 and the monophonic texture in mm. 104-106 are unique to the retransition). This retransition does not have two endings because the development section begins not on the usual dominant but on a dominant of the subdominant, replacing the tonic opening of the main theme. In the recapitulation (not included in example 7), the retransition is transposed to the tonic, altered slightly at its end, and leads to a coda. 32

Three types of closing music

Before discussing each type of closing music in detail, a brief summary of the terms involved may be helpful. Obviously, the small section known as the closing section may end both exposition and recapitulation. Closing sections are often composed of codettas, which in turn often combine forming a codetta-complex. Closing sections are normally composed of a codetta-complex, but may at times include material based on the thematic models. Codettas and codetta-complexes are also used elsewhere in the sonata form, that is, as appendages to themes, in the development section, and in codas. Codas occur after the recapitulation and are usually formed of codettas. Closing sections, codettas, codetta-complexes, and codas are all level-(c) units; codetta-complexes are simply larger level-(c) units composed of two or more codettas. These types will be discussed in the following order: codettas and codetta-complexes, closing sections, and codas.

Codettas and codetta-complexes

Codettas and codetta-complexes are subsidiary small sections, normally of short length in the case of codettas (about eight to sixteen bars), and
somewhat longer in the case of codetta-complexes (about sixteen to thirty-two bars). They function in one of two ways, depending on their position in the sonata form: (1) they may occur singly, as appendages to primary sections, normally as codettas to themes; and (2) a codetta may combine with other codettas to form larger, more independent small sections called codetta-complexes, possibly in place of or following a subordinate theme, and as part or all of a closing section or coda.

The identification of a codetta or codetta-complex is dependent upon its internal features and on its relation to (1) the theme it follows, or to (2) other codettas with which it combines. (One example will demonstrate how codettas depend on other sections: if, in function [1], the theme ends on the dominant, the subsequent material might be regarded as part of the theme; but if the theme ends on the tonic, the subsequent material might be regarded as a codetta, other factors being the same.)

A necessary component of codettas is a level of harmonic stability usually greater than that of themes, to the point where codettas are often characterized either in whole or in part by a pedal. Internal harmonic motion is usually limited to simple progressions, often merely alternation of tonic and dominant. A feature of many codettas is tonicization of the subdominant, often over a tonic pedal. Tonicization of the dominant is not found in codettas. (This distinguishes codettas to main themes from transitions that follow main themes: a main theme codetta might tonicize IV but not V, whereas a transition would tonicize V.)

The timespan and group structure is usually very regular, that is, in units of two and four bars. Pairings of groups of similar timespans and motivic/grouplet structure is common. Groups are more commonly used than are phrases.
And while grouplets are more commonly used than are motivic segments, motivic associations with the previous theme or adjacent codettas are common. However, the character of a codetta as determined by its internal features is the most significant factor in determining its function as a codetta. The grouplets used are normally cadential, short, and repetitive.

Closing sections and codas are often made up entirely of a series of codettas. In such cases the codettas function as building blocks of complete small sections. Often in such cases the codettas are used in specific patterns, as will be discussed below.

Codetta-complexes sometimes become amalgamated with other small sections. That is, the codetta function is present as part of a multi-function small section instead of having expression in a discrete small section of its own. This occurs particularly in the small sections of the second key area.

Illustrations of codetta-complexes follow, beginning with an instance of the type noted in the previous paragraph. In example 2, the codetta-complex in mm. 67-94 is comprised of an 8-bar codetta, repeated with an extension, that is, \(8 + (8 + [4 + 4] + 4)\). It is interesting that although the two 8-bar codettas have some features of the sentence model—for example, their internal structure is \((2 + 2) + (1 + 1 + 2)\)—they are not thematic in function because they involve throughout a heavy emphasis of the subdominant, and because they lack substantial melodic-motivic material. The first sixteen bars are based on only one motivic idea, with many rests: it is clear that these measures could not serve a thematic function. However, these codettas do show how thematic models may acquire different functions, according to how they are used.

The issue in mm. 67-94 is whether the codetta-complex functions as a subordinate theme codetta-complex or as a closing section. In this case it has
both functions. These measures do form the final small section of the exposition, and to that extent they form the closing section. There are other reasons why they are a closing section, as will be discussed below. They form a subordinate theme codetta-complex because they directly follow the subordinate theme, which lacks the usual expanded cadential progression. The codettas are also somewhat more active than would be the case in a normal closing section, in part because the sentence model is used. (Sentences are not common in closing sections.) And the subdominant tonicization is more common to codettas following themes than to codettas in closing sections.

An illustration of a codetta-complex forming a closing section is found in example 1, in mm. 50-65. As discussed above in connection with groups and timespans, there are four 4-bar units that form this closing section. The first two, in mm. 50-58, are phrase/groups that form a codetta by virtue of their similar content and by the nature of that content (as previously discussed). The second two, in mm. 58-65, are a series of successively shorter grouponets (first 2- then 1-bar long), forming one codetta by virtue of very similar melodic-motivic content and harmonic-rhythmic patterning.

An illustration of a typical conclusion to a movement is also found in example 1. The closing section in the recapitulation is expanded with respect to the exposition form: mm. 135-146 are similar to mm. 50-61, and the remaining measures of the recapitulation are an expansion of the closing section with a further series of codettas. New codetta-function features of this form of the closing section include a tonic pedal and subdominant tonicization.
Closing sections

This part of chapter 2 will serve as an introduction to the internal structure of closing sections. A discussion of the relation of the closing section to other small sections in the exposition and recapitulation will be found in Level (d): Large Sections, later in this chapter. Subsequent chapters will focus on analysis of several closing sections and the functions of closing sections within expositions, recapitulations, and entire movements.

Generally speaking, on the one hand there are certain recurring patterns and features in many closing sections, and on the other hand some movements have unique closing sections. I have classified closing sections into four types, on the basis of recurring internal structural patterns:

1. **The closing model.** See the discussion of this type in chapter 1, pp. 7-8. The following adds to that discussion.

   It is important to note that all units in the closing model (i.e., level [b] units) are groups. Obviously, the units of the first pair—aa—are groups. While b and c are shorter, they too are groups—of reduced length—rather than grouplets or subgrouplets on level (a). The closing model thus incorporates a shift in perception of normal group length, thereby contributing to closure by reducing the length of timespans (and reinforcing this reduction through repetition) and reducing the material—that is, the groups—in the timespans.

   The closing section of example 1 was discussed earlier in order to show the different types of level-(b) structures. While it is possible to see four 4-bar level-(b) units and timespans here, the view from level (c) shows clearly not only the pairing of groups but also the reduction in group and timespan length: material that was four bars long is compressed into two bars, then into one bar. It is preferable to see a series of progressively shorter units rather
than four equal-length ones here.

The closing section of example 2, in mm. 66-94, also functions as a subordinate theme codetta. (This was discussed in connection with "Codettas" above.) Part of the reason it functions as a closing section is that the sense of closure is enhanced through use of the closing model. See diagram 7. \textsuperscript{34} This closing section differs from the model in its doubled length, in the relatedness of the second pair of groups to the first pair, and in the different structure of the third "pair."

\textbf{Diagram 7.}

\textit{Serenade K. 388: Closing Section}

\begin{tabular}{cccccc}
Measures: & 66 & 74 & 82 & 86 & 90 \\
K. 388: & (8 + 8) + (4 + 4) + (1 + 1 + 1 + 2) & a & a & a & b & b & b & b \\
Model: & (4 + 4) + (2 + 2) + (1 + 1) & a & a & b & b & c & c \\
\end{tabular}

\textsuperscript{(2)} \textbf{The closing codetta.} This type is usually only a few bars long, and often functions more as a final codetta to the entire subordinate theme area than as a separate small section. Longer examples may have a more independent status. This type has the features of codettas, as discussed above. A clear illustration will be found in example 8, from the Piano Sonata in C Major, K. 309. The subordinate theme, in mm. 35-54(1), incorporates a significant and typical expansion in mm. 43-54(1) using three statements of an expanded cadential progression. Note also the increase in surface rhythmic activity and the trill (m. 53). The closing section, in mm. 54(2)-58, is comprised of two statements of a simple cad-
ential pattern. It might be possible to see this closing section as a highly truncated closing model: instead of three pairings as in the model, here there is only one.

The recapitulation form of the closing section is also shown in example 8 in mm. 148(2)-155. Aside from the transposition and one chromatic alteration (m. 150[2]), there is an insertion of (a) a reference to the opening motive of the main theme, in mm. 152-153(3), a motive which was heavily used in the development section, and (b) additional cadential material, in mm. 153(4)-155.

(3) The closing theme followed by the closing codetta. In this uncommon type, there is a short, simple period with a shorter codetta added to it. The distinction between this type and the closing model is that here there are normally only four phrases or groups, not six, and the first two phrases are distinctly more theme-like—that is, they are phrases, not groups—than the first two groups of the closing model. In addition, the closing codetta is clearly an addition to the closing theme—a closing theme codetta—as well as a codetta within the closing section. In order for the theme to be a closing theme as opposed to a second subordinate theme, it must occur after the expanded cadential progression. There will often be a reduction in surface rhythmic activity marking the beginning of the closing theme.

Most of these features are seen in the closing section of example 9, from the Piano Sonata in B-flat Major, K. 570, mm. 70-79. The timespan and events of the subordinate theme conclude with m. 69, and the closing section comprises a simple 8-bar period, (4 + 4), followed by a 3-bar codetta, ([1 + 1] + 1). The recapitulation form is the same, except of course for the necessary transposition.

(4) Unique procedures. A number of works either have closing sections that do not fit any of the previous three categories, or have closing sections
that are extreme variants of one of these types. Often these unique procedures are found in connection with unusual subordinate themes; that is, the entire second-key area will be unique in such works (e.g., the Symphony no. 35, discussed in connection with Level (d): "Expositions," and in chapter 6.)

Codas

As discussed above in "Three types of closing music," codas may occur after the recapitulation section. In such cases, they are usually found after the development-recapitulation repeat sign. That is, in the instances where the repeat structure is \[\text{Exposition:} \text{Development-Recapitulation:} \], the coda is not repeated. In such cases, the recapitulation ends with the transposed closing section, the coda following immediately or after a brief link. When the coda follows the repeat sign it will usually be a substantial new small section of about twenty bars length. Mozart's codas are always small rather than large sections. They are never the size of, and they never have the function of, for example, some of Beethoven's codas (such as that in the first movement of the Piano Sonata in C Major [Waldstein], op. 53, where the coda is a large section).

Extensions of the closing section in the recapitulation are sometimes found: these will be quite short and not true small sections. They will be discussed here because of their similarity to codas. Such extensions vary from one or two additional tonic chords to one or two additional groups. The material will be clearly similar to the closing section material, if not actually being repetitions of the final closing section groups. Anything longer than two groups, having material not so closely related to the closing section, will likely be a coda proper.
There are also movements in which the second key area is rewritten in the recapitulation such that it is difficult to identify what might constitute a coda. One of the functions of a coda (as well as of both closing section extensions and rewritten second key areas) is to give the recapitulation a different ending from that of the exposition, this being one way in which the two large sections are differentiated.

Relatively few movements—perhaps about one-quarter—have codas. To a certain extent the presence of a coda seems to depend on genre: for example, codas are more common in the string quartets than in the piano sonatas. Of the ten string quartets, half have codas; of the twelve piano sonatas, only one—K. 457—has a coda.\(^{35}\)

All four string quintets have substantial codas. Of the ten symphonies (nos. 31–41, omitting no. 37), eight have either a coda or a closing section extension, the latter being more frequent. (Numbers 35 and 38 have neither.) Some movements involve a rewritten second key area with some sense of a coda (e.g., nos. 31 and 34), and two have an extended closing section that is close to being a coda (nos. 39 and 40). That true codas are not common in the symphonies may have some connection with the repeat structure of the movements: numbers 31–35 have no repeat signs; numbers 36, 39, 40, and 41 repeat only the exposition. A separate coda small section is more common in works which repeat both the exposition and the development-recapitulation, such as in three of the four string quintets (K. 516, 593, and 614). Where the development-recapitulation is repeated, the closing section must be written so as to lead back first to the development: any suggestion of a coda must therefore be avoided until after the repeat sign. Where the development-recapitulation is not repeated, the closing section can be extended for greater closural effect, and a separate
coda is not as likely in these cases. Here the revised closing section attains some of the function of a true coda because similar features are found in both.

In movements where a coda follows the closing section, the closural function is found in both of these small sections. In such movements the coda does not replace the closural function normally found in the closing section, but adds to it: such codas stand slightly outside of the large sections of the movement and, in fact, close the whole movement. It might be suggested that, in such cases, the closing section functions only to close the large section: however, the closing section in these cases is not radically different from the closing section in movements without a coda, where the closing section effectively closes both the large section and the whole movement. There are a few differently constructed movements in which the closing section is absent, or nearly so, from both the exposition and recapitulation, and in which a coda fulfills the missing closural function (e.g., the Symphony no. 39).

Codas and extended closing sections have similar features: codas simply have more of the same codetta features than do extended closing sections. These features are the ones usually found in codettas and closing sections: tonic prolongation, repetition of simple cadential patterns, regular periodic timespan structure, use of groups rather than phrases, and limited use of motivic reference.

Example 10 includes the closing section from the exposition, followed by the closing section from the recapitulation, and then the coda, from the Piano Sonata in C Minor, K. 457. The two forms of the closing section are very similar, in mm. 59-71(1) and 156-168(1). The 18-bar coda is one of the more substantial ones, not only in length but also in content. It features an imitative development of the opening main theme motive, a development that was prefigured
in the retransition, in mm. 71-74, and in the revised transition, in mm. 118-120 (not shown in example 10). The exposition, development, recapitulation, and coda all begin with this arpeggio motive on C, and this lends more weight than is usual to the coda. In addition, it might be suggested that the length and substantial content of the coda might give it enough weight to balance the 25-bar development section. (The coda often has this function in Beethoven's works, as in the Waldstein Piano Sonata.) This interpretation is weakened because the development acquires more importance through its repetition, whereas the coda is heard only once.

This coda has the usual codetta and closing section features, although the first eight bars—constructed as (2 x 4)—are more active than usual. The following six bars, mm. 176-181, are made up of two segments—(3 x 2)—and the final four bars are tonic prolongation. The coda supplies one feature missing from the exposition and recapitulation: normally the expanded cadential progression concludes with a bar of trill immediately before the closing section. This feature, missing from mm. 58 and 155, is found in m. 175.

Introductions

In the works I have analysed, introductions are separated from the main part of the movement by (1) a different tempo (the introduction is always in a slow tempo, the subsequent part in a faster tempo), (2) a different meter (e.g., in the Symphony no. 36 the introduction is in 3/4, the subsequent part in C), (3) a pause at the end of the introduction, (4) the fact that the introduction is not included in the repeat of the exposition, and (5) the fact that the introduction is not part of the sonata form, and often does not have motives or other features in common with the sonata form. These factors suggest that introduc-
tions are not always part of the first movement, and I will not consider introductions in any depth, even at level (e), unless a clear relation is apparent with the sonata-form part of the movement, and, specifically, unless the introduction has some connection with the closing section.38

Level (d): Large Sections

Expositions

The most important four small sections discussed above in connection with level (c) combine in the following order to form the usual model of exposition structure: main theme, transition, subordinate theme, closing section (MT-TR-ST-CS), alternating primary and subsidiary small sections. This model applies well to approximately one-third of the expositions I have studied. These expositions involve all four small sections used in normal ways. The exact relationship between lengths of individual small sections is subject to great variation, appearing therefore to be one cause of the uniqueness of individual movements. However, a small section will rarely be more than twice the length of any other small section in a given exposition. More commonly equivalent in length is the MT-TR pair compared with the ST-CS pair. The second half of the exposition is often slightly longer than the first half. Exposition length is not a factor in either the length of small sections or the degree of applicability of the model.

Absolute length is, however, only one factor in evaluating the significance and influence of these small sections. The shorter length of the tonic area is balanced by the usually tighter construction of the main theme compared
Diagram 8

A Model of Exposition Structure

<table>
<thead>
<tr>
<th>Level</th>
<th>Exposition</th>
</tr>
</thead>
<tbody>
<tr>
<td>(c) main theme</td>
<td>transition</td>
</tr>
<tr>
<td>(b) phrases</td>
<td>phrases</td>
</tr>
<tr>
<td>(a) motivic segments</td>
<td>➔ grouplets</td>
</tr>
</tbody>
</table>

Note: Arrow means "becoming."

with the subordinate theme and by the fact that it occurs first and is the only small section in the tonic key.

Diagram 8 shows one common model of how units on levels (a), (b), and (c) vary within the exposition. This pattern also applies in large part to the recapitulation. It should be emphasized that this is only one model, and an incomplete one, for exposition structure. The two themes, which appear to be equivalent in the diagram, are distinguished by certain other features, such as tonality. This factor, among others, also differentiates the two subsidiary small sections.

The exposition of example 1 may be considered an illustration of this model: the main theme is eight bars long, in mm. 14–21; the transition eight bars long, in mm. 22–29; the subordinate theme twenty bars long, in mm. 30–49; and the closing section sixteen bars long, in mm. 50–65. (This interpretation differs from that on p. 55.) The unusual features here are (1) the close structural identity of the main theme and the transition (to the point that these two sections may be heard as one larger theme, a period; see note 25); and (2) the imbalance in length among the four small sections—having a ratio of 2:2:5:4—and between the first and second pairs—4:9. (This is perhaps partially compen-
The exposition of example 3 is similar to that of example 1 in some aspects of form. The main theme is ten bars long, in mm. 1-10; the transition twelve bars long, in mm. 11-22; the subordinate theme thirty-six bars long, in mm. 23-58; and the closing section only five bars long, in mm. 59-63. The ratio of small section lengths does not include as great an imbalance as in example 1, but it is still unusual—2:2:6:1, and 4:7. The large subordinate theme is the result of a twenty-bar codetetta-complex to the actual sixteen-bar theme. The addition of a codetta or a codetetta-complex is common, when, as here, the subordinate theme itself has no expansion at its end, as is usually otherwise the case. That is, the subordinate theme is a 16-bar period, the subordinate theme codette-complex supplying the expansion and, in particular, the expanded cadential progression (in mm. 52-58) characteristic of subordinate themes. This codetta-complex is substantial enough to absorb part of the closing section function, the closing section being merely a closing codetta, and a particularly short one at that.

The exposition of example 2 may be seen as a normal one if the final small section is regarded as functioning only as a closing section, as opposed to both a closing section and a subordinate theme codetetta-complex (as discussed above in Level (c): "Codettas"). Here the main theme is twenty-one bars long, in mm. 1-21; the transition twenty bars long, in mm. 22-41; the subordinate theme twenty-five bars long, in mm. 42-66; and the closing section twenty-eight bars long, in mm. 67-94. The ratio of lengths is closer to the norm compared with the two previous examples; here 4:4:5:6, and 4:5.

The irregular, unique structure of the main theme of example 2 is discussed in note 27. The transition begins as a variant of the main theme opening,
a variant which initiates a process of regularizing the lengths of groups and phrases by adding one bar to the main theme's 5-bar opening phrase (mm. 1-5, mm. 22-27). There are two more 6-bar phrases in the transition, followed by a 2-bar link to the subordinate theme, which also features prominent use of 6-bar phrases. The closing section normalizes lengths even more in its use of 8-bar groups, closing section timespans beginning in m. 66. These are the timespans:

- MT: \((5 + 4) + 3 + (2 + 2) + (1 + 1 + 2) + 1\)
- TR: \((6 \times 3) + 2\)
- ST: \((6 \times 4)\)
- CS: \((8 \times 2) + (4 \times 2) + 5\)

This exposition may therefore be viewed as having a process of periodization: the main theme sets up a dissonance of timespans that resolves in succeeding small sections.

In these three expositions the transition always begins as a variant of the opening of the main theme. This sort of connection between small sections weakens the independence of these small sections (in that their openings share similar motivic material) while at the same time forming larger-scale connections and units (on a level between [c] and [d]). The MT-TR connection seen in these three movements is a common one. The thematic connection, however, contrasts with the harmonic and structural differences between these two small sections. As in K. 388, harmonic and thematic associations between the main theme and the transition dissipate in unison soon after the transition begins.

The three expositions discussed so far—those in examples 1, 2, and 3—may be interpreted in more than one way according to the principles I have set forth here. (Other interpretations of these expositions will be mentioned shortly.) Although it is common for pieces to be subject to such differing
interpretations, there are some expositions which have essentially only one interpretation in my approach. Illustrations of such clearly normative expositions can be found, for example, in the following works: the Symphony no. 40 (see chapter 3), the Violin Sonata K. 481 (see chapter 5), and the String Quartet K. 387 (see chapter 3).

Many expositions incorporate some modification of the standard four-small-section model. Such expositions may be categorized into two general classes: those involving minor modifications to the model and in which the model may still apply, possibly with alternative analytical interpretations using the model; and those involving extreme modifications of the model, in which the model may apply only in part, and in which alternative analyses will usually be possible, some not involving the model. There is, then, a sliding scale of the degree of applicability of the exposition model: at one extreme, some pieces will exhibit all traits of the model; at the other extreme, some pieces will have few, if any, traits of the model; and in between falls the majority of pieces, that involve some degree of modification to the model. 39

The vast majority of alterations to this exposition model take place after the transition. Some works do involve alterations to the transition and its connection with subsequent material, and a few involve alterations in the MT-TR relationship, such as there being one MT-TR small section rather than two discrete ones (i.e., instead of separate MT and TR sections).

Another common alteration involves the addition of a fifth small section to the exposition. Occasionally the reverse happens, and a small section will be omitted from the exposition, or at least severely truncated. Other alterations involve connecting two small sections, transferring normal functions of one small section to another, and avoiding sections altogether—replacing them
with continuous material that is not partitioned into level-(c) units. (Examples of all of these types of alterations will be seen in subsequent chapters.)

The alternative analysis of example 1 involves interpreting mm. 14-29 as one small section (see note 25). This means that there is no distinct transition small section, the transition function being absorbed into the end of the thematic small section which modulates to the dominant. Instead of four small sections, then, this exposition has only three: MT sixteen bars, ST twenty, CS sixteen, having a ratio of 4:5:4. This ratio is more balanced than is the one in the interpretation of this exposition involving four sections with the ratio 2:2:5:4. The introduction, if considered part of the exposition, may have some of the functions of the missing fourth small section: first, it is the first of four sections, and second, it does have the modulation from tonic to dominant that would be found in the transition. In this work the introduction does help to explain why there are only three small sections in the exposition.

In example 2 it has been noted that it is possible to consider mm. 66-94 as containing either a subordinate theme codetta or a closing section. However, it is better to consider these measures functioning in both ways. They have the former function in part because they supply the expanded cadential progression missing from the subordinate theme, which has no cadence using either the bass progression 3-4-5 or an expansion. The codetta-complex to the theme begins with two segments, in mm. 66-70, in which the bass ends on 3 (G), the pitch class that was missing from the bass of the second half of the theme. The bass continues in a slightly varied form of the expanded cadential progression in mm. 71-74. This is then repeated in mm. 74-81. The dynamic and cadential interruption at m. 82 emphasizes again the 3, and the expanded cadential progression is ornamented through m. 85 where these measures are repeated.
The exposition of example 3 was above considered a normal exposition with a somewhat larger than usual subordinate theme area, due to the subordinate theme codetta-complex in mm. 39-58, which also has some closural function. An alternative analysis, suggested by the imbalance of small sections, an imbalance due largely to the 36-bar subordinate theme area, is to consider the subordinate theme (in mm. 23-38) one small section, and the codetta-complex (in mm. 39-58) another. This has the advantage not only of resolving the imbalance within the four-small-section interpretation, but also of acknowledging that the codetta-complex is melodically and harmonically somewhat more substantial than most codetta-complexes and therefore deserves to be considered an independent small section. The ratio of small section lengths is then 3:3:4:5:1½. In this interpretation mm. 38-58 function in three ways: (1) they form a codetta-complex functioning as a subsidiary small section that includes new melodic material as well as development; (2) they function as a codetta-complex to the subordinate theme, incorporating the missing expanded cadential progression; and (3) they begin the process of closure that is confirmed in the closing section that follows, a closing section too short to include all the closural function. This interpretation of example 3 is preferable to that mentioned above in this section.

A number of other expositions will be discussed in detail in subsequent chapters. Examples of works varying in some way from the model are cited below, with annotations indicating aspects of these variations. (All of these works will be discussed in subsequent chapters. None are quoted as musical examples.)

(1) The Symphony in D Major (Haffner), no. 35. Some unusual features of the exposition (in mm. 1-94) of this work have been mentioned earlier in this chapter. The exposition model does not apply well here for the following reasons: (a) This exposition is unusually continuous, due to a great deal of over-
lapping of small sections and to the lack of breaks in the texture. (b) There are many more than four small sections, the functions of which are not always clear, at least not in the sense of primary, or thematic, versus subsidiary small sections. That is, the primary/subsidiary distinction is blurred, partly because the thematic models are not used (or are used as extreme variants).

(c) The modulation is accomplished in a very unconventional way. A move to the dominant begins in m. 24 but is arrested in m. 41 with a prominent return of the tonic and the main motive. A stronger move to the dominant follows. (d) A single motive dominates the melody, and there is no strong candidate for second theme. From m. 13 to m. 94 there are several small sections that have thematic, transitional, and closural functions.

(2) The Symphony in C Major (Jupiter), no. 41. Like the Haffner Symphony, this work also features a very continuous exposition, although the greater degree of continuity comes about here in a different way and in spite of the breaks between small sections. The main theme, although long, is unusual in that it is open-ended (ending on the dominant in m. 23). The rest in m. 80 appears to signal the end of the subordinate theme codetta, which ended inconclusively the bar before. The following section, in mm. 81-100, is a continuation of the subordinate theme codetta into a codetta-complex having a more significant function than that of a codetta, ending as inconclusively as the previous section and with a rest in m. 100. The following closing section is the only small section to end with a perfect authentic cadence. Each of the four or five small sections has its identity and function weakened due to its open-ended nature, ending on the dominant of the following section (except for the closing section).

(3) The Sonata for Violin and Piano in F Major, K. 377. The main theme, in mm. 1-17, is similar in form and function to that of example 1; both are
16-bar periods that end on the dominant. (The motion to V in K. 377 is not as strong, however, as in K. 454.) In K. 377 the transition and subordinate theme functions are combined in one small section, in mm. 18-36. The normal closing section follows in mm. 37-51. There are thus only three small sections, of about equal length, the middle one having a double function.

(4) The Piano Sonata in C Major, K. 545. This work has the shortest exposition of all those works I am considering. Its twenty-eight bars are made up of only a 12-bar main theme that ends on the dominant, a 1-bar link to the 12-bar subordinate theme, and a 3-bar codetta. The type of exposition composed of only two small sections is obviously related to an historically earlier, and shorter, model of sonata form.

(5) The String Quintet in C Major, K. 515. This work has the longest exposition I have encountered—about 145 bars. The main theme area is composed of a number of small sections totalling about sixty bars and includes some foreign key areas that prefigure the transition. The precise start of the transition is difficult to determine, as it seems to grow out of the chromaticisms that characterize the end of the main theme area, in mm. 57-69. The subordinate theme and closing section are relatively normal aside from their expanded length, in mm. 86-114 and 115-143. The exposition is somewhat similar to that of the Haffner Symphony in that the modulation is accomplished in stages in more than one small section, here in the main theme and transition: this is one reason why there is no clear separation of main theme and transition functions or sections in this work.
Developments

The essential function of the development section—to act as a textural, formal, harmonic, melodic, and rhythmic contrast to the exposition—usually is realized in a relatively small number of bars. The average length is forty bars, with the exposition:development ratio commonly about 2:1. Whatever the form of a given development, divisions at level (c) are usually weak due to the lack of strong cadences and the use of overlapping. This continuous nature of the development, coupled with its relatively short length, are the reasons why this section is often on a level between that of (c) and (d). When thematic models are used, they are found in substantially modified form. Detailed discussion of developments is unnecessary here.

Recapitulations

The norm for the recapitulation section is the repeat of the exposition section, with the exception of the necessary transposition of the secondary key material into the tonic. The form of the recapitulation is therefore usually the same as that of the exposition, except for the transposition. That is, the type and order of level-(c) sections is normally the same in both exposition and recapitulation, although at times there are small differences between the two forms of a section, such as might result from expansion or contraction. There are a few movements in which there are significant differences between the exposition and recapitulation at level (d). However, the percentage of movements having differences between exposition and recapitulation rises somewhat when viewed from levels (a) and (b): for example, embellishments or other slight variations of a motive or phrase are not uncommon.
Comparison of level-(d) units would seem to be appropriate in the discussion of level (e), but because of the close identity of exposition and recapitulation I will do some of this here. An examination of the ten symphonies and the ten string quartets will serve to illustrate the extent and type of differences between expositions and recapitulations. Fifteen of these twenty works have similar expositions and recapitulations at levels (c) and (d). (The exceptions are the Symphonies nos. 31, 32, 34, and 38, and the Quartet K. 465.) If codas and closing section extensions are considered as significant alterations to levels (c) and (d) within the recapitulation, then several more movements would be regarded as having recapitulations different from their expositions. (See "Codas" above, for a discussion of this with respect to the symphonies and string quartets.) Alterations to recapitulations at levels (a) and (b) are common: all works have some such changes. A list of the types of recapitulation variations follows, with some examples of each type, starting with alterations at lower levels.

(1) Two works having almost no alterations are the Quartets K. 458 and 499. Both have slight alterations permitting the transition to remain in the tonic.

(2) Differences in orchestrating the same material are sometimes found. This involves either giving the material to a different instrument, possibly in a new register, or altering the doubling of or accompaniment to a melody. Assigning material to different instruments is a feature of quartet style, especially in the three String Quartets (Prussian), K. 575, 589, and 590. Sometimes this can have a significant effect. For example, in K. 575, the closing section in the exposition begins with a 2-bar group in violin II answered by a 2-bar group in violin I; this is repeated an octave lower in the following four
In the recapitulation closing section this is changed so that imitation is suggested. New accompaniments are also added in violin II:

I \[ \text{---b---} \quad \text{---a---} \quad \text{(rest)} \]

II \[ \text{---a---} \quad \text{(rest)} \quad \text{---a---} \quad \text{(rest)} \]

In the diagrams above, group a is a diminution of the opening motive of the main theme of this movement.

(3) The addition of embellishments and other surface ornamentation and variation is sometimes found. For example, in the Quartet K. 387 the endings of the first two segments of the main theme are chromatically embellished in the recapitulation.

(4) The few minor mode works usually have a greater variation to the recapitulation than do major mode works. (A prominent exception to this is the Symphony no. 40, where the exposition and recapitulation are very similar.) The second theme of the Quartet K. 421 has many changes in its melody (mm. 25–32, 94–102); the closing section of this work has even more such alterations (mm. 32–40, 102–111).

(5) The transition is the one section that is frequently altered in some respect. Variations range from no alterations beyond transposition to the tonic (e.g., Quartet K. 499), to a nearly total rewriting of the transition (e.g., Symphony no. 41, where, although the transition ends with the same material, the first part, from m. 212, is harmonically very different; and Quartet K. 421, where the transition is rewritten—mm. 14–24 as compared to 83–94). Alterations
involving integration of the transition with other small sections are noted below.

(6) Alterations in lengths of small sections are sometimes seen. An interesting one that is perhaps not as trivial as it first appears—because it alters the metric position of the entire subsequent small section—is in the transition of the Quartet K. 421. As noted in the preceding paragraph, this transition is greatly rewritten: part of the alteration involves a half-bar expansion in length from ten-and-a-half to eleven bars. This shifts the following theme so that its melody begins on the third beat (of m. 94) instead of on the downbeat (of m. 25). Another interesting movement that includes level-(c) recapitulation expansions is in the Symphony no. 40: the transition, subordinate theme, and closing section all feature expansions with respect to their exposition forms.

