

Back and Forth from *Egmont*: Beethoven, Mozart, and the Nonresolving Recapitulation

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In a world of contending analytical systems, several of which have settled into the comforts of orthodoxy, what does it mean to confront formal structures adequately? At times it can be a matter of finding a fresh perspective that encourages us to ask questions that might otherwise be overlooked, neutralized, or dismissed within current paradigms. What would it require to seek a different perspective, to proceed from a new site of questioning?

In what follows I shall glance at a few ideas that we might use in sonata-form analysis—to suggest some features of a perhaps unaccustomed mode of thinking about this topic. Along the way this may entail some unfamiliar concepts, terms, and definitions, all of which are basic to the analytical and interpretational method that I call Sonata Theory. Laying out the justification for each concept would be a different enterprise altogether, requiring many separate discussions. And in any event, that aspect of the project is carried out elsewhere.¹

¹James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, forthcoming). *Elements of Sonata Theory* takes up

My plan here is less ambitious. I shall merely call attention to some elementary analytical points about a few works of Beethoven and of Mozart and inquire into their ramifications for a more productive hermeneutics. This article is primarily neither about Beethoven and Mozart nor about the analyses themselves. Instead, it is an exercise in a way of framing questions, of pursuing implications, of registering the provocative corollaries that even simple observations can generate.

My point of departure—the initial elementary observation—is noticing the curiosity, in

in more detail each aspect of the terminology and style of the hermeneutics that underpin this article. Put another way, my goal here cannot be to derive this system but only, within certain limitations, to demonstrate the methodology in action. Thus I hope to suggest some of the practical results to which it leads and to refer readers to the more elaborate discussions of the basic principles that will soon appear in the *Elements of Sonata Theory*. I should perhaps mention two additional points. First, while there are points of contact between the present article and the forthcoming book, this article, taking up a central issue and several examples in more detail, is not an extract from the latter. Second, this essay was conceived as one of a complementary pair of articles. Its sibling is “Beyond the Sonata Principle,” *Journal of the American Musicological Society* 55 (2002), 91–154.

some sonata-form compositions, of what I call the nonresolving recapitulation. The term is not self-explanatory. From the outset we have to think about definitions. This use of the word recapitulation refers to what I distinguish as the *rhetorical recapitulation*, a stretch of compositional space normatively recognizable as by and large symmetrical in layout to the exposition-pattern, its thematic and textural model. (It is sometimes useful to distinguish this rhetorical recapitulation, a matter of thematic-modular arrangement, from the completion of the linear-tonal argument—a *tonal resolution*—which may be understood to concern itself with harmonic matters.) Although a range of recapitulatory deviations from the referential pattern are possible—deletions, reorderings, telescoping, expansions, recompositions of individual sections—within customary practice expositions and rhetorical recapitulations are usually kept roughly commensurate with each other. In a *nonresolving* recapitulation the composer has crafted this rhetorical recapitulatory revisiting, or new *rotation*,² of previously ordered expositional materials to convey the impression that it “fails” to accomplish its addi-

²By a rotational process I mean an ordered arrangement of diverse thematic modules that is subjected to a (usually varied or altered) recycling, or several recyclings, later on in the work. Expositions thus provide an ordered, referential rotation through a set of materials that is recycled, with alterations, in the recapitulatory rotation. In the decades around 1800 developments may also be fully or partially rotational (including the possibility of half-rotations, blocked rotations, and the like), although nonrotational developments are also a possibility. The concept is elaborated further in Hepokoski and Darcy, *Elements of Sonata Theory*, which also includes a discussion of the utility of the specific term, “rotation.” For considerations of rotations a century later, see Hepokoski, *Sibelius: Symphony No. 5* (Cambridge: Cambridge University Press, 1993), pp. 23–26, 58–84; “The Essence of Sibelius: Creation Myths and Rotational Cycles in *Luonnotar*,” in *The Sibelius Companion*, ed. Glenda Dawn Goss (Westport: Greenwood, 1996), pp. 121–46; and “Rotations, Sketches, and [Sibelius’s] Sixth Symphony,” *Sibelius Studies*, ed. Timothy L. Jackson and Veijo Murtomäki (Cambridge: Cambridge University Press, 2001), pp. 322–51. See also Darcy, “The Metaphysics of Annihilation: Wagner, Schopenhauer, and the Ending of the *Ring*,” *Music Theory Spectrum* 16 (1994), 1–40; “Bruckner’s Sonata Deformations,” in *Bruckner Studies*, ed. Timothy L. Jackson and Paul Hawkshaw (Cambridge: Cambridge University Press, 1997), pp. 256–77; and “Rotational Form, Teleological Genesis, and Fantasy-Projection in the Slow Movement of Mahler’s Sixth Symphony,” this journal 25 (2001), 49–74.

tional generic mission of tonal closure. Rare in the decades around 1800, this phenomenon is easy to identify, but the conceptual and interpretive problems swirling around it are numerous and challenging.

