

Music 625: Sonata Theory

This is a proseminar in practical analysis, introducing the techniques, concepts, and terminology of a single methodology. While Sonata Theory is a genre-based approach to analyzing sonata form and the multimovement sonata, ca. 1770-1820, 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. 17-22 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.

Other reading will be required, to be provided on v2:

William E. Caplin, James Hepokoski, and James Webster, *Musical Form, Forms & Formenlehre: Three Methodological Reflections*

*Material from published and unpublished debates surrounding a few key issues in Sonata Theory (continuous expositions; secondary themes, etc.). See the Selected Bibliography, with potential readings marked with an * (Caplin, Hepokoski, Richards).

A few other form-oriented articles, as seems appropriate ().

Seminar Expectations

- Weekly preparation (analyses of assigned works)
- Active seminar participation and consistent ability to interrelate current and prior readings and analyses. Again: participation in seminar conversation is a central requirement.
- 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.
- A few 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 made available on v2, 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 an assigned sonata movements. Pieces to be announced.
- Either a final exam or a final paper will be required, to be determined. If it is an exam, it will probably include an analytical discussion of an individual movement or piece 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. If it is a paper, it will be an extended, Sonata-Theory-based analysis of a sonata-oriented piece (probably from the nineteenth century) of your choice.

Seminar Schedule

This seminar is grounded in analytical issues: mostly Mozart, but also Haydn, Beethoven, Schubert, 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—as well as practicing and demonstrating ways in which Sonata Theory may be introduced in the classroom.

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 three 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 considered in the seminar meetings: initial plan

(We shall make our selections from this list—and approximately in this order—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.)

Initial Pieces: Introduction to Sonata-Theory Basics (Weeks 1-2)

Mozart, Quartet in F, K. 168, first movement
Mozart, Symphony No. 30 in D, K. 202, first movement
Mozart, Symphony No. 28 in C, K. 200, first movement
Mozart, Quartet in E-flat, K. 160, first movement
Mozart, Quartet in B-flat, K. 172, first movement

Later Works, post-1781

Mozart, Piano Sonata in B-flat, K. 333, first movement
Mozart, Piano Sonata in F, K. 332, first movement
Mozart, Symphony No. 35 in D, “Haffner,” K. 385/ii and iv (slow movement and finale)
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 (“Hunt”), first movement

Continuous-Exposition Debates (reading: Caplin, Richards, Hepokoski)

Haydn, Piano Sonata in E-flat, Hob. XVI: 52, first movement

Haydn, Symphony No. 45 in F-sharp Minor (“Farewell”), first movement

Mozart, Quartet in B-flat, K. 589, first movement

Haydn, Symphony No. 103 in E-flat Major, first movement

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

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

Beethoven, Piano Sonata in C Minor, op. 31 no. 2/i (“Tempest”)

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

Schubert, String Quartet in D Minor, D. 810, first movement

Schubert, String Quartet in G, D. 887, first movement

Schubert, “Quartettsatz” in C Minor, D. 703.

(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

Possible: analysis of one or two later nineteenth-century works.

Selected Bibliography
(Principal Sources of the Reading Assignments—especially those marked *:
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.
- *Karol Berger, "Toward a History of Hearing: The Classic Concerto, A Sample Case," in Wye J. 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 Press, 1992, pp. 405-29.
- *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.
- *Caplin, William E. "The 'Continuous Exposition' and the Concept of Subordinate Theme." Delivered paper, SMT, 2011.
- *Caplin, William E., James Hepokoski, and James Webster, *Musical Form, Form & Formenlehre: Three Methodological Reflections*. Ed. Pieter Bergé. Leuven, Belgium: University Press Leuven, 2009 (USA distribution, Ithaca: Cornell University Press).
- Darcy, Warren. "Guidelines for Analysis: Phrase, Period, and Sentence Structure." Unpublished typescript, rev. August 2006.
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- *Hepokoski, James. "'Approaching the First Movement of Beethoven's *Tempest* Sonata through Sonata Theory.'" In Pieter Bergé, ed., *Beethoven's Tempest Sonata: Perspectives of Analysis and Performance*. Leuven: Peeters, 2009. Pp. 181-212.
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- *Hepokoski, James. "Formal Process, Sonata Theory, and the First Movement of Beethoven's *Tempest* Sonata." *Music Theory Online*, vol. 16 no. 2 (May/June 2010), accessible at: <http://mto.societymusictheory.org/issues/mto.10.16.2/mto.10.16.2.hepokoski.html>
- *Hepokoski, James. "Monumentality and Formal Processes in the First Movement of Brahms's Piano Concerto No. 1 in D Minor, op. 15." In *Expressive Intersections in Brahms: Essays in Analysis and Meaning*. Ed Heather Platt and Peter H. Smith. Bloomington: Indiana University Press, 2012. Pp. 217-51.
- Irving, John. *Mozart's Piano Concertos*. Aldershot: Ashgate, 2003.
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- 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.
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- *Sisman, Elaine. "Genre, Gesture, and Meaning in Mozart's 'Prague' Symphony." In *Mozart Studies* 2, ed. Cliff Eisen, 27–84. Oxford: Clarendon Press, 1997.
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