(7) A special case of expansion or contraction as development may occur towards the end of the main theme, and sometimes includes part or all of the transition. An illustration has been seen in the Violin Sonata K. 454, example 1, where the second half of the 16-bar main theme is replaced in the recapitulation by a sequential development in mm. 98-111, and by a dominant pedal in mm. 111-114. In the Symphony no. 34, the 20-bar main theme and 20-bar transition are replaced in the recapitulation by a single 19-bar small section in mm. 158-176 that at first resembles the main theme, then incorporates some sequential development, and ends with a dominant pedal, a transposition of the end of the transition (which had ended on a dominant of the dominant pedal); some of the missing material is recapitulated later in the recapitulation. Similar contractions of the main theme and transition into one small section are seen in the Symphony no. 38 and the Quartet K. 465. This procedure is obviously
a radical one, in that it gives the recapitulation a different form at levels (c) and (d); there are often other factors that should be taken into account, however, such as the subsequent recapitulation of missing material in the Symphony no. 34, and the prior recapitulation of missing material in the Symphony no. 38. (This latter work, the *Prague* Symphony, is a rare example of a movement in which the tonal and melodic recapitulation processes are separated. The tonic key is reached almost incidentally in m. 177, with codetta material repeated from the main theme and transition being used. The tonic key and exposition material are maintained through the rest of the development and the [new] retransition prepares for the main theme recapitulation in m. 208.)

(8) Some recapitulations begin with the second theme, the main theme following later. This is also a radical alteration of level-(d) form compared to the exposition.

(9) A few recapitulations are significantly altered at levels (c) and (d) throughout. That is, they have whole small sections omitted, added, or rearranged to different places in the recapitulations relative to the expositions. Most of the symphonies, and in particular the string quartets, do not involve this type of alteration. The Symphony no. 31, however, does have many such alterations, too many to cite here. Some other examples may be cited. (a) The Serenade K. 375 has a new theme in the recapitulation in mm. 151-171. (b) In the Flute Quartet K. 285 the main theme is shortened, the transition and subordinate theme are combined to form one small section, and the closing section is lengthened to include some of the missing subordinate theme. (c) In the Piano Sonata K. 576 the exposition has the unusual form MT-TR1-TR2-ST. In the recapitulation the main theme and the first transition are combined into one small section that also has the features of a secondary development. The second theme
follows, with the second transition concluding the recapitulation. However, because the second transition is now in the tonic, because of its nature, because of its new ending, and because of its new position, it now has a new function: that of subordinate theme codetta and closing section. In short, the recapitulation here normalizes the form of an unusual exposition. 47

Level (e): Complete Movements

The entire movement is always comprised of the three large sections—exposition, development, and recapitulation—and the outer two of these often have the same form, with the exception of the necessary transposition of the second key material to the tonic. Although I believe most of Mozart's sonata-form movements may be heard as tripartite at this level, some may be analysed as bipartite. 48

Most movements have the repetition pattern ||:Exposition: ||:Development—Recapitulation: ||. The ratio of lengths of the three large sections is on average about 2:1:2. Absolute lengths in common time allegro for the sections average about 80, 40, and 85 bars respectively, without repetitions taken into account. 49

The relative importance of the exposition (and recapitulation) as compared with the development is clearly implied by its greater length, by the greater variety in its length, and by the greater variety of its level-(c) sections. Overall, then, the exposition sets up a tonal dissonance, continued by the development, and resolved in the recapitulation.
Each of chapters 3, 4, 5, and 6 deals with one of the four types of closing sections discussed in connection with level (c) of chapter 2. A similar procedure will be followed in each of these four chapters; that is, a consideration of all movements which use a particular type of closing section, with some analysed in depth. Only by analysing a large number of works will the wide variation in use of each type become apparent. Some movements will appear in more than one chapter because some closing sections may be analysed in more than one way: such discussion of alternative approaches to a given movement should illuminate both the music and the analytical strategies I am employing. Typically, a detailed analysis of a movement will begin with a consideration of the form of the exposition, continue with an examination of the closing section, and conclude with a comparison of the recapitulation forms of these areas, including an analysis of any coda. Works which are not analysed in detail will be commented on briefly, if only to indicate the type of closing section each has.

The closing model is the most frequently seen type of closing section: about sixty percent of all works can be analysed with this model. In addition, aspects of the closing model are found in the other forty percent of movements, as will be seen in later chapters. The model was outlined in chapter 1, pp. 7-8,
and in chapter 2, pp. 74-75. For purposes of discussion and analysis in each chapter, I will usually group the works according to genre, following the order in the work-list in table 1, pp. 4-6.

Symphony no. 36. The closing sections of six symphonies may be analysed with the closing model (nos. 31, 32, 33, 34, 36, and 40). The closing section nearest the model is that of the Symphony in C Major (Linz), no. 36, a work I will consider in detail here. The form of the exposition of the first movement, summarized in diagram 9, corresponds to the normal exposition model after the introduction.

Diagram 9
Symphony no. 36: Exposition

| Intro. | || | MT | TR | ST | CS | Retr.: || |
|---|---|---|---|---|---|---|---|---|
| Measures: | 1-19 | 20-41 | 42-72 | 72-87 | 88-119 | 120-122 |
| Timespans: | 19 bars | (10 + 12) | 30 | (8 + 8) | (8 + 16 + 8) | 4 |
| Harmony: | I - V | I-V | I-I | I - I/V | vi/V-I/V | I/V | I/V-V |

Period | Unique theme | Closing model

The introduction is a normal one. The main theme is based on the period model, with some expansions. Measure 42 is at once the end of the theme's final phrase and the beginning of the first group and timespan of the transition. Like many transitions, this one begins as if it were a main theme codetta, but rapidly leaves the tonic area and introduces new motives. This transition is somewhat unusual, however, in that it is longer and more interesting than many transitions, and ends with a perfect authentic cadence—rather than a half cad-
ence—in the dominant key. That the transition is a substantial one, modulating convincingly to the dominant and ending with so strong a cadence, may be explained in part by an unusual feature of the subordinate theme, which begins in m. 72 in the relative minor of G major. It would not be possible for this theme to begin in this way if the new key had not been previously well-established.

The subordinate theme is neither a period nor a sentence, but is based on a \((1 \times 4) + (4 \times 1)\) pattern, here repeated with some variations. There are no expansions or codettas in this theme, although the repetition may be considered a substitute for such material. In particular, there is no expanded cadential progression, although the harmonies and bass line for the ECP are present in the variation, in mm. 84-87. The variation has a stronger cadence than the original—achieved by increasing the dynamic level, adding instruments, and using a \(I^6\) (bass \(\frac{3}{4}\)) in m. 84 (not present in m. 76) as part of the expanded cadential progression—and thereby closes the subordinate theme area.

The 32-bar closing section—one of the longest in these works—fulfills the expansion function missing from the subordinate theme: there are expansions in the \(b^1\) and \(c^1\) groups. A second variation in the use of the closing model here is that the \(bb^1\) subsection is longer than the \(aa^1\) subsection. A third variation, necessitated by the length of this closing section, is that the material is more dynamic than that found in shorter closing sections. For example, the surface harmony is considerably more interesting than the mere tonic-dominant interchange characteristic of the closing section in example 1. Nevertheless, all six groups here do end on the tonic, and the harmony remains essentially diatonic. The timespan and group structure is summarized in diagram 10.
Diagram 10
Symphony no. 36: Exposition Closing Section

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<th>100</th>
<th>101</th>
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<tr>
<td>Groups:</td>
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<td>b</td>
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<td></td>
<td>b</td>
</tr>
<tr>
<td>Timespans:</td>
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<td></td>
<td></td>
<td></td>
<td></td>
<td>B 1</td>
<td>10</td>
</tr>
<tr>
<td>Bars in timespans:</td>
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<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>6</td>
<td>1</td>
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<table>
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<th>102</th>
<th>103</th>
<th>104</th>
<th>105</th>
<th>106</th>
<th>107</th>
<th>108</th>
<th>109</th>
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<tbody>
<tr>
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<td></td>
</tr>
<tr>
<td>Timespans:</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bars in timespans:</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td>5a</td>
<td>5b</td>
<td>5c</td>
<td>5d</td>
</tr>
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<table>
<thead>
<tr>
<th>Measures:</th>
<th>110</th>
<th>111</th>
<th>112</th>
<th>113</th>
<th>114</th>
<th>115</th>
<th>116</th>
<th>117</th>
<th>118</th>
<th>119</th>
</tr>
</thead>
<tbody>
<tr>
<td>Groups:</td>
<td>c</td>
<td></td>
<td></td>
<td></td>
<td>e</td>
<td></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td>Timespans:</td>
<td>C</td>
<td></td>
<td></td>
<td></td>
<td>c</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Bars in timespans:</td>
<td>6</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>3a</td>
<td>3b</td>
<td></td>
</tr>
</tbody>
</table>

ECP----------------
The \( \text{aa}^1 \) pair are typical of the closing model. Each group begins directly after the preceding cadence, each is four bars long, each is strongly cadential, and there is not a great deal of variation from \( \text{a} \) to \( \text{a}^1 \), except for the weaker cadence of \( \text{a}^1 \); whereas \( \text{a}^1 \) begins after the cadence of \( \text{a} \), the \( \text{b} \) group begins simultaneously with its timespan on the first beat of m. 95, thereby weakening the cadence of \( \text{a}^1 \). The \( \text{b}^1 \) group begins in the same way as \( \text{b} \). Whereas \( \text{B} \) is subdivided as (3 + 3), \( \text{B}^1 \) is expanded to (3 + 7). As shown in diagram 10, it is the fifth bar of \( \text{B}^1 \) which is expanded to a total of five bars, thus making \( \text{B}^1 \) four bars longer than \( \text{B} \). This cadence is slightly weakened by the forte and brass entry on the tonic chord (beat one of m. 111), which signal a new beginning. An uninterrupted cadence occurs only at the end of this closing section, in mm. 116-119.

The \( \text{cc}^1 \) groups return to the same type of relationship with their timespans as found in the \( \text{aa}^1 \) pair. The cadences of the four groups are also similar (except for the interruption of \( \text{a}^1 \)). The \( \text{cc}^1 \) pair differ from the model in three ways: the tonic pedal is not used throughout, this subsection is longer than usual, and there is an extension in the \( \text{c}^1 \) group. The significant variation in \( \text{c}^1 \) is the novel use of an echo in the winds, in m. 117, and then a repeat with all instruments in m. 118. This adds the two extra bars—3a and 3b—grouping this pair as (3 + 5). Measures 116-119 include a type of ECP.

Diagram 11 lists the timespans of this closing section as written, a hypothetical closing section similar to this one without expansions in \( \text{b}^1 \) and \( \text{c}^1 \), and the closing model.

In spite of the expansion of the \( \text{BB} \) pair relative to the model, the ratio of \( \text{BB} \) to \( \text{CC} \) is the same here as in the model, that is, 2:1. Furthermore, the ratio of \( \text{B} \) to \( \text{B}^1 \) is the same as of \( \text{C} \) to \( \text{C}^1 \), that is, 3:5. These observa-
Diagram 11

**Symphony no. 36: Expansion of Closing Section**

<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>A¹</th>
<th>B</th>
<th>B¹</th>
<th>C</th>
<th>C¹</th>
</tr>
</thead>
<tbody>
<tr>
<td>Closing model:</td>
<td>(4 + 4)</td>
<td>+</td>
<td>(2 + 2)</td>
<td>+</td>
<td>(1 + 1)</td>
<td></td>
</tr>
<tr>
<td>(No. 36) without expansions:</td>
<td>(4 + 4)</td>
<td>+</td>
<td>(6 + 6)</td>
<td>+</td>
<td>(3 + 3)</td>
<td></td>
</tr>
<tr>
<td>Symphony no. 36:</td>
<td>(4 + 4)</td>
<td>+</td>
<td>(6 + 10)</td>
<td>+</td>
<td>(3 + 5)</td>
<td></td>
</tr>
</tbody>
</table>

tions suggest that expansions are not merely local events but are controlled by some larger sense of balance.

Why does this closing section have a larger second subsection? The majority of closing sections which have expansion of the closing model use a normal length AA pair—(4 + 4)—and then expand subsequent groups. This suggests that shorter repetitive units signal the start of the closing section, and that significant expansion can take place only after this signalling of the closing section beginning. The expansion of BB¹ here is then balanced by CC¹ being in the same ratio to BB¹ as in the model. That this closing section is unusually long may be partly due to the fact that the subordinate theme is short and is not as tonally unified as is normal: it oscillates between vi/V and V. Since one of the functions of the closing section is the continuation of the key of the subordinate theme, this closing section, by its very length, balances the tonal instability of the subordinate theme.

A short retransition leads first to the repeat of the exposition and then to the development, in mm. 123-162. The form of the recapitulation is similar to that of the exposition. The main theme is exactly the same, the transition is altered slightly to end on the tonic, the subordinate theme has a few surface alterations, and the closing section is the same except for a
few details, mainly in mm. 241-251.

The coda, in mm. 265-287, begins like the retransition, in mm. 119-122, and continues to use the retransition motive in a manner similar to its use in the development, in mm. 128-137. In the coda, however, this retransition motive has cadences added to it, giving it a closural rather than a transitional function, for example, in mm. 270-274. The opening ten bars form a period, followed by a repeated 2-bar codetta in mm. 275-278. See diagram 12.

The first timespan begins in m. 265 according to the usual criteria of tonic arrival at the end of a cadence and because a new group begins there. In addition, this passage is similar to that at the end of the exposition, where the retransition timespan begins in m. 119. The first group, in mm. 265-269, may be subdivided as (2 + 2 + 1) in terms of both harmony and grouplets. The second group is subdivided either as (2 + 2 + 1), in that it parallels the grouplet structure of the first group, or as (3 + 1 + 1) on harmonic grounds. A more radical division of these ten bars according to harmony would be ([2 + 2] + 4 + 1 + 1); that is, the harmony is I - V\textsubscript{6}/IV - ii\textsubscript{6} - V - I, an unusual design for a period. However, the thematic parallelism overrides this: hence the division as (5 + 5) in diagram 12.

A difficulty with this interpretation of timespans as (5 + 5) is that the succeeding timespan must begin in m. 275, which means that the b group now begins with an upbeat in m. 274. In other words, the repeated 2-bar codettas in mm. 274-278 ought to relate to their corresponding timespans in the same way as the two 5-bar groups do, because all four groups begin with the same figure and with tonic harmony arrival. That is, parallelism of treatment of the same material together with application of the same analytic criteria ought to result in all four groups being analysed the same way as regards time-
Diagram 12

Symphony no. 36: Coda

<table>
<thead>
<tr>
<th>Measures:</th>
<th>265</th>
<th>275</th>
<th>279</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>$(5 + 5) + (2 + 2) + (2 + [2 + 2]) + (1 + 1 + 1)$</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groups:</td>
<td>a $\uparrow$</td>
<td>b $\uparrow$</td>
<td>c $\uparrow$</td>
</tr>
</tbody>
</table>

span/group relationship: either all groups begin in the first bar of their respective timespans or all begin with an upbeat figure leading into the first bar of their respective timespans.

However, this view would mean that the first two groups would have $(5 + 4)$ timespans, thus reducing their thematic parallelism. In addition, m. 275 sounds like a beginning—of a 2-bar timespan—due to the entrance of so many instruments. A further factor reinforcing timespan beginnings from m. 275 is that 2-bar timespans continue from here to the end of the coda.

If m. 274 contains material functioning as an anacrusis to m. 275 and m. 276 similarly to m. 277, then m. 278 should function the same way to m. 279. However, m. 279 and m. 280 repeat m. 278 with octave doublings, etc., making the material in mm. 278-280 an extended upbeat to the next timespan pair, mm. 281-284. In other words, mm. 281-284 form the basic timespan and group material, with an extended upbeat. This supports the interpretation of the two b groups as having upbeats; that is, the same material used as upbeats to the b groups is used in extended form as an upbeat to the c group pair.

Aspects of the closing model can be seen in this coda, namely in the use of repeating groups and progressively shorter timespans. Over the course of the coda the groups become progressively more cadential, with the retransition motive playing less and less of a role, until it is finally eliminated.
Despite some motivic similarities with the development section, this coda does not have a developmental function: rather, its function is primarily closural, as generated by the closing model. The need for a coda in this movement may be explained by the unusually active nature of the closing section, as noted above. It would appear that, in general, the longer the closing section, the less the need for a coda. However, the reverse is true here: the unusually long closing section can be sustained only by dynamic material, which in turn weakens the closural nature of the section, and a coda is therefore demanded. By its exceptional character, this closing section illustrates why most closing sections are shorter than this one: ten to twenty bars is the norm for closing sections because that range of lengths is not merely sufficient, but is indeed optimal, for an exclusively closural section. The effects of lengthening the closing section are seen in this symphony; the effects of shortening the closing section will be seen later, primarily in chapter 4.

**Symphony no. 40.** The other symphony using the closing model with only slight variations is the Symphony in G Minor, no. 40. In the discussion of level (d) in chapter 2 I noted that the exposition of this movement is a normative one. The main theme—a sentence—ends on the dominant in m. 20. The transition begins as if part of the theme but quickly modulates to the relative major and eliminates the theme's motives. The transition also ends on a dominant, this time of the secondary key. The subordinate theme is comprised of an 8-bar period in mm. 44-51, its variation in mm. 52-66, and a codetta to the theme in mm. 66-72. The codetta is motivated by the absence of $ from the bass of the extended cadential progression, and, indeed, from that of the entire
second phrase of the variation in mm. 56-66. The codetta features this missing D prominently in m. 66, and also in m. 69. It also forms an effective bridge between the theme and the closing section. However, the codetta is primarily attached to the theme and not to the closing section because it completes the expanded cadential progression and because it uses motives from the theme (e.g., the chromatic ascent motive in mm. 66-68 is an inversion of that in mm. 56-58).

An unusual feature of this codetta is that it weakens the cadence ending in m. 66 (by starting so quickly and abruptly in m. 66) and does not itself end with a strong cadence. As noted above, the two previous small sections also end with weaker cadences (both half cadences). A major function of the closing section, then, is to supply unequivocal perfect authentic cadences, in III in the exposition, in the tonic in the recapitulation. In fact, cadential material does form a large part of this closing section.

The closing model is varied here in that the first two timespans of the model—AA—are each expanded to eight bars, the second two groups are expanded (unequally), and the last two groups of the model are reduced to one long group. See diagram 13. Despite the odd-numbered timespans, then, the model is basically doubled in length from fourteen to twenty-eight bars in this closing section. The first group is essentially repeated (mm. 72-87), the third is expanded by one bar (mm. 88-94), and the fifth is made up of a 1-bar cadential grouplet heard three times and then compressed to a half-bar and repeated (mm. 95-98). The first two groups also feature internal repetition, that is, of their initial 2-bar grouplets (mm. 72-75, 80-83).

Two interesting features of this closing section deserve some comment. First, the missing from the subordinate theme is still being compensated for
Diagram 13

Symphony no. 40: Exposition Closing Section

<table>
<thead>
<tr>
<th>Measures:</th>
<th>72</th>
<th>80</th>
<th>88</th>
<th>91</th>
<th>95</th>
<th>99</th>
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<tbody>
<tr>
<td>No. 40:</td>
<td>([2 + 2 + 4] + [2 + 2 + 4]) + (3 + 4) + (3 + 1) 2</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Model x 2):</td>
<td>8</td>
<td>+</td>
<td>8</td>
<td>+</td>
<td>(4 + 4) + (2 + 2)</td>
<td></td>
</tr>
<tr>
<td>Model:</td>
<td>4</td>
<td>+</td>
<td>4</td>
<td>+</td>
<td>(2 + 2) + (1 + 1) Retr.</td>
<td></td>
</tr>
</tbody>
</table>

in the closing section: the first four groups of the closing section all feature prominent use of D in their bass lines. Second, the opening main theme motive is used in the first two groups, although in a new closural context. Closure is enhanced by the return to the opening motive, in much the same way as closure is generated by the return of the opening material in a small or large ternary form. In this movement, the sense of return is coupled with a transformation of the opening motive into a closing one. Several other movements have a similar use of main theme motives, as discussed below.

A 2-bar retransition leads first to the repeat of the exposition and then to the development in mm. 101-163. Aside from the effective overlapping of the end of the development with the start of the recapitulation, the main theme is repeated exactly in mm. 164-183. The transition, in mm. 183-226, is doubled in length. The changes take the form of a development of the transition motives—that is, a secondary development—and a redirection of the harmony to end on V/i rather than V/III. As noted in chapter 2, this movement is exceptional among minor mode works in that the transposition and change of mode of the second key material do not prompt Mozart to rewrite this material. The second theme, in mm. 227-254, is not changed except for the transposition, the different position of the pedal in mm. 241-245 (now 3 instead of 4, as in
mm. 58-62, thereby strengthening the ECP), and the expansion in mm. 246-254. The codetta to the theme, in mm. 254-260, is not altered.

The closing section, in mm. 260-299, is essentially very similar to its exposition form except for an extension. An interesting detail is the change in tonicization at the end of the first two groups, in mm. 265-266 and 273-274: in the exposition, mm. 77-78 and 85-86, vi/III was tonicized, thereby providing $\hat{3}$ in the bass as part of the ECP as noted above, as well as allowing the E-flat-D motive to be used. If this were transposed to G minor in the recapitulation, the semitone motive would be changed to a whole tone—C-B-flat.

Mozart therefore rewrote this passage, tonicizing iv/i, which permits the semitone A-flat-G to be used. This, however, removes $\hat{3}$ from the bass voice of mm. 265 and 273; on the other hand, $\hat{3}$ was used in the subordinate theme pedal—in mm. 241-245—where it was not in the corresponding place in the exposition, as noted in the previous paragraph.

These first two groups in the closing section are otherwise little changed. The next two timespans, previously (3+4), are expanded to (3+8), in mm. 276-286. Diagram 14 includes a sketch of the second of each of these two groups as they appear in the exposition and recapitulation. To a certain extent, the added material in the recapitulation is an expansion of that which it replaces in the exposition. The most obvious expanded element is the second half of m. 94, which becomes mm. 285-286: both harmony and melody have been expanded to two bars. The relation of mm. 281-284 to mm. 93-94(2) is not so obvious; however, it is possible to hear an inner voice in mm. 281-283—indicated in diagram 14 within brackets—based on the melody of mm. 93(2)-94(1) transposed to G minor.
The end of this expansion overlaps with a new group—but not a new time-span—in mm. 287-293, based on imitation of the main theme motive over a tonic pedal. The use of a tonic pedal and the subdominant tonicization in mm. 287-289 (and in the first two groups in mm. 265-266 and 273-274) are features of closing sections that strengthen closure here because they were absent from the exposition closing section. The final group, in mm. 293-299, is unchanged except for the addition of two bars of tonic chords.

Three of the four small sections of the recapitulation feature expansions relative to their exposition forms, as noted in chapter 2. In the case of the closing section, the expansion/extension is partially prompted by the addition
of previously missing normative features. The resultant longer closing section may be termed a closing section extension, although the new material in mm. 285-292 gives it some of the character of a coda.

One final point should be mentioned regarding this closing section. In discussing the closing section of the previous work—the Linz Symphony—I noted that, at thirty-two bars, it was unusually long, that this length resulted in changes to the nature of the closing section material, and that a coda was thereby demanded. At twenty-eight bars, the exposition form of the closing section in the Symphony no. 40 is nearly as long as that of the Linz. This length is partially compensated for by the faster tempo (molto allegro in no. 40, allegro in no. 36), and by the close adherence to the closing model (more so than in the case of no. 36). The material of the closing section in no. 40 is somewhat more active than that of the average closing section, although less active than that of the closing section in the Linz Symphony. The closing section of no. 40 is more normative—that is, more closural—than is that of no. 36, although still longer than usual. One more reason for the addition of standard closural material to the recapitulation is to compensate for any weakness in the closural function of the closing section.

**Symphony no. 31.** Four other symphonies may be analysed with the closing model, although all employ extreme variants of it, and two may be analysed in other categories. I will briefly discuss each, primarily to explain the nature of the variation in use of the closing model. The Symphony in D Major (Paris), no. 31, has a very long exposition (119 bars) brought about mainly by a long, loosely organized subordinate theme area. The main theme is a sentence variant, in mm. 1-26, with a codetta in mm. 26-32. The transition is relatively short
and weak, in mm. 32-51. The subordinate theme area is composed of two unique themes connected by a contrasting area. The first of these—in mm. 52-65—is composed of a (1 + 4 + 2) phrase, repeated. Measures 66-73 function as a harmonic contrast by introducing a pedal on the dominant (of A major), and as a melodic contrast by introducing new motives. The second theme within the subordinate theme area—in mm. 74-104—resembles the small ternary form model: mm. 74-83 use the opening main theme "rocket" motive in imitation, ending with an interrupted cadence; mm. 84-92 function as a contrast, and there is a return to the imitation idea in mm. 93-104. This latter subsection is extended two bars and so has some of the features of an ECP.

The closing section begins in m. 105 with a (2 + 2 + 2) group based on the main theme codetta, repeated exactly from m. 111. In mm. 117-118 a 1-bar grouplet is repeated leading to a final statement of the opening main theme motive, the first bar of which—119—concludes the closing section and overlaps with the start of the development. The closing model applies only in that there is one pair of repeated groups—aa—and not three. The remainder of the closing section, in mm. 117-119, is not based on the closing model.

Several factors connect this closing section with the preceding small section, despite the already great length of the subordinate theme area. (1) The employment of 2-bar grouplets and (2 + 2 + 2) groups, begun in m. 74, continues almost to the end of the closing section. (2) The small segments of mm. 74-104 are more like grouplets than motives, despite the fact that a variation of the opening main theme motive is used; therefore, this section is connected to the closing section because grouplets are used through both sections. The closing section does, however, include a simplification of the texture by removing the imitation characteristic of the previous section.
(3) In mm. 228-295 of the recapitulation these two sections are integrated and new material is added.

**Symphony no. 32.** In the Symphony in G Major, no. 32, the main theme—a period—is in mm. 1-12, the transition in mm. 12-32, the subordinate theme—also a period—in mm. 33-49, and the closing section in mm. 49-69. See diagram 15. The _a_ subsection is unusual in its variation four times of one motive in imitation, over a pedal, and with a crescendo. The _b_ subsection differs from the model in its doubled length and more complex structure. The _c_ grouplet is based on the overall structure of the _a_ subsection, that is, a rising scale.

The recapitulation of this movement is unusual in that it begins in a new tempo, in a new meter, and with new material. In this sense it is not a recapitulation, but a contrast, although in the tonic key (mm. 110-207). The return to the first tempo and meter is in m. 208, with what is essentially transition material, ending in m. 219 on the dominant. The subordinate theme returns in the tonic in mm. 220-236, and the closing section in mm. 236-256, with few changes. A coda in mm. 256-274 is based on some of the missing main theme and transition material, now in a closural context.

---

**Diagram 15**

**Symphony no. 32: Exposition Closing Section**

<table>
<thead>
<tr>
<th>Measures:</th>
<th>49</th>
<th>57</th>
<th>65</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>(2 x 4) + (2 + 2) + (2 + 2) + (2 + 2) + 1</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grouplets:</td>
<td>a a a³ b b¹ b² c c</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
Symphony no. 33. In the Symphony in B-flat Major, no. 33, the main theme—a sentence variant—is in mm. 1-25, the transition in mm. 25-54, the subordinate theme—a long, unique structure—in mm. 55-96, and the closing section in mm. 96-138. The subordinate theme ends with a substantial expanded cadential progression in mm. 89-96. See diagram 16. Note that $a^3$, $a^4$, and $a^5$ are variants by invertible counterpoint of $a$, $a^1$, and $a^2$ respectively, or, overall, mm. 108-128 are variants with extensions of mm. 96-107. In other words, these two subsections can be seen as an expansion of the first two groups—aa—of the closing model. The final subsection, in mm. 129-138, more closely resembles the end of the closing model—cc—with extensions using the tonic chord. In the recapitulation there are extensions of several groups (mm. 323-324, 336-337, 342-357, and 364-365).

Diagram 16

Symphony no. 33: Exposition Closing Section

<table>
<thead>
<tr>
<th>Measures:</th>
<th>96</th>
<th>108</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>$([1 \times 4] + [2 \times 2] + 4) + ([1 \times 2] + [2 \times 2] + 3 +$</td>
<td></td>
</tr>
<tr>
<td>Grouplets:</td>
<td>$a \ a \ a \ a \ a^1 \ a^1 \ a^2 \ a^3 \ a^3 \ a^4 \ a^4 \ a^5$</td>
<td></td>
</tr>
<tr>
<td>Measures:</td>
<td>117</td>
<td>129</td>
</tr>
<tr>
<td>Timespans:</td>
<td>$[2 \times 3] + 2 + [2 \times 2]) + ([2 \times 2] + [1 \times 1] + 4)$</td>
<td></td>
</tr>
<tr>
<td>Grouplets:</td>
<td>$b \ b^1 \ b^2 \ c \ d \ d^1 \ e \ e \ e^1 \ e^1$</td>
<td></td>
</tr>
</tbody>
</table>
Symphony no. 34. The final symphony that may be analysed with the closing model is that in C Major, no. 34. The main theme—a unique structure—is in mm. 1-16, with a link to the transition, the latter in mm. 20-40. The subordinate theme is composed of an 8-bar unique theme in mm. 40-48, varied with an extension—including an ECP—in mm. 48-64. See diagram 17. This closing section is similar to that of the Symphony no. 32 in its first two subsections, that is in the use of a 2-bar grouplet in imitation over a tonic pedal with a crescendo in mm. 64-74, and in the use of a repeated (2 + 2) pattern in mm. 74-82. The third subsection begins with a 6-bar cadential group in mm. 82-86, varied with a long extension, and with a more substantial ECP than was in the subordinate theme in mm. 86-104. The final subsection, in mm. 104-112, more closely resembles the end of the model, as in the Symphony no. 33.

In the recapitulation the main theme is altered, shortened, and ends on the dominant instead of the tonic (mm. 158-176). This permits the subordinate theme to follow immediately, for the transition is entirely omitted. The closing section is also altered substantially: the first—imitative—subsection is omitted, the closing section beginning instead in m. 200 with the (2 + 2) + 2 groups. The third subsection follows with only its first four bars, that is, (2 x 2), in mm. 233-236. Then the main theme returns in its original form in mm. 237-249, but with a stronger cadence, and the movement concludes with several bars of cadential flourishes in mm. 249-264.
Eine kleine Nachtmusik. The Serenade in G Major (Eine kleine Nachtmusik), K. 525, has an exposition of only 55 bars, short enough that it is in fact comprised of only two small sections, each having two functions, and each about the same length. The first, in mm. 1-27, has a unique main theme, in mm. 1-18, and a subsection that begins as a main theme codetta but tonicizes pedals, first on V, then on V/V, in mm. 18-27. The second section, in mm. 28-55, begins with an 8-bar period. The material starting in m. 35 has some features of a subordinate theme codetta, some of a closing section, and some of a sentence. See diagram 18. The structure of the repeated 8-bar unit, in mm. 35-42 and 43-50, resembles the sentence model in its timespans, but not in the character of the material, which is comprised of grouplets as opposed to motivic segments. On the other hand, some of the material is too active for a closing section or codetta, in particular the (1 + 1) segments. Nevertheless, the fact that the 8-bar unit is repeated gives this subsection a feature of the closing model. A 5-bar cadential codetta concludes the exposition.

The analysis of short movements is often more difficult than that of longer ones because different functions are combined into fewer sections, and some standard features may even be absent. For example, this exposition does not have an expanded cadential progression, one of the most common features of
second-key areas. It is true that the second-key area does have a clearly defined theme—the period in mm. 28–34—but the material that follows has thematic, codetta, and closural functions, all in one subsection.

In the recapitulation, the main theme—in mm. 76–93—is unchanged; the transition—in mm. 93–100—has its second tonicized pedal—the one on V/V—simply omitted, so that the transition now ends on V; the subordinate theme is basically unchanged, now in the tonic, in mm. 101–107; and the closing section—in mm. 108–137—has its final group expanded, so that the closing section is now more related to the closing model. See diagram 19. It is the addition of two new 2-bar grouplets in pairs, together with other closural features such as more cadences and a tonic pedal, that substantiates use of the closing model in the analysis of this passage.

Diagram 18

Eine kleine Nachtmusik: Exposition Second-Key Area

<table>
<thead>
<tr>
<th>Measures:</th>
<th>35</th>
<th>43</th>
<th>51</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>((2 \times 2) + [1 + 1 + 2]) \times 2</td>
<td>((1 \times 3) + 2)</td>
<td></td>
</tr>
<tr>
<td>Grouplets:</td>
<td>a a b b\textsuperscript{1} c</td>
<td>d d\textsuperscript{1} d\textsuperscript{2} e</td>
<td></td>
</tr>
</tbody>
</table>

Diagram 19

Eine kleine Nachtmusik: Recapitulation Final Section

<table>
<thead>
<tr>
<th>Measures:</th>
<th>124</th>
<th>132</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>((1 \times 3) + (2 \times 2) + 1) + (2 \times 2) + 2</td>
<td></td>
</tr>
<tr>
<td>Grouplets:</td>
<td>d d\textsuperscript{1} d\textsuperscript{2} e\textsuperscript{1} e\textsuperscript{2} f f g</td>
<td></td>
</tr>
</tbody>
</table>
The Serenade in C Minor, K. 388 (example 2), has been considered in detail in chapter 2: pp. 72-73, 75, 83-84, 86; notes 27, 28, 31, 32, 34, and 47.