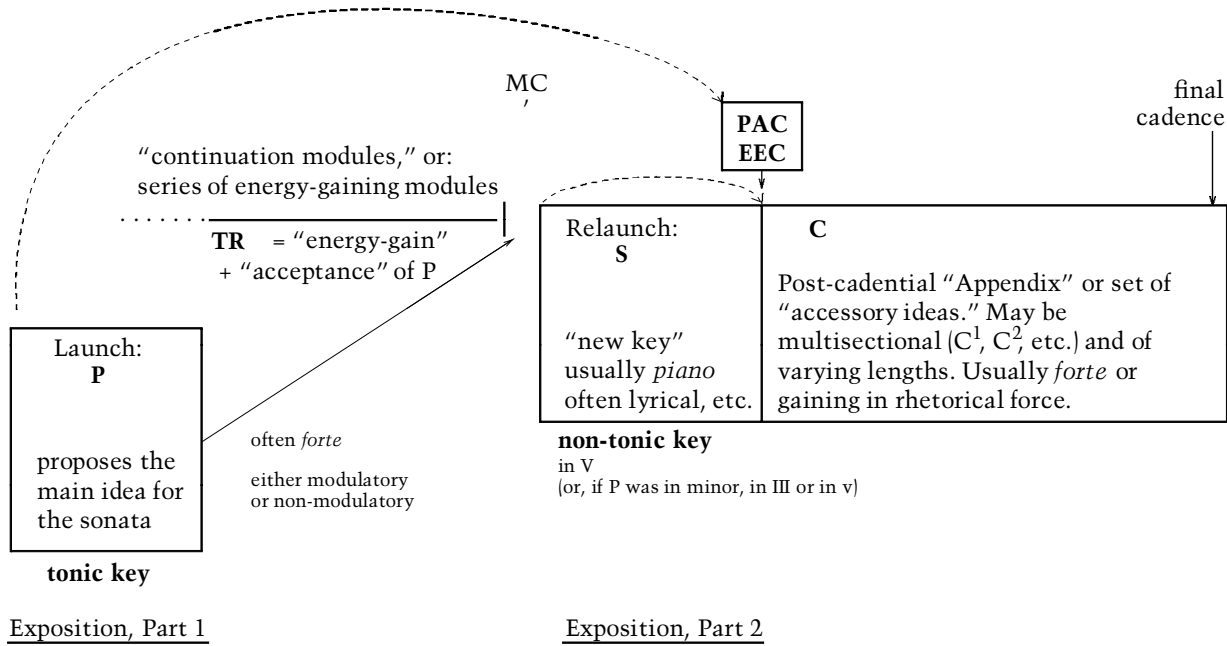
THE OVERTURE TO *EGMONT*: NONRESOLUTION, DEFERRAL, AND POST-SONATA ATTAINMENT

We may begin by reminding ourselves of what is surely the *locus classicus* of the nonresolving recapitulation: Beethoven’s *Egmont* Overture, op. 84 (1810). Here the exposition’s tonal plan is regular, moving from minor $\bar{6}$ to major III for the secondary theme (from F minor to A \flat major). Moreover, the secondary theme’s generic goal, like that of all secondary themes of this period, is to secure a perfect authentic cadence in the new key—to produce what I call the point of *essential expositional closure* (the EEC). I understand the EEC as the first satisfactory perfect authentic cadence in the subordinate key that proceeds onward to differing material. (Demonstrating what is meant by satisfactory would lead us astray here. This is a complicated and fundamental issue within Sonata Theory.) For now, we need only observe that its corresponding moment in the recapitulation is the point of *essential structural closure*, the ESC. This is expected to be a perfect authentic cadence in the tonic, thus completing the *essential structural trajectory* of the musical process at hand. In other words, the ESC marks the attainment of a resolving recapitulation, one with a satisfactory articulation of closure in the tonic. The outlines of this are indicated in the diagrams in fig. 1a–b, which provide an overview of the generalized conception of sonata form under the paradigm of Sonata Theory. (P, TR, S, and C stand for primary theme, transition, secondary theme, and closing theme; MC stands for the medial caesura [the frequent midexpositional, cadential break in a two-part exposition]; PAC stands for a perfect authentic cadence.)³

³For the MC and two-part exposition, see Hepokoski and Darcy, “The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition,” *Music Theory Spectrum* 19 (1997), 115–54. For considerations of the additional concepts, see Hepokoski and Darcy, *Elements of Sonata Theory*, from which figs. 1a–b are taken.

a. Exposition only

Essential Expositional Trajectory (to the EEC)



b. The entire structure

Essential Sonata Trajectory (to the ESC)

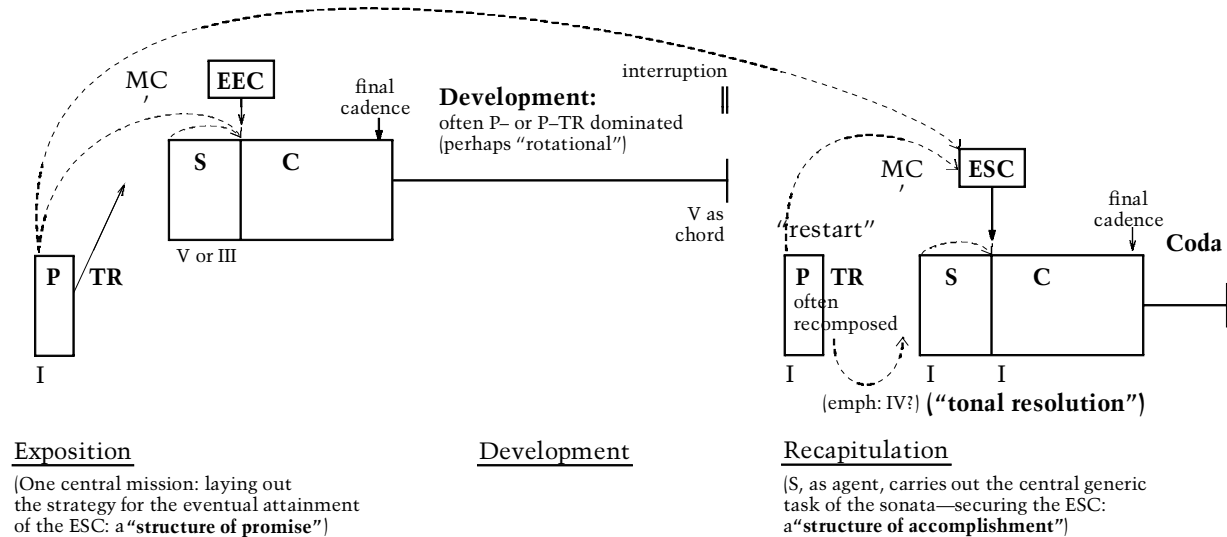


Figure 1a–b: The Generic Layout of Sonata Form (Exposition and Entire Movement).

