

## Music 850: Sonata Theory

This is a proseminar in practical analysis, introducing the techniques, concepts, and terminology of a single methodology. Sonata Theory is a genre-based approach to analyzing sonata form and the multimovement sonata, ca. 1770-1820, and its principles are readily adaptable to sonata-based structures throughout the ensuing century. The method is grounded in a theory of *dialogical form*, entailing a consideration of hierarchies of compositional options and principles of deviation from those options. The course includes a consideration of some fundamental issues in sonata hermeneutics. Basic texts: Hepokoski-Darcy, *Elements of Sonata Theory* (2006), and several scores of Haydn, Mozart, Beethoven, and others.

### Scores:

Mozart, *Complete String Quartets* (New York: Dover, 1970)

Mozart, *Later Symphonies* (New York: Dover, 1974)

Mozart, *Piano Concertos Nos. 17-21 in Full Score* (New York: Dover, 1978)

Mozart, *Complete Sonatas and Fantasies for Solo Piano* (Mineola: Dover, 1996)

### Book:

Hepokoski, James, and Warren Darcy. *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*. New York: Oxford University Press, 2006.

### Seminar Expectations:

- Weekly preparation (analyses of assigned works); active seminar participation and consistent ability to interrelate current and prior readings and analyses.
- Weekly reading assignments from the *Elements of Sonata Theory*. You will be expected to have a close awareness of its methodologies and terminology. Regular review of past reading assignments in this book.
- Several short, skill-oriented assignments to hand in throughout the semester: exercises in phrase identification (Caplin, etc.); exercises in individual piece/score “labeling” or analyses (e.g., a photocopied score with your analytical markings); brief-analysis worksheets (Mozart Piano Sonatas and other works.), to be announced on a weekly basis.

- Additional reading of chapters and articles handed out in class or placed on reserve, to be announced. Occasionally: two to four extracts or articles (or book-chapters) may be assigned in a given week—usually printed discussions of the assigned pieces (from differing points of view) or the analytical principles involved.
- Two brief papers (Weeks 6-9) involving individual analysis of selected sonata movements. Pieces to be announced.
- Final exam. This will probably include an analytical discussion of two or three movements from the perspective Sonata Theory. The exam should demonstrate a strong familiarity with the seminar's terms, concepts, and definitions, some of which you may be asked to define.

### Seminar Schedule

This seminar is grounded in analytical issues: mostly Mozart, but also Haydn, Beethoven, and others. Most of our seminar time will be spent directly in analysis and interpretation—with score and by ear—although from time to time we shall also be discussing larger issues of methodology. The central aim is to develop the specific technique of sonata analysis proposed by Sonata Theory.

In general, we shall proceed from an initial overview of expositions, exposition-types, and the differences involved with major- and minor-mode sonata analysis. Theories of rotation, development, recapitulation, and codas—as well as an investigation of different “sonata types,” deformations, and multimovement shapes—will emerge throughout the seminar but will be of special concern in the second half.

Normally, we shall be looking at from two to four movements during each seminar session. We shall sometimes also prepare for seminar sessions by investigating what others have written about the movements in question.

### Compositions to be Considered in the Seminar Meetings: Initial Plan

**(We shall make our way through the list as time permits.  
Additions, deletions, reorderings, sudden inspirations, or other alterations  
may be made—indeed, almost surely will be made—as the seminar proceeds.  
Individual moments from other pieces will also be considered, including  
a few for your analytical “labeling” or worksheet assignments.)**

Mozart, Quartet in F, K. 168, first movement

Mozart, Symphony No. 30 in D, K. 202, first movement

Mozart, Quartet in E-flat, K. 160, first movement

Mozart, Symphony No. 28 in C, K. 200, first movement

Mozart, Quartet in B-flat, K. 172, first movement

Mozart, Piano Sonata in B-flat, K. 333, first movement

Mozart, Piano Sonata in F, K. 332, first movement

Mozart, Quartet in G, K. 387, first movement

Mozart, Symphony No. 40 in G minor, K. 550, first movement and finale.

Beethoven, Violin Sonata in F, op. 24 (“Spring”), first movement

Beethoven, String Quartet in C Minor, op. 18 no. 4, first movement

Beethoven, Piano Sonata in C, op. 2 no. 3, first movement

Beethoven, Piano Sonata in F, op. 10 no. 2, first movement

Haydn, Quartet in B minor, op. 33 no. 1, finale

Haydn, Quartet in E-flat, op. 33 no. 2, first movement

Mozart, Quartet in B-flat, K. 458, first movement

Mozart, Quartet in D Minor, K. 421, first movement

Haydn, Symphony No. 44 in E Minor, first movement and finale

Mozart, Symphony No. 39 in E-flat, K. 543, first movement and finale

The Type 2 Sonata Group:

C. P. E. Bach, Keyboard Sonata No. 1 in F (“Prussian”), finale

Mozart, Symphony “No. 1” in E-flat, K. 16, first movement

Mozart, Symphony “No. 6” in F, K. 43, first movement

Mozart, Symphony “No. 5” in B-flat, K. 22, first movement

Mozart, Symphony “No. 4” in D, K. 19, first movement

Mozart, Quartet in D, K. 155, slow movement (in A)

Mozart, Violin Sonata in D, K. 306, first movement

Mozart, Piano Sonata in D, K. 311, first movement

Mozart, Quartet in G, K. 387, finale

Mozart, Symphony No. 41 in C, K. 551 (“Jupiter”), first movement (if time) and finale

Mozart, Symphony No. 38 in D (“Prague”), first movement

Mozart, Piano Concerto No. 17 in G, K. 453, first movement.