Clarinet Quintet. In the Quintet for Clarinet and Strings in A Major, K. 581, the main theme (in mm. 1-19) and the transition (in mm. 19-41), are more strongly connected than is usual, forming a section on a level between (c) and (d). One reason for this strong connection is the smooth, gradual nature of the modulation, the transition concluding on the V/V pedal in mm. 34-41. The main theme is a unique structure and the subordinate theme is a sentence coupled with a variation, in mm. 42-65, a partial expanded cadential progression ending the variation. The closing section, in mm. 65-79, is based on the closing model to the extent that there is one pair of repetitive groups, and this is followed by a single cadential group, that is, $xx^1_y$, overall. The element missing from the ECP—the bass tone $\hat{3}$—is used in the $xx^1$ groups in mm. 67 and 71. The final group, in mm. 75-79, is based on the opening main theme motive, here used in imitation.

The form of the recapitulation is similar to that of the exposition, although many details on levels (a) and (b) are changed. Parts of the two themes are omitted and the closing section, in mm. 169-197, is extended. The extension comes in the second of the repeated groups; see diagram 20. In other words, the grouplet that was expanded in the second group, that is, $b$ to $b^1$, is the subject of even greater expansion in the recapitulation. This effect is seen in some other closing sections. The expansion includes a much longer ECP, in mm. 185-193.
**Diagram 20**

Clarinet Quintet: Closing Section

<table>
<thead>
<tr>
<th>Exposition closing section:</th>
<th>([2 + 2] + [2 + 4] + 5) (mm. 65-79)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>a b a b₁ c</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Recapitulation closing section:</th>
<th>([2 + 2] + [2 + 18] + 5) (mm. 169-197)</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>a b a b² c¹</td>
</tr>
</tbody>
</table>

**String Quintet K. 515.** Three of the four string quintets may be successfully analysed with the closing model. I will consider all three in detail because each has interesting variations of the model. The exposition of the String Quintet in C Major, K. 515, was discussed on p. 89, and therefore I will analyse only the closing section here. I noted in chapter 2 that this exposition was very long, and this length arises in part by the use of extensions within the four small sections. The 28-bar closing section, in mm. 115-143, employs three methods of extension. (1) The a₁ group is two bars longer than a. (2) The bb₁ pair is (3 + 3) rather than (2 + 2), and the cc₁ pair is (4 + 4) rather than (1 + 1). (3) There is an additional pair of groups beyond the normal six: c₂c₂ grouped as (2 + 2). See diagram 21.

This closing section is preceded by the usual expanded cadential progression and trill, ending at m. 115, which is also the first bar of the first closing section timespan. The a₁ variation, in mm. 119-125, employs a 2-bar extension of its third bar, m. 121, prolonging the D in violin I into the b subsection and weakening the cadence of a₁. The a₁ and b groups overlap in m. 125, thereby joining aa₁ to bb₁. It is the pairing of bb₁ that separates these groups from aa₁: if b were omitted it would be clear that b₁ was not a
Separate group but was instead an extension of $a_1$. Although the two $b$ groups overlap—m. 128 is harmonically the end of the $b$ group and also the beginning of the $b_1$ group—there is not so significant a melodic overlap here because m. 128 is primarily a beginning, as is made evident from the exact repeat of m. 125, the leap in the first violin (A to D, mm. 127-128), and the dynamic change (piano to forte, mm. 127-128).

A different kind of overlap is found in the connection between $b_1$ and $c$ in this example: this can be called accompaniment overlap. Although the melody of $c$ begins in m. 132, the accompaniment pattern of $c$ begins a bar earlier, in the same bar that the $b_1$ group concludes. In other words, all of m. 131 is common both to groups $b_1$ and $c$—to $b_1$ melodically and harmonically, and to $c$ accompanimentally and harmonically.

The $c_2$ groups are identical, each now beginning during the first bar of their respective timespans, overlapping with the final notes of their respective preceding groups (mm. 139, 141). The $c$ subsection is greatly expanded with respect to the model, normally (1 + 1). In spite of this expansion, it is clear from the tonic pedal—characteristic of the final subsection—that this is indeed the final part of the closing section.

Nearly half of this closing section is taken up by a tonic pedal. The $c$ and $c_1$ subsections are constructed as (1 + 1 + 2) groups, with $c_2$ echoing the
Diagram 22

String Quintet K. 515: Recapitulation Closing Section

<table>
<thead>
<tr>
<th>Measures:</th>
<th>305</th>
<th>315</th>
<th>322</th>
<th>327</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>(4 + 6) + (3 + 3) + 1 + ([2 + 1 + 2] + [2 x 3]) +</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groups:</td>
<td>a</td>
<td>a&lt;sup&gt;1&lt;/sup&gt;</td>
<td>b</td>
<td>b&lt;sup&gt;2&lt;/sup&gt;</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Measures:</th>
<th>333</th>
<th>341</th>
<th>353</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>([2 x 4] + [2 x 6]) + ([4 + 4] + [2 + 2 + 2] + 2)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groups:</td>
<td>ST material-------</td>
<td>c</td>
<td>c&lt;sup&gt;1&lt;/sup&gt;</td>
</tr>
</tbody>
</table>

end of the c<sup>1</sup> variation. The length of this closing section—and in particular the length of the tonic pedal—is perhaps not surprising because this exposition is one of the longest Mozart wrote. In spite of the alterations here to the closing model, there remains an overall acceleration in timespan lengths from four to three to two bars, with a regression to four bars between those of three and two bars.

The recapitulation is similar in form to the exposition. The closing section is the small section that is most changed: it is expanded to the point where it has some coda function. In diagram 22 the symbols refer to the same material as in the exposition (diagram 21). Essentially, this closing section is expanded by the insertion of two types of material. First, in mm. 321-332, a motive based on c is used in fugal imitation, resembling the c subsection of the closing section in the exposition. Second, in mm. 333-352, material from the subordinate theme—see mm. 273-305—is reworked in a cadential context. In mm. 353-368 the c subsection is recapitulated and extended with an additional c<sup>2</sup> group and two bars of tonic.
String Quintet K. 516. There are a number of interesting features in the String Quintet in G Minor, K. 516, not the least of which is the close relationship between the transition material, in mm. 30-48, and the subordinate theme, in mm. 49-64. It is much more common for the transition to be based on the first theme than on the second. In those rare instances where the transition and subordinate theme share the same material, the impression is that the theme is based on the transition; this procedure reverses the normal primary/subsidiary distinction, and makes the transition seem more important than the subordinate theme. The closing section has an unusually dense texture, especially in the first subsection, aa (based on the first motive of the main theme). See diagram 23. The closing model is operating on two levels here: at the 8-bar theme level—mm. 72-84 are based directly on mm. 64-71, with an expanded cadential progression added, and at the group level—the codetta in mm. 85-90. The closing section starts off like \( bb^1 (2 + 2) \) of a closing model but evolves into a sentence which is repeated.

The recapitulation is similar in form to the exposition, and the closing section in particular is very similar to its exposition form. After the re-transition, a coda begins in m. 235 with main theme material in imitation. The closing model is used for the next subsection in mm. 243-254, based on the subordinate theme, that is, \((3 + 3) + (2 + 2) + 2\).

Diagram 23

String Quintet K. 516: Exposition Closing Section

<table>
<thead>
<tr>
<th>Measures:</th>
<th>64</th>
<th>72</th>
<th>85</th>
<th>91</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>([2 x 2] + [1 + 1 + 2]) + ([2 x 2] + [1 + 1 + 7]) + (3 + 3)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grouplets:</td>
<td>a a b b^1 c ( a^1 ) a b b^1 c^2 ( a^2 ) a^2 Retr.</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
**String Quintet K. 593.** The String Quintet in D Major, K. 593, has an introduction that recurs in the coda. This unusual feature means that the introduction must be considered part of the movement and perhaps part of the exposition in particular. The sections in mm. 34–63 and 64–75 have some transition and subordinate theme features but are based primarily on main theme material. Due to these unusual factors, the models of exposition and entire-movement forms are not sufficient to analyse this movement. Even a cursory view of the overall form would require very extended discussion; therefore, I will consider only the closing section, which, despite the unusual features of the movement, is easily identifiable and even relatively normal, in mm. 75–97.

By comparison with the closing model, this closing section is expanded with respect to its total length—22 bars—and contracted with respect to the number of groups—four. It is the $bb$ subsection of the model which is here omitted. The $aa^1$ pair is expanded to $(6 + 8)$, and then the tonic pedal appears. (An explanation of the posited variation relationship of these groups will be offered shortly.) Since the tonic pedal is normally associated with the final pairing, these two final groups might be named $cc^1$ as in the model. However, to avoid possible misunderstanding, I have shown them as $bb^1$ in diagram 24. They are expanded here in comparison with the model to $(4 + 4)$.

This closing section has some interesting differences from some of the previous examples. The end of the subordinate theme has a strong cadence, but not a full ECP. The $a$-group begins simultaneously with its timespan, unlike some of the previous examples. This overlap in m. 75 is better described as an interruption because new material begins the instant the tonic chord appears, thus weakening the association between the tonic and the previous dominant: the extent to which the cadence is therefore weakened is the extent to which an in-
terruption occurs. This closing section can then be seen as a progression towards a stronger cadence. The \( a^1 \) group begins with an interruption as did the \( a \) group; hence there is no cadential fulfillment here. This cadence is further weakened due to the replacement of the expected major tonic with a minor one in m. 81. It is the cadence at mm. 87-89—with its prominent descending-fifth line and \( \wedge \) 3 in the bass, both absent from previous cadences—which satisfies the need for a strong cadence.

The \( b \) group now begins after its timespan does, thus further strengthening the cadence by allowing the tonic harmony to be associated with the \( a^1 \) group. The pedal also adds to the weight of tonic harmony: in fact, the need for extended tonic harmony may explain why the pedal is used here, in place of the usual \( bb \) pair found in the model. Another reason for the omission of the middle pair of the model is that the \( aa^1 \) pair is unusually long.

Yet another difference here is the character of and relation between the \( a \) and \( a^1 \) groups. One of the archetypal features of closing sections is that groups are primarily cadential, often employing only tonic and dominant harmonies. The first two groups here are not so strongly cadential, partly because each is longer than the normal 4-bar \( a \)-group length. The \( aa^1 \) pair is somewhat more dynamic in character than in a normal closing section. This pair is also remarkable for the remoteness of the variation from \( a \) to \( a^1 \): whereas the \( a \) group is based on a descending-thirds sequence, bar by bar, the \( a^1 \) group employs first a \((2 \times 2)\) sequence and then a \((1 \times 8)\) quasi-sequence. Another difference is that \( a \) and \( a^1 \) are not the same length—something quite unusual. And whereas the \( a \) group is one 6-bar unit, the \( a^1 \) group may easily be heard as \((4 + 4)\). The \( a^1 \) group may also be heard as \((6 + 2)\), the final two bars being an extension necessitated in part by the redirection of the harmony in
Diagram 24

String Quintet K. 593: Exposition Closing Section

<table>
<thead>
<tr>
<th>Measures:</th>
<th>75</th>
<th>89</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>(6 + 8)</td>
<td>(4 + 4)</td>
</tr>
<tr>
<td>Grouplet lengths:</td>
<td>(1 x 6) + ([2 x 2] + [1 x 4]) + (2 x 2) + (2 x 2)</td>
<td></td>
</tr>
<tr>
<td>Groups:</td>
<td>a</td>
<td>a₁</td>
</tr>
</tbody>
</table>

m. 86, where the second chord is a $V_2^4$ rather than a root position dominant. (That is, the cadence could easily have occurred in mm. 86-87 if the bass had been D-sharp-E or D-E in m. 86.) The two groups therefore are similar in that $a₁$ is an extension of a group the same length as $a$. They are also similar from a textural point of view, in that each has a primary melody of constant eighth notes. The motives of the two groups are somewhat similar, for example, as in mm. 75 and 82. The $a₁$ group has the stronger cadence and so the two groups may be heard as a simple period, the relation between many group-pairs in closing sections.

The $b$ and $b₁$ groups may be heard as $(2 + 2)$ imitations of a 2-bar motive. The variation technique of borrowing pitch classes from the parallel minor mode is common to both the $bb₁$ pair and the $aa₁$ pair.

Many of the closing sections discussed earlier used the opening main theme motive; this closing section does not. In fact, there is no overt reference to any previous material, probably because main theme motives—primarily those in mm. 20(4)-22(3) and 30-33(1)—have dominated so much of the exposition up to the closing section.

In the recapitulation the closing section is rewritten to a certain extent. The $aa₁$ pair, in mm. 200-216, has its main voice/accompanying voices
inverted with respect to the exposition, together with some further rewriting. The \(a^1\) group is extended by two bars, that is, it is now \((2 \times 3) + (1 \times 4)\). The \(bb^1\) pair is extended into a retransition preparing for the coda, which, as noted above, begins with the larghetto, and concludes with part of the main theme at tempo I.

**String Quartet K. 387.** Six of the ten string quartets use the closing model in some way. Rather than go into detail on all or even some, I will offer only brief remarks on the nature of the variation in the use of the closing model in each. The closing section of the String Quartet in G Major, K. 387, may be summarized as in diagram 25. The shorter length of all the sections in this movement explains why the closing section begins with 2- rather than with 4-bar units. In other words, this closing section is based on a reduction of the closing model to half the usual length. (At the same time, a case could be made for hearing this movement in 2/4 as opposed to the notated common time, thus doubling the number of bars in the closing section. This would help explain why the closing section, unusually, begins on the third beat. However, more important in the model than the absolute length of units is the relationship between the lengths of units, whether 4:2:1 or 2:1:4.

**Diagram 25**

**String Quartet K. 387: Exposition Closing Section**

<table>
<thead>
<tr>
<th>Measures:</th>
<th>38(3)</th>
<th>42(3)</th>
<th>49(3)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>((2 + 2) + (2 + 5) + (1\frac{1}{2} + 1\frac{1}{2}) + (\frac{1}{2} + \frac{1}{2}) + 2)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grouplets:</td>
<td>(a\ a^1\ b\ b^1\ c\ c\ c^1\ c^1\ d)</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
The \( bb^1 \) pair of the model is doubled in length and expanded in this closing section; alternatively, one could see the \( bb^1 \) subsection as an insertion into the model: without these groups the lengths of the others are progressively reduced, in a manner similar to that of the model. The final 2-bar group--\( d \)--is a curious addition, of a type seen only in one or two other movements. In the recapitulation the \( aa^1 \) subsection is expanded by three bars, the \( bb^1 \) subsection is also expanded by three bars, and the \( cc^1 \) subsection is expanded by one bar.

**String Quartet K. 421.** The String Quartet in D Minor, K. 421, like the Quartet in G Major, has shorter than usual sections and has a closing section that beings on the third beat. See diagram 26. The lengths of groups is the variation here in the use of the closing model. The use of exact repetition in each pair--exact aside from the consistent use of octave shifts--is a little unusual. As noted on pp. 92-93 this movement has some interesting expansions in lengths of small sections in the recapitulation. The unusual 1½-bar lengths of the \( aa \) pair are "normalized" to two bars in mm. 102-105, and the second \( b \) group is expanded by a half-bar, in m. 109. This emphasis on half-bar units means that the movement could be considered in 2/4, another similarity with the Quartet in G Major. The retransition material, in mm. 111(3)-112, is used

<table>
<thead>
<tr>
<th>Diagram 26</th>
</tr>
</thead>
<tbody>
<tr>
<td>String Quartet K. 421: Exposition Closing Section</td>
</tr>
<tr>
<td>Measures:</td>
</tr>
<tr>
<td>Timespans:</td>
</tr>
<tr>
<td>Groups:</td>
</tr>
</tbody>
</table>
here to lead first to the repeat of the development-recapitulation sections, and the second time to the coda.

**String Quartet K. 458.** There are a number of unusual features in the String Quartet in B-flat Major, K. 458, notably the combination of transition and subordinate theme functions in one small section in mm. 18-77. After the ECP in mm. 71-77, the closing section—loosely based on the closing model on two levels—is heard in mm. 77-90. See diagram 27. On level (b) there are only two groups, the second an expansion of the first. On level (a) the grouplets mm\(^1\) form a pair; m\(^2\) begins as if repeating m but leads to a new grouplet—n; n is simplified to n\(^1\) and repeated.

In the recapitulation there is a slight variation in the n\(^1\)n\(^1\) pair, including substitution of \(\hat{3}\) for \(\hat{6}\) in the bass of m. 228, which makes for a stronger final cadence. One reason for the presence of a substantial coda involves the development section, the latter conditioned by the need to begin with a theme in compensation for the lack of a true theme in the dominant in the exposition. Following this theme is "new" material, based on a slow (half-speed) inversion of the opening motive. The development never deals at all with the opening music, the stretto possibilities of which are so obvious. This is

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**Diagram 27**

**String Quartet K. 458: Exposition Closing Section**

<table>
<thead>
<tr>
<th>Measures:</th>
<th>77</th>
<th>81</th>
<th>83</th>
<th>89</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>(2 x 2) + (2 + [2 x 3] + 2)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groups:</td>
<td>a</td>
<td>a(^1)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Grouplets:</td>
<td>m</td>
<td>m(^1)</td>
<td>m(^2)</td>
<td>n</td>
</tr>
</tbody>
</table>
probably why Mozart writes a coda beginning with the first theme in stretto, hence speeded up, rather than slowed down as in the development. ²

String Quartet K. 464. The main theme of the String Quartet in A Major, K. 464, was discussed as a model sentence in chapter 2, pp. 61-62. The close connection between the end of the subordinate theme and the beginning of the closing section, in mm. 68-69, means that the closing section may be considered a subordinate theme codetta. Like the Quartet K. 458, this closing section has pairing of units on both levels (a) and (b); see diagram 28.

Most closing sections begin with some degree of overlap with the end of the subordinate theme: here the overlap is so extreme that the tonic harmony is omitted altogether and the group begins with its timespan on the first beat of m. 69. In fact, the cadence is elided: it is incorrect to speak of this as a deceptive cadence, despite the harmonies in mm. 68-69: (For a brief discussion of the DC, see chapter 2, note 9.)

Grouplet m is based on the opening motive of the main theme. This procedure is common to many closing sections: here, however, the exact pitches from the violin I line in mm. 1-2 are used in the same instrument in mm. 69-70, despite the new key. Grouplet o is a variant of n as well as of the cadential

Diagram 28

<table>
<thead>
<tr>
<th>String Quartet K. 464: Exposition Closing Section</th>
</tr>
</thead>
<tbody>
<tr>
<td>Measures: 69 73 79 83</td>
</tr>
<tr>
<td>Timespans: 4 + ([2 x 3] + [2 x 2]) + 4 + 1</td>
</tr>
<tr>
<td>Groups: a a¹ b</td>
</tr>
<tr>
<td>Grouplets: mn m² m² m³ o o¹ m² o²</td>
</tr>
</tbody>
</table>
grouplet at the end of the subordinate theme, in mm. 67-68. Variant o^2 is a variant because its main notes—B and D-sharp—are the same as those of o, and because it is used in the same position—at a cadence—as o.

In the recapitulation, the a^1 group is expanded by eighteen bars and the b group by four bars. In summary, this closing section is distinguished by its rich motivic associations, both within the closing section and between the closing section and other sections, primarily the main theme. This means that many of the segments could be referred to as motive/grouplet segments; that is, many grouplets assume more motivic significance than is usual.

**String Quartet K. 499.** The String Quartet in D Major, K. 499, has an unusual subordinate theme area which includes a canon in A major in mm. 40-56, a passage that begins as if it were a theme in F-sharp minor in mm. 57-64, another passage—in F major in mm. 65-70, and finally a cadence in A major in mm. 70-73. A relatively normal closing section follows—normal in the sense that it is based on the closing model; see diagram 29.

The variation here is in the use of additional groups and different lengths of groups than in the model. Nevertheless, this closing section illustrates well two of the standard features of the model, that is, the progressive reduction in group length (in the model, 4-2-1; here 5-4-2-1), and the consis-

### Diagram 29

**String Quartet K. 499: Exposition Closing Section**

<table>
<thead>
<tr>
<th>Measures</th>
<th>73</th>
<th>83</th>
<th>91</th>
<th>95</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans</td>
<td>(5 + 5) + ([4 x 2] + [2 x 2] + [1 x 2] + 2)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groups</td>
<td>a</td>
<td>a^1</td>
<td>b</td>
<td>b</td>
</tr>
</tbody>
</table>
tent pairing of groups. The subsection in mm. 83-98 could easily be viewed as based exactly on the closing model: this is supported by the association of groups within these bars; that is, all the groups are based on the same material—and group lengths are identical to those in the model— 

\[(4 + 4) + (2 + 2) + (1 + 1)\]. (The final two bars, mm. 97-98, are a common extra prolongation of the tonic.)

The recapitulation is similar to the exposition, and, except for a few details at level (a), the closing section in particular is not altered (see mm. 215-240). The coda, beginning in m. 241, is based on an extension of the retransition—itsel based on the final group of the closing section. In mm. 249-266 the main theme motive is added and used in cadential contexts. Although there are no strong motivic relationships between the closing section and previous sections, and in particular none with the main theme (this perhaps due to the use of the main theme motives in the subordinate theme area, thus demanding contrast in the closing section), the coda does combine the material in the final group of the closing section with main theme material (this also occurred in the development section, which the coda resembles in some respects).

String Quartet K. 590. Unlike many of the preceding quartets, the form of the String Quartet in F Major, K. 590, is normal, as it follows the four-small-section model in both the exposition and recapitulation. The closing section is based on a reduced closing model; see diagram 30. Instead of six groups, here there are only four, and all are based on the same material from the opening of the main theme.

The closing section in the recapitulation is almost unchanged, in mm. 174-183. It leads into the retransition material, as in the exposition,
and into a coda that is very similar to the opening of the development section, in mm. 184-198. This coda does not include any reference to the main theme, as is common in codas (compare the Quartet K. 499). In the coda the material is of course transformed—primarily harmonically—so as to be entirely cadential. This illustrates well the principle that the function of a given section is determined more by how the material in that section is used rather than by the nature of that material.

**String Trio.** The Divertimento for Violin, Viola, and Cello in E-flat Major, K. 563, has a very long subordinate theme area that can be analysed in more than one way according to formal function. The interpretation I will consider here involves hearing the closing section begin at m. 44, thereby making it—at thirty-one bars—a very long closing section. This view is supported in part by the ECP in mm. 40-43, which closes the subordinate theme. See diagram 31. This closing section has some similarities with that in the Quartet K. 499: that is, the use of 5-bar groups in the first pair, \( aa^1 \); the use of ascending 1-bar sequences in the first three bars of the \( a \) group, followed by a 2-bar cadence; and the use of invertible counterpoint in the variation from \( a \) to \( a^1 \). However, here the \( a^1 \) group is greatly expanded due to extensions in mm. 53-57—adding a cadence similar to that in mm. 42-43—and due to an additional ECP in
mm. 58-61. Unusually, a bar with no material beyond a sustained tonic harmony and an accompaniment pattern—m. 68—precedes the final pair; this bar could also be seen as added to the previous timespan—\(^b_1\)—thereby making it four bars long. The closing section in the recapitulation is almost unchanged.

Violin Sonatas K. 304, 377, and 454. Of the five sonatas for keyboard and violin which I am considering, three use the closing model. In fact, all three use the model with very little variation, and I will therefore comment only briefly on each.

The Sonata for Violin and Piano in E Minor, K. 304, has unusual thematic sections: the main theme is one of the few examples of a small ternary, and the subordinate theme, in mm. 28-59, is an extreme variant of a sentence. This latter theme incorporates a good example of an ECP, mm. 51-58 being an expansion of the previous six bars. The closing section, in mm. 59-77, has timespans of \((4 + 4) + (3 + 3) + (2 + 2)\), and groups of \(a\underbrace{a\; b\; b\;}_{1}\;c\;c\).

In the recapitulation the closing section, in mm. 159-183, is lengthened by the addition of two more \(c\) groups and a further 2-bar group. After the retransition the main theme reappears as the coda: this may be due to the shortened and altered form of the main theme used at the start of the recapitulation.
The exposition of the Sonata for Violin and Piano in F Major, K. 377, was discussed on pp. 88-89. The third small section, in mm. 37-51, has time-spans of \((3 \times 2) + (2 \times 2) + (2 \times 2) + 1\), and groups \(aa^1bbcc^1\). The recapitulation is unusual for its rearrangement of level (c) and (b) units; the closing section does not escape this rearrangement, although at least it remains intact as a small section and remains in the same level-(d) location—that is, at the end—as in the exposition. However, whereas in most works any change in the recapitulation closing section usually involves expansion, in this movement the opposite occurs: the \(bb\) pair is omitted. Contraction of the closing section is a very unusual procedure.

The Sonata for Violin and Piano in B-flat Major, K. 454, has been discussed in chapter 2: pp. 47-48, 50, 52, 54-56, 63, 73-75, 82-83, 86; notes 9, 10, 25, 28, 32, 37, and 38.

**Piano Sonatas K. 284, 311, 310, 330, 457, and 533.** This chapter will conclude with brief remarks on the six piano sonatas that feature the closing model. The exposition of the Piano Sonata in D Major, K. 284, divides primarily into two sections at m. 21. Closing material begins at m. 38, although this material is strongly connected to the preceding thematic statement. The closing model applies only to the first two groups; the overall timespan structure is \((3 \times 2) + 6 + 2\), with group structure \(aabc\), where \(b\) is an ECP.

In the recapitulation the application of the closing model is stronger due to the replacement of the single \(b\) group with two variants of it: \(b^1b^2\); a 4-bar compression of \(b\) in mm. 116-119 is followed by a 6-bar variation. This expansion of \(b^1\) to \(b^2\) strengthens the impression of an ECP, which, coupled with the additional cadence (in \(b^1\)) and the additional pairing \((b^1b^2)\), streng-
The Piano Sonata in D Major, K. 311, begins with a 16-bar section combining main theme and transition functions. An 8-bar subordinate theme is then followed by another 16-bar section that combines subordinate theme codetta and closing section functions, as well as introducing a prominent motive—in mm. 28-29—that is used extensively in this and in subsequent sections. See diagram 32. The \(bb^1\) pair acquires more significance because it is repeated and because it has some motivic features. The \(d\) group is an extra one similar in function to that at the end of the closing section in the String Quartet K. 387.

The recapitulation is rearranged at levels (b) and (c): mm. 79-86 vary the second theme; mm. 87-99 recapitulate mm. 24-36 of the closing section; and mm. 99-112 form one small section incorporating part of the main theme with a new continuation, ending with a variant of the \(c\) and \(d\) groups from the closing section.

Diagram 32

**Piano Sonata K. 311: Exposition Closing Section**

<table>
<thead>
<tr>
<th>Measures</th>
<th>24</th>
<th>28</th>
<th>36</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans</td>
<td>((2 + 2) + ([2 + 2] \times 2) + 2 + 2)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groups</td>
<td>(a)</td>
<td>(a^1)</td>
<td>(b)</td>
</tr>
</tbody>
</table>

The closing model is used in a shortened form in the Piano Sonata in A Minor, K. 310: instead of six groups there are four, \((5 + 5) + (2 + 2) + 1\), \(aa^1bb^1\), in mm. 35-49. Here \(b\) is based on the opening motive of the main theme. In the recapitulation a cadential extension of three bars is added to \(b^1\); otherwise the closing section, in mm. 116-133, is only slightly rewritten, and the
few small alterations are likely due to the change of mode.

In the Piano Sonata in C Major, K. 330, identification of the transition, the subordinate theme, and the closing section is problematic. The section in mm. 19-34 has some thematic features but could also be considered a transition. The period in mm. 34-42 is thus either the first or the second subordinate theme. Because expansion has not taken place and codettas have not occurred, the section in mm. 42-58 could be seen as a codetta-complex to the period. However, it could also function as a closing section based on the closing model: \((6 + 6) + (2 + 2) + 1, \text{aa}^1\text{bb}^1\). The 6-bar groups feature internal grouplet pairing in their first halves: \((1 + 1) + (\frac{1}{2} + \frac{1}{2}), \text{xxyy}\). In the recapitulation the closing section is similar except for a change to the x grouplet and the addition of a new codetta.

The closing section of the Piano Sonata in C Minor, K. 457, is similar to that of the preceding sonata in that there are only two, and not three, pairs of groups; that is, in mm. 59-70, \((4 + 4) + (2 + 2), \text{aa}^1\text{bb}^1\). In the recapitulation the \text{bb}^1 pair is altered in order to lead into the coda, which is discussed on pp. 79-80.

The closing section of the Piano Sonata in F Major, K. 533, comes after a long expanded cadential progression that ends in m. 89. This closing section is a clear illustration of the model, and is also a good example of the type in which all groups are based on the same material, so that with each successive pair the material is reduced: \((3 + 3) + (2 + 2) + (1 + 1 + 1 + 1), \text{aaa}^1\text{a}^2\text{a}^2\text{a}^2\). In the recapitulation several sections are somewhat rewritten, but the closing section remains basically the same.
Having discussed all of the works that are based on the closing model, it would seem appropriate to offer some generalizations on the use of this model and on closure as generated by this model in these works. I will defer such discussion until chapter 7, by which point I will have examined the remaining movements, the ones based on other models. The closing model in fact has some application to the other models, as will be seen in subsequent chapters, and this is another reason I wish to wait to make generalizations concerning this model. In addition, I want to discuss closure overall in these works of Mozart, and this is best left until all movements have been mentioned: I can then not only summarize the closing model and the other models, but also compare and contrast their application, prevalence, variation, relationship, and closural strength.

It should at least be apparent that the closing model is used in a large number, and a large percentage (60%) of pieces. The validity of the closing model is revealed not just because a large number of pieces may be analysed with it, but also because it applies to so many pieces that are different. That is, no two pieces use the closing model in the same way, yet the closing model still applies to all of them without being so watered-down and vague a model that it tells us nothing about each piece. Only by considering a large number of pieces has it been possible to observe this.
The Closing Codetta

A second type of closing section may be named the closing codetta. The typical representative consists of a single codetta, of length four to eight bars. In form it is often like a shortened closing model, containing only one pair of similar groups; that is, (2 + 2) or (4 + 4). Such codettas hardly rate the designation "small section," but, while many are not true small sections, they have some independence in the sense that they are neither exclusively codettas to the previous subordinate theme nor parts of subsequent retransitions or developments. Such codettas—on a level between (b) and (c)—usually function as codettas to subordinate themes and as closing sections. (I will retain the term "closing section" despite the short length of this type.)

The closing codetta commonly occurs in two kinds of contexts relative to the subordinate theme, contexts which I will term (x) and (y):

(x) This type involves a subordinate theme followed directly by the closing codetta. There are few examples of this type, and most are relatively short in length.

(y) More common is the longer type involving a subordinate theme followed by a codetta-complex that normally includes an ECP, then by the closing codetta.
With type (y), closure is often distributed between the end of the subordinate theme and the various codettas, unlike in the case of works using the closing model, where the closing section's role in generating closure is more exclusive and self-contained. (This observation provides a different way to classify closing sections, i.e., on the basis of how the closural function is distributed: in one section, in two sections, or in a series of codettas that do not form clearly-defined sections.)

Type (y) often occurs with expositions that have long second-key areas, in which it may not always be possible to distinguish thematic from codetta material. In other words, such second-key areas have a series of small sections which have both thematic and closural functions. The codetta material is usually closural in function no matter whether it occurs as a codetta to the theme or as a closing codetta. The distinction between a codetta to the theme and a closing codetta is made according to the presence of features characteristic of one or the other of these sections. For example, the expanded cadential progression will be found in a codetta to the theme but not in a closing codetta; and pairing of similar groups (as in a truncated closing model) will be more common in a closing codetta than in a codetta to the theme. Sometimes there is no subordinate theme and the second-key area is made up of a series of codettas grouped as one or more codetta-complexes.