In the exposition of the F-Minor *Egmont* Overture the EEC is produced unequivocally with a perfect authentic cadence in III (A♭ major) in m. 104. (Example 1, only a melodic line, provides an *aide-mémoire*.) Following generic expectation, one anticipates, even within a quasi-programmatic overture of that period, that in the recapitulation the secondary theme will return and resolve in the tonic, producing an ESC in either a victorious F major or a tragic F minor that is reinforced by a brief closing zone in the same key. But this does not happen. In the first half of the recapitulatory space the drive to the medial caesura is derailed onto a suddenly asserted D♭ major (VI, m. 207: see ex. 2), soon proceeding to a prolonged dominant chord of the same key, mm. 217–24 (with MC at m. 224). Consequently, the secondary theme, merely transposed from the exposition—as is typical—is articulated not in the expected tonic, F major, but rather in the submediant, D♭ major. It is in this “wrong key” that the rhetorical cadential substitute for the ESC is made to occur (m. 247). This perfect authentic cadence in VI is confirmed by a similar D♭-major closing zone—a transposition of the original twelve measures from the exposition. This closing theme brings the rhetorical recapitulation to a cadential and emphatically major-mode end, though a tonally displaced one, in m. 259. In sum, the recapitulatory rotation has not produced a tonal resolution. All of its closures are in a “false” VI, D♭ major, not in the “true” tonic, F. This produces one type of nonresolving recapitulation.

So much might seem self-evident—but even here we might pause to underscore the point and to anticipate one or two possible cautionary or critical replies. Within this repertory the crucial tonal factor, rendered effectively obligatory by decades of precedents, is recapitulatory resolution in the tonic. To my observation about the nonresolution in *Egmont*, though, one might imagine a caveat suggesting that since the exposition’s A♭ and the recapitulation’s D♭ are related by fifth-transposition, this would suffice to produce at least some type of satisfactory balance, both because fifth-relations with the exposition at this point of the composition are common within sonata forms and because there are a few celebrated precedents in

Beethoven for answering expositional mediant with recapitulatory submediants (most notably, in the Piano Sonatas in G, op. 31, no. 1, movt. I; and C, op. 53, movt. I).

To this objection, however familiar or commonsensical it might initially seem, one can propose several interrelated lines of response, which are perhaps necessary only to touch on here. The first point to recognize is that the most often-cited Beethovenian precedents (pre-*Egmont*) for such fifth-relations between expositional mediant and recapitulatory submediant occur in *major*-mode compositions (where an expositional choice of iii or III for the secondary theme would be unusual), not in minor-mode ones. When such a recapitulatory submediant “balance”—if that is in fact what it is—is furnished in these major-mode precedents, the recapitulatory VI, unlike the expositional III, is usually ephemeral, incapable of sustaining itself at length. Very soon after it begins, the submediant-inflected secondary-theme area self-corrects to the tonic to resolve properly (that is, to produce a normative, tonic ESC). This may involve a backing-up to rebegin the entire, “improperly launched” S-theme in the tonic (as in op. 31, no. 1, movt. I) or an almost immediate tonal correction en route within the S-theme itself (as in op. 53, movt. I).⁴ In other words, from an only slightly adjusted standpoint the perceived tonal balance

⁴A related situation occurs when the second half of an exposition, grounded essentially in the “proper” key, the dominant in major-mode expositions, contains an interior passage that momentarily tonicizes a contrasting key (not necessarily a mediant) only to return to the more standard key to conclude the passage in question. Normally, toward the end of the movement, the fifth-transposition that governs the shift from the expositional V to the recapitulatory I will also—as a matter of course—control any fleeting interior “escape” to the contrasting key. The first movement of Beethoven’s String Quartet in D, op. 18, no. 3, for example, arrives at an A major (V) perfect authentic cadence in m. 57, but slips ephemerally into C major (locally, ♯III of A) in mm. 68–71—shortly thereafter returning to A minor (mm. 72–75) and A major (m. 76). In the recapitulation’s fifth-transposition the corresponding key that is briefly alluded to, of course, is F major (♯III of D), mm. 199–202. (Here I avoid the term “secondary theme” because this exposition is better interpreted as a provocative instance of the second type of continuous exposition, lacking a proper medial caesura and secondary theme—a structural and expressive issue whose explication would require too much space in the present context. See, however, n. 23 below along with its related passage in the text.)

Example 1: Beethoven, Overture to *Egmont*, op. 84, mm. 82–116 (single voice line only).