Mozart, Piano Concerto No. 20 in D Minor, K. 466, first movement

Mozart, Piano Concerto No. 21 in C, K. 467, first and second movements

**Selected Bibliography**  
**(Principal Sources of the Reading Assignments:**  
**within the books we shall be concerned only with selected pages.)**

- Allanbrook, Wye J. "Two Threads through the Labyrinth: Topic and Process in the First Movements of K. 332 and K. 333." In Allanbrook, Janet M. Levy, and William P. Mahrt, eds., *Convention in Eighteenth- and Nineteenth-Century Music: Essays in Honor of Leonard G. Ratner*. Stuyvesant, NY: Pendragon, 1992. Pp. 125-171.
- Caplin, William E. "The Classical Cadence: Conceptions and Misconceptions." *Journal of the American Musicological Society* 57 (2004), 51-117.
- Caplin, William E. *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*. New York: Oxford University Press, 1998. Esp. Chs. 3-5 [sentences, periods, hybrids], pp. 35-69.
- Darcy, Warren. "Guidelines for Analysis: Phrase, Period, and Sentence Structure." Unpublished typescript, rev. August 2006.
- Grayson, David. *Mozart: Piano Concertos No. 20 in D Minor, K. 466, and No. 21 in C Major, K. 467*. Cambridge: Cambridge University Press, 1998.
- Hepokoski, James. "The Caplin Classifications: Period, Sentence, Hybrid." Unpublished typescript, rev. September 2006.
- Hepokoski, James and Warren Darcy. *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*. New York: Oxford University Press, forthcoming.
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- Irving, John. *Mozart's Piano Sonatas: Contexts, Sources, Style*. Cambridge: Cambridge University Press, 1997.
- Irving, John. *Mozart: The "Haydn" Quartets*. Cambridge: Cambridge University Press, 1998. (Selected analyses.)
- Keller, Hans. "The Chamber Music." In *The Mozart Companion*, edited by H. C. Robbins Landon and Donald Mitchell. New York: Norton, 1956. Pp. 90-137 [Remarks on selected quartets].
- Kerman, Joseph. *The Beethoven Quartets*. New York: Norton, 1966. Pp. 65-71 (on op. 18 no. 4).
- Koch, Heinrich Christoph. *Introductory Essay on Composition: The Mechanical Rules of Melody, Sections 3 and 4*. Trans. Nancy Kovaleff Baker. New Haven: Yale University Press, 1983.
- Koch, Heinrich Christoph. *Versuch einer Anleitung zur Composition* [1793]. Reprint, Hildesheim: Georg Olms, 1969).

- Lockwood, Lewis. *Beethoven: The Music and the Life*. New York: Norton, 2003. (Selections, selected analytical discussions.)
- Newman, William S. *The Sonata in the Classic Era*. New York: Norton, 1963, revised edition, 1972.
- Ratner, Leonard G. *Classic Music: Expression, Form, and Style*. New York: Schirmer, 1980.
- Ratner, Leonard G. "Harmonic Aspects of Classic Form." *Journal of the American Musicological Society* 11 (1949): 159-68.
- Rosen, Charles. *The Classical Style: Haydn, Mozart, Beethoven*. New York: Norton, 1971-72, revised ed. 1997. (Selections, selected analytical discussions.)
- Rosen, Charles. *Sonata Forms*, revised edition. New York: Norton, 1988. (Selections, selected analytical discussions.)
- Schenker, Heinrich. *Free Composition*, edited and translated by Ernst Oster. New York: Longman, 1979. Originally published as *Der Freie Satz* (Vienna, 1935).
- Sisman, Elaine. "Genre, Gesture, and Meaning in Mozart's 'Prague' Symphony." In *Mozart Studies* 2, ed. Cliff Eisen, 27-84. Oxford: Clarendon Press, 1997.
- Sisman, Elaine. "Learned Style and the Rhetoric of the Sublime in the 'Jupiter' Symphony." In Stanley Sadie, ed., *Wolfgang Amadè Mozart: Essays on His Life and His Music*. New York: Oxford, 1996. Pp. 213-38.
- Sisman, Elaine. *Mozart: The "Jupiter" Symphony*. Cambridge: Cambridge University Press, 1993.
- Schoenberg, Arnold. *Fundamentals of Musical Composition*, edited by Gerald Strang and Leonard Stein. London: Faber, 1967.
- Webster, James. *Haydn's "Farewell" Symphony and the Idea of Classical Style: Through-Composition and Cyclic Integration in His Instrumental Music*. Cambridge: Cambridge University Press, 1991.
- Webster, James. "Sonata Form." *The New Grove Dictionary of Music and Musicians*. 2nd edition, edited by Stanley Sadie and John Tyrell, 23: 687-701. London: Macmillan, 2001.
- Zaslaw, Neal. *Mozart's Symphonies: Context, Performance Practice, Reception*. Oxford: Oxford University Press, 1989.