Expositions in which the closing model is used for the closing section normally have a clear separation between the subordinate theme and the closing section. This is not the case with the closing codetta: there is more variance in movements using this type of closing section than in the closing model works. It might be useful, then, for the reader to review the discussion of thematic small sections in chapter 2, note 28.
Detailed discussion must be given to more of the movement in cases where the closing codetta is used, because it is obvious that in these works closure is initiated prior to the closing section. Therefore, although a substantial number of works may be considered to have this type of closing section, I will not be able to analyse in detail as many works as were so examined in the previous chapter. In fact, I have selected only four works for extended discussion. In the cases of the Quartet K. 575 and, to a lesser extent, the Quintet K. 614, I have used pitch reduction in the analysis, partly because it seemed appropriate for these works and because it provides an opportunity to analyse closure from a different perspective as well as to evaluate this perspective. After these four works have been analysed, brief mention will be made of the remaining works which may be considered to have closing codettas.

**Symphony no. 39.** A work that has not yet been discussed is the Symphony in E-flat Major, no. 39. There is an introduction, followed by the main theme in mm. 26-54, the transition in mm. 54-97, the subordinate theme in mm. 97-135, and the closing section in mm. 135-142. The subordinate theme area divides into two sections, the first—the theme proper—in mm. 97-119 (itself comprised of a sentence in mm. 97-109 and a period in mm. 110-119), and the second in mm. 119-135. This second section is not so much a codetta to the previous thematic material as it is a separate section. It initiates closure due to the increase in textural density (resulting from the addition of instruments and the change to a forte dynamic), and also due to the ECP (especially the repeated cadential group in mm. 125-129 and 130-134).
Diagram 33

Symphony no. 39: Exposition and Recapitulation Closing Sections

<table>
<thead>
<tr>
<th>Closing model:</th>
<th>(4 + 4) + (2 + 2) + (1 + 1)</th>
</tr>
</thead>
<tbody>
<tr>
<td>CS (Exposition) measures:</td>
<td>135</td>
</tr>
<tr>
<td>timespans:</td>
<td>(2 x 2) + (1 x 2) + 2</td>
</tr>
<tr>
<td>CS (Recapitulation) measures:</td>
<td>292</td>
</tr>
<tr>
<td>timespans:</td>
<td>(2 + 5) + (2 x 2) + (1 x 3) + 4</td>
</tr>
</tbody>
</table>

The closing codetta in mm. 135-142 has a stronger than usual connection with the previous codetta, largely due to the use of a similar violin motive (mm. 121, 135, etc.). This weakens the independence of the closing codetta, making it function as an extension of the previous material. Elements of the closing model are clearly present, that is, in the pairing of similar groups having timespans (2 + 2) + (1 + 1) + 2. (Such elements are also found in the previous codetta in mm. 125-134.) The final 2-bar group is an obvious reference to a transition motive (mm. 89-90, etc.). The reference to the transition is in fact quite strong, as the entire closing codetta may be seen as based on mm. 83-90. The development section then continues along lines similar to the subsequent bars of the transition.

These factors of connection—with the preceding section and with the transition—mean that mm. 135-142 are weakened in terms of motivic independence. At the same time, this codetta is important harmonically in that it provides several measures of stability on the tonic in contrast to, and in resolution of, the preceding codetta. Here, then, is the main reason for the presence of the closing codetta (not only for this work but, generally, in many others too): the preceding codetta clearly aims towards closure as implied by the local to-
nic, and the closing codetta substantiates the implication by extending the tonic harmony. That several measures of tonic are needed is obvious after the dominant harmony of the typical expanded cadential progression: replacing mm. 135-142 with a single bar of tonic would be unsatisfactory.

That the main function of the closing codetta is harmonic is not immediately obvious from this work. However, many closing codettas are in fact composed of relatively insignificant material—that is, short groups and grouplets without motivic reference—coupled with tonic prolongation. See example 3, the Piano Sonata in B-flat Major, K. 333, where the closing codetta is in mm. 59-63. In somewhat exceptional works such as the Symphony no. 39, on the other hand, Mozart adds motivic references to the closing codetta, giving this section a melodic function as well as harmonic and rhythmic functions (the latter that of prolonging a harmony for a required length of time). ¹

The two codettas in mm. 119-135 and 135-142 bear some resemblance to certain features of the closing model. It will be recalled that the closing model incorporates a reduction in harmonic and melodic activity—normally the final pair or the last two pairs of the model is/are built on a tonic pedal. In this sense, the two codettas here form an expanded closing model. Furthermore, the second codetta reduces the group length, a feature also found in the model. (The closing section cannot be considered to begin in m. 119 because the subordinate theme area normally ends with the expanded cadential progression. Expansion in particular is not a feature of closing sections of any type.)

In this work, then, one may say that closure is initiated in the first codetta, understanding that the closing model is not restricted to the closing
section proper. The two codettas share closural processes and may be considered together to be an extreme variant of the closing model.

In the recapitulation the closing codetta is more than doubled in length, in mm. 292-309. The additions here result in greater independence for this section, and it now functions more clearly as a closing section, and even has something of the character of a coda. See diagram 33.

Flute Quartet K. 285. The Quartet for Flute, Violin, Viola, and Cello in D Major, K. 285, is one of the earliest works I am considering here. (The manuscript is dated Dec. 25, 1777.) The early date may explain the difficulty of establishing unequivocal formal functions for the different sections of the movement. More than in most of the works I am considering here, this one is subject to different interpretations according to the method of formal analysis I am using. At any rate, the particular interpretation on which I have settled—outlined in diagram 34—provides a framework for discussion of the movement.

The main theme, in mm. 1-12, appears to begin as an expansion of the sentence model: that is, mm. 1-4 double the usual 2-bar opening motivic segment of the sentence, and mm. 5-8 form the balancing second segment—\( a_1 \)—of the model, also doubled in length. (That these eight bars do not form a period is clear from the lack of strong harmonic motion in mm. 1-4, by the lack of a strong cadence in these measures, and by the melodically weak cadence in mm. 7-8. Indeed, note how these eight bars function melodically to sustain A.)

The third phrase, in mm. 9-12, brings the sentence to an end prematurely—in that a 16-bar sentence was expected based on the implications of the content of mm. 1-8—with a stronger cadence that includes melodic closure.
Diagram 34

Flute Quartet K. 285: Exposition and Recapitulation

<table>
<thead>
<tr>
<th>Measures</th>
<th>1</th>
<th>13</th>
<th>25</th>
<th>43</th>
<th>51</th>
<th>58</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sections</td>
<td>MT(1)</td>
<td>MT codetta</td>
<td>ST(1)[25-32]</td>
<td>ST(2) + codettas</td>
<td>CC</td>
<td></td>
</tr>
<tr>
<td></td>
<td>MT(2)</td>
<td>TR(2)[33-43]</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>TR(1)</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Measures</td>
<td>100</td>
<td>124</td>
<td>132</td>
<td>139</td>
<td>146</td>
<td></td>
</tr>
<tr>
<td>Sections</td>
<td>MT(1)[1-8]</td>
<td>ST(2) + codettas</td>
<td>CC (coda) [13 + 25]</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>MT(2)[14-17]</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td>TR(2)[33-43]</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

This premature closure has implications for the subsequent section. Instead of functioning as a straightforward transition, the section starts in m. 12(4) as a codetta to the main theme: this is suggested by the subdominant tonicization in mm. 14-15 characteristic of such codettas as well as by the need for further material in the tonic key due to the shortened main theme. Additional connections with the main theme as well as suggestions of thematic status for this section result from the use of 4-bar timespans arranged as (2 + 2) motivic segments, and from the tonicization of IV in the first phrase followed by the tonicization of V in the second (expanding on the weaker use of these—only these—harmonies in the first and second phrases respectively in the main theme). As a theme, this section might be heard as a variant of the period model, with mm. 13-16 as antecedent and 17-25(2) as extended consequent (including a repeated unit in mm. 17-19, 20-22). Transition functions are represented by initiation of irregular timespans in mm. 17-19, 20-21, 22-25, and by repeated tonicizations of the dominant, the section ending with this harmony.
Despite the multiple functions of the section in mm. 13-25, it is reasonably clear that it ends primarily as a transition. This, of course, helps to clarify the function of the following section—or at least the beginning of the following section—as the subordinate theme. The eight bars in mm. 25(2)-33(1) are based on the sentence model with the exception of the ending: it is more common for themes to end on the tonic, and it easy to imagine how this one could have ended on I of A major in m. 33. In addition, the overlap to non-thematic codetta material in m. 33 is unusual, and weakens the perception of mm. 25-33 as a thematic statement because of the lack of a cadence.

Measures 33-43 do not function as an extension of the theme, as in the manner of, for example, the typical extensions or expansions often found in second-key areas (such as the ECP). Instead, the sudden increase in surface activity to sixteenth-notes, the pairing of identical groups (mm. 33-34, 35-36), the lack of cadences (until mm. 41-43), and the pedal on the dominant of the dominant all suggest a second transition.

Overall, then, the section in mm. 25-43 is comprised of an incomplete theme connected to a subsection having some of the functions of a (second) transition. A second transition is perhaps needed due to the weak modulation (or lack of modulation) in the first transition, although such weak modulations are common in earlier works of Mozart. That the first transition had a weak modulation is in turn possibly due to the need for further material in the tonic caused by the shortened main theme. Of course, this second transition is only functioning as such because it strengthens the modulation to the dominant. In fact, mm. 33-43 could easily have followed directly after m. 24 (if the fourth beat of m. 24 were changed to tonic harmony): from this
viewpoint, mm. 25-32 function as a thematic interpolation within a larger transition complex.

A second subordinate theme—this one a period—follows in mm. 43(3)-51(1). This is in fact the first thematic statement clearly based on one of the thematic models. Another difference with previous themes is that it is harmonically more active and the only tonic harmony occurs at the very end (mm. 51). The first subordinate theme, in mm. 25-33, is on the other hand centered around the A major harmony. Obviously, the first subordinate theme must focus on A because this key has been only tentatively established, whereas the second subordinate theme does not have such a constraint because the key of A major has by this time been unequivocally established.

The subsection in mm. 51-58(1) is based on the (1 x 4) + (4 x 1) model. Here, the first four bars are paired (2 + 2) due to the imitation, and the second four bars reduced to a timespan of three bars length due to the overlap in mm. 57-58. The codetta-type material, the use of tonic and dominant harmonies, and the strong cadence (note the repeated \( \hat{3}-\hat{4}-\hat{5} \) bass motion), all of which contrast with the preceding theme, suggest a subsidiary function for this subsection.

It might appear that the codettas beginning in m. 51 have a relation to the preceding theme similar to that of the codettas beginning in m. 33 to the theme beginning in m. 25. However, the boundary at mm. 50-51 is in fact very different from the one at mm. 32-33. First, the cadence in mm. 50-51 is much stronger than the one in mm. 32-33; and all instruments cadence in m. 51, whereas in m. 33 they immediately go on to new material despite reaching the pitches of the dominant cadence harmony. Then, while there is an overlap of material in m. 51, it is appreciable only by hindsight: the half-note A
in m. 51 (flute) is heard first as the end of the previous phrase, but is reinterpreted as the beginning of a 2-bar group after the imitation begins in m. 52. In other words, the nature of the overlap in mm. 50-51 is such that closure of the previous 8-bar theme is accomplished, where it was not in mm. 32-33.

The overlap at mm. 57-58 is similar to the one just discussed. As the subsection in mm. 51-58 was subsidiary in comparison with the immediately preceding one, so this next subsection, in mm. 58-65, is subsidiary in comparison with the one preceding it. This closing codetta is comprised of a 2-bar group, repeated, then compressed to one bar, repeated, and a final two bars of tonic chords. In other words, there are no internally contrasting groups within this codetta.

Melodic and harmonic motion decreases, then, in two stages after the second subordinate theme, which enhances this decrease by being the most highly organized melodic section—the only one based entirely on a thematic model—and by being the most harmonically active section. The codettas in mm. 51-58 retrace the melodic motion of the period (I-\( V_7^\) in A major) and use mainly tonic and dominant harmonies in that key. The closing codetta melodically decorates the tonic note A, and uses only a tonic pedal (or \( V^7/IV \) - IV - V - I over this pedal).

The rearrangement of this exposition material in the recapitulation was briefly discussed in connection with recapitulations in chapter 2: level (d), p. 94. The first two phrases of the main theme are repeated exactly in mm. 100-107. Part of the third phrase is combined with part of the second main theme material in mm. 108-114. This leads directly into a transposed and rewritten form of mm. 33-43 in mm. 115-124(1), supporting the view of
this material as transition. Essentially, then, mm. 100-124 form one section based on most of the first main theme, and on some of the second transition.

The second subordinate theme, its codetta-complex, and the closing codetta follow in mm. 124(3)-146, with a few alterations, all at level (a). The following section, in mm. 146-154, is based on part of the second main theme (m. 12[4]ff.), and part of the first subordinate theme previously omitted from the recapitulation (mm. 25[3]-26[1]). These materials are, however, rearranged in new ways to form a section not heard in the exposition, a section that functions as a short coda. This section is composed of two pairs of similar groups—\( xx^1yy \)—and to this extent resembles the closing model.

String Quintet K. 614. Three of the four string quintets were analysed in chapter 3. The fourth, the String Quintet in E-flat Major, K. 614, is unlike the others in that it has a type 2(y) closing section. The main theme is in mm. 1-19 and the transition in mm. 19-38. Refer to diagram 35 for the following discussion. The first subordinate theme is a double period, in mm. 38(3)-54(1), and provides a welcome relief from the almost constant use of the opening motive—\( \text{mm. } 1-2 \)—in the preceding two sections. Although m. 54 is the start of the next theme's timespan, it is also the end of the last phrase of the first ST. The second ST returns to the opening motive, this time used to form a single 8-bar phrase composed of four 2-bar motivic segments in mm. 54-62(1). This theme is then varied in mm. 62-78(1). The variation is at first quite close to the original (e.g., the Vn. II line in mm. 62-68[1] is identical to the Vn. I line in mm. 54-60[1]), but becomes more remote with the ECP in mm. 70-78.

The closing section is a 6-bar tonic unit (mm. 78-83), with three additional bars (84-86) as retransition. The groups in this section all begin on the third
Diagram 35
String Quintet K. 614: Exposition Dominant-Key Area

<table>
<thead>
<tr>
<th>Measures:</th>
<th>39</th>
<th>47</th>
<th>54</th>
<th>62</th>
<th>68</th>
<th>72</th>
<th>78</th>
<th>84</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>([4 + 4] + [4 + 3])</td>
<td>(8 + [6 + 4 + 6])</td>
<td>([2 x 2] + [1 x 2]) + 3</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phrases/groups:</td>
<td>a</td>
<td>a</td>
<td>a</td>
<td>b</td>
<td>b</td>
<td>ECP</td>
<td>c</td>
<td>c</td>
</tr>
<tr>
<td>Small sections:</td>
<td>(ST 1)</td>
<td>(ST 2)</td>
<td>(Closing codetta)</td>
<td>Retr.</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The eighth-note of the bar, and they are arranged as a pair of length \((1 + 1)\) and a succeeding, compressed pair of length \((\frac{1}{2} + \frac{1}{2})\). This closing codetata may be seen as based on the closing model to the extent that there are two pairs of groups.

Three features suggest m. 54, alternatively, as the start of the closing section, an expanded closing model.

1. It is common for the closing model to begin in the bar of tonic in which the subordinate theme final cadence ends; that is, the overlap in m. 54 is characteristic of closing section beginnings.

2. The near-exact repetition (in the sense of the simplest of sequences) of 2-bar units within mm. 54-61 is suggestive of grouplet/group structure rather than motivic segment/phrase structure. If the motivic segment used here were not so strongly based on the opening main theme motive, then the (a) and (b) level units might be regarded as grouplets and groups, respectively. Even with the motivic reference, there is still a suggestion that they are on the borderline between the two types of units on both of levels (a) and (b).

3. The initiation of repetition of these eight bars suggests an expanded closing model; that is, mm. 54-61 begin to be repeated in m. 62, suggesting an \((8 + 8)\) pairing that would be the first two units of the closing model expanded by a factor of two. With the ECP, however, it becomes clear that
such is not the case and that m. 78 is the end of a separate theme or codetta having the primary function of closure.

The closing codetta, then, has the function of prolonging the local tonic harmony, as did the closing codetta in the Symphony no. 39. The similarity between these two works also extends to the function of the preceding two sections; that is, in both works the dominant-key area is comprised of three sections: (ST) (ST2 or ST codetta [ECP]) (CC).

The recapitulation is very similar to the exposition except for the necessary transposition. The closing section, in mm. 204-212, is lengthened by two bars with the addition of a third (1 + 1) group in the first subsection: instead of repeating, each of the three 2-bar groups in mm. 204-210 is now on a different tonal level, the goal being the tonicization of the dominant in preparation for the repeat of the exposition-development, and then for the coda. This tonal alteration of the closing section makes it end as it did in the exposition, instead of ending on I as it would have had it been transposed exactly.

The analysis of timespans in the coda is difficult due to conflicting features. One interpretation is shown in diagram 36. By analogy with the end of the exposition, mm. 212 and 214 are beginnings (of 2-bar timespans). However, by analogy with the start of the development, as well as with the start of the exposition (and, for that matter, with the start of the recapitulation in m. 125), m. 215 would be a beginning (and not the second bar of a timespan from m. 214). Two-bar timespans begin at m. 215, then, and continue to m. 222: here, the second bar of the timespan beginning in m. 221 is reinterpreted as a first bar. One reason supporting the hearing of 2-bar timespans in mm. 217-218 and 219-220 is the repeated octave-doubled motive in the violins: m. 216 is an anacrusis to mm. 217-218—confirmed by the repeat of 217-218 in 219-220—and the
The main reason a coda is present here is that the closing section is so short that further closure is needed. The closing section is sufficient to close the exposition, but not the entire work. If mm. 204-223 are omitted and mm. 224-232—the transposed closing section—are substituted, it is apparent that this proposed ending is not quite adequate. Furthermore, rewriting the closing section in mm. 204-214 so that it ends on the dominant has the added benefit of effecting a smooth transition (1) to the repeat of the development and recapitulation, in a manner similar to that of the end of the exposition, and (2) to the coda. In effect, the harmonic changes to mm. 204-214 give this section the function of a retransition, as well as of re-opening the music after temporary closure at m. 204(1).

The coda begins as a variant of the main theme, following logically after the retransition group in mm. 212-214. (This retransition group was used prior to all statements of the main theme--i.e., in the exposition.
Diagram 37
String Quintet K. 614: Pitch Reduction of Closing Section and Coda

The variant only begins like the theme, then has a different continuation. This continuation supports harmonic closure through repetition of V-I progressions, and by suggesting and then stating an ECP; that is, the $\frac{4}{2} - \frac{6}{3}$ motions in mm. 217-218, 219-220, and 221-222 lead to the first bass element --the G--of the ECP, which is completed in mm. 222-224(1).

The second subsection of the coda is essentially a "correct" statement of the closing section; that is, it presents the closing section in the tonic key throughout, unlike the statement in mm. 204-211. A difference with the original closing section is that there are three statements of the $(1 + 1)$ unit here and not two as in the exposition. This may be to balance the three statements at the end of the recapitulation (mm. 204-209); however, the latter
came about for harmonic reasons, and the three statements in the coda are harmonically identical. They are more varied registrally than both previous sets were; it is as if they are being used to close off all registers of the work.

A pitch reduction of the closing section and coda is shown in diagram 37. This shows that, after the strong harmonic and melodic closure at m. 204, the music is kept open harmonically, by the sequences in mm. 204-210 and by the inversions in mm. 215-222; melodically, by the rise to B-flat after which the soprano descends to inconclusively in m. 215 (inconclusive because in the wrong register and not supported by a root position tonic chord), and conclusively in m. 224; and rhythmically, because the V-I progressions are at first beginning-accented rather than end-accented.

String Quartet K. 575. In the String Quartet in D Major, K. 575, neither theme is strongly based on any of the thematic models. The main theme (mm. 1-17[1]) is constructed of a 6-bar phrase having a very weak cadence and a 2-bar extension, the whole repeated with some additions and variations. The transition begins as if it were a codetta to the theme (mm. 17[3]-21[2]), but this beginning is repeated and extended, and ends with a dominant pedal.

The subordinate theme (mm. 32[3]-49[1]) resembles a double period. The final phrase (mm. 44[3]-49[1]) is extended by one bar in comparison with the previous three phrases, which are all four bars long. All cadences in this theme are weak, even the last one.

The codetta to this theme (mm. 49[2]-64[1]) is substantial enough to be considered a separate small section. It is comprised of a phrase and its extension and variation, and is thus similar to the transition in construc-
Motivic references are particularly abundant in this movement. For example, the subordinate theme begins with a variant of the main theme's first motive, a variant already used in the main theme itself (m. 13). The subordinate theme codetta opens with the same motive-pair as is used to close the two halves of the main theme. But the most obvious motivic reference is the use of the full opening motive (mm. 1-5[1]) in diminution as the basis of the closing section, that is, in mm. 64-66(1), repeated two bars later. The other motive used in the closing section, in violin I, may be heard as based on a motive from the subordinate theme (e.g., in mm. 33[2]-35[1]) to the extent that both are descending scale patterns and use staccato bowing. In addition, both function in a similar way, that is, as a response subsidiary to an immediately preceding motive.

The closing section is therefore based on elements of the two themes, the element from the subordinate theme being secondary to the element from the main theme. It resembles the closing model in that there is one pair of repeating groups (4 + 4), but is in effect so short that it should be seen as a closing codetta, type (y). A longer than average retransition follows in mm. 72-77.

This closing section is unusual not only in its strong motivic references but also in how it is subsequently used. Although it is common for grouplets from the closing section to appear in the first few subsections of the development, the appearance of the entire closing section, here in mm. 105-113(1), followed by four bars of retransition material, is so unusual that I cannot recall it happening elsewhere in Mozart's oeuvre. After the chromatic dominant
preparation in the bars preceding 105, the use of the closing section at the
same pitch level as in the exposition means that it functions in mm. 105-113
as the retransition of the development section. Although one small section
is being used at the end of two large sections, in each case it is functioning
in a distinct manner: in the first case to close the exposition, in the
second to return to the tonic key and the main theme.

Another unusual feature of this movement is the extent to which the
recapitulation is similar to the exposition. Except for the necessary trans­
position, a few level-(a) changes, and a slightly altered end to the closing
section, the recapitulation is the same as the exposition. Even the transition,
which almost always undergoes some rewriting, is not altered: because it ends
on a dominant, without modulating to or even tonicizing that dominant, the
subordinate theme can follow, transposed to the tonic key (compare mm. 32 and
48). This possibility exists wherever a non-modulating transition ends on V.
Mozart rarely takes the opportunity for literal restatement of the transition,
at least to this extent.

Appearances of the closing section thus far were followed by a smaller
subsection made up of related material; in particular, the development
concludes with material similar to that in the final bars of the recapitula­
tion (mm. 113-116, 190-192). This creates an implication that the final
appearance of the closing section will be followed by something, but since
the retransition at the end of the exposition is not usable here, a different
ending is necessary. Mozart alters the final two bars of the closing section
proper--186-187--to put more emphasis on the dominant, and adds six bars
based on the eighth-note scale motive. When this motive is inverted in
mm. 190-192, a further reference to the opening main theme motive is apparent,
String Quartet K. 575: Pitch Reduction (1)

MT (8 + 8) TR(4 + 7 + 4) ST(4 + 4 + 4 + 5)

A: V IV V\(^6\) ii \(\text{vi}\) \(\text{ii}\) i (i) V I D: \(\text{V}\)\(^7\)
ST cdta(6 + 6 + 3) CS(4 + 4) Retr(6)

Dev. 8 + 8 + 11 + (8 + 4)

Diagram 38.
that is, a filling-in of the triad in m. 190 in the same rhythm \(\text{\textit{d} \textit{d} \textit{d}}\) as in m. 180. Also, one more reference to this motive is added in the viola part of m. 188. The alterations and extensions which replace the retransition add authentic cadences which were absent from the original closing section.

A summary of melodic and harmonic motion, form, and timespans is provided in diagram 38. A number of conclusions can be drawn from this diagram. Harmonically, there is a gradual increase in activity coincident with changes in small sections: the main theme has very little harmonic articulation; the transition introduces the dominant; the subordinate theme is in the dominant and includes some harmonies within that key as well as articulating each phrase with a different pair of chords; and the subordinate theme codetta has the most varied harmonic surface of any section thus far, with only its most important harmonies being shown in the diagram.

The closing section returns to harmonic stability; this is a similarity with the main theme which is supported by the unusual motivic parallelisms as noted above, as well as by the periodicity of timespans—the main theme and the closing section are the only two sections having exclusively identical-length, paired timespans. A further structural similarity between these two sections is that both are simplified periods in the sense that the second half of each is based closely on the first half of each: that is, in both cases their structure is \(\text{aa}^{1}\). The timespan and phrase structures are connected in that the melodic diminution of the main theme motive in the closing section is coupled with a halving of the timespan length.
Melodically, in the exposition, after the stable $\hat{1}$ in the main theme, the transition rises to $\hat{5}$, at first supported by I, then by V. Now in the dominant key, the subordinate theme melodic motion is essentially $\hat{5}-\hat{4}-\hat{3}$, while the subordinate theme codetta motion is overall $\hat{3}-\hat{2}-\hat{1}$. The closing section prolongs $\hat{1}$, and the retransition introduces natural-$\hat{7}=\hat{4}$ in the tonic key. In the exposition, then, the levels of melodic activity parallel those in the harmonic sphere.

The development section alternates active and stable areas, harmonically, melodically, and rhythmically. The two stable areas are (1) a new theme-like statement in G major (mm. 86-94[1]), and (2) the restatement of the closing section as the retransition (mm. 105-116). This suggests that the main harmonic motion of the development is IV-V, and that in particular the IV acts as a lower neighbor to the two dominant-key sections. The connection between the ends of the exposition and development is especially strong in this work because of the identity of both material and key. While it is true that harmonic identity is common between these two areas of Mozart's sonata form movements, it is not usual for such a large part of the development to be given to retransition (12 of 39 bars, nearly one-third). This connection between the exposition and development explains why there is no repeat of the dev.-recap.: the harmonic and melodic neighbor motion would be absent.

With the transposition in the recapitulation, the association of formal functions and specific melodic motions is more evident than in the exposition: the ascent to A in the transition, the descent from A to F-sharp in the subordinate theme, the descent from F-sharp to D in the subordinate theme codetta, and a sustained D in the closing section—extended now via a neighbor note supported by a dominant—that balances the D of the main theme.
A higher-level summary of the movement is given in diagram 39. In both diagrams 38 and 39 the G of the development melody—sustained from the end of the exposition—resolves to F-sharp at the start of the main theme (m. 117). Both the D and the F-sharp are important in the main theme melody, and a case can be made for either being the primary tone. Either a difference can be permitted in the soprano tones for the two versions of the main theme—perhaps on the basis of the necessity of a resolution for the sustained G of the development—or the soprano tone of the initial statement can be changed to ♭3.

A feature of the sketch shown in diagram 39 is that it is not highly piece-specific. In other words, many of Mozart's sonata-form movements could be shown to have similar structures at this level. On the one hand, this would be evidence for positing a single model of melodic-harmonic structure for Mozart's sonata forms; on the other hand, such a model would not reflect and explain the great diversity of these works.

For closing sections in particular, the majority—and perhaps all—would have the same melodic and harmonic functions as indicated in diagram 39.
That is, melodic and harmonic closure are nearly always reached immediately prior to the closing section, the functions of the closing section in these areas being to sustain these goals to balance the main theme and to contrast with the activity between the two stable areas. If any demonstration of the need for stability and contrast is needed, it can be shown by imagining the omission of the main theme and closing section: this is at least remotely possible in terms of diagram 39, as transitions—like the one here—often begin in the tonic key, and melodic and harmonic goals are reached before the closing section. The disruption in tonal balance, and the failure to simply expose essential motivic and thematic material that would result from the omission of these sections, should make it apparent that they must be retained, despite their apparent lack of melodic and harmonic motion.

Schenker might maintain that the absence of melodic and harmonic motion within sections is evidence for dismissing the analysis of music in terms of formal functions and sections. I would counter that this lack of motion is a fundamental feature of these sections. If all of Mozart's sonata-form movements have this feature, then there is no point in pursuing this analytical approach with other movements.

Although I have analysed this movement in terms different from those used for the previous works in this chapter, similar conclusions have been reached regarding closing section function. In all four works the subordinate theme is followed by a section containing an expanded cadential progression and then by a short type (y) closing codetta. In this work, the closing codetta also has strong thematic connections as well as formal and harmonic connections with other sections of the movement.
Symphonies nos. 32 and 34; Eine kleine Nachtmusik. A number of works analysed in chapter 3 as type (1) closing sections may be reinterpreted as of type (2). I will give one example in detail and refer only briefly in what follows to other works which may be similarly reinterpreted as well as to works not yet considered.

In chapter 3 I considered the closing section of the Symphony in C Major, no. 32, to begin at m. 49 and to be an extreme variant of the closing model. An alternative analysis would see mm. 49-64 as a codetta to the subordinate theme, and mm. 65-69 as a closing codetta. This interpretation is supported by the following points:

(1) The subordinate theme does not end either with a particularly strong cadence or with an expanded cadential progression, thereby making stronger the connection with the subsequent material as codetta to the theme.

(2) The codetta in mm. 49-64 fulfills the expansion and cadential functions missing from the end of the subordinate theme.

(3) Features of the closing model appear only in mm. 49-64, too short a span for convincing application of the model.

(4) The cadence ending on the downbeat of m. 65 is one of the strongest in the movement, as a result of which subsequent bars are heard as a unit distinct from the previous codetta.

Measures 65-69, viewed as a closing codetta, are seen to represent the common type based on a reduction of the closing model to one pair of repeated groups.

The Symphony in C Major, no. 34, can also be seen as having a type (y) closing codetta. Instead of beginning at m. 64, the closing section in this new interpretation begins at m. 104, ending as before in m. 112(1).
In this case mm. 64-103 function as a codetta-complex to the subordinate theme. This closing codetta is based on a shortened form of the closing model, as was that in the Symphony no. 32.

In the serenade *Eine kleine Nachtmusik*, K. 525, the repeated codetta in mm. 35-51(1) could be heard as primarily a codetta to the subordinate theme rather than as part of the closing section. In this case, the remaining measures of the exposition—51-55—would be a type (y) closing codetta. As was noted in chapter 2, the codettas in mm. 35-51(1) function in several ways: determining which function is primary is a matter of interpretation.

**String Quartets K. 428 and 589; String Trio K. 563.** The String Quartet in E-flat Major, K. 428, has an unusual exposition form only indirectly related to the usual model incorporating four small sections. However the two sections in mm. 12-24 and 24-40 are analysed, a theme is heard in mm. 40-56 followed by a codetta to it in mm. 56-64. The closing codetta is in mm. 64-68. In the recapitulation, the two sections in mm. 12-40 are combined, the rest remaining almost unchanged.

The interesting main theme and its codetta in the String Quartet in B-flat Major, K. 589, were remarked on in chapter 2, note 33. The transition here is very strong. After the subordinate theme, the type (x) codetta is in mm. 61-71. The first phrase in mm. 61-71(1) is harmonically and melodically more active than would be found in most codettas, and therefore has some thematic features. (This CS might almost be considered in chapter 5: the closing theme followed by the CC.)

In the discussion of the Divertimento, or String Trio in E-flat Major, K. 563, in chapter 3, I noted that the second-key area may be analysed in more than one way according to formal function. I there considered the sub-
ordinate theme and its codetta to be in mm. 26(4)-43(1), and the closing section to be in mm. 43(2)-73. An alternative is to see the codettas in mm. 43-62(1) as a separate codetta-complex small section, or as further codettas to the subordinate theme. This interpretation is supported by the similar cadences in mm. 41(4)-43(1) and 55(4)-58(1). The cadence forming the subsequent codetta (mm. 58-62[1]) is essentially a strengthening of the previous cadence. It follows, according to this alternative, that the closing section is in mm. 62-73 and is of a more common length than the 30-bar type (1) noted in my earlier interpretation. Here, then, it is a type (y) closing codetta.