Example 2: Beethoven, Overture to *Egmont*, op. 84, mm. 205–28 (single voice line only).

in these cases might be more accurately construed as a complementary recapitulatory feint—something soon amended—that recalls or acknowledges the non-normative key planted in the parallel passage of the exposition. It may be the *nonsustainable* aspect of the recapitulatory submediant, not its fleeting appearance, that is the main point.⁵

Moreover, as a general claim or summation of “common wisdom” about sonatas, it is not true, as Charles Rosen has recently asserted,

⁵Thus in their incompleteness—or when not followed up with a more precise description of the situation at hand—one might find blunt statements of the type encountered, e.g., in Charles Rosen, *The Romantic Generation* (Cambridge, Mass.: Harvard University Press, 1995), p. 244, to be insufficient: “In the *Waldstein* Sonata, in C major, the E major mediant of the exposition is balanced by the submediant A major/minor in the recapitulation. In the Sonata for Piano in G Major, op. 31, no. 1, the second group in the mediant B major returns in the submediant E major.” Compare n. 6 below.

that “Beethoven *invariably* balances a mediant in the exposition with a submediant in the recapitulation” (italics mine).⁶ This is not the

⁶Rosen, “Schubert’s Inflections of Classical Form,” in *The Cambridge Companion to Schubert*, ed. Christopher H. Gibbs (Cambridge: Cambridge University Press, 1997), p. 87. One presumes that Rosen’s initial impulse, in this context (a discussion of tonal issues in Schubert’s “Grand Duo” in C, D. 812, movt. I), was to refer primarily to major-mode sonata-form examples, since the number of self-evident minor-mode sonata-form contradictions to the claim is vast (as is mentioned in my subsequent paragraph below in the text). And yet, following references to op. 31, no. 1, and op. 53, Rosen sought to include a number of minor-mode “late-style” examples of this, some of which, as it happens, were inaccurate.

Additionally, Rosen suggested—with slightly more detail, perhaps, in *The Romantic Generation*, p. 244, directly following the statements cited in n. 5 above—that “in the E flat-Major Quartet, op. 127 [first movement], the mediant G major is balanced later by submediant C major.” The problematic element finessed in this claim (concealed under the general word, “later”) is that the presumed balance occurs in fundamentally different parts of the rotational

case, for instance, with the C-Major Overture, *Leonore 3* (1806), whose expositional S-theme in E major (III) is recapitulated intact, more or less as a direct transposition (including some transient internal sequences), down a major third, in C. And although the very concept of a recapitulation is problematized in its C-major predecessor, *Leonore 2* (1805), we may at least observe that no submediant balance for the exposition's secondary-theme mediant is provided in the final third of the composition (say, mm. 348 [C minor]–530): the closest approximation comes with the E \flat trumpet-calls (unrelated to the secondary theme), mm. 392–441, a flat-mediant “breakthrough” parenthesis within the form. In short, even in major-mode sonata forms of this period not all expositional mediant call forth recapitulatory submediants in the complementary passages. And when they do not, we do not criticize these works as flawed or unbalanced.⁷

layout. The exposition's secondary theme, in the mediant (m. 41), returns intact in the tonic in the recapitulation (m. 207), a situation unlike that in op. 31, no. 1, movt. I and op. 53, movt. I. The cited C-major element surfaces (and is nonsustainable) only considerably earlier and with reference to another theme altogether, at m. 135, *Maestoso* (the onset of the third rotation of basic materials). Among the obvious questions to be raised are: how can tonal “balances” occur in radically different parts of a rotational layout?; how can recapitulatory, pre-medial-caesura tonal moves “balance” expositional, post-medial-caesura keys?; why are the specific thematic or textural statements that underpin these “balances”—and their assigned positions within the general layout—utterly irrelevant to these tonal generalizations?

⁷Also instructive is the perhaps related procedure found in the first movement of the String Quintet in C, op. 29. Here the exposition (mm. 1–93), non-normatively, moves from an initial I (C major) to the *submediant*, VI and vi (A major, A minor). (At this point one might recall Rosen's assertion in *The Romantic Generation*, p. 240: “One should, I suppose, make basic distinctions among these third relationships: major and minor mediant, flatted mediant, submediant, and flatted submediant. . . . But Beethoven employs all of these in similar fashion.”) The recapitulation of op. 29, movt. I, presents the corresponding S–C portion (which, like the exposition, includes a fleetingly local tonal “escape” to a related flat-key shortly into the passage) up a third, in C major-minor-major throughout, albeit with expansions and other rhetorical complications at its end, none of which are directly related to tonal choice. Thus in this recapitulation, as would be the case in *Leonore 3*, Beethoven provides not the slightest hint of any lower- (or upper-) fifth-based balance or compensation for the unusual S-and-C key in the exposition. One may conclude that within this repertory what we might regard today as compensatory fifth-balances in

With this in mind, we may return the “fifth-transposition” discussion to minor-mode sonata-form practice, perhaps more immediately relevant to the F-Minor *Egmont*. And here the central point is this: *minor-mode* expositions with secondary and closing themes in III (that is, most minor-mode expositions) do not normally provide such a “balancing” submediant at the corresponding points in the recapitulation. Instead, the recapitulatory S and C almost always appear only in the tonic—that is, down a *third* from the exposition. As a result, minor-mode sonatas moving to the mediant in their expositions are not primarily under the sway of the fifth-transposition guideline more properly encountered as normative practice in those major-mode works (or minor-mode works) that move to the dominant in their expositions. To be sure, any nontonic fifth-transposition that does occur in a minor-mode sonata form (such as the A \flat –D \flat relation in *Egmont*) provides a symmetrical tonal logic that is instantly comprehensible as a musical procedure. When such symmetries do occur (and again, they need not do so), they may also be interpreted as *alluding* to the tonal satisfactions normatively obtained through the usual fifth-conventions of major-mode practice. But there is no reason to suppose that the situation must be interpreted that way, nor that the resulting structure is somehow rendered satisfactory solely on the basis of this hypothetical allusion. In other words, a musical configuration may be in some respects rhetorically balanced while still falling short of basic expectations in other generic areas. And that “falling short” might be the larger, more troubling point of the composition. Here and elsewhere, the problem-ridden fifth-relation argument alone does not provide an adequate explanation for what happens in *Egmont*. Indeed, invoking it only leads to more conceptual uncertainties. In this piece the rhetorical reca-

certain recapitulations were optional features. In other words, when they do appear, they are surely important and worthy of our hermeneutic attention, but they seem not to have responded to what we might imagine to be Beethoven's keen sense “in general” about the acute need to provide such a recapitulatory balance. (Compare also the recapitulatory tonic-treatment of the originally submediant secondary theme in the first movement of the “Archduke” Piano Trio in B \flat , op. 97.)

pitulation, however balanced, is most profitably regarded as nonresolving.