Piano Sonatas K. 284, 309, 311, 333, 545, 570. In chapter 3 I considered the closing section of the Piano Sonata in D Major, K. 284, to begin at m. 38. However, because mm. 38-50(1) are strongly related to the preceding thematic statement, they may be considered a codetta to the theme, leaving mm. 50-51 as a closing codetta. It would be reasonable to see all of mm. 22-51 as a single section, largely because there it has only one complete cadence. It is apparent that this long section has both thematic and closural functions (the dual function feature being the reason why this section is somewhat loose in structure). Closure is generated mainly by the repeated codetta in mm. 38-43 and by the subsequent ECP.

In the Piano Sonata in C Major, K. 309, the main theme—a period extended with a codetta—ends at m. 21(1). The transition ends at m. 32 and is followed by a 2-bar link to the subordinate theme. The closing section of this exposition, a type (x) closing codetta, follows immediately after the ST. In the absence of the usual codetta between the subordinate theme and the
closing section, the subordinate theme is here lengthened to include an ECP (i.e., one section does what is more commonly done in two). The subordinate theme and closing section, as well as the recapitulation form of the closing section, are discussed on pp. 75-76 and shown in example 8.

In the discussion of the Piano Sonata in D Major, K. 311, in chapter 3, mm. 24-39 were considered one section that combined subordinate theme codetta and closing section functions. An alternative analysis would see mm. 24-36(1) as primarily a subordinate theme codetta, and mm. 36-39 as a type (y) closing codetta. This interpretation is supported by some motivic associations between the theme and its codetta (e.g., the cadences in mm. 31-32 and 35-36 are similar to the cadence ending the theme in mm. 23-24). In addition, the theme is short and is without expansions. Support for this second interpretation is found in the recapitulation, which, as I noted in chapter 3, is considerably different from the exposition. In particular, mm. 24-36(1) are separated from the closing codetta, the first theme being heard between the two; that is, the recapitulation form is: subordinate theme and codetta-complex (mm. 79-98), main theme (mm. 99-108), closing codetta (mm. 109-112). Here it is obvious that the codetta-complex is associated primarily with the subordinate theme. The main theme has a new ending, in which a pair of similar 2-bar groups (mm. 105-108) lead directly into the closing section.

The Piano Sonata in B-flat Major, K. 333, was discussed at various points in chapter 2. In particular, I draw the reader's attention to pp. 83 and 87 of chapter 2, where the form of the exposition was analysed in two different ways. In both interpretations the closing section is in mm. 59-63 and is a type (y) closing codetta. Despite the fact that some aspects of the closing model are found in the codetta-complex in mm. 39-59(1),
the closing section cannot be considered to begin in m. 39; nor can it begin somewhere between m. 39 and m. 59, since mm. 39–59 form one section. This section does, however, initiate closure with some closing model features. Aside from an expansion in the codetta-complex and some alterations to the transition, the recapitulation is similar to the exposition.

The exposition of the Piano Sonata in C Major, K. 545, was discussed in chapter 2, p. 89 and note 43. A few comments here will elaborate on that previous summary. There are a number of interesting similarities between the two themes, in particular the fact that both are twelve bars long and are constructed with \((4 + 4 + 4)\) timespans. Measure 13 has the function, then, of breaking up the otherwise smooth flow of 4-bar timespans, and takes the place of a transition. Measures 26–28 function both as a subordinate theme codetta and as a type \((x)\) closing codetta. The exposition timespan summary is thus: \((4 + 4 + 4) + 1 + (4 + 4 + 4) + 3\). Measures 13 and 26 to 28 add up to one more 4-bar unit; these bars are the two subsidiary "sections." These two short, irregular units serve to highlight the two themes by contrasting with the more periodic nature of the themes: in other words, even though they are not sections, they retain the contrasting function of such subsidiary sections. The irregular length of the closing codetta also sets off the exposition from the development, which is constructed with \((4 + 4 + 4) + 1\) timespans, based at first on the closing-codetta material. Here again the primary part of the development is the same length as the two themes, and there is an additional irregular unit setting off the development, in turn, from the recapitulation.  

In the Piano Sonata in B-flat Major, K. 570, the main theme is in mm. 1–20, the transition in mm. 21–40, the subordinate theme in mm. 41–69(1),
and the closing section in mm. 69-79. The closing section melody begins a bar after its first 4-bar timespan, but the new accompaniment figure starts immediately in m. 69. This closing section is based on the closing model in that there are two pairs of repeated groups, having timespans \((4 + 4) + (1 + 1) + 1\). This closing section may be considered a type (x) closing codetta because the subordinate theme and its codetta form one section; that is, to the extent that the theme ends in m. 69, the closing codetta is of type (x).  

There is a greater degree of uniformity in the nature of type (2) closing sections than in those of type (1), primarily due to the short length of closing codettas. Most closing codettas are based on shortened forms of the closing model, the most common having one or two pairs of repeated groups.

This short length means that significant closure is initiated prior to the closing section in most works which have the closing codetta. Of course, in most works—no matter what type of closing section is used—closure is initiated before the closing section: as has been seen, the cadence or ECP concluding the subordinate theme area is normally one of the strongest in the movement. The short length of the closing codetta, however, means that closure takes place primarily before, rather than during, the closing section, especially in the shortest closing sections.

That this is true is confirmed by the prevalence of type (y) closing codettas, those with a codetta-complex between the subordinate theme and the closing section. The codettas of this complex either function as extensions of the subordinate theme area, or they group together as a separate small section (there may be some of both types in a given work);
also, they initiate closure, primarily through the use of the expanded cadential progression and pairing of repeated groups (many such codetta-complexes resemble the closing model). Although the internal structure of closing codettas is fairly uniform, the contexts in which they are found vary widely.
The Closing Theme Followed by the Closing Codetta

The features of the closing theme followed by the closing codetta were outlined in chapter 2: level (c): closing sections, p. 76, which the reader may wish to review. Five of the works I have analysed fall into this category of closing section.

Symphony no. 41. The exposition of the Symphony in C Major (Jupiter), no. 41, was discussed in chapter 2: level (d): expositions, p. 88. Expansion is a feature of the several subsections of the subordinate theme area:

(1) The theme proper—a period in mm. 56-71(1)—has its second half expanded by three bars; that is, the theme is constructed with \((6 + 9)\) timespans.

(2) The first codetta-complex, in mm. 71-89(1), has its second group—starting in m. 75 as a repeat of m. 71—greatly expanded, and even interrupted in m. 80; that is, the timespans of this subsection are \((4 + [6 + 8])\). The 8-bar group is an ECP.

(3) The following codetta, in mm. 89-100, has its second group expanded by two bars; that is, the timespans are \((5 + 7)\).

The unique ending of this latter codetta deserves some comment: no other closing section examined here involves such an approach. Normally,
codettas end with cadences or at least with tonic harmony, often with tonic pedals: the group in mm. 89-94(1) is typical. The group in mm. 94-100 is therefore not functioning as a codetta to the extent that it has a weaker cadence than the preceding group. (This pair of groups thus reverses the normal cadential patterning found in such codettas; i.e., when the cadences of group pairs are not identical, the second one is usually stronger than the first. Often the second one is or has an ECP.)

One effect of this unusual codetta ending in m. 100 is that the closing section is strongly articulated. The harmonic motion, the change of melodic material, the change of dynamic level, the change of instrumentation, and the use of rests contribute to this formal articulation. A reason for this special treatment of this division is that the closing section begins in m. 101 with material that is more theme-like than usual. If standard codetta material were to be used in m. 101ff., then the ending of the previous codetta would be inappropriate. (For example, imagine the omission of mm. 101-111[1] with the codettas in mm. 111[2]-120 directly following m. 100.) The nature of the closing section has in part determined the structure of the preceding section, in particular the unusual ending of the codetta preceding the closing section.

As an alternative to seeing m. 101 as the start of the closing section, m. 89 might be considered the start because (1) the subordinate theme and its codetta have taken place, (2) the ECP ends on the downbeat of m. 89, and (3) mm. 89-100 form a closural pair of similar groups. The main factor working against this interpretation is the strong formal division in mm. 99-101 which makes the material starting in m. 101 appear as a new section.
### Diagram 40

**Symphony no. 41: Exposition Closing Section**

<table>
<thead>
<tr>
<th>Measures</th>
<th>101</th>
<th>107</th>
<th>111</th>
<th>117</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans</td>
<td>([2 \times 3] + [2 \times 2]) + (3 \times 2) + (1 \times 3) + 1</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groups</td>
<td>a a a b b c c d d d</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The closing theme (CT) is in mm. 101-111(1) and is not obviously based on a thematic model. However, it has the character of a theme because (1) of the way it is prepared by the preceding codetta, as discussed above, (2) of the introduction of new motives not obviously related to any preceding material, (3) of the dynamic and textural change: the CT is unified and distinguished from its surroundings by a piano dynamic and different texture, and (4) thematic statements are usually given by strings, with the melody in the violins, as is the case here. See diagram 40.

Certainly there are some resemblances to the closing model here, especially in the pairing of similar groups and the move towards material that has more features of codettas. The closing model contains such a progression, in part because of the shortening of group length: the shorter the group the less space for motivic material. In the case of the CT followed by the closing codetta, this progression is amplified by the more thematic nature of the first subsection. It will be recalled that the first pair of groups in the closing model is often like a simplified period: the closing theme-closing codetta may thus be viewed as a modification or special case of the closing model in which the first subsection is more thematic than usual.¹

The three a groups are very similar except for a few details, for example, the oboe entrance in m. 103, and the bassoon doubling in m. 105ff. The
latter recalls the subordinate theme; see m. 62ff., where the bassoon is used in a similar way, that is, to double the violin melody two octaves lower, in variation of preceding material.

The two b groups are very similar except for the addition of the flute doubling of the melody in the second b group. This again is similar to the addition of the flute in the subordinate theme, m. 67ff. The a and b groups are more connected than in the closing model, largely because of the way the b group begins in m. 107 as a continuation of the a group, and because of similarities in harmonic rhythm and texture.

The two c groups, although three bars long, are made up of two sequenced 1-bar units, followed by a 1-bar cadence. They are clearly separated from the preceding material by the rest, sudden forte, addition of brass instruments, and change in texture in m. 111.

The implications of the similarities in orchestration noted above between the subordinate theme and closing section are worth considering because the unusual similarities seem more than coincidental. Diagram 41 is incomplete in that it omits the fact that in both sections the bassoon and flute are added as doublings of the melody in variation of immediately preceding material.

In the case of the subordinate theme—which here for convenience I take to include the codettas up to m. 100—the process of addition of winds and brass to a basically string texture is begun gradually, but then interrupted in mm. 71-80, and then is abruptly completed with the unexpected forte entrance of the full orchestra in m. 81. In the case of the closing section, however, the addition of instruments, begun the same way as in the subordinate theme, is completed without interruption.
Partly because of this orchestrational relationship between the two sections, the closing section may be heard as brought to a more satisfying close than the subordinate theme. This relationship is somewhat like that of a period, in which two subsections begin the same way, but only the second, by completing what was implied in the first, is heard as closed. Support for this view is also found in the fact that the subordinate theme ends, unusually, with dominant harmony (in mm. 99-100); this is, of course, similar to the usual ending of the first half of a period.

A great deal of the development section is based on the closing theme. After a 2-bar introduction modulating to E-flat, the closing theme is in fact stated completely in this new key in mm. 123-132(1). One reason the key of E-flat sounds so convincing here is that the closing theme melody has a pro-
Diagram 42

**Symphony no. 41: Closing Theme in Exposition and Development**

<table>
<thead>
<tr>
<th>CT (e.g., mm. 101-103[1]) and codetta (e.g., mm. 113-114[1])</th>
<th>Modulation mm. 121-123</th>
<th>CT in Dev. (e.g., mm. 123-125[1])</th>
</tr>
</thead>
</table>

Prominent use of $\hat{3}-\hat{2}-\hat{1}$, and the $\hat{3}$ of E-flat is the tonic of the previous tonality. The modulation in mm. 121-123 is based on this same $\hat{3}-\hat{2}-\hat{1}$ progression; the theme's melody is thus heard as an echo of the modulation. See diagram 42. Motives from the CT are used in the development up to the false recapitulation starting in m. 161 and they recur again towards the end of the retransition, mm. 181-188. The main theme is repeated without change in mm. 189-211. The transition is rewritten to a certain extent: the changes primarily involve starting in C minor rather than in C major, and altering m. 235ff. to stay on G as pedal. One 8-bar codetta of the subordinate theme is rewritten: mm. 269-276 are significantly different from mm. 81-88.

The closing section is basically unchanged, in mm. 289-313. The cadence at the end of the closing theme is extended by one bar, mm. 304-306(1), and five bars of tonic arpeggios in mm. 309-313 replace the one bar of tonic in m. 120. Some aspects of orchestration are altered in the subordinate theme and closing section. Both have a slightly thicker texture due to the addition of horns in the subordinate theme, and trumpets and timpani in the closing section. Although the sequence of addition of instruments is not the same in both sections as it was in the exposition, there are still similarities in how the two sections are orchestrated.
String Quartet K. 465. The allegro of the String Quartet in C Major, K. 465, begins with a 22-bar main theme in mm. 23-44. Despite its length, this theme is tightly organized in its use of both period and sentence models. In other words, the entire theme is constructed as a period (8 + 14), and each subsection as a sentence (4 + 4) + (4 + 10). Obviously, the second subsection has an extension in the manner of a codetta. The transition follows in mm. 44-55, overlapping the final bar of the main theme. Although the transition is short—it is half the length of the preceding theme—it has a fairly strong modulation to the dominant because it moves very quickly towards V and because it ends on a V/V pedal. The subordinate theme is a 15-bar sentence in mm. 56-71(2). The first subsection is the standard (2 + 2) pattern, but the second is considerably extended with sequences and an ECP.

The closing theme is a normal 8-bar period in mm. 71(3)-79(1). The closing section then continues with a series of codettas to m. 99. (The re-transition in mm. 99-106 was discussed on pp. 69-70.) See diagram 43. Various interpretations of the timespan lengths are possible in this section. For example, the closing theme timespan could be started at m. 72 (with an overlap at m. 79); however, I have decided on m. 71 on the basis of harmony—m. 71 being a prominent tonic arrival—and on the basis of prior establishment of 4-bar timespans at m. 67. Whatever the detailed view of timespans here, the overall pattern is (8 + 12 + 8).

Diagram 43

String Quartet K. 465: Exposition Closing Section

<table>
<thead>
<tr>
<th>Measures:</th>
<th>71</th>
<th>79</th>
<th>87</th>
<th>91</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>(4 + 4) + ([5 + 3] + 4) + (4 + 4)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groups:</td>
<td>a</td>
<td>a</td>
<td>b</td>
<td>c</td>
</tr>
</tbody>
</table>
This is one of the few closing sections in which there is almost no use of any features of the closing model. The only group pairs are the period $aa^1$, and the final pair $ee^1$ (this latter pair based on the opening main theme motive). There is some repetition in each of the $b$, $c$, $d$, and $e$ groups, that is, at the 1-bar level. However, there is no overall pattern of reduction of group length.

In the recapitulation the main theme and transition are combined to form one section in mm. 155-175. The first seventeen bars of the theme are repeated with a number of surface alterations to which are added the final four bars of the transposed transition. The subordinate theme follows in mm. 176-191(2): although it is the same length and has the same material as in the exposition, some details are rewritten, especially in mm. 182-190 (e.g., the interval of transposition is changed to direct the theme towards the key of F major).

The closing theme is then repeated in C major without alteration. The remainder of the closing section follows in mm. 199-219 with some surface changes. In particular, the cadence in mm. 208-211 is strengthened due to the use of $2-4-\#4-5-1$ as the bass voice, compared to $b7-6-\#4-5-1$ in mm. 88-91.

The retransition in mm. 219-226 is similar to that in the exposition, and so moves towards the key of F major (i.e., as the retransition in the exposition moved from G major to C major, so in the recapitulation it moves from C major to F major). The final bar—226—is altered so that the coda will begin as the development does, with a variant, in F major, of the beginning of the main theme. This main theme motive is quickly liquidated and a cadence closes off further motivic development in mm. 227-235(1). A pair of similar 3-bar groups in mm. 235-240 is followed by a pair of active 2-bar groups over a tonic pedal in mm. 241-245, then by a bar of tonic arpeggio. Overall,
the timespans in the coda are \(8 + (3 + 3) + (2 + 2) + 2\). The pairing of similar groups and the reduction in timespan length are both features of the closing model, features that were not strongly present in the closing section. To an extent, then, the coda supplies closural features absent from the closing section.

**Violin Sonata K. 481.** The exposition of the Sonata for Violin and Piano in E-flat Major, K. 481, was cited in chapter 2: level (d), p. 85, as an example of normative small section structure. The main theme, in mm. 1-24, is a sentence variant with a codetta, that is, \((6 + 6 + 4) + (4 + 4)\). The transition, in mm. 25-36, forms a strong contrast with the preceding theme by virtue of tonality, motives, and surface rhythm. The subordinate theme, in mm. 37-68, contrasts strongly with the preceding sections for these same reasons. In addition, the subordinate theme—a modified period—has a series of extensions to its second half culminating in an ECP in mm. 63-68. See diagram 44. Groups \(cdc_d^{l-1}\)-ECP form a secondary unit within the theme.

The closing theme, in mm. 69-84(1), is a double period—8 + 8—in which motives and surface rhythm again are responsible for creating strong contrast with the preceding sections. Overall, then, this exposition has a high degree of contrast between the four small sections. The closing theme and

### Diagram 44

**Violin Sonata K. 481: Exposition Subordinate Theme**

<table>
<thead>
<tr>
<th>Measures:</th>
<th>37 41 45 49 53 57 61</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>((4 + 4) + (4 + 4 + 4 + 4 + [2 + 6]))</td>
</tr>
<tr>
<td>Phrases:</td>
<td>a b a(^1) c d c(^1) d(^1) ECP</td>
</tr>
</tbody>
</table>
Diagram 45

Violin Sonata K. 481: Exposition Closing Section

Measures: 69 73 77 81 85

Timespans: \((4 + 4) + (4 + 4)) + ([2 + 2] + [1 + 1])\)

Phrases/groups: \(a\ b\ a_1\ b_1\ c\ c\ c_1\ c_1\)

Cadences: HC IAC HC PAC

closing codetta may be summarized as in diagram 45.

Phrase \(b\) is a variant of \(a\) (i.e., where \(a\) ends on \(V\), \(b\) ends on \(I\)), but rather than label \(b\) as \(a_1\) it is more important to indicate that the two phrases in mm. 77-84(1) are variants of the two preceding ones. (In other words, \(aba_1b_1\) is more informative than \(aaa_1a_2a_3\).) The closing model applies to a substantial extent to this closing section: all phrases and groups are paired with similar ones (i.e., \(mm\_nnoopp\) and there is a reduction in timespan bar length of 4 to 2 to 1. A 2-bar retransition in mm. 90(2)-92 converts the B-flat harmony to a dominant.

The main theme is recapitulated in mm. 140-155(1), with the 8-bar codetta omitted and replaced with a sequence of the final phrase of the theme, in mm. 155-159. This sequence tonicizes the subdominant, permitting the transition to be transposed up a fourth so that it now ends on \(V\) instead of on \(V/V\). This in turn allows the subordinate theme to appear in the tonic; there are very few alterations to this theme.

The closing theme is repeated in E-flat without change in mm. 204-219(1). The closing codetta is, however, replaced by a new section in mm. 219-229(1) that begins with sequences based on the 2-bar closing codetta group. After this section cadences, the missing codetta to the main theme is heard in
Diagram 46

Violin Sonata K. 481: Recapitulation Ending

<table>
<thead>
<tr>
<th>Measures:</th>
<th>220</th>
<th>230</th>
<th>238</th>
<th>245</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>(2 + 2 + 2 + 4) + (4 + 4) + 7 + (2 + 2) + (1 + 1) + 2</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groups:</td>
<td>a a^1 a^2 a^3 b b^1 c d d d^1 d^1</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

mm. 229(2)-237(1); the only changes here are the addition of a new anacrusis figure in m. 229 and the overlap with the succeeding section in m. 237. The latter, extending to m. 245, is a new section based on the material in the central section of the development, mm. 104-121; whereas in the development this material is used in modulatory sequences, in the recapitulation it is used in an essentially diatonic way with the key of E-flat. Finally, the closing codetta returns with a new accompaniment and a slightly changed ending in mm. 245-252. The sections from m. 219 to m. 252 form an ending to the recapitulation different from that of the exposition; they do not form a coda, although some functions of a coda are present. (If there were a coda here, locating its beginning would be difficult.) See diagram 46.

One of the strongest criteria for timespan initiation is harmonic arrival. Often, however, other factors work in concert to override harmony: this occurs frequently in the present movement, and is in fact a characteristic feature of it. Various factors are seen to counteract the normal tendency of the final chord and bar of a phrase to be accented, factors which, while occurring in other works, are more frequent here. For example, the 6-bar phrase lengths in the main theme permit the final cadential harmony to arrive a bar early (i.e., in mm. 5 and 11), thus making the final bar of each phrase unaccented. (Omitting mm. 3-4 and 9-10 would make the theme harmonically "square" and
would make the cadential harmonies arrive too early.) Instead of subsequent phrases continuing with the prevailing harmony or overlapping with the preceding phrase, phrases often start with a new harmony or have a rest between phrases or other articulation such as texture separate the two phrases. For example, see m. 17 which is strong compared with m. 16, and similarly m. 25 compared with m. 24.

The first disruption to timespans starting on odd-numbered bars occurs in the ECP, where mm. 64 and 66 are accented (i.e., mm. 63-68 are $1 + 2 + 2 + 1$). The alignment of harmony with timespans is a factor in the strength of this cadence. The closing theme, however, returns to timespans beginning on odd-numbered bars in m. 69. And, despite the change of dynamics and texture in m. 84, that measure remains unaccented and functions as an upbeat bar to m. 85.

Whether or not odd-numbered bars continue to be accented through the retransition and introduction to the development (mm. 90-96), it is clear that the main part of the development has 2-bar timespans starting on odd-numbered bars (mm. 97-118). Note in particular mm. 104-105, where arrival of A-flat major tonic harmony and initiation of a new texture in m. 104 do not create an accent: that timespans begin in m. 105 is clear primarily from the left-hand octaves and subsequent violin articulations. (This subsection is also grouped at a higher level into 4-bar timespans—105-108, etc.—by the rests in the violin line, creating a 4-note motive that often has been cited as one of Mozart's favorites, recurring in other works such as the finale of the Symphony no. 41.)

A significant change occurs in mm. 119-121: this is a 3-bar timespan, extended by one bar from the 2-bar norm by the hemiola in mm. 120-121. This clearly puts a strong accent on m. 122, initiating 2-bar timespans now on
even-numbered bars, and it functions to articulate the retransition subsection in mm. 122-139. (Bar 122 is one location where timespan initiation is influenced by harmonic arrival, of course in concert with other factors such as violin articulation and rhythm.)

The recapitulation thus differs from the exposition by having timespans start on even-numbered bars, a fact which is remarkable only by virtue of the extreme consistency of the 2-bar hypermeter level. This pattern continues—the recapitulation otherwise closely related to the exposition, as noted above—to the subsection in mm. 238-244. It is within these eight bars that a shift back to timespans beginning on odd-numbered bars begins. Bar 238 is strong by continuation of even-numbered bars accentuation and by analogy with m. 104ff. The bass and violin articulations are not, however, the same continuing from m. 238 (compare m. 105). The violin changes from a 3-bar articulation to two 2-bar ones in mm. 238-240, 241-242, 243-244. The bass pattern is not clear on its own except that m. 240 is like m. 239, suggesting an extension supporting the violin's 3-bar grouping, and that mm. 243-244 form a 2-bar unit based on similar articulation and patterning. The harmony supports the 2-bar units in 241-242 and 243-244, and therefore these eight bars in mm. 237-244 have timespans of, from m. 236, (2 + 3 + 2 + 2).

The shift back to accentuation of odd-numbered bars would seem to be negated in m. 245, which, by analogy with m. 84, should be unaccented. However, a comparison of the subsections in mm. 245-252 and mm. 84-90 reveals differences which reduce their similarity to the point where they have opposite timespan patterning. First, the preceding material is not the same for both subsections: in the exposition, mm. 81 and 83 are accented, leading to accentuation of 85 and 87; in the recapitulation, mm. 241 and 243 are accented, supporting accentuation
of 245, 247, etc. Second, the bass supports different 2-bar patterns in each case: in the exposition, patterns begin on the second and fourth bars (mm. 85, 87); whereas, in the recapitulation, patterns begin on the first and third bars (mm. 245, 247). Third, the endings of each subsection are different: in the exposition, a change to even-numbered bar accentuation is possible in mm. 88 and/or 90; in the recapitulation, no such change is likely, odd-numbered bar accentuation continuing to the end.

Whereas much of the movement is characterized by timespan initiation that is not influenced by harmonic arrival, the final sections of the movement reverse this feature to have timespan initiation and harmonic arrival in synchrony. This is further supported by dynamics, which change in m. 245 with the new timespan and harmonic unit.

_Piano Sonata K. 332._ The Piano Sonata in F Major, K. 332, is characterized by a large number of thematic statements; that is, there are themes and theme-like constructions in places where such statements are not normally found. The main theme, of unique construction, is in mm. 1-12(1) and is followed by its codetta—a simplified period—in mm. 13-22.

As in the violin sonata just discussed, the transition here strongly contrasts with the preceding theme and codetta. To the extent that this transition introduces and prominently features new motives—that is, in mm. 23-26—it is more thematic than usual for a transition. (For example, compare the transition in the previously-discussed violin sonata, consisting largely of sixteenth-note patterns.) These motives are liquidated as the transition moves to the dominant of the parallel minor of C, ending in m. 40.
Diagram 47

Piano Sonata K. 332: Exposition Closing Section

<table>
<thead>
<tr>
<th>Measures</th>
<th>71</th>
<th>82</th>
<th>86</th>
<th>90</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>([6 + 6] + [2 + 2]) + (2 + 2) + 4</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Phrases/groups:</td>
<td>a</td>
<td>a&lt;sup&gt;l&lt;/sup&gt;</td>
<td>b</td>
<td>b&lt;sup&gt;l&lt;/sup&gt;</td>
</tr>
</tbody>
</table>

The subordinate theme, a double period (4 x 4), follows in mm. 41-56(1). The next section, in mm. 56-70, returns to the key of C minor, uses sequence, and ends with a dominant pedal. In these respects it resembles a second transition.

The closing theme then follows in mm. 71-82(1) and the closing codetta in mm. 82-93. See diagram 47. The closing theme is in the form of a simplified period in which the first half ends with an imperfect authentic cadence (mm. 75-76), the second with an implied perfect authentic cadence (mm. 81-82). The elision of the expected tonic in m. 82 is the beginning of the first codetta (2 x 2), which could also be considered an extension of the closing theme, as it leads to the tonic chord—in m. 86(1)—that was expected in m. 82(1). The closing theme uses a motive that is a simplification of one in the subordinate theme; that is, mm. 71-72 resemble mm. 41-42 in the use of a repeated note in the first bar and a descent by a whole tone on the third beat of the next bar. In addition, the codetta in mm. 82-85 resembles the second transition (following the subordinate theme).

From diagram 47 it is apparent that the pairing of similar groups resembles the closing model. However, the b<sub>1</sub> and a<sub>1</sub> groups form a larger unit, and the timespan lengths do not correspond to those in the model. Another possible interpretation of this closing section is as a type (2)(y); that is, mm. 71-86
would be a second subordinate theme and the remainder would be the closing section (a closing codetta).

The development section begins with yet another theme in mm. 94-109(1). This one resembles the CT, but it is transformed in various ways, becoming here a sentence, repeated. Aside from a few details, the recapitulation is very similar to the exposition.

**Piano Sonata K. 570.** The Piano Sonata in B-flat Major, K. 570, was considered in chapter 4 to have a closing codetta in mm. 69-79. It is possible to hear the first two groups, in mm. 69-77(1), as a simple period to the extent that the groups are phrases and have motives rather than grouplets. A much shorter closing codetta would follow in mm. 77-79.5

An explanation for this reinterpretation is suggested by the fact that the subordinate theme is based on the opening motive of the main theme. The closing theme then forms the more contrasting theme in the dominant key.6 The closing theme is a further contrast in that it is a period whereas the previous two themes were sentences.

A similarity with the previously-discussed work, the Piano Sonata K. 332, is the large number of themes. Even the transition, after its two introductory bars, has a more theme-like statement than is normal for a subsidiary section. Note, however, that Mozart compensates for this abundance of themes by ending each of the four small sections with a codetta or codetta-like material. This paradigm of theme/codetta for small sections continues even in the development section and through the recapitulation. See table 4.
Table 4
Piano Sonata K. 570: Theme/Codetta Paradigm at Level (c)

<table>
<thead>
<tr>
<th>Small Section</th>
<th>Theme: mm.</th>
<th>Codetta: mm.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Main theme</td>
<td>Sentence: 1-12(1)</td>
<td>12(2)-20</td>
</tr>
<tr>
<td>Transition</td>
<td>23-34</td>
<td>35-40</td>
</tr>
<tr>
<td>Subordinate theme</td>
<td>Sentence: 41-57(1)</td>
<td>57-69(1)</td>
</tr>
<tr>
<td>Closing section</td>
<td>Period: 69(2)-77(1)</td>
<td>77-79</td>
</tr>
<tr>
<td>Dev. sec. (1)</td>
<td>(TR): 81-94</td>
<td>95-100</td>
</tr>
<tr>
<td></td>
<td>(ST): 101-116</td>
<td>117-132</td>
</tr>
<tr>
<td>Main theme</td>
<td>Sentence: 133-144(1)</td>
<td>144(2)-152</td>
</tr>
<tr>
<td>Transition</td>
<td>155-164</td>
<td>165-170</td>
</tr>
<tr>
<td>Subordinate theme</td>
<td>Sentence: 171-187(1)</td>
<td>187-199(1)</td>
</tr>
<tr>
<td>Closing section</td>
<td>Period: 199(2)-207(1)</td>
<td>207-209</td>
</tr>
</tbody>
</table>

In comparison with types (1) and (2), closing sections of type (3) are not common. This is due to the prevalence of the exposition model in which primary—that is, thematic—sections alternate with subsidiary ones, the closing section normally thus being a subsidiary—that is, non-thematic—section. It is interesting therefore to note that some of the type (3) closing sections use themes throughout the exposition (e.g., the two piano sonatas), the CT thus occurring as part of an overall thematic design.

Elements of the closing model, however, continue to be used in the CT-CC type of closing section. The use of pairing of similar groups and/or the use of reduction of timespan length are found in most of the works considered in this chapter.
Closing Sections Not Based on Models

This fourth and final type of closing section is in fact not a type at all, but is a category for closing sections which do not fit any of the previous three types. In other words, in this chapter I will consider closing sections which are the most atypical, in the same sense of atypical that I applied to those themes that were thematic without being based on any of the thematic models (see chapter 2: level [c]: themes, p. 66).

This category also includes those works in which the closing section is difficult to identify as well as those in which the closing section combines with other sections. A few works discussed in the previous three chapters had one or other of these features, although not to the extent that the works to be discussed here have them. For example, several works were considered in more than one chapter because they could be analysed in more than one way regarding closing section location (e.g., Symphonies 32 and 34 were analysed in chapters 3 and 4); however, at least in those cases evidence could be found for supporting each interpretation. The present category also includes those cases in which no clear closing section emerges.

Although few of the movements considered in the previous chapters have expositions that do not conform to the four-small-section model (level [d]), most of the works to be analysed here do have unusual exposition forms.
As will be seen, then, most of these works have unusual features on a variety of levels, and not just in their closing sections.

Finally, there are very few works having closing sections which do not follow any of the models. In fact, only six of the forty-seven works I have analysed for this dissertation will be considered in this chapter.

**Symphony no. 35.** The exposition of the Symphony in D Major (Haffner), no. 35, was discussed on pp. 86-87 as an example of a work in which the four-small-section model does not apply very well. Reasons were given there as to why the exposition model applies weakly; here I will discuss what the form is, rather than what it is not.¹

The only primarily thematic statement in the movement is the main theme in mm. 1-13. This theme is a variant of the sentence model: instead of having timespans \((2 + 2) + (1 + 1 + 2)\), the theme has partially doubled timespans of \((3 + 2) + (2 + 2 + 3)\). Measures 13-23 may be seen as a codetta to the theme, or, more likely, as the first part of the transition. (Codettas are usually not variants of preceding thematic material, whereas transitions often are. Furthermore, the addition of instruments coupled with the sudden forte in m. 13 are signals that the transition is beginning. [This common feature of transitions is discussed in Batt, "Function and structure of transitions;" see also the Symphony no. 39, in which the transition begins in m. 54.])

After the dominant is tonicized in the following bars--24-35--a second theme could emerge. (There may not be a strong modulation, but it is not unusual for a second theme to follow so weak a move towards the dominant.) Instead, the dominant, which might have become a tonic, retains its dominant function with the addition of the G-naturals, and a prominent return to the
Diagram 48
Symphony no. 35: Exposition

<table>
<thead>
<tr>
<th>Measures:</th>
<th>1</th>
<th>13</th>
<th>35</th>
<th>48</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>$(5 + 4 + 3)$</td>
<td>$(6 + 4 + 6 + 6)$</td>
<td>$(6 + 7)$</td>
<td>$(11)$</td>
</tr>
<tr>
<td>Keys&lt;sup&gt;a&lt;/sup&gt;:</td>
<td>I</td>
<td>I</td>
<td>(V)</td>
<td>-</td>
</tr>
<tr>
<td>Small sections:</td>
<td>main theme</td>
<td>MTcdta/TR1</td>
<td>MTvar.1/TR2</td>
<td>MTvar.2/TR3</td>
</tr>
<tr>
<td>Orchestration:</td>
<td>tutti; strings</td>
<td>tutti</td>
<td>str.; tutti</td>
<td>strings</td>
</tr>
<tr>
<td>Dynamics:</td>
<td>f ; p</td>
<td>f</td>
<td>p</td>
<td>;f</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Measures:</th>
<th>59</th>
<th>67</th>
<th>74</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>$(4 + 4)$</td>
<td>$(4 + 3)$</td>
<td>$(6 + 4 + 4 + 7)$</td>
</tr>
<tr>
<td>Keys:</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Small sections:</td>
<td>MT var.3</td>
<td>var. of MT var.3</td>
<td>CS</td>
</tr>
<tr>
<td>Orchestration:</td>
<td>tutti</td>
<td>winds</td>
<td>tutti</td>
</tr>
<tr>
<td>Dynamics:</td>
<td>f</td>
<td>p</td>
<td>f</td>
</tr>
</tbody>
</table>

Note: <sup>a</sup> The initial move towards the harmonic area of V is tentative; hence the use of parentheses.

Tonic ensues in m. 41. That this area is definitely not leading immediately to a second theme is confirmed by the equally conspicuous return of the opening main theme motive. (Mozart's second themes are rarely based on main theme motives.)

The return of the opening motive in the tonic key in m. 41ff., although prominent, is short-lived. A sequence of the motive leads to a dominant-of-the-dominant pedal in mm. 48-57. Nevertheless, the main theme motives are still used—in the viola part—although with a new counter-melody in the violins. At the end of this pedal we expect the second theme. An indication
that we are not going to get it (yet) is that the pedal ends with a cadence; normally, transitions end on the dominant, not the tonic, of the secondary key, that is, the pedal would continue right up to the start of the theme, where the tonic would appear.

When the theme does start, in m. 59, it is once again on a D-major harmony. This time, however, the D-major chord is heard as IV/V, not as I/I; that is, it is part of a plagal progression in the dominant key. Nevertheless, there is a certain weakness to the recent modulation to the dominant when, so soon after this modulation, a new section begins on the previous tonic. Furthermore, this 8-bar theme—a sentence-variant—is based, once more, on the opening main theme motives. This theme is weakened as such by beginning on the subdominant, by its strong relation to main theme motives, and by its context: when so many sections are based on the same material, none but the first stands out as particularly thematic.

The following 8-bar section, in mm. 67-74, is a variant in the parallel minor mode of the preceding theme. Whereas the first statement used the full orchestra, forté, the variant uses mainly winds, piano; whereas the first statement ended without overlap in m. 66, the second overlaps in m. 74 with the start of the next section.

The final section, in mm. 74-94, is a long codetta-complex divided into four subsections (codettas). It is one unified section largely due to (1) consistent use of the full orchestra and forté dynamic, and (2) use of only one cadence, that ending in m. 88. The first subsection is the rising scale figure in octaves in mm. 74-80(1); the second is a repeated 2-bar cadential figure in mm. 80-83; the third is a stronger cadential codetta in mm. 84-88(1); and the fourth is the pedal that prolongs the cadential tonic, in mm. 88-94,
and that includes a pair of repeated groups in mm. 88-91.

This final section functions as a closing section in spite of the almost complete absence of the usual models or procedures, for the three reasons as noted below:

(1) This is the only section not based on main theme motives. This makes it not so much a closural as a contrasting section.

(2) Its overall harmonic plan is strongly oriented towards, and is entirely within, the tonic (A major), unlike most of the previous sections, many of which were partly in D major (or minor) and partly in A major. The first codetta rises strongly to the dominant (to m. 80), the second prolongs the dominant while implying a perfect authentic cadence (to m. 83), the third is essentially cadential (to m. 88), and the fourth prolongs the tonic with a pedal (to m. 94).

(3) The fourth subsection resembles a closing codetta in its pairing of 2-bar groups and use of a tonic pedal.

This overall view of the exposition form is summarized in diagram 48. In deciding the boundaries of small sections—a process more difficult in this movement than in most I am considering here—I added orchestration and dynamics to the usual criteria of cadences, motivic unity, thematic construction, etc. It seems that orchestration and dynamics work in unison to assist in shaping the form of the exposition, replacing to a large extent the usual factors of theme and key. Of course, in most works orchestration and dynamics are important—the former especially in works scored for larger ensembles—but in this work they are more important than usual as form-generating elements. In particular, changes of orchestration and dynamics strongly articulate the boundaries of small sections, and only two sections have such changes...
internally. It might be argued that different section boundaries could be formulated with emphasis put on other criteria; for example, mm. 88-94 might be regarded as a separate small section (i.e., a closing codetta). However, the correlation between orchestration, dynamics, cadences, thematic models, etc., is strong enough to support division as noted in diagram 48 and in the paragraphs above. And, as stated in chapter 2, this movement is so continuous—that is, lacking in strong section demarcation—that any division will be tentative.

The key of the dominant is weakened by the fact that relatively few phrases or groups begin on tonic harmony in the dominant key, and in particular that the first phrase to begin on I in A major with a tutti and forte dynamic starts only at m. 74, the beginning of the closing section. In other words, although a substantial amount of time—at least half the exposition—is spent in the key of the dominant, this key is weaker than in expositions of comparable length in other works for these reasons and because there is no recognizable theme in the dominant.

Replacing this lack of a theme in V is the development of the opening main theme motive, which is used in a variety of ways without cessation until the closing section begins. Replacing the normally strong dominant key is the expectation of the dominant's arrival: educated listeners in the classical period as well as in modern times expect works in sonata form to modulate to the dominant; this piece plays with our expectation of such a modulation.

The development section begins, unusually, with a subsection in mm. 95-104 that seems to have the function of a retransition, at least harmonically. The dominant pedal would appear to be preparing a return to the tonic and the main theme. However, in movements of such large dimensions as this one
the listener will know that the main theme cannot return in the tonic so soon. In other words, to label mm. 105ff. a false recapitulation would be an error because a recapitulation would never occur at this point in a long sonata form movement, and one would not mistake the F-sharp chord at m. 105 for the tonic.

After the subsection in the mediant, in mm. 105-116, a sequence is used to return to the tonic in m. 129. This return is too abrupt, too easily made, for it to be heard as the start of a true recapitulation: the tonic appears in m. 129 merely as one element of a circle of fifths, and is not properly prepared with a retransition. This suggests either (1) that the opening subsection of the development was the retransition and that mm. 105-128 form an insertion between the retransition and the recapitulation (or an extension of the retransition), or (2) that m. 129 is the start of a false recapitulation. These possibilities are unconvincing, however, as the retransition is too early, as noted above, and there is no prominent subsequent arrival of the tonic and main theme that would constitute a real recapitulation beginning. At the very least, however, it can be concluded that the recapitulation starting in m. 129 is less important than the usual type of recapitulation; that is, the boundary between the development and recapitulation sections is less significant here than is normal.

This diminished importance of the development/recapitulation boundary correlates with the decreased significance of boundaries between small sections. The boundary between the exposition and development is also less important than usual because (1) there are no repeats, (2) there is no exposition-retransition, (3) the development continues the same dominant pedal as in the last subsection of the exposition, and (4) the development continues the same alternation of tutti/strings and forte/piano as characterized the
exposition. (The boundary between the exposition and the development would be more evident if mm. 95-104 were removed and m. 105ff. followed directly after the closing section.) In general, then, this movement features more continuity than division at both of levels (c) and (d).

The main theme is repeated exactly in mm. 129-141(1). The main theme codetta/transition (1) is rewritten so as to lead towards the subdominant, ending in mm. 154-165 with a dominant pedal, which corresponds to the V/V pedal in mm. 48-58 (i.e., MT var. [2]/TR [3]). The material beginning at m. 165 might have sounded like the real recapitulation of the main theme except that the pedal is cadenced (mm. 163-164), and m. 165ff. begins with IV, not I. The remainder of the recapitulation is similar to the exposition except that the final codetta of the closing section is altered somewhat—although still beginning with (2 + 2) repeated groups—and four bars of cadential material are added.

Symphony no. 38. The Symphony in D Major (Prague, or Symphony without Minuet), no. 38, is included here because the closing section is not based on any model and because identification of the start of the closing section is difficult. In addition, the recapitulation is unusual in that it begins in the development section, as was discussed in chapter 2 in connection with recapitulations, pp. 93-94.

This movement is only slightly more divisible into sections than is the Haffner Symphony. A brief outline here will have to suffice; the closing section will be discussed in detail. The movement begins with a substantial and very harmonically active introduction. The main theme begins in m. 37, but identifying its ending is problematic because the theme is not based on a
thematic model and because it merges into the transition. The main part of the theme seems to end at m. 51(1); this is followed by four bars of connecting material to a tutti/forte passage that would appear to signal the start of the transition, but remains in the tonic until it ends in m. 71. There it ends on V and a subordinate theme could follow: instead there is a transposition to V of the main theme opening and the real transition follows, ending in m. 97(3).³

Unlike the main theme, the subordinate theme is based on a thematic model—the period—but, like the main theme, its ending could be in one of several places. The first part—the period itself—is clearly in mm. 97-111, that is, it is arranged as two 8-bar phrases. Rosen considers the subordinate theme to be in ternary form based on harmonic criteria (i.e., mm. 97-104 in major, 105-111 in minor, and 112-121 in major), and he appears not to notice the period structure.⁴ In fact, the harmonic contrast of the tonic minor is not that strong and is overridden by the thematic parallelism inherent in the period structure, so that, in effect, the third subsection (mm. 112-121[1]) is functioning as a codetta to the period. This codetta is in the form of a sentence, that is, (2 + 2) + (1 + 1 + 1 + 2). (An elision takes place in m. 112: the sixteenth bar of the period becomes the first bar of the sentence. In addition, the beginning of the sentence yet a bar earlier is suggested by the bassoon parts: mm. 111-115 resemble mm. 97-101[1]; however, whereas m. 97 is accented, m. 111 is not, and therefore m. 111 is an anacrusis.)

The use of a texture, motive (in the bassoons), and dynamic in mm. 112-120 similar to those in the preceding period is evidence for considering these bars a codetta to the period. The closing section, then, might begin in m. 121: this would be supported by the change in motives, orchestration, and dynamics.
On the other hand, there is no expanded cadential progression prior to m. 121 and no use of standard closing model features from m. 121. The subsection in mm. 121-129 recalls the last part of the main theme area, that is, mm. 55-71, although the cadence ending in m. 129 is stronger than any in the main theme, and is one of the strongest in the exposition. See diagram 49.

The second subsection, in mm. 129-142, is based first on the opening motive of the main theme, considerably transformed, and then on a short motive from the end of the main theme in mm. 63-65. Rosen notes that this closing section is thus comprised of elements from the tutti/forte area of the main theme, that is, from mm. 55-71: "What is most original here, however, is the permutation of the elements." In particular, the closing section ends with the most "stable" of these elements—the one in mm. 63-65, now in 136-142.5

Both Rosen and Larsen (see note 5) overemphasize the connection with the main theme. There is a great difference between the entire theme or even subsections of it being re-used—something which does not happen here, and never does in Mozart's expositions—and isolated motives or at most phrases being re-used—and this happens quite often. What is unusual here is that so many elements (i.e., motives of the main theme) are used to form the closing section, and that they should be rearranged to suit the different formal.

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Diagram 49

Symphony no. 38: Exposition Closing Section

<table>
<thead>
<tr>
<th>Measures:</th>
<th>121</th>
<th>125</th>
<th>129</th>
<th>136</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>(4 + 4) + (7 + 7)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groups:</td>
<td>a</td>
<td>b</td>
<td>c</td>
<td>d</td>
</tr>
<tr>
<td>Motivic origin:</td>
<td>55ff. 66ff. 37ff. 63-65</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
function of the closing section. This closing section is not a restatement of the main theme, as both Rosen and Larsen imply: rather, it is a new small section which uses motives from the main theme in new ways. In other words, it is a question of the level of repetition: this closing section incorporates some level (a) and possibly some level (b) repetition of equivalent main theme units, but no level (c) repetition.

If the cadence ending at m. 129 is considered the equivalent of an ECP, then the subsection in mm. 121-129 might be heard as a further codetta to the subordinate theme or as a separate small section. This would mean the closing section would start in m. 129. This view is supported by the material used in mm. 125-135: when this material was used earlier in the exposition, there was a major division at m. 71 (here m. 129), between the main theme and the transition; therefore, one might posit a similar division at m. 129. On the other hand, there was a significant change of texture and dynamics in m. 71, a change which strongly influenced the formal division; this change is absent from m. 129.

The interesting and unusual recapitulation processes here are discussed in chapter 2, as noted above. In addition, both Rosen and Larsen discuss the recapitulation. The closing section, in mm. 270-302, undergoes some expansion (e.g., group a is repeated), but is otherwise similar to its exposition form. The closing model is now suggested by some repetition and liquidation of material.

**Clarinet Quintet.** A number of previously-discussed works might also be considered here because models might not have applied convincingly to these works or because alternative views present themselves. I will only consider one such work here, the Quintet for Clarinet and Strings in A Major, K. 581.
In chapter 3 I analysed this work as based on the closing model to the extent that there is one pair of similar groups (i.e., in mm. 65-75). This is followed by a single group in mm. 75-79 based on the main theme motive. Two important attributes of the closing model—reduction in group length and consistent pairing of similar groups—are absent here, bringing into question the application of the model.

This closing section cannot be seen as a type (2)—a closing codetta—because it is too long. However, it is just possible to consider it as a type (3)—a closing theme followed by a closing codetta. The first two groups have sufficient features of phrases to be considered a rudimentary period. Replacing the expected strong cadence at the end of the second group (i.e., in mm. 74-75) is an overlap which leads to an extension in the form of a 1-group codetta (i.e., in mm. 75-79) which supplies the missing cadence.

This closing section can thus be considered as an extreme variant of either type (1) or type (3); in this case, "extreme variant" means that neither approach is convincing as an analytical method. The point is that, in seeing how these models apply to this closing section, I have, in effect, discussed the features of it. To consider this closing section without reference to any model (i.e., as a type [4]) would be to arrive at much the same result as considering it as extreme variants of two models, because features such as the group pairing and the final group functioning as a codetta or extension to the pair would have to be discussed.

A further reason why this closing section may be considered of type (4) is that its recapitulation form is significantly varied: a 12-bar expansion together with further rewriting (e.g., the ECP and trill are moved from the ST to the CS) results in the closing section approaching the status of a coda.
Piano Quartet K. 478. The Quartet for Violin, Viola, Cello, and Piano in G Minor, K. 478, has a most unusual exposition form: put simply, after the main theme and a brief transition, there is a subordinate theme and a closing section followed by another subordinate theme and closing section. See diagram 50.

The main theme is a good illustration of a sentence, \((4 + 4) + 8\), with each 4-bar phrase divided as \(2 + 2\), and the second half divided as \(2 + 2 + 4\), resembling another (here, lower-level) sentence. The doubled length of the overall sentence (i.e., from the 8-bar norm to sixteen bars here) at the outset of the work, gives the impression of \(4/2\) rather than the notated \(4/4\) meter (that is, the main beats are half rather than quarter notes). This impression is reinforced by the opening motive, which accents half beats. Subsequent sections either continue this emphasis on 2-bar timespans or counteract it with timespans of different lengths: in other words, the movement may be regarded as a series of sections that alterately strengthen and weaken the 2-bar grouping into larger timespans. (This interesting hypothesis can be only briefly mentioned here.)

The modulation to the relative major is weakened by the brevity of the transition (mm. 17-22), by the continued use of 2-bar timespans (although the larger grouping into three units contrasts with the previous section, in which the timespans were grouped evenly), and by the initial appearance of III as merely one element of the sequence (mm. 17-24). Of course, the section starting in m. 23 might be regarded as part of the transition; this, however, would be unusual because transitions rarely incorporate a pedal on the tonic of the new key, the function of the transition normally being to lead to the new key without stating its tonic (at least in so extended
Diagram 50

Piano Quartet K. 478: Exposition

<table>
<thead>
<tr>
<th>Measures:</th>
<th>1</th>
<th>17</th>
<th>23</th>
<th>45</th>
<th>57</th>
<th>65</th>
<th>88</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>(8 + 8)</td>
<td>6</td>
<td>(9 + 5 + 8)</td>
<td>+</td>
<td>12</td>
<td>(4 + 4)</td>
<td>(9 + 14)</td>
</tr>
<tr>
<td>Keys&lt;sup&gt;a&lt;/sup&gt;:</td>
<td>i</td>
<td>→</td>
<td>(III)</td>
<td>III</td>
<td>-</td>
<td>-</td>
<td>-</td>
</tr>
<tr>
<td>Small sections:</td>
<td>MT</td>
<td>TR</td>
<td>ST1</td>
<td>-</td>
<td>-</td>
<td>-</td>
<td>cdta</td>
</tr>
</tbody>
</table>

Notes: <sup>a</sup>Arrow indicates modulation; parentheses indicate tentative modulation.

a manner as here). The section starting in m. 23 is therefore only weakly harmonically indicative of the subordinate theme; it is only weakly melodically indicative of the subordinate theme because it is not strongly contrasting with the main theme in motivic material, because it is not cast in a thematic model, and because it has no clearly defined ending. (There is no cadence until mm. 44-45.)

Bar 37 may be considered the start of a new section due to the use of tonic harmony (in B-flat major), this harmony being prepared by the immediately preceding dominant pedal, and by the change in dynamics. The addition of further contrasting motives, stronger surface harmonic motion, and a sentence model strengthen the interpretation of these eight bars—37-45(1)—as the subordinate theme proper.

Bars 23 through 36, then, have some transitional and some thematic functions, and bars 37 through 45(1) are more strongly thematic. The status of the former section as transitional is supported further in that it introduces the first disruption in 2-bar timespans. (Although it is an even number of bars long, it is arranged internally as [2 + 2] + 1 + 2 + 2 + [2 + 2 + 1].)
The subsequent theme returns to exclusively 2-bar timespans.

The section in mm. 45-57(1) functions as a codetta and ECP to the preceding theme. Its status as a codetta is generated primarily by the initial static harmony and short repetitive grouping. It becomes somewhat more animated in m. 50 and concludes with a substantial cadence, one of the strongest thus far. Its timespan structure is irregular (5 + 4 + 3). The three small sections in mm. 23-57 that combine forming a unit on a level between that of (c) and (d) are unified by virtue of the strong final cadence—which brings the whole to a close, by similar motives, and by a common harmonic paradigm: all three sections begins with tonic prolongations, tonicize the subdominant and feature it prominently, and conclude with the dominant (the final section ends on I).

The section in mm. 57-65(1) functions as a closing section because (1) it follows a thematic statement and a codetta which concluded with an ECP, (2) harmonically, it essentially features a tonic pedal with fairly weak cadences, and (3) it is in the form of a simplified period (4 + 4) and so resembles the first pair of the closing model. That it features some rhythmic irregularities has been noted by several authors. 8

At m. 65, then, one would expect a continuance of the closing model. Instead, a new theme is heard based on the sentence model (2 + 2 + 5), followed by its variation (2 + 2 + 4 + 6) to m. 88(1). This section is not part of the closing section because the sentence model is not characteristic of closing sections in general: sentences are normally too developmental to be closural. In addition, this thematic area ends as so many other subordinate themes do, that is, with an ECP (mm. 82-88).
The final section of the exposition is the second closing section in mm. 88-98. It is based on a 2-bar cadential group heard four times, and arranged as \((2 + 2) + (2 + 2)\) by a change in instruments in m. 91 and by the contrast generated by the G-flats in mm. 93 and 95. A feature of the closing model is found in mm. 96-97, where the group length is reduced to one bar from the previous two (i.e., there are two 1-bar groups here). This closing section ends on the downbeat of m. 98, the retransition following in mm. 98-99.

After an extension of the retransition, the development proper begins with a new theme in mm. 104-111(1). This theme serves as the basis for most of the development. The sections of the recapitulation and the coda may be summarized as follows:

(1) mm. 141-156: This section repeats the first eight bars of the main theme, then has a new continuation connecting with a very abridged version of mm. 17-36, which here ends on the dominant.

(2) mm. 157-164: This section is a transposition to G minor of mm. 37-44 (ST [1]), with the final cadence now deceptive.

(3) mm. 165-177: This is similar to mm. 45-56—the codetta to ST (1)—except that it begins in the submediant instead of in the expected tonic. The change to the tonic key in the second group results in an additional bar; that is, it is now \((5 + 5 + 3)\) instead of \((5 + 4 + 3)\).

(4) mm. 178-185: This section is similar to the first closing section (mm. 57-64) except for the rewriting of the string parts (which none of the writers cited in note 8 seems to have noticed).

(5) mm. 186-211: This section is basically a transposition of the second subordinate theme (mm. 65-87) with some extensions; that is, it is now \((11 + 5)\) instead of \((9 + 14)\).
(6) mm. 212-223: This second closing section is very similar to its exposition form (mm. 88-97). The 2-bar retransition follows.

(7) mm. 224-251: The coda is based on the main theme motives and is perhaps occasioned by the shortened versions of the main theme and transition in the recapitulation. It begins with a statement of the first eight bars of the theme followed by a development of the new continuation found in the recapitulation (mm. 148-150). This contrasting subsection—again, starting in VI (see also m. 165ff.)—leads back to a return of the opening motive in a final fortissimo subsection: (2 + 2) + (2 + 2) + (2 + 1 + 1 + 1).

Violin Sonata K. 306. The unusual features of the Sonata for Violin and Keyboard in D Major, K. 306, which cause it to be included here, are that (1) there is more of a connection than normal between the subordinate theme area and the closing section, and (2) the recapitulation is significantly different from the exposition. See diagram 51.

The main theme is a good illustration of a sentence (2 + 2) + (1 + 1 + 2), followed by a codetta based on the second half of the sentence. Bar 8 falls within the timespan of the sentence, despite its tonic arrival, because of the strength of the 8-bar model and because m. 9 can clearly be heard as a beginning parallel to m. 5 (m. 8 being essentially an ending). Such is not the case with the end of the codetta: m. 12 is primarily a beginning because it is so active (compared with m. 8) and because of subsequent parallelism. In other words, there is an elision at m. 12: what would have been the fourth bar of the codetta—or the twelfth bar of the thematic area—is converted to the first bar of the transition. This close connection between the theme and the transition ensures that these two sections are heard more as one
Diagram 51

Violin Sonata K. 306: Exposition

<table>
<thead>
<tr>
<th>Measures:</th>
<th>1</th>
<th>12</th>
<th>26</th>
<th>38</th>
<th>53</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>(8 + 3) + 12</td>
<td>(6 + 6) + (8 + 7)</td>
<td>(9 + 6 + 7)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Keys:</td>
<td>I</td>
<td>I</td>
<td>V</td>
<td>V</td>
<td>-</td>
</tr>
<tr>
<td>Small sections:</td>
<td>MT</td>
<td>TR</td>
<td>ST</td>
<td>codetta</td>
<td>CS</td>
</tr>
</tbody>
</table>

larger unit (mm. 1-25). The transition may be seen as based on the sentence model: mm. 12-20(1) form a sentence, and mm. 20-25 a codetta prolonging the dominant harmony.

The subsequent parallelism referred to above begins in m. 12: that is, the two similar 2-bar groups in mm. 12-13 and 14-15 establish m. 12 as a beginning. This 2-bar grouping continues with new material to the end of the transition in m. 25. The modulation is of course not strong, due to the use of a pedal on $\hat{5}$ (rather than on $\hat{5}$ in the key of the dominant).

In addition to contrasting melodically and harmonically with the previous sections, the subordinate theme contrasts rhythmically with its initial 3-bar grouping in mm. 26-31. The theme is based on the sentence model, partly doubled: that is, instead of $(4 + 4) + (2 + 2 + 4)$, it is $(3 + 3) + (2 + 2 + 2)$ in mm. 26-37 (retaining at least the factor of equal length in each of the two subsections, i.e., $6 + 6$). After the two 3-bar timespans, the sentence then continues with 2-bar timespans through m. 35, and begins a concluding segment, which in the prototype would be four measures long, in m. 36. This segment cadences after two measures, at which point a new section beginning is overlapped. This section has functions of different standard sections, making it difficult to apply only one formal label to mm. 38-52:
(1) The insistent dominant pedal is the harmonic feature missing from the transition section. (2) The use of repetitive grouplets in mm. 38-45—the 2-bar structure is abab—suggests the function of a transition or a closing section. (3) The close connection with the previous sentence—the cadence in mm. 37-38 is very weak—and the subsidiary nature of the material in mm. 38-52 suggest a codetta function for this section (its length making it a codetta-complex). The structure noted in (2) also suggests the form of a modified, partly doubled sentence in mm. 38-52: \[ \frac{1}{4}xx \{, (4 + 4) + (3 + 3 + 2) \]. This is supported by the only cadence being at the end.

The closing section would be expected after the cadence in mm. 50-52. The closing model is suggested by the two similar 5-bar groups (mm. 52-57\[1\] and 57-62\[1\]). Unusually, the next subsection, in mm. 62-68\[1\], is based on part of the preceding codetta-complex (i.e., on mm. 48-52); as before, this material is essentially cadential in function. The use of cadences takes on special importance here, because there have been so few cadences in the exposition. The final subsection, in mm. 68-74, is like a closing codetta.

A way to understand the closing section here is in terms of the rhythmic disposition of the structural \( \hat{5}-\hat{4}-\hat{3}-\hat{2}-\hat{1} \) line over the course of the sections in A major, mm. 26-74. (Refer to diagram 52 for the following discussion.) The peculiar feature of this line is that, whereas the first four structural tones occur in seven bars (mm. 26-32), the \( \hat{2} \) is prolonged for twenty bars, resolving to the \( \hat{1} \) only in m. 52. Although the substantial subsequent prolongation of the \( \hat{1} \) is normal (for closing sections), the \( \hat{2} \) prolongation is not. This delay of the \( \hat{2}-\hat{1} \) resolution sets up the need for something more conclusive in the way of resolution beyond the cadence at m. 52. This is provided by the closing section, which has several linear descents to \( \hat{1} \).
Notes: (1) The reduction ratio is $J = 1$ bar.
(2) Note values in this reduction are represented by inwardly stemmed notes. Structural notes are shown by outwardly stemmed notes.
That most of the structural linear motion takes place in the first few bars of the dominant-key area is not in itself surprising: these measures—26-38—form the thematic statement of this area and therefore should have active structural as well as surface melodic motion. The next sections are less thematic in nature, and therefore have less structural motion: their function is to be prolongational rather than to be structurally active; that is, the codetta-complex in mm. 38-52 prolongs the 2, the closing section prolongs the 1. Thus there is a coordination of formal functions—a primary, thematic section, followed by two subsidiary codetta-complexes, the second of which is a closing section—with structural linear activity—the linear motion takes place mainly in the primary section, the final two tones prolonged in each of the two subsidiary sections, respectively.

The protraction of the $2\rightarrow 1$ resolution sets up the need for something more conclusive than the brief cadence at m. 52. (Note how, in diagram 52, the surface significance of the cadential descent is represented by sixteenth-notes—the shortest note values in the diagram and the only ones used in this figure to this point.) It is obvious that twenty bars of $2$, supported by six bars of $ii^6$ followed by fourteen bars of $V$, will not be satisfactorily resolved by a bar—or even a few bars—of tonic harmony prolonging $1$.

Certainly in the normal (ST-ECP)-CS model there would be some prolongation of the $2$, especially in the ECP, prolongation that would find its resolution in the closing section. The prolongation here, however, goes beyond this norm in length, and therefore this closing section is longer and has specific closural features beyond the norm:

(1) The closing section is characterized by several linear descents to $1$, notably the first two in mm. 53-57, varied in 57-62, from $5$ to $1$. 
Diagram 53

Violin Sonata K. 306: Exposition Closing Section

Measures: 53 57 62 64 68

Timespans: (4 + 5) + [2 + (2 + 2)] + (4 + 3)

Groups: a a' b c c' d e

(2) The re-use in m. 62ff. of material from the preceding section—unusual feature, as noted above—functions as a sort of retrospective insertion, recalling the cadential approach so that it may be made stronger and more convincing. Specifically, mm. 62-63 are the insertion into the closing model, mm. 64-66 and 66-67 functioning as the second pair of the model by virtue of the repetition. See diagram 53. The cadence at mm. 64-68 is stronger because the tonic arrival in m. 68 is now in an accented bar, as opposed to a weak one at m. 52. In addition, the cadential approach is strengthened in mm. 66-67 by greatly increasing the length of the ♩ and ♩ that lead to the ♩ in the bass voice (compare mm. 51 and 65).

In diagram 53 it is apparent that the entire closing section may be considered a modified closing model, with the first pair of groups expanded to ([2 + 2] + [3 + 2]), followed by the 2-bar retrospective insertion, the second pair of groups as normal in mm. 64-67, and the final pair expanded to a separate codetta not based on the model.

Some details of diagram 52 may be clarified at this point. The timespan organization into alterately 3/4 and 2/4 (i.e., units of three or two bars) is generally clear except for a few points:

(1) The first two bars are in threes on the basis of phrase structure;
however, on harmonic grounds they might be grouped as \((2 + 2 + 2)\).

(2) The shift to \(3/4\) for mms. 46-48 is justified on the basis of the sequence. (Note that the bass voice continues, in diminution, the ascending fourths pattern in mms. 38-41 and 42-45, begun in mms. 27-28 and 30-31,)

(3) The ascending fourths pattern descends by step through m. 48; at the point where it would end on the sequence breaks off, avoiding the cadence. The shift to \(2/4\) in m. 49 coincides with this.

(4) The tonic arrival in the ECP leading up to the closing section is normally accented; here, however, m. 52 is weak, contributing to the unconvincing nature of the cadence here. In the re-use of this cadence in the closing section, the accentuation is reversed. The 2-bar grouping at m. 62 is begun by the sixteenth-note sequential pattern on beat 1, whereas in m. 48 it began on the third beat; that is, the retrospective insertion in mms. 62-63 reverses the accentuation of the equivalent mms. 48-49; this reversal is confirmed and continued by the 2-bar cadential pattern in mms. 64-65 and 66-67, hence m. 68 is accented.

(5) The closing model contains similar groups accented in similar ways; here this does not happen with the first pair of groups (i.e., instead of 5 + 5 from m. 52, it is 4 + 5 from m. 53). Reasons for m. 53 and not m. 52 being the start of the timespan were noted in (4) above. In terms of the structural reduction in diagram 52, there must be a 3/4 bar at mms. 57-59 because there cannot be a downbeat at m. 59, and the addition of such a bar makes the first two groups of the closing section as nearly similarly accented as possible.

The retransition of the development section begins in m. 107 and ends with a repeat of the final four bars of the transition (mms. 22-25) in
Diagram 54
Violin Sonata K. 306: Recapitulation Main Theme (Coda)

<table>
<thead>
<tr>
<th>Measures:</th>
<th>159</th>
<th>163</th>
<th>168</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>(2 + 2) + (2 + 3) + (2 + 2 + 1)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Groups:</td>
<td>a</td>
<td>a</td>
<td>b</td>
</tr>
</tbody>
</table>

mm. 109-112. The recapitulation is thus able to begin with the subordinate theme, now in the tonic, instead of with the main theme. The subordinate theme and the subsequent codetta section are repeated with only small variations in mm. 113-139(1). The closing section then follows in mm. 139-158 with only one significant alteration: the final 3-bar group is omitted. The main theme begins instead in m. 159 with a repeat of the first four bars, continuing with a greatly rewritten form of the remainder of the theme. See diagram 54.