Nor is this the place to enter at length into a quite differing discussion, perhaps occurring to current neo-Riemannian or transformation theorists, concerning the degree to which the recapitulation's $D\flat$ within S and C may be seen as something of a workable substitute or proxy for the more normative F-minor tonic (and indeed, as a sonority prepared by earlier appearances of $D\flat$ major within the overture, as in mm. 15–17 of the introduction). Inflecting the pitch C of an F-minor triad up a half step to $D\flat$ —one type of 5–6 shift that is sometimes now referred to as the “L” relation for *Leittonwechsel*—would produce a $D\flat$ triad, which could be stabilized by being reconfigured into root position. In Richard Cohn's terms, F minor and $D\flat$ major are thereby hexatonically (and “smoothly”) related as “adjacent harmonies” on a cycle of triads based on voice-leading efficiency. One could thus envision an argument suggesting that the Overture to *Egmont* might be more preoccupied with laying out equivalences within hexatonic fields or cycles rather than relying on a perhaps overly restrictive tonic resolution per se.⁸ Such a proposition can hardly be regarded as irrelevant (even though such claims are typically more fruitful when applied to a more chromatically saturated music later

⁸See, e.g., Richard L. Cohn, “Maximally Smooth Cycles, Hexatonic Systems, and the Analysis of Late-Romantic Triadic Progressions,” *Music Analysis* 15 (1996), 9–40; Cohn, “As Wonderful as Star Clusters: Instruments for Gazing at Tonality in Schubert,” this journal 22 (1999), 213–32, and the entire issue of *Journal of Music Theory* 42 (1998), devoted to Neo-Riemannian theory. The transformation-labels “L” (*Leittonwechsel*, or “leading-tone exchange”), “P” (parallel), and “R” (relative), a development of earlier work by David Lewin, were proposed by Brian Hyer, *Tonal Intuitions in Tristan und Isolde* (Ph.D. Diss., Yale University, 1989); and presented in a formal publication in Hyer, “Reimag(in)ing Riemann,” *Journal of Music Theory* 39 (1995), 101–38. The suggestion of potential tonal substitutions and tonal representations “by proxy” (p. 228) is most clearly anticipated in Cohn, “As Wonderful as Star Clusters,” e.g., p. 231: “My thesis [concerning the first movement of Schubert's B \flat Piano Sonata, D. 960] . . . is that efficient voice leading, emphasizing semitonal displacement, furnishes a context in which to understand nineteenth-century triadic progressions that are not adequately reconcilable to diatonic tonality. . . . Diatonic tonality and voice-leading proximity are equivalently systematic ways of interpreting harmonic relations.” Compare n. 17 below.

in the century). Nevertheless, once again, given the early-nineteenth-century context it would surely be preferable to suppose that Beethoven was working most fundamentally within sonata-generic guidelines firmly established by precedent and resolutely diatonic (and thereby invoking the tonic/nontonic binary) in their expected practice.

Taking the more obvious interpretive course, by regarding the overture as purposefully displaying a generically transgressive tonal path, one of nonresolution, also leads to more rewarding hermeneutic observations. The theatrical implication—sonata-process as metaphor—could not be clearer. Just as in Goethe's play, the hero and political martyr, the Flemish Count Egmont, fell short of the immediate ideal of liberating the Netherlands from Spain, so too the sonata-space of Beethoven's overture replicated that lack of success in the purely musical terms of a nonresolving recapitulation. Similarly, just as Count Egmont's impending execution at the end of the play—the sign of his apparent failure within his own sphere of time and action—was in the long run to be the igniter of utopian consequences (as we learn from his famous last-moment prison-speech foretelling the uprising of the people), so too, the “sonata-failure” in the overture's recapitulatory space functions as the musical precondition for the work's tonal resolution *outside* of sonata-space, namely, in the coda.⁹

And what happens, of course, is well known. Following the rhetorical recapitulation, a short, S-based in-tempo link (mm. 259–86) begins a *dénouement*-appendix interpretable as including a reference to Egmont's execution (m. 278).¹⁰

⁹Compare the similar remarks in Martha Calhoun, “Music as Subversive Text: Beethoven, Goethe and the Overture to *Egmont*,” *Mosaic* 20 (1987), 43–56 (esp. pp. 50–51).
¹⁰Calhoun, “Music as Subversive Text,” pp. 50–51, lays out the allusive options: “The break [the first fermata, m. 278] could represent Klärchen's death, the quasi-chorale [mm. 279–86, leading to the second fermata on V], the apparition to Egmont of Freedom in the form of Klärchen, and the Symphony of Victory [mm. 287ff.], Egmont bravely mounting the scaffold to die as an example. Or, the [first] break could represent Egmont losing his head; the religious music intones a eulogy or apotheosis, while the coda celebrates the eventual victory of the Netherlands. While the first interpretation seems more in line with Goethe's *Egmont*, the second agrees more closely with what we know of Beethoven's vision of the play. Still, both play out

This link shows us that the recapitulation's concluding D \flat major was, in the long run, a mere upper neighbor to V of F (fully secured in mm. 285–86, under an expectant fermata), the dominant precondition for real tonal resolution. And on that V of F is ushered in the utopian coda proper, the *Siegessymphonie* (Victory Symphony) in F major (mm. 287ff., Allegro con brio)—probably triggering a dramatic shift from the local struggles of present time to an ideally projected future—with a rapidly gathering rush from *pianissimo* to *fortissimo*. Only here is the overture's initial F minor both resolved and overturned in jubilant F-major cadences.

Thus the self-evident analytical observation: a nonresolving recapitulation defers closure beyond rhetorical sonata-space into a functionally enhanced coda. Rhetorical structures and tonal structures do not coincide. But this observation opens the door onto a thicket of related reflections. Confronting the historical state of the genre “sonata form,” for instance—how its component spaces emerged historically—means confronting the distinction between closure accomplished inside the rhetorical recapitulation (always a generically obligatory space within a sonata, one whose express task was to deliver that closure) and closure deferred to a rhetorical coda (an optional, not-sonata accretion that had arisen to serve a variety of grounding functions, though not this one of functional resolution). In terms of its generic history a coda existed to interact on its own terms with the completed essential action of the preceding sonata form—extending, confirming, celebrating, reacting, and so on. Although codas were increasingly placed in provocative juxtapositions with the sonata, as rhetorically extra spaces they were paragenetic surpluses not to be mistaken for the essential action itself.

Such a realization raises the question of whether a paragenetic zone not historically fashioned to produce essential closure—the coda—can in fact do the job non-problematically, as a

death, apotheosis and victory. It is perhaps not possible to argue definitively for one interpretation over another. What is most striking is that at this point in the piece the music does generate extra-musical meanings (even if they cannot be proven to represent specific dramatic events) and it is this process which invites further reflection.”

fortuitous stand-in for an insufficiency of prior sonata-action. In this historical period such a situation is never problem free. From an only slightly shifted hermeneutic perspective one might wonder whether a closure-providing coda does not so much resolve the deferred tonal argument as reflect on the absence of closure in the recapitulatory space. Restated: In resolving what was not resolved earlier, such a coda might serve principally to show us what the preceding sonata form did not accomplish, thus underscoring the primacy of the more essential recapitulatory nonresolution. Alternatively, a rhetorically reinforced resolution within a climactic utopian or apotheosis-coda (as in *Egmont* and, in later decades, in the finales of many of Bruckner's symphonies) suggests the possibility of a different understanding. Here the revelatory claims of such an apotheosis collapse the preceding, nonclosed sonata into a mere matrix or disposable delivery system that exists only to make possible that which is conceptually superior, the *Klang*-telos attained in the coda. However we interpret it, it is the drastic nature of the rhetorical recapitulation proper that must be confronted as the central issue.

But in reflecting on the *Egmont* Overture from this point of view, we might ask another question: to what extent is this a sonata movement at all? Everything depends on definitions. This is an especially relevant concern if our understanding of the form hinges on the supposed requirements of tonal practice (while minimizing, say, the norms of thematic patterning). On the face of it, Beethoven's *Egmont* falls short of the most basic harmonic feature of a sonata at that time: a sufficient sense of tonal resolution within the recapitulatory space. Looming in the background of this discussion are two disputable postulates. The first is the mid-twentieth-century insistence that a “sonata form”—*qua* genre—is definable overwhelmingly by harmonic criteria, in the service of which thematic elements, inappropriately emphasized in nineteenth-century discussions of the form, were at best secondary.¹¹ The

¹¹See, e.g., the influential article, Leonard G. Ratner, “Harmonic Aspects of Classic Form,” *Journal of the American Musicological Society* 2 (1949), 159–68; and cf. the useful

second is the complementary construction of the so-called sonata principle, identifying the one essential tonal thing that, supposedly (by modern definition), all sonatas are normally expected to do (tonal resolution of nontonic expositional materials).¹²

Both the harmonic view of sonata form and the sonata principle provide conveniently adaptable principles that can smoothly legitimize recapitulatory freedom and seeming coda-resolutions of tonally recalcitrant elements. (They could permit one to assert, for instance, that the key problem in *Egmont* is no problem at all—nothing much to be concerned with—since the piece is eventually brought to tonal closure in the coda.) As I hope to have shown elsewhere, however, when invoked for “unusual” compositions, the often-heard “sonata-principle” claims are at best questionable, and they are certainly inadequate unless they make interpretive distinctions—as its proponents usually do not—between closure inside or outside of sonata-space.¹³ Regardless of the analytical system favored, the larger point is this: any analysis of such a work as Beethoven’s *Egmont* Overture that does not problematize such non-normativity as a prominent feature of its method, as opposed to normalizing it or explaining it away as merely another neutral option within a field of overgenerous flexibility, would pass too frictionlessly over its central structural point, its “failed” recapitulation.

The most efficient approach to this matter lies in reconfiguring our conception of what a “sonata form” is. Any consideration of historical sonata exemplars and their harmonic norms will tell us that a generic sonata was not properly articulated on the pre-coda acoustic sur-

face of *Egmont*. Within sonata-space a normative “sonata” remained unrealized in actual sound and material architecture. On the other hand, it also seems clear that Beethoven was inviting his listeners to understand what they did hear by filtering it through the expectations that they had of sonatas, then observing the veering away of this recapitulation from those expectations. Thus within its rhetorical sonata-space the piece is both a sonata and not a sonata: it is not a sonata in its literal, material presentation, and yet Beethoven’s audience—real, implicit, or ideal—was to understand it as a sonata insofar as the composer had apparently asked them to set it into a dialogue with a conceptual model not explicitly attained in the sounding music.

This may seem obvious, but its implications are vast. It suggests, among other things, that the category of understanding needed to come to terms with a piece of music—for example, the conceptual category, “sonata”—is different from what one literally hears as the piece unfolds in real time. More broadly, it suggests that the concept of “form” is not primarily a property of the printed page or sounding surface. Instead, “form” resides more properly in the composer- and listener-activated process of measuring what one hears against what one is invited to expect.