Aspects of the closing model can be seen here, namely in the use of repeating pairs of groups. In addition, the material is now in the form of groups rather than phrases, due largely to the shortened length of units and to the use of repeated, short cadential units (such units are not a feature of themes). This final section, then, functions (1) as a recapitulation of the main theme (more accurately, of part of the main theme), (2) as a coda—because it is heard after the recapitulation of the subordinate theme area and closing section and because it is in the form of a codetta-complex (characteristic of codas), and (3) as a substitute for a normal closing section—because it uses the closing model which was previously not used.
Piano Sonata K. 576. Some of the unusual features of the Piano Sonata in D Major, K. 576, were noted in chapter 2: recapitulations, pp. 94-95. Refer to diagram 55 for the following discussion.

The main theme is an 8-bar period followed by a variation. Like the main theme and codetta in the Violin Sonata K. 306 discussed above, the eighth bar of the theme is within its timespan, m. 9 being heard as a beginning; however, the eighth bar of the variation—m. 16—is heard as the beginning of a new timespan because of subsequent parallelism. As with m. 12 of K. 306, m. 16 here is the location of an elision: what would have been the eighth bar of the variation is now the first bar of the next section.

In fact, like the Violin Sonata, this next section—mm. 16-27(4)—begins as a main theme codetta and continues as a transition that weakly moves to the dominant. Instead of a theme in the following section, mm. 26(6)-41(4), the device of canon is used, unusually, with the opening motive of the main theme. This leads to codetta-type material in mm. 34-41 (in the form of a sentence but not functioning as a theme), similar to the second and third groups of the transition (mm. 20-27, which likewise were sentence-like but not theme-like). This section, then, is a second transition, functioning in part to strengthen the modulation to the key of the dominant.

The subordinate theme is finally reached at m. 41(6), continuing to m. 53(1), and is in the form of a modified period; that is, the second phrase is a variant of the first, and includes a 3-bar extension. A short closing codetta concludes the exposition (2 x 2) + 2. (This movement might have been included in chapter 4 except for the unusual exposition and recapitulation forms.)
Diagram 55

Piano Sonata K. 576: Exposition

<table>
<thead>
<tr>
<th>Measures:</th>
<th>1</th>
<th>16</th>
<th>28</th>
<th>42</th>
<th>53</th>
</tr>
</thead>
<tbody>
<tr>
<td>Timespans:</td>
<td>(8 + 7)</td>
<td>(4 + 4 + 4)</td>
<td>(6 + 8)</td>
<td>(4 + 7)</td>
<td>6</td>
</tr>
<tr>
<td>Keys:</td>
<td>I</td>
<td>I</td>
<td>V</td>
<td>V</td>
<td>-</td>
</tr>
<tr>
<td>Small sections:</td>
<td>MT</td>
<td>TR(1)</td>
<td>TR(2)</td>
<td>ST</td>
<td>CS</td>
</tr>
</tbody>
</table>

In comparison with most expositions, this one is unusual in that the dominant key is not even suggested until half-way through the exposition (mm. 26-27): normally, the dominant key would be reached somewhat earlier. This feature results in part from the short length of the closing section. The presence of two transitions and a normal subordinate theme would suggest a closing section longer than this one. In other words, closure is weaker in this exposition than in most by Mozart.

A possible alternative explanation here would be to regard the second transition—or at least mm. 34-41—as the subordinate theme, with mm. 42-58 as a type (3) closing section (i.e., a closing theme followed by a closing codetta). This view is supported by the close connection between the theme and the codetta; that is, the latter can easily be heard as a codetta to the theme. In addition, the preceding section ends with a perfect authentic cadence rather than a half cadence (subordinate themes, not closing sections, occur after half cadences). Working against this interpretation is the fact that expansion—the only expansion in the exposition—takes place in this theme, and expansion normally is a feature of the subordinate theme and its codettas (e.g., the ECP). Closing themes, at any rate, are usually simple periods and are without the high degree of contrast found in this theme.
In the recapitulation, only the first eight bars of the main theme are repeated (mm. 99-106). A new 15-bar section begins in m. 106(6) like the variation of the main theme (in m. 8ff.), ends like the first transition did in mm. 118-121 (see mm. 24-27), but has a different central part in the manner of a short secondary development. This section, then, replaces the first transition.

Instead of the second transition, the subordinate theme follows in mm. 121(6)-129, now in the normal position for such themes. This theme is altered internally as well as in its position within the recapitulation. Originally, it was a (4 + 7) period with an extension in its second half; now it is reduced to a (4 + 4) period, followed by a variation of the same total length but ending on V/vi. In the exposition an expansion was necessary because it was in a position where expansion was normal. Here, the normal position for subordinate themes, there is no need for expansion.

The ending on V/vi in m. 137 has the effect of connecting the variation to the next section, the canonic second transition, which now functions as a codetta-complex to the subordinate theme. This section is slightly rewritten: the interval of transposition is not uniform (mm. 137[6]-139 differ from the other bars), and the cadence is four bars longer (mm. 153-154 resemble the end of the original subordinate theme: i.e., the expansion missing from the recapitulation form of this theme is used now—in its usual place—to lead into the closing section). The closing section then follows without alteration.

One function, then, of the recapitulation is to normalize the form of an unusual exposition. The exposition form is MT-TR1-TR2-ST-CS; this is rearranged in the recapitulation to MT-TR1-ST-TR2-CS, having the formal functions MT-TR-ST-STcodettas-CS.
Conclusion

An important criterion in aesthetic judgment of a musical work is the extent to which closure is successful. In simple terms, a work is good if it ends in a satisfying way, bad if it ends abruptly or inconclusively. In slightly more refined terms, a work is successful if its structure is complete, if initial processes are carried through to their logical conclusion, and if the sense that nothing more need be heard is projected at the end of the work. This success usually manifests itself in the listener becoming aware that the end of a piece is forthcoming. The boundaries of a piece of music are so pronounced—music as opposed to silence—that the listener must prepare himself psychologically for the start of a piece, and the composer must prepare the listener for the end.

A distinction must then be drawn between the end of the piece and the closural process that leads inexorably to that end (in music which has such closural processes). It is of course the closural process that is of interest, the end being merely a point that has been prepared by the process. The two main variables in closural processes may be summarized as follows:

(1) Different styles of music utilize different methods of closure. For example, some music may locate closure in specific formal sections (e.g., the closing section in classical period sonata form), while other music may
more closely integrate the closing process within overall structure (e.g., in shorter works such as Chopin's Preludes, as Agawu has demonstrated\(^1\)).

(2) Different structural channels may be used to generate closure. Melody, harmony, rhythm, form, etc., need not all be involved in closure in a given work. For example, in Liszt's *Les Préludes*, the recapitulation of the main theme at m. 405 as the final section not only in the tonic key but in the original tempo—after many other tempos, most of which are associated with different moods and themes—is a strong closural gesture. Use of tempo and mood in generating closure is almost unknown in music of earlier periods, although, even in this work, these factors might be seen as enhancing, rather than replacing, the formal process of recapitulation.

A fundamental criterion in assessing the closural process in a given work is the level on which closure is operative. Although most diatonic pieces of music end with a perfect authentic cadence in the tonic key, this is normally insufficient to effect global closure, unless the piece is very short (and even then there will normally be other closural processes operating). In general, the higher the level on which closure occurs, the stronger the sense of closure will be. A work with an entire final section devoted to prolongation of \(\hat{1}\) with tonic harmony will be more strongly closed than a work that arrives at \(\hat{1}/I\) very near the end of the work.

It is apparent from the foregoing discussion that an investigation of closural processes in music must, if it is not to become unwieldy in length, or overly general, proceed along style-specific lines. The studies of closure in, for example, Chopin and Mahler by Agawu and Hopkins, respectively, are evidence of this concern for style and its influence on closural types.\(^2\) The present dissertation is of course another such instance.
Although I have divided the study and analysis of Mozart's sonata-form closing sections into four chapters, this was done as much for organizational as for analytical reasons; that is, while it is true that I have found a variety of types of closing sections in these works, there is a sense in which most of the movements analysed share important closural features (especially in comparison with other types of closure in other styles). An important reason for this uniformity is the use of a distinct closing section having the formal function of closure: all of the works analysed here have such a section (or a substitute for it that functions in a modified closural way, as in the Piano Sonata in C Major, K. 545). Another factor is that closural processes do not vary according to genre or instrumentation: the same closural process is as likely to occur in, for example, a symphony as in a string quartet. And the use of a closing section normally means that closure is operative at the same level in most works, in that different closing sections usually have roughly equivalent relationships to other sections, at least in comparison with music of other styles.

However, perhaps the most significant factor in the stylistic unity of these movements with respect to closure is that a similar closural structure is used in most works: the closing model is found to some extent in nearly all of the movements I have analysed here, and is used with relatively little variation in at least half of the movements. About sixty percent of the movements were analysed in chapter 3 which dealt with works based on the closing model itself; the closing codetta, the subject of chapter 4, may be seen as a shortened closing model (and several of the works analysed in chapter 3 were also considered in chapter 4, showing how related these two types are); the closing theme followed by the closing codetta, the subject of chapter 5, can be considered as
a variant of the closing model in which the first pair of groups are more thematic than in the model; and even some of the works considered in chapter 6, where works not based on models were discussed, can be seen as having some elements of the closing model.

The factors that make the closing model closural, together with the various channels of structure involved in closure in these works, may now be summarized:

(1) Melody. The use in closing sections of groups and gouplets as opposed to phrases and motivic segments reduces the need for melodic continuation and generates contrast with thematic sections. Other factors contributing to the reduction of continuation are the use of exact repetition (pairing of groups), and the shortening of group length over the model, which eliminates whatever residual motivic references are contained in the groups.

(2) Linear motion. The model contains no structural linear motion; instead, it prolongs $\hat{1}$ and I in the recapitulation ($\hat{2}$ and V, or $\hat{5}$ and V, in the exposition). This absence of structural motion makes the closing section a section of rest in contrast with other sections, which normally have such motion. The closing section may have some lower level linear motion; for example, if the subordinate theme had a $\hat{5}$ to $\hat{1}$ linear descent, the closing section might echo that at a lower level.

(3) Harmony. See (2) above. Lower level harmonic motion is restricted to repetitive cadential formulations, usually perfect authentic, possibly with some simple diatonic progressions leading up to the cadences.

(4) Rhythm and form. Contrast with other sections is partly generated by the three factors noted above, but more so by the overall hypermetric patterning of the model, which has no equivalent elsewhere in the sonata form.
The reduction in timespan length through the model establishes rhythmic closure by reducing the normal length of the unit on level (b) from four bars to two bars to one bar: the next unit length in this sequence would be zero, and its equivalent is of course silence. This reduction is emphasized by the pairing of similar length timespans (and groups) in the model: the repetition establishes one length more forcefully than one statement alone would, and the change to another length is thus especially effective as a change from an established norm, emphasizing the reduction in timespan lengths. (This happens twice, from four bars to two bars, and then from two bars to one bar.)

(5) Texture, register, and orchestration. These factors contribute to closure mainly in that there tends not to be a change in them during the course of the closing section. A generally static texture prevails, usually homophonic with a simple melody in a moderate range and in a moderate dynamic.

In Mozart's sonata form closing sections, then, the channels of structure most significant for closure are melody, harmony, and rhythm, as noted above. Leonard Meyer's remarks on general features of closure are appropriate here in summing up this discussion:

The slowing down which brings a piece of music to its close is not a slowing down in the physical tempo but a slowing down of the rate of musical process. That is, though the tones may fly by with great rapidity, the melodic, harmonic, and rhythmic changes which create a sense of tendency are brought to a standstill. The music no longer progresses; its marks time; it is static.

The discussion in the paragraphs above pertains to the majority of closing sections by Mozart that I have analysed. There are of course many variants to the standard closing processes, variants too numerous to cite here exhaustively, but that have been noted in the previous chapters. For example, the introduction of a more active element into a particular closing section,
such as chromatic harmony or a reference to a main theme motive, might be associated with the addition of another formal function to the closing section.

An important variant that should be mentioned briefly, one that may be present—apparently paradoxically—even with normal closing sections, is that closure may not always be operating in only one small section of a movement. In fact, to the extent that the expanded cadential progression is a normal feature immediately preceding the closing section, active closural processes can be said to begin in the preceding small section. This is particularly the case where there is a separate codetta complex between the subordinate theme and the closing section, a codetta complex that may function as a codetta to the theme but will most likely have the main function of initiating closure through the ECP. The latter is closural at a high level because of its focus on a strong, clear, protracted harmonic progression to the prevailing tonic—such lengthy cadences being infrequent in the style—and because the structural linear motion $\hat{2} \rightarrow \hat{1}$ normally occurs at this point. (For further discussion, see Caplin's paper on the ECP.) To the extent that the section preceding the closing section has directed linear and harmonic motion towards $\hat{1}/I$, such a section is functioning in a closural way within those channels of structure.

An avenue for further, related research that I may pursue is the extent to which the closing model and its variants are found in other repertories. One might first investigate genres of Mozart's works other than those I considered (e.g., concertos and vocal music, as well as other movements in the works I did consider, i.e., slow movements and finales). My impression is that the use of the closing model is not restricted to first movements in
Diagram 56

Violin Concerto K. 216, third movement, closing section

(Allegro)

Diagram 56 illustrates the closing section of the Violin Concerto in G Major, K. 216 (1775). The closing section from the finale—a rondo—serves a dual purpose: it returns at the end of the movement and must therefore be closed internally as well as close the entire movement. Unlike sonata form, the closing section in a rondo does not close the exposition and recapitulation. Instead, it closes the main theme (the A-section) and the
movement. The closing section here is based closely on the model, the final 
(1 + 1) pair of the model replaced here with a 4-bar tonic group. This example 
is also a simple form of the sentence model: in this interpretation, closing 
model and sentence merge. (For an example of the use of the closing model in 
a slow movement, see the Piano Concerto in B-flat Major, K. 595, mm. 116-130.) 

After studying the use of the closing model in other repertories of 
Mozart (including operas), I would consider music of other classical period 
composers, and then other styles of music altogether, starting with late Baro­ 
que and Romantic period music. The model of musical forms consisting of dis­ 
crete, differently functioning sections applies primarily to music of the clas­ 
sical period; therefore, I would expect to find somewhat similar types of closing 
sections in Haydn and Beethoven as in Mozart. (See, for example, a use of the 
closing codetta in Beethoven, Symphony no. 1 in C Major, first movement, mm. 
100-106; and a use of the closing model in Beethoven, Symphony no. 5 in C Minor, 
first movement, mm. 110-124.) Baroque music and music after Beethoven likely 
has little use of the closing model, closure being achieved in other ways. 
This is to be expected because, as suggested earlier in this chapter, one reason 
styles of music are different is that they employ different means of closure.

A related avenue for research is to investigate the historical and theor­ 
etical issues involved in the development of the closing model. Why did the 
closing model develop in the classical period, and why is it a feature of this 
style? (This is perhaps answered in part by a thorough description of how it 
functions in classical period sonata form.) Who were the first composers to use 
it and when did it become a characteristic of sonata form? How is the closing 
model related to the development of sonata form?
Finally, it may be useful to briefly evaluate the type of analysis of closure I have taken here. It seems obvious to me that this music is very clearly sectional, to the point where this sectionalism is an unarguable stylistic feature. Any analytical approach that aims at comprehensiveness must therefore account for this feature. In fact, in my view, the issue of form is appropriately central in analysis of this music. Other channels of structure such as harmony and melody must be fully appreciated in analysis, of course, but are best considered in their relations to form, as I have done here. I have also shown how aspects of closure operating at different levels are coordinated. Structural line and harmony are significant factors for closure: as has been seen, closing sections often begin with $\hat{1}/I$ arrival and serve to prolong these through the section. However, I have also drawn attention to lower level rhythmic and melodic features that are equally important in promoting closure: the closing model is an expression of these latter features. The closural success of a Mozart closing section is thus dependent upon both lower level conventionalized formations, such as groups and grouplets, which ensure a unique formal function for the section, and on a higher level structural function which coordinates $\hat{1}/I$ arrival and prolongation with the unique formal function.
Notes to Chapter 2
(Concepts, Models, and Features)

1 "The line of demarcation in Mozart between the 'youthful' and the 'mature' is easily reduced to absurdity. . . . Mozart did not experience a personal development." Blume, "Mozart's style and influence," 19, 20.

2 "The focussing on structure implies the concession that technical analysis of composition reaches aesthetic essentials." Dahlhaus, Analysis and Value Judgment, 17.

3 Dahlhaus, Analysis and Value Judgment, 46. See also pp. 13-14: eighteenth-century music is "functional music" in Dahlhaus's terms:

Whereas in functional music a work is primarily the exemplar of a type—an examplar which reaches perfection when it projects the marks of the type clearly and purely—in the epoch of aesthetics, in the nineteenth century, a work bases its claim to be considered art on exactly the opposite, on individuality and originality.

A different view of the use of models is suggested by Meyer in Emotion and Meaning in Music:

Once a work is recognized as being a type for which an abstract, normative class has been evolved, then that "ideal type" becomes the basis for expectations. (P. 57)

4 Narmour, Beyond Schenkerism, chapter 11.

5 Dahlhaus, Analysis and Value Judgment, 8.

6 This procedure is similar to that used in many textbooks of musical form; e.g., Schoenberg, Fundamentals of Musical Composition, in order from low to high level, chapters 3, 2, 4-8, 13-20.

7 Although the extremes are not that common, understanding of all units on this level is facilitated by definitions of the two basic types that combine in various ways to form hybrids. (This approach applies also to the next higher level for the terms phrase and group.)

8 The distinction between motivic segments and grouplets may be clarified by reference to Rosen, The Classical Style, 71-72, where he discusses "filling"
and "conventional material," i.e., my grouplets (and at level [b], groups). Kohs, in *Musical Form*, makes a useful distinction between themes and "neutral material such as scales and arpeggios" (p. 264), material similar to my grouplet (and group). Berry, in *Form in Music*, also distinguishes between these two types (p. 8). Caplin, in his ECP paper (discussed in chapter 1), uses the term "basic idea" for the 2-bar unit of a theme, a term roughly equivalent to my "motivic segment" (p. 218; and in note 16 [p. 254] he discusses the question of terminology for this level, noting that the term "motive" is normally reserved for a lower-level unit).

The deceptive cadence involves the harmonic motion V-VI replacing an expected authentic cadence, which normally follows the deceptive one. In this sense the DC is not a true cadence. See example 1, mm. 149(3)-153(1). Other types of cadences are best analysed in other ways, for example as sequences of a cadential pattern found in example 1, mm. 146(3)-149(2).

The effect of textural disjunction would be seen if one were to claim that the segments in mm. 21-22 formed an authentic cadence: although harmonic criteria satisfy the requirements of an authentic cadence, the textural and dynamic change in m. 22 ensures that m. 22 will be heard as a beginning, not as an ending. (Higher-level formal and rhythmic patterning also work against positing a cadence in mm. 21-22.)

Certain material is probably inherently and always primarily non-motivic. Alberti basses and other standard bass patterns are examples. The bass of the first phrase of the subordinate theme of example 1, in mm. 30-33, is not motivic in the usual meaning of the term, although higher-level patterning results in part from the association of this material with the motive above it and the repetition of this material, as well as by the octave leap which closes the second phrase and the association of this leap with the motive in mm. 14-15.

If the repetition of a common bass pattern gives that pattern some degree of motivic distinctiveness, the repetition of a richer treble pattern is even more a factor in the degree of importance of a motive. (The former is illustrated by the first two phrases of example 1, which are related by the eighth-note repeated bass pattern [mm. 14-15, 18-19], a relationship missing from the next two phrases.) The extent of repetition, the kind of repetition—variation, development, etc.—and the level of repetition—immediate through long-range—are important factors in the significance of a motive.

Caplin, in his ECP paper, describes a cadence as "'conventional' in the sense that its melodic content is common to many works within the style," as opposed to the "basic idea" (i.e., my motivic segment; see note 8 above), which "normally contains a 'characteristic' melody, one that can distinguish a given theme from another" (p. 251). He also notes that the cadence is a "two-measure formula" (p. 216). And, "I regard 'cadential function' as that formal function responsible for bringing formal closure to a given theme" (personal communication, July 5, 1988). Kohs' discussion of cadences is good, especially table 4.2, "Factors affecting the weight of a cadence" (*Musical Form*, 25-27).

The 4-bar phrase may be taken as a norm for this style. See the four 4-bar phrases of the second theme, in mm. 23-38, of example 3, the first three
of which have weak, short cadences as the final bar of their second motivic segment, the fourth of which is more clearly "motivic segment plus cadence." The expansion and contraction of phrases that would otherwise be four bars long is, however, quite common. And, as will be seen later, specific types of expansion and contraction are characteristic of specific small sections, so much so that such expansions and contractions may be better analyzed as norms in their own right. In a fast tempo, a phrase of eight bars may be equivalent to the 4-bar norm, and in a slower tempo, a phrase of two bars equivalent to the 4-bar norm. In addition, phrases other than ones four bars long may sometimes be seen as normal in the context of specific small sections (level [c]).

14 The definition of phrase that I am using here is in fact a fairly restrictive one, in the sense that few units of any given work by Mozart will exhibit all the features of phrases. Instead, many units will exhibit only some of the features of phrases, and many units will be better analyzed as groups, as discussed below. The terms phrase and group are as inadequate here as the terms motivic segment and grouplet were for level (a). However, as discussed in note 7, clearly identifying the two extremes on a given level is a good start towards understanding events on that level. If we had, for example, a term for "phrase without cadence" and another term for "non-cadenced unit combining with an immediately successive cadenced unit forming a level-(b) statement," then these two terms could be used here, among others, without further discussion. Of course, I could invent such terms here, but that would imply inventing a variety of other terms for phrases that lack features other than cadences or that deviate in some way from my definition of phrase. Consider, in example 3, the phrase from m. 0(4) to m. 4(2), in which the cadence is weakened by the double suspension on beat one of m. 4, by the use of the same Alberti bass figuration pattern in all four bars, by the eighth-note rest on beat one of m. 4, by the motive continuing through the cadence, and by the use of a varied form of the same motive in mm. 1-2, where there is no cadence, and in mm. 3-4. To invent a term to explain all of these features would be pointless, since few, if any, other phrases would exhibit exactly these same features.

15 Although this example is not taken from a first movement, it is worth including here because it illustrates so well certain aspects of phrases. Several theorists have also commented on the unusual phrase structure of this trio. For example, the apparent displacement of the cadence is noted by Ratner in Classic Music, 39-40. See also Kramer, "Beginnings and endings in Western art music," who discusses how the trio "plays witty games with closing profile versus opening placement" (p. 7).

16 Another often-used term for timespan is hypermeasure. Several theorists used this term: comparing how two theorists use hypermeasure may help to clarify my use of timespan. Edward Cone, in Musical Form and Musical Performance, comes close to defining his use of hypermeasure as follows:

One can find long stretches in which the measures combine into phrases that are themselves metrically conceived—into what I call hypermeasures. This is especially likely to occur whenever several measures in succession exhibit similarity of motivic, harmonic, and rhythmic construction. These almost demand to be counted as units. (P. 79)
It is not clear whether the "motivic, harmonic, and rhythmic construction" is a part of the hypermeasure, or whether it merely helps to create the hypermeasure. That is, is Cone's hypermeasure a unit that includes events—what I call a group or a phrase, depending on other factors—or does it refer only to higher-level metric organization? I use the term timespan only for metric organization, bearing in mind that melodic, rhythmic, textural, and harmonic events create timespans. The events form groups or phrases, which in turn occupy timespans. Headlam, in "A rhythmic study of the exposition in the second movement of Beethoven's Quartet op. 59, no. 1," goes even farther in defining large-scale metric organization:

A meter may be organized not only into measures, with internal periodic beats . . ., but also into hypermeasures—metric units of more than one measure, with internal periodic measures. . . . Since a hypermeasure is a metric unit, it needs to be confirmed by repetition; the meter resulting from this periodicity of repeated hypermeasures is the hypermeter. (P. 114)

Although in this passage Headlam does not state the criteria by which his hypermeasures are formed, he does assert that only a repeated hypermeasure will be considered a hypermeasure. In this respect, my use of the term timespan is similar to Headlam's use of hypermeasure. Although periodicity is often a factor in delineation of timespans, I do not require it as a factor, as Headlam appears to do.

17 I am not claiming that all movements have these relationships between events and timespans: the first theme of the Symphony in G Minor, no. 40, for example, begins with a similar event/timespan relationship to that in the opening of the closing section of example 1. The point is that different small sections within the same movement begin in different ways.

18 This issue of events and timespans is discussed by many theorists, although not using the same terminology and meaning as I have used here. For example, Berry discusses the relationship of phraseology to meter in Structural Functions of Music (pp. 322-324).

19 A comparison of my ideas regarding phrase structure with those of a few other theorists may help to clarify my terminology for level (b). Berry, in Form in Music, includes a good discussion of the phrase; for example, he notes that the phrase is often comprised of two 2-bar motives (p. 12; or in my terminology, two motivic segments). In Structural Functions in Music, Berry sees the phrase as metrically recessive (i.e., beginning-accented), the cadence being strong only at local levels (e.g., p. 329; see also note 18 above).

Caplin, in "The 'expanded cadential progression'," discusses three types of phrases according to their function in the larger unit (p. 250). His definitions of cadences are very precise (pp. 217-218).

Cone, in Musical Form and Musical Performance, describes the relation of phrase/group to meter and timespan as follows:

The beats seem to form a pre-existing framework that is independent of the musical events that it controls. One feels that before a
note of the music was written, the beats were in place, regularly divided into appropriate sub-units, and regularly combined into measures. (P. 70).

Davis, in "Harmonic rhythm in Mozart's sonata form," notes that transition sections have "areas of patterned harmonic rhythm that may occupy merely the dimensions of a phrase " (p. 29). This closely parallels my description of "group."

In Beyond Orpheus, Epstein divides musical time into two parallel hierarchies, metric and rhythmic, the levels of which correspond.

<table>
<thead>
<tr>
<th>Chronometric (Metric)</th>
<th>Integral (Rhythmic)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Beat</td>
<td>Pulse</td>
</tr>
<tr>
<td>Measure</td>
<td>Motive (or motive-group)</td>
</tr>
<tr>
<td>Hypermeasure</td>
<td>Phrase</td>
</tr>
<tr>
<td>Macroperiodizations of</td>
<td>Macroperiodizations of</td>
</tr>
<tr>
<td>hypermeasure groups</td>
<td>phrase groups</td>
</tr>
</tbody>
</table>

Epstein's theory here implies a dichotomy: the two ways of looking at musical time are mutually exclusive. For example, a phrase is something that occurs on top of an underlying hypermeasure, suggesting that the hypermeasure exists independently of the phrase. My approach differs from Epstein's only in that I am trying to see how the two classifications of time interact and influence each other, especially on the level of hypermeasure/phrase, or, in my terms, timespan/phrase or group. A timespan is not just a collection of adjacent measures; it is also a functioning unit of time, not necessarily begun by an accented bar, as Epstein's hypermeasure is.

Fairleigh, in "Transition and retransition in Mozart's sonata-type movements," discusses the use of "insignificant figuration" in transitions and notes that "phrase and period constructions are extremely uncommon" in transitions (p. 26).

Green, in Form in Tonal Music, includes a general discussion of "phrase" and the difficulty of defining it, a difficulty that I believe is partially eased by restricting the definition to music of a specific style or composer.

Kohs, in Musical Form, discusses sonata form having different types of material; for example, the transition may have "neutral material such as scales and arpeggios" and a different texture (p. 264). Also similar to my "group" is his definition of "dissolved phrase . . . a phrase which ends without a cadential close" (p. 38).

Lester, in The Rhythms of Tonal Music, discusses the factors determining, and relations between, "Hypermeter, meter, and phrase rhythms," his chapter 6. For example, he notes that "hypermeters . . . frequently occur in closing passages, either of sections or of movements, where cadences continually elide with the beginning of the next phrase" (p. 186). He gives the closing section in the finale of Mozart's Violin Concerto in G Major, K. 216, as an illustration (this is quoted in diagram 56 in my chapter 7).

Lowinsky, in "On Mozart's rhythm," notes, as I have, Mozart's use of rests "to clarify and delimit a phrase" (p. 35).

20 In the field of architecture, the modern house, with its differently functioning rooms, may be compared with sonata form: this comparison may help
to explain why the small-section level is most interesting. In fact, the structural levels of a house and of sonata form correspond quite closely:

<table>
<thead>
<tr>
<th>House</th>
<th>Sonata Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>Pieces of wood, nails, etc.</td>
<td>Notes and intervals</td>
</tr>
<tr>
<td>Panels, window panes</td>
<td>(a) Segments</td>
</tr>
<tr>
<td>Doors, walls, floors, windows, ceilings</td>
<td>(b) Phrases and groups</td>
</tr>
<tr>
<td>Rooms, hallways, stairways</td>
<td>(c) Small sections</td>
</tr>
<tr>
<td>Complete floors</td>
<td>(d) Large sections</td>
</tr>
<tr>
<td>Entire houses</td>
<td>(e) Entire movements</td>
</tr>
</tbody>
</table>

It is easy enough to perceive individual panels of walls, window panes, doors, etc., but it is the space created by entire rooms that is most interesting to us in houses. Although it is possible to conceptualize the layout of a complete floor and of an entire house, we tend to think instead of a floor plan in terms of the differing and contrasting functions of the rooms on each floor and of the differing functions of each floor of the house.


22 An illustration of one of the many types of variations of the sentence model is found in the main theme of example 3. This sentence may be represented as follows:

\[(2 + 2) + (2 + 2 + 2)\]
\[a + b + a + b + a + a\]

The main difference with respect to the model is the extension in the second half, where the normal \((1 + 1 + 2)\) construction becomes \((2 + 2 + 2)\), as discussed in connection with diagram 1 in chapter 2.

23 Heinrich Schenker, Free Composition (Der freie Satz), I, pp. 36-40.

24 Strictly speaking, K. 331 should not be included in this dissertation because it is not in sonata form. However, the objects of my study are first movements, and this movement is interesting because it is one of the very few first movements not in sonata form. (It is a theme and variations movement.) In addition, the theme exhibits some archetypal features which are found in sonata-form movements.

25 Another example of the period is found in example 1, in mm. 14-29(2). Here the main theme is doubled in length to sixteen bars. There are only two cadences, ending in mm. 21 and 29, and therefore this is not a double period. Nevertheless, each 8-bar phrase is divided as \((4 + 4)\), mainly by dynamic means (piano-forte alternation) and by motivic contrast. Each 4-bar unit is divided in turn into two 2-bar motivic segments. This period has the motivic features
necessary for it to be a true double period, but not the cadential features necessary to divide the 8-bar units into 4-bar phrases. The first and third 4-bar units may be termed phrases without cadences. This theme may be represented as follows:

\[
\begin{align*}
(4 + 4) & + (4 + 4) \\
(2 + 2) + (1 + 1 + 2) & + (2 + 2) + (1 + 1 + 2) \\
a + b & + c + d + a + b + c + e \\
\text{HC} & \text{ PAC in V}
\end{align*}
\]

The unusual feature of this period is that it modulates (to the dominant). (Modulation is unusual in normal thematic small sections but not in themes used in other small sections and in extreme variants of thematic small sections.) An alternative analysis of this theme is discussed in chapter 2 in connection with level (d): "Expositions."

26 Some theorists use the term "rounded binary" for what I am calling "small ternary." (For example, see Green, Form in Tonal Music, chapter 6.) Any section of a work having a contrasting subsection that leads to a return of the opening material in the tonic should, I believe, be labelled ternary, regardless of any repeat signs.