If so, then the “real form” of any such piece—and indeed, the “real piece” itself—should not be restricted to the shape of its literally presentational succession of sound-events. Instead, the real form exists in that conceptual dialogue with implicit generic norms, which exist outside of the material surface of the printed page and its acoustic realization. This means that the construct that we call “sonata form” is more a set of tools for understanding (a set of enabling and constraining rules for interpretation) than it is a bottom-line practice that must be minimally satisfied in the workings of any given piece before we grant that piece, for whatever purpose, the label of “sonata.” Judgments concerning form, therefore, are incomplete if they are confined only to a description of “the music itself.” Rather, such judgments must extend to the music’s dialogical embeddedness in a web of cultural and generic expectations.

The practical challenge for the analyst is

discussion of this issue in Mark Evan Bonds, “The Paradox of Musical Form,” chap. 1 of *Wordless Rhetoric: Musical Form and the Metaphor of the Oration* (Cambridge, Mass.: Harvard University Press, 1991), pp. 13–52. Also relevant, of course, is Heinrich Schenker, *Der Freie Satz* [1935], trans. Ernst Oster as *Free Composition* (New York, Longman, 1979), I, 133. The issue is also explored historically in my “Beyond the Sonata Principle” (n. 1 above).

¹²Here the standard citation is Edward T. Cone, *Musical Form and Musical Performance* (New York: W. W. Norton, 1968), pp. 76–77. The sonata principle has been recast in a number of differing formulations. See Hepokoski, “Beyond the Sonata Principle.”

¹³Hepokoski, “Beyond the Sonata Principle.”

twofold: first, to recognize in which situations it is reasonable to suppose that we are being invited by the composer to use the “sonata perspective” to process what we do hear in the presentational succession; and second, to have grasped as fully as possible what the enormously manifold generic options of the processing-concept, “sonata form,” actually were in, say, Beethoven’s Vienna in the decades around 1800—they should not be articulated too restrictively. In part to acknowledge these issues, I refer to the *Egmont* Overture not as a “sonata” but as a “sonata deformation”—that is, a work whose succession of events contravenes certain essential generic markers of sonata form (recapitulatory tonal resolution is one) but which nonetheless asks us to use sonata norms to interpret what actually does happen in that individual utterance.¹⁴

A BEETHOVENIAN PRECEDENT?
OP. 1, NO. 2, MOV'T. II.

We might wish to know whether *Egmont* was the earliest example of the nonresolving recapitulation—for at this time anything even remotely like this sort of tonal pattern was a most exceptional procedure. So far as I have been able to locate, there are one or two curious antecedents to it in Beethoven’s earlier work, and even an example or two in Mozart’s work, although each earlier case presents us with further complications and more challenging subtypes of the genre. One early instance of what might be regarded as a forerunner of such a “failed recapitulation”—though there are certain ambiguities within it—occurs in the slow movement of Beethoven’s Piano Trio in G, op. 1, no. 2, composed in 1793–94 and published in 1795.¹⁵ The slow movement unfolds as a deeply

problematic, sonata-related structure in E major (major VI of the trio’s G major). Before dealing with its recapitulation we will have to look at its exposition.

The primary theme (P) sets out as a normative, if slightly expanded, sentence in E major and projects something of a leisurely, major-mode dream-idyll (ex. 3).¹⁶ In m. 9 the repetition of the first theme initiates a transition of the “dissolving-restatement” type (one of around a dozen standard strategies) and proceeds through a generically typical series of events: a modulation to V—though anticipated here in a premonitory B minor (not B major)—the securing in m. 18 of the new structural-dominant lock (V of B minor), and the move to a more or less conventional medial caesura in m. 23 (ex. 4), completing a much-extended half-cadence in the dominant minor, stretched out and bridged over with two measures of major-mode caesura-fill, mm. 24–25. The secondary theme begins in m. 26—normatively, in B major (V), though over an ominously pulsating dominant, F#, as if unable to shake loose the dominant-lock of the preceding measures. We recall that a secondary theme’s generic goal is to secure a perfect authentic cadence in the key of the dominant—to produce the point of essential expositional closure (the EEC), the first satisfactory perfect authentic cadence in the subordinate key (in major-mode works before 1800, almost invariably V). But what happens here on the way to this generically obligatory B-major perfect authentic cadence is extremely unusual—almost unprecedented—in historically significant compositions prior to this one.

The surprising aspect of this secondary theme is that it ends not with a cadence in B major, the dominant, as promised, but with a cadence

¹⁴I have discussed the principle and implications of sonata deformations at greater length in *Sibelius: Symphony No. 5*, and especially in “Beethoven Reception: The Symphonic Tradition,” chap. 15 of *The Cambridge History of Nineteenth-Century Music*, ed. Jim Samson (Cambridge: Cambridge University Press, 2002), pp. 424–59. See also Darcy, “Bruckner’s Sonata Deformations” (n. 2 above).

¹⁵Related movements—all three are most profitably considered together, as differing realizations of somewhat similarly posed problems (although not uniformly with nonresolving recapitulations)—include the E-major Ada-

gio of the Piano Sonata in C, op. 2, no. 3 (whose deformational “exposition” also moves to G major) and the E-major Largo of the Piano Concerto No. 3 in C Minor, op. 37.

¹⁶Measures 1–9 of op. 1, no. 2, movt. II, were used as a paradigm of a sentence with expanded cadential function by William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), pp. 46 [ex. 3.16a], 47: “The extra measure of this nine-measure theme is created by a small expansion of the cadential progression [mm. 8–9 with upbeat]. [Schoenberg speaks of similar situations as a ‘written-out ritardando.’]”

Example 3: Beethoven, Piano Trio in G Major, op. 1, no. 2, movt. II, mm. 1–10.

in a strange, almost “false” place, G major (\natural III, mm. 39, 40). The secondary theme’s antecedent phrase, mm. 26–31, with its uncannily levitational opening, prolongs V of B major (sustaining the dominant of the preceding medial caesura, holding it open). One expects the parallel consequent to bring this situation to B-major closure. In m. 32 the consequent sets out to do so, still over the persistent dominant, but in the next measure, m. 33, B major decays unexpectedly to B minor (the $\frac{6}{4}$ position over the dominant, recalling the B minor of the preceding transition). This sets off an expressive and structural alarm: the threat of the loss of the major mode at the point of essential expositional closure, the EEC, and with it, the dissolving of the seemingly secure, major-mode dream-idyll announced at the movement’s outset. (An EEC in a nongeneric *minor v* would signify a strong reversal of expectations.)

The expressive point of what follows is clear. The intrusive B minor (minor *v*), the sign of modal collapse, threatens something profoundly disturbing. In m. 34 the narrative subject counters defensively by wresting back the major mode. But not B major: once decayed away, the generic assurance of the normative domi-

nant has been lost forever. (In fact, that B major never existed as a concretized reality, only—over its dominant—as a promise.) Instead, in m. 34, using $f\sharp$ and d as common tones for a new dominant-seventh chord, one finds a willful, *fortissimo* push and *diminuendo* into G major (\natural III of E, VI of B minor). As if pretending that this is not “a place where one doesn’t belong,” the dynamics are reduced to the complacent *piano* in m. 35. Thus a “false security” is restored in \natural III.¹⁷ Surely not coincidentally

¹⁷As before (n. 8 and the discussion in the text to which it refers), one can envision a neo-Riemannian response to a situation in which an ongoing B major that “ought” to be stable successively shifts two chromatic semitones (D \sharp becomes D \natural ; F \sharp becomes G) to become transformed into G major—one species of chromatic 5–6 shift in which the second element, G major, is locally prepared by its own V $\frac{6}{5}$. Here the speculative question is whether in the mid-1790s such a shift between what Cohn has recently called “modally matched harmonies [or ‘next-adjacencies’]. . . [involving] dual semitonal displacements in contrary motion” (in this case, within what he identified as the “Western” hexatonic cycle, which includes the B and G triads—“As Wonderful as Star Clusters,” pp. 217, 216) is to be interpreted as establishing a relatedness between the two sonorities to the point where one may act as an effective “proxy” for the other. As I have suggested above, one may certainly consider such questions to be both germane to

22

p

sf sf sf sf sf pp

26

pp

pp

espress.

sf

30

p

p

34

ff

ff

ff

p

p

p

Example 4: Beethoven, Piano Trio in G Major, op. 1, no. 2, movt. II, mm. 22–48.

the situation at hand and provocative in their implications (e.g., what might the nature and expressive function of such a representation by proxy be?) without abandoning

the more central concept of a tonally non-normative exposition, which will eventually result in the nonresolving recapitulation to come.

37

41

45

Example 4 (continued)

this would seem simultaneously to suggest an *in extremis* appeal to the G-major governing tonic of the outer movements and the trio as a whole. However we might choose to understand it, the rhetorical module is brought to an expanded cadential progression that in m. 40 closes non-normatively in G major. (Measure 40 is the rhetorical equivalent of the point of essential expositional closure, the EEC, momentarily ignoring the crisis of the “wrong key.”)

Is this the end of the exposition? This turns out to be a crucial question, and the answer is anything but clear. Notice that the recapitulation begins only seven measures later, in m. 47. From one perspective, in m. 40 one might wish to regard the elided recalling of the primary theme in the cello as the beginning of an expositional closing zone: closing themes that invoke primary themes are anything but rare. But if so, the allusion is fleeting. Within a measure the thematic continuity decays into a waste-

land of successive diminished sevenths that, at best, suggest the almost immediate inability of these measures to function as a normative closing zone. Two interpretive possibilities remain open here, and either conclusion may be justified. The first is that mm. 40–47, at least in retrospect, may be considered *entirely* as a retransitional link, registering the misfortune of the exposition and pushing fatalistically forward, with thematic anticipation, to the head-motive of Rotation 2, the recapitulation, in m. 47. (On this understanding, the exposition would end with the secondary theme's cadence in m. 40, which is then immediately elided with the retransition.) The second interpretation is that m. 40 starts out as something seeking to be a closing zone but—doubtless in reaction to the expositional events—dissolves almost instantly into retransition. This leaves the exact final point of “exposition” open. Perhaps that sense of futility and indecision is part of its expressive point. For our purposes the central thing is that the last cadence of the exposition, the EEC-substitute in m. 40, occurred in ♯III, G major, the “wrong key.” The exposition has veered off-course. How will all this be revisited in the recapitulation?

As a rule, a recapitulation's generic task is to secure the point of essential structural closure (the ESC), the secondary theme's attainment of a perfect authentic cadence in the tonic and, in Schenkerian terms, the first successful completion of the recapitulation's linear descent that may coincide with the long-range $\hat{3}-\hat{2}-\hat{1}$ *Urlinie* motion in the upper voice of the *Ursatz*. Will the harmonic twist in the secondary theme be straightened out? If so, how? We now need to consider the recapitulation at the crucial moment, the beginning of the secondary theme, m. 67, which begins hopefully, in the tonic, E major, though, as had been the case in the exposition, over a pulsating dominant (ex. 5).

Predicated on