27 A theme that is not based on one of the three models will usually be strongly closed in other ways, usually harmonically. Such a theme is seen in example 2. The main theme extends from m. 1 to m. 22(1), overlapping with the subsequent small section. The theme may be summarized as follows:

\[
\begin{align*}
9 & + 13 \\
(5 + 4) & + (3 + (2 + 2) + (1 + 1 + 2) + 2) \\
ab & + c + d(b^1) + b^2 + b^2 + e \\
V-I & V-I \text{ seq.} \to IV \to V \to VI \to V-I \\
HC & \text{ PAC} \text{ IAC DC PAC}
\end{align*}
\]

This theme differs from the three models not only in that it is not based on any aspect of the models (except that mm. 13-22 may be based on the sentence model) but also in that it presents a more varied motivic structure: more motives and more development of motives than is usual is present here. The b motive is developed in the second part of the theme—even the d motive may be seen as a filling-in of b—and this suggests some connection with the sentence model, along with the fact that the timespan and motive length are shorter, in particular the (2 + 2) unit from m. 13 to m. 16. More important, perhaps, is the constant regular reduction in segment length up to m. 18: 5, 4, 3, 2, and 1 bars. This pattern has no relation to any model, and the unit lengths are not expansions or contractions of more normative lengths or patterns, except for the final six bars which are an expansions of the 4-bar phrase due to the deceptive cadence. This repetition of the cadential pattern puts more weight onto the cadence, thus helping to close the theme. Also remarkable in this theme is the large number of cadences. For further discussion of this theme, see Mitchell, "The serenades
for wind band," 74; and Lowinsky, "On Mozart's rhythm," 32.

28 The sentence and the period models are the most frequently used in both MTs and STs, accounting for 68% of all themes. MTs are dominated by sentence and period models: 85% of all MTs are based on these models. STs make less use than do MTs of the sentence and period models, although 50% of STs are based on them. There is greater variety in the nature of STs than of MTs. In particular, STs show some—18%—use of double themes (i.e., one theme followed by another), which are not found in MTs. (This is one indication of the general observation that STs are usually longer than MTs.) More than half—60%—of MTs are sentences, with a further one-quarter being periods. No one category accounts for a majority of STs: one third are periods, one third are unique themes, and one-third are sentences or double themes. Periods and unique themes are both more common to STs than to MTs. Double periods are more common to STs than to MTs (indicating again that STs are often longer than MTs).

The most extreme case of ST variance from models is found in movements in which one cannot even speak of a theme, or at least a distinct thematic area, in the second key area (e.g., the Symphony no. 35). In such cases the transition may also merge into the second key area. One may also find movements in which non-thematic units are connected to thematic ones in the second key area. Often one function of such additions, etc., is to expand the ST area, to a point where one could use the term complex of themes.

As well as expansion in the number of subsections within the ST complex, expansion of the length of the ST itself is normal. This is accomplished either by increasing the number of phrases (e.g., by the use of a double period) and/or by increasing the length of phrases. Both of these factors characterize the ST (in mm. 42-66) of example 2. Not only does this theme feature expansion of phrases and expansion by repetition, but the entire theme is doubled by comparison with the length of the sentence model.

Another common type of expansion in the ST is an expansion of the second half of the theme, whether period or sentence. Essentially, it is an expansion of the cadential area of the theme, what Caplin has termed an "expanded cadential progression" (ECP), as discussed in chapter 1. In example 1, the ST—a period—begins at m. 29(2) and ends at m. 50(1). The first phrase of the period ends with a half cadence at m. 37, and is constructed as a sentence. (This is another way of expanding a 4-bar phrase to an 8-bar one: by not merely doubling its length but also by giving it the shape of a thematic archetype, often, as here, that of a sentence.) The second phrase, in mm. 37(2)-50, begins as a repeat of the first, but its final seven bars are expanded with respect to the first phrase's final two bars. The archetypal feature of this ECP is the harmonic progression I→ii→(or IV)—V—I, with the bass voice 3-5-3-1. The dominant is often decorated with a cadential six-four chord and a trill at the very end, as here in mm. 48-49. Normally, as here, each harmony is fairly long in comparison with the previous rate of harmonic change in the theme. The presence of 3 in the bass is a signal that an ECP is occurring. The long cadence, usually the longest in the entire movement, has the effect of inducing significant closure at higher levels, as well as of expanding the theme. (For further discussion, see Caplin's ECP paper. See also Weimer, Opera Seria and the Evolution of Classical Style, chapter 2, "Harmonic expansion from 1716 to 1784;" see especially p. 33 where he discusses the development of an ECP-like progression.)
Different types of repetition characterize different small sections. Repetition of level-(a) units in mm. 14-17 of example 3 differs from that in, for example, the main theme of this movement in the following ways: (1) there is no separation between the segments in mm. 14-17; (2) continuity is further established by the continuous eighth-note bass voice, a voice which is also even less motivic than in the theme; and (3) the distinction between the level-(a) units of motivic segments and the next lower level of motives is lost: the unit in mm. 14(4)-15(3[1]) is a compression to one bar of the 2-bar motivic segment in mm. 4(3)-6(2), and mm. 14(4)-17 are therefore comprised of three similar 1-bar compressed segments followed by a half-bar extension to the end of m. 17. So whereas mm. 10(4)-14(3) form a phrase comprised of two motivic segments, mm. 14(4)-17 form a group comprised of three motive/grouplets. One reason for this latter level-(b) unit forming a group rather than a phrase is that it is not cadenced. It might be considered to end on the downbeat of m. 18, thus forming a half cadence in F major, except that the cadence is overlapped with the new material in m. 18.

For an illustration of the type of change involving a transition ending on V/V, see example 3, where the transition is altered in the recapitulation to end on V (mm. 104-118). For an illustration of a typical minor mode example, see the Piano Sonata in A Minor, K. 310, where in the exposition the transition moves from i to V/III (mm. 9-22), and in the recapitulation from i to V (mm. 88-103). For an illustration of a major mode transition ending on V in the exposition, see the Symphony in B-flat Major, no. 33, mm. 25-54 and 232-263: both versions of the transition end on V, but the recapitulation version takes a circuitous harmonic route in arriving there.

Although it is not realistically possible to formulate models that take into account all features of transitions, it is possible to categorize the general function of transitions. The modulatory function of transitions is the central one, with melodic contrast to the surrounding small sections being the lesser function. Four broad categories of transition procedures can be noted:

1. A very few works have no transition small section, or else have an extremely short one—one or two bars. In such works the missing transition function may be transferred to the main theme, which may, for example, end on or in the dominant; the thematic function will be primary in such cases. See, for example, the Piano Sonatas in C Major, K. 545, and D Major, K. 311.

2. The majority of movements have a distinct transition small section, varying from about eight to twenty-five bars in length. See, for instance, examples 3 (mm. 11-22), and 2 (mm. 22-39).

3. A few movements have more than one transition small section. Each of these has a series of small sections in which the modulatory function is divided so as gradually to shift the tonal focus from the tonic to the new key. For example, the first of two small sections might end on the dominant, with the second ending on the dominant of the dominant, as in the String Quartet in D Major, K. 593 (mm. 34-45, 45-63).

4. A few movements combine transition and subordinate theme functions in one or more small sections. For example, see the Symphony in D Major, no. 35, discussed in detail in chapter 6.

For further discussion, see my paper "Function and structure of transitions in sonata-form music of Mozart," Canadian Univ. Music Review, (forthcoming);
this paper also includes summaries of other theoretical writings on transitions, including those of Davis, Fairleigh, and Kohs as discussed in note 19 above. Lowinsky, in "On Mozart's rhythm," writes:

In many compositions increasing motion will be found in the first section of a sonata-allegro form up to the moment when the second theme appears, at which point a new wave of gradually increasing motion starts. (P. 44)

32 The second type of retransition—that occurs at the end of the development—is found in nearly all sonata-form movements, but is the type least relevant to this study, as I am mainly interested in expositions and recapitulations. This retransition type is most often not a distinct small section but rather the final part of the development section. It is normally recognizable by the use of a dominant pedal (although Mozart often substitutes a dominant pedal of the submediant, bringing in the primary dominant at the last instant before the recapitulation), and by a fragmentation and liquidation of motives into grouplets. See example 2, mm. 122-129; and example 1, mm. 73-89. For further discussion of retransitions, see Fairleigh, "Transition and retransition in Mozart's sonata-type movements;" and Shamgar, "On locating the retransition in classic sonata form."

33 Codettas are added to themes as expansions of the thematic area. For example, if a theme is eight bars long, the addition of a codetta lengthens what would otherwise be a short small section. Codettas may be added for reasons of tonal balance. If a main theme is short, an immediate move to the dominant in the transition might give the exposition too much emphasis on the dominant key area. The addition of a codetta to the main theme might alleviate this problem.

See, for example, the String Quartet in B-flat Major, K. 589: the MT features some interesting expansions and the codetta is in part a response to these.

34 In these diagram summaries of closing sections the timespans are shown with their associated groups/phrases. Thus the first number in diagram 6, "K. 388;", refers to the first 8-bar timespan of the closing section. This begins with the first beat of m. 66, initiated there primarily by virtue of tonic arrival. The pattern of timespan initiation by tonic arrival has been established by the subordinate theme, which features 6-bar timespans (mm. 42-47, 48-53, 54-59, and 60-65). Group a begins just before the end of the first bar of the first timespan of the CS, i.e., with the upbeat to m. 67.

35 In part, this use of codas may be due to the fact that Mozart was strongly influenced by Haydn in his quartet writing, especially with regard to the six opus 10 quartets dedicated to Haydn. These were written from 1782 to 1785, and it was Haydn's opus 33 quartets, written in 1781, that were of some influence on Mozart. In Haydn's opus 33, half have codas (nos. 3, 4, and 6), and in Mozart's opus 10, half also have codas (nos. 2, 3, and 6).

36 Omitting the repeat of the development-recapitulation in this sonata will obviously change the relationship of the coda to the rest of the movement.
Doing so will give the coda greater structural weight, thereby making the whole work more like Beethoven's and later composers' sonata forms. To pianists who perform more romantic than classic piano music, omitting this repeat may seem like the natural thing to do because it will make the movement more romantic.

In example 8, from the Piano Sonata K. 309, the two forms of the closing section are shown. The recapitulation form (within the repeat signs, of course), is three bars longer than the exposition form. This new material includes a reference to the opening main theme motive in mm. 152-153(3) and concludes with common cadential material. The extension gives the closing section more significance than it had in the exposition, thereby making it more of a distinct small section than it was in the exposition.

In example 1 the closing section in the recapitulation is extended by about ten bars as compared to its exposition form (as discussed earlier in chapter 2). There is not a separate coda here: the material in mm. 135-159 forms one small section. The new codetta material grows out of the old, with no significant separation between the two, starting with the sequence in mm. 147(3)-148(2).

For further discussion of codas, see, for example, Smyth, "Codas in classical form: aspects of large-scale rhythm and pattern completion."

In example 1, although there are no overt motivic references between this introduction and the rest of the movement, there are many features in common between the introduction and the closing section, e.g., the use of grouplets and groups as opposed to motivic segments and phrases. In addition, the closing model may be seen to apply to mm. 5-13, and mm. 9-13 may be heard as a codetta. (Another way to hear the introduction is as a large sentence, in which the overall tonic-dominant motion overshadows the PAC in mm. 8-9. A third interpretation would hear mm. 1-9 as a sentence, with mm. 9-13 as a codetta.)

There are no works involving a total lack of applicability of the exposition model (excepting, of course, those few first movements not in sonata form, such as that of the Piano Sonata in A Major, K. 331). This is so if only because every work in sonata form must begin with a theme, or theme-like statement (except for works beginning with an introduction, which postpone the theme). Obviously, a movement cannot begin with a transition or with a closing section.

Returning to the analogy with house construction mentioned in note 20, such larger, double function small sections could be compared to larger rooms that function as combinations of normal single function rooms, such as living-dining rooms.

This is unlike the typical meaning of "monothematic" in Haydn's works, where a motive will be common to the two themes, but will not be used throughout, other motives being used in addition (e.g., the Piano Sonata in E-flat Major, H. XIV: 49, first movement). In the Haffner Symphony, by comparison, a single motive is used almost constantly, and there is no real ST.

In the analogy with house construction, the exposition of the Jupiter Symphony is similar to a floor in which all the rooms have windows on every
wall, permitting one to see into adjacent rooms. The Haffner Symphony, being even more continuous, is like a floor which is one large multi-function room.

43 For discussion of the change in sonata forms, see, for example, Newman, The Sonata in the Classic Era, chapter 6; and Rosen, Sonata Forms, chapter 7. For examples of sonatas similar to K. 545 in form, see, for example, those Haydn was writing in the 1760s (e.g., the Piano Sonata in C Major, H. XIV: 10, first movement).

44 A brief summary of development section structure may be included here. Many developments have a short introduction leading to a larger central section, which functions as the main area of contrast and development. This leads into the retransition, which prepares for the recapitulation. The harmonic contrast characteristic of developments comes about not through the use of a standard non-tonic key—as in the exposition—but by the use of fluctuating tonality. A variety of keys will be referred to in the central section, leading to the dominant pedal of the retransition. Melodic contrast is generated by the use of remote motive-forms, sometimes to the extent of introducing a new theme. When exact transpositions of complete phrases from the exposition are used, they are often found in different contexts, such as with a new accompaniment, or having a new continuation. However, sometimes a theme is simply transposed in the development. Rhythmic contrast is formed by the use of a variety of different length timespans over the course of the development, often by a process of shortening the lengths of the timespans. Further sources of contrast include those of texture—for example by the use of imitation—and dynamics. The continuous nature of developments, which contrasts with the exposition, is generated by the use of open-ended units on levels (b), (c), and (d). Examples of these features are found in most developments. Some developments have as retransition the end of the transition section from the exposition, transposed or otherwise altered to end on the dominant. This is done in cases where the recapitulation begins with the second theme, the main theme following later. For further discussion, see, for example, Bushier, "Harmonic structure in Mozart's sonata-form developments;" Beach, "A recurring pattern in Mozart's music;" Davis, "Harmonic rhythm in Mozart's sonata form;" and Lowinsky, "On Mozart's rhythm."

45 Rosen refers to this as the "secondary development" (Sonata Forms, 276-277). See also Brown, "Mozart's recapitulations: a point of style."

46 In cases where the recapitulation begins with the second theme, the transition section, altered if necessary to end on V, is placed before the theme; in this position it acts as a retransition within the development section:

<table>
<thead>
<tr>
<th>Development</th>
<th>Recapitulation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Model:   retransition</td>
<td>MT TR ST CS</td>
</tr>
<tr>
<td>Variation: transition</td>
<td>ST CS MT</td>
</tr>
</tbody>
</table>

Examples include the Piano Sonata K. 311, and the Violin Sonata K. 306.

47 For further discussion of recapitulations see, for example, Benjamin, "A theory of musical meter," 405-406 (quoted in chapter 1, p. 11); and Rosen,
Sonata Forms, chapter 11. The exposition of example 2 was discussed in connection with Level (d): "Expositions" as to its periodization of lengths of groups, phrases, and timespans. This process of periodization is important to the recapitulation of this Serenade as well, despite the fact that considerable rewriting takes place. The main theme is the same as in the exposition. The transition begins as in the exposition but becomes greatly changed; its timespan and grouplet structure is \((2 \times 4) + (2 \times 3) + (2 \times 2) + (2 \times 4)\), i.e., a series of 2-bar units grouped in different ways. The recapitulated second theme is very interesting: it is motivically different from the second theme in the exposition, yet it maintains exactly the same timespan structure, i.e., \((6 \times 4)\). The closing section is lengthened slightly, but is otherwise the same as in the exposition.

48 For discussion of bipartite and tripartite approaches, see, for example, Newman, *The Sonata in the Classic Era*, 143-147. Examples will be seen in subsequent chapters.

49 For detailed statistics on proportions in this music, see, for example, William Abbott, "Certain aspects of the sonata-allegro form in piano sonatas of the 18th and 19th centuries," (Ph.D. diss., Indiana Univ., 1956); and Hans Engel, "Haydn, Mozart und die Klassik," *Mozart-Jahrbuch*, 1959, 46-79.
Notes to Chapter 3
(The Closing Model)

1 The (1 x 4) + (4 x 1) rhythmic pattern is not strictly a thematic model, as it is seen in other than thematic sections. It may form part of a theme or section as opposed to the thematic models which usually account for all of a theme. At any rate, it is not seen frequently in these works. (This pattern was drawn to my attention by Dr. William E. Benjamin.) This theme is unique in my definition of "unique theme" but not in the broader meaning of the term.

2 This explanation of the coda was suggested to me by Dr. William E. Benjamin.
Notes to Chapter 4
(The Closing Codetta)

1 That closing sections function to prolong the tonic for a length of time is suggested by Kramer in "Beginnings and endings in Western art music;" e.g., "A tonal composition reaches its goal—the return of the tonic as stable—before the actual close. The tonic must then be extended, or prolonged, for a sufficient amount of time for its stability to be felt fully and for the momentum that brought the music to that goal to be dissipated" (p. 3).

2 I have suggested a tonic ending for this theme in the example below, i.e., to replace mm. 30-33(1). (Tonic endings similar to this are found, in fact, in mm. 74-75, repeated in 76-77, of the development section.)

A major: I - ii - V I - I

3 That many developments prolong IV is suggested by Bushier in "Harmonic structure in Mozart's sonata-form developments." One of the two development section progressions he posits has the subdominant as its goal.

4 Schenker's attitude towards formal analysis is shown, for example, by the following quote: "I . . . reject those explanations which are based upon phrases, phrase-groups, periods, double periods, themes, antecedents, and consequents." Free Composition (Der freie Satz), 131. It should be noted that I am not implying that diagrams 38 and 39 are Schenkerian analyses; instead, I will say that they are influenced by Schenkerian techniques. See chapter 5, "Form," of Free Composition, for Schenker's approach to sonata form analysis. (See also pp. 27-29 above.) He maintains that all sonata form music must be analysed as interruptions: in the present work this would likely mean a de-emphasis of the extreme similarity between the outer large sections.
The overall form of this movement has been described as ABCBA or mirror form (i.e., oversimplified, A = MT, B = ST area, and C = development). See, for example, Newman, The Sonata in the Classic Era, 146.

The Piano Sonata K. 333 is discussed on pp. 44, 47, 50, 52, 63, 83, 87.

The recapitulation of K. 545 begins in m. 42 in the subdominant key. A possible explanation for this unusual tonal beginning is that, since the movement is so short, a literal repeat of mm. 1-12 so soon after they were heard in the exposition would be uninteresting. (See Rosen, The Classical Style, 152, for other views on the non-tonic beginning of the recapitulation.) In addition, the rewritten main theme differentiates the recapitulation from the exposition, the two sections being almost identical except for this and the usual change of key in the subordinate theme area. An additional 4-bar unit is included in the main theme, in part prompted by the use of the subdominant (i.e., mm. 42-49 are a transposition of mm. 1-8 to F major, mm. 50-53 are a variation of mm. 5-8 in C major, and mm. 54-57 repeat mm. 9-12). The subordinate theme area is unchanged except for the key and a rewritten form of mm. 67-69 compared with mm. 22-24. The tonicization of V here strengthens the cadence, and the use of a main theme motive in m. 69 is an additional connection between the two themes.

It is interesting to compare the timespan organization of this movement with other movements and to see how these other timespan arrangements relate to their thematic structures. For example, Haydn's Piano Sonata in D Major, H. XIV: 14, first movement, exposition, is comprised of a string of equal length time-spans: (4 + 4) + (4 + 4) + (4 + 4 + 4) + (4 + 4). In this movement the small sections are undistinguished; i.e., identifying the themes, transition, and closing section is very difficult. This is partly due to the extreme consistency of timespan lengths. (Another reason here is that there is frequent use of sequence, both within and between 4-bar units.)

Both themes in K. 570 can be analysed as sentence variants with codettas, and both share the same opening triadic motive. Of course, there are a number of differences between the two themes, in particular in the relation the codettas have to their respective themes. In the main theme codetta (mm. 12[2]-20), the codetta is distinct from the theme (by virtue of its different motives, etc.). On the other hand, the subordinate theme codetta (mm. 57[2]-69[1]) is based directly on the second half of the theme (mm. 49-56). In other words, the ST and its codetta form a more cohesive unit, despite their greater combined length, than do the MT and its codetta. The transition is interesting for its 2-bar introduction in mm. 21-22 that abruptly leaves both the tonic key and main theme material; a theme-like statement then follows beginning in the subdominant key.

A curious and unusual connection is formed between the closing section and the transition when, after the repeat of the exposition, the development is begun. The last bar of the closing section and the first bar of the development resemble the first two bars of the transition, and in fact the development then continues with the transition "theme" as well as with the first part of the subordinate theme transposed to new keys (one of which, G minor, is the one implied by the first two bars of the transition [mm. 21-22] although this key is a tritone distant from that implied by mm. 79-80).

The recapitulation begins in m. 133 with the main theme repeated exactly. Two bars—33 and 34—are omitted from the transition, permitting the subsequent material to remain in the tonic. The subordinate theme, its codetta, and the closing section are essentially unaltered.
Notes to Chapter 5
(The Closing Theme Followed by the Closing Codetta)

1 A few other type (1) closing sections may be reinterpreted as of type (3). For example, in the Piano Sonata in C Minor, K. 457—discussed briefly in chapter 3—the first two 4-bar groups of the closing section (in mm. 59-67) could be regarded as having some phrase features, and hence, to that extent, form a theme. The following four bars could then be the closing codetta.

2 Another reason for the use of E-flat is that the theme must be in a major key, and other major tonalities within C major are unavailable, for a variety of reasons. The tonic cannot be used at the start of the development; the long exposition used the key of G major to a great extent, so further use of the dominant key would be inappropriate; the subdominant is used in a prominent manner later in the development section; and significant tonal contrast would not be achieved by simply raising the third of the minor diatonic triads. At any rate, here the key of E-flat sounds more like the submedian of the parallel minor key of G major than as a chromatic variant of the mediant of C. This has been hinted at by the use of two chords borrowed from G minor (i.e., in mm. 81 and 98).

3 The expansion of the normal 2+2 opening subsection of the sentence to 6+6 here would suggest a 12-bar concluding subsection. Perhaps because a 12-bar phrase is considerably longer than the norm for this style, Mozart writes first a 4-bar phrase that appears to close off the theme (mm. 12[3]-16, this in turn suggesting further thematic material in the tonic by its short length), and then two more 4-bar phrases that comprise the codetta (in the form of a simple period). So we eventually do get twelve bars of material to balance the opening of the sentence, but they are arranged in a novel way. (However, see the Flute Quartet K. 285, where a somewhat similar relation exists between the main theme and its codetta. This work is analysed in chapter 4.)

4 The structure of this subordinate theme is perhaps a little more complex than most such themes. As has been seen in some other long themes, several subsections can be analysed as variants of other thematic models: the first two phrases (ab), in mm. 37-44, form a sentence, the two phrases (cd), in mm. 49-56 form a different sentence, and the final two phrases
(c\textsuperscript{d\textsubscript{1}}-ECP), in mm. 57-68, form a sentence based on the previous two. These latter two observations suggest that the material in mm. 49-68 may be a double period in its own right, suggesting in turn that the material in mm. 37-48 be regarded as an incomplete period. However, the unity of the entire section is assured by the lack of a cadence in mm. 48-49 and by the fact that the _c_ group grows out of _a\textsuperscript{1}_, functioning as a consequent to _b_ as well as an antecedent in the next subsection.

5 This interpretation resembles that noted earlier in this chapter in regard to the Symphony no. 41 and to the Piano Sonata K. 457 (see note 1 above).

6 Although a contrasting theme in the dominant key is not a requirement of sonata form in the eighteenth-century, the majority of Mozart's works in sonata form do in fact have such a theme.
Notes to Chapter 6
(Closing Sections Not Based on Models)

1 The best published score is: Wolfgang Amadeus Mozart: Symphony in D, K. 385: 'Haffner' Symphony. Ed. under the supervision of H. C. R. Landon. London: Faber, 1971. Most other editions have many problems; e.g., the Eulenberg miniature score has "several hundred wrong notes" (Landon, p. v). One detail that will be important later in this chapter is that the first movement has no repeat signs (in Landon).

2 This movement, and perhaps a few of the ones analysed in previous chapters, may be seen as bipartite rather than tripartite. In other words, the exposition-development boundary is the most important in the movement, suggesting a division into two, not three, large sections. Bipartite sonata forms are common earlier in the classical period. For discussion of this, see Newman, The Sonata in the Classic Era, 143-146.

3 A curious feature of this theme (and of the movement as a whole) is the lack of a genuine melody. There are motives—e.g., the accompanimental motive that incorporates syncopated half-notes in mm. 38-40, and the repeated eighth- and sixteenth-note motive in mm. 41-42—but they are not organized into a normal "melody and accompaniment" pattern. This is one reason why the theme is unique (as opposed to based on a thematic model): it is a theme without a melody. (Rosen discusses the motivic structure of the theme in Sonata Forms, 194, 214.)

4 Rosen, Sonata Forms, 215.

5 Rosen, Sonata Forms, 215. See also Larsen's discussion of the influence of ritornello form in this closing section and in the movement as a whole in "The Symphonies," in The Mozart Companion, 188-189.


7 In this latter respect, the appearance of the III harmony resembles the start of the recapitulation in the Symphony no. 35, discussed earlier in this chapter.
Notes to Chapter 7

(Conclusion)

1 V. Kofi Agawu, "Concepts of closure and Chopin's Opus 28."

2 Agawu (see note 1); Hopkins, "Secondary parameters and closure in the symphonies of Gustav Mahler."

3 See Orr, "The effect of scoring on the 'sonata-form' in Mozart's mature instrumental ensembles." Orr concludes that the larger the ensemble, the larger is the form. See also Rosen, The Classical Style, 63-64, where he discusses differences between genres.

4 Leonard Meyer, Emotion and Meaning in Music, 139-140.

5 Caplin, "The 'expanded cadential progression': a category for the analysis of classical form."
Glossary

Page numbers following a definition refer to fuller treatment of that term in the text. Underlined words are defined elsewhere in this Glossary.

A, a. Timespans are referred to as A, B, C, etc.; groups, phrases, motives, etc., as a, b, c, etc.

Cadence. A conventional event on level (a); a special type of closing grouplet; most common types are: perfect authentic (PAC), imperfect authentic (IAC), and half (HC); (pp. 46-48).

Closing codetta. A type of closing section; a type of codetta; usually very short; sometimes based on the closing model, reduced (pp. 75-76, chapter 4).

Closing model. A type of codetta-complex used in the closing section; groups are aabbcc with timespans (4 + 4) + (2 + 2) + (1 + 1); (pp. 7-8, 74-75, chapter 3).

Closing section. A type of small section; ends the exposition and recapitulation; often based on the closing model which is a type of codetta-complex; uses groups (pp. 74-76).

Closing theme. The closing theme followed by the closing codetta is a type of closing section; the theme is usually a simple period (p. 76, chapter 5).

Coda. A type of small section that may occur after the recapitulation; differentiated from extensions of the closing section by intrinsic length, contrasting material, etc. (pp. 77-80).

Codetta, codetta-complex. Types of small sections, 8 to 16 bars in the case of cettas, 16 to 32 in the case of codetta-complexes, the latter comprised of more than one codetta; a codetta may be joined to the end of a theme or may be part or all of a closing section; a codetta-complex may be a more independent small section; both use groups (pp. 70-73).

Development. A type of large section; acts as contrast to the other two large sections; average length is 40 bars (p. 90).

Expanded cadential progression. The harmonic motion I\(^6\) - ii\(^6\) (or IV) - V - I that closes the subordinate theme (pp. 13-15, chapter 2 note 28).
Exposition. A type of large section; the small section units combine in the order: main theme, transition, subordinate theme, closing section; the themes are primary, the transition and closing section are subsidiary; in short expositions the subsidiary small sections may be omitted, reduced to a very short length, or combined with the respective preceding section (i.e., MT + TR, ST + CS); average length is 80 bars (pp. 81-89).

Feature. A description that attaches to a unit of structure involving some or all of melody, rhythm, harmony, etc.

Group. A 4-bar level-(b) event that includes two grouplets and is uncadenced; most events on this level fall between the two extremes of phrase and group (pp. 52-57).

Grouplet. A 2-bar event on level-(a) formed of smaller subgrouplets which are without motivic features; it is either not repeated or is repeated only in a local context (pp. 43-46).

Introduction. A type of small section that may precede the exposition and that is frequently not part of the sonata form (pp. 80-81).

Large section. A unit on level (d); one of exposition, development, or recapitulation; length varies from 40 to 100 measures (pp. 81-95).

Level. A stage of formal structure and also sometimes of metrical hierarchy, varying primarily by the length of its characteristic unit; above the undefined lowest level of notes and intervals there are five defined levels: (a) segments, (b) phrases and groups, (c) small sections, (d) large sections, and (e) movements (sonata form); (pp. 37-40).

Liquidation. Elimination of motives from material such as phrases so that they become groups and shorter units such as grouplets (pp. 29-30).

Model. An archetypal combination of features forming a norm of structure (pp. 35-38).

Motive. A 1-bar event with prominent features that is subject to repetition and variation; combines with another motive to form a motivic segment (pp. 41-43).

Motive/grouplet segment. A 2-bar event on level (a) which has some features of motives and some of grouplets (p. 45).

Motivic segment. A 2-bar event on level (a) comprised of two motives (pp. 41-43).

(1 x 3). In diagrams, this means a 1-bar unit heard three times.

Period. A type of theme featuring parallel antecedent-consequent phrase structure and timespans (4 + 4); (pp. 62-64).
Phrase. A 4-bar level-(b) event formed of a motivic segment leading to a cadence; most events on this level fall between the two extremes of phrase and group (pp. 49-52).

Recapitulation. A type of large section; repeats the exposition with at least the necessary transposition of the second-key material (the subordinate theme and closing section) to the tonic; other changes may occur; average length is 85 bars (pp. 90-95).

Retransition. A type of small section, often so short as to not be an independent section, that connects the end of the exposition to its repeat, and then to the development; or that connects the development to the recapitulation (pp. 69-70).

Segment. A level-(a) unit, normally of two bars length; the two defined extremes are the motivic segment and the grouplet; the cadence is a special type of grouplet (pp. 40-49).

Sentence. A type of theme with motivic structure such as \( aa^1 \), bbc with timespans of \( (2 + 2) + (1 + 1 + 2) \); (pp. 60-62).

Small section. A level-(c) unit; one of theme, transition, codetta, closing section, coda, or introduction; see also retransition; length varies from 8 to 40 measures (pp. 57-81).

Small ternary. A type of theme with subsections of ABA \(^1\) and timespans of \( (8 + 4 + 4) \); (pp. 64-65).

Sonata form. The level-(e) form of the entire movement; comprised of the three large sections in the order exposition, development, recapitulation (p. 95).

Theme. A type of small section; uses mainly phrases; one of sentence, period, small ternary (these are thematic models), or unique theme; see also exposition (pp. 59-67).

Timespan. A unit of hypermetric structure, usually at level (b) or (c); a frame within which events—such as phrases or groups on level (b)—move (pp. 53-57).

Transition. A type of small section either not based on a thematic model or using an extreme variant of one; uses groups and grouplets; in the exposition it modulates to or moves towards V (major mode), to III (minor mode); found between themes (pp. 67-69).

Unique theme. A theme which is not based on one of the three thematic models (sentence, period, or small ternary); (p. 66).
Bibliography


Example 1 (mm. 1-10)

Sonata for Violin and Piano in B-flat Major, K. 454: First Movement

Largo.

Violino.

Pianoforte.
Example 1 (mm. 11–24)
Example 1 (mm. 25-45)
Example 1 (mm. 46-65)
Example 1 (mm. 66-90)
Example 1 (mm. 91-114)

W. A. M. 434.
Example 1 (mm. 115-136)

W. A. M. 434.
Example 1 (mm. 137-159)
Example 2 (mm. 1-23)

Serenade in C Minor, K. 388: First Movement
Example 2 (mm. 24-52)
Example 2 (mm. 53-77)
Example 2 (mm. 78-107)
Example 2 (mm. 108-136)
Example 2 (mm. 165-191).

\[\text{Example 2 (mm. 165-191).}\]
Example 2 (mm. 216-231)
Example 3 (mm. 1–33)

Piano Sonata in B-flat Major, K. 333: First Movement: Exposition
Example 4

Symphony in C Major (Jupiter), no. 41: Third Movement: Trio (mm. 1-16)
Example 5

String Quartet in A Major, K. 464: First Movement (mm. 1-22)

Allegro.

Example 6

Piano Sonata in A Major, K. 331: First Movement (mm. 1-18)
Example 7

String Quartet in C Major, K. 465: First Movement (mm. 90-113)
Example 8 (mm. 32-58)

Piano Sonata in C Major, K. 309: First Movement
Example 8 (mm. 145-155)

Example 9

Piano Sonata in B-flat Major, K. 570: First Movement (mm. 62-85)
Example 10 (mm. 57–74)

Piano Sonata in C Minor, K. 457: First Movement
Example 10 (mm. 151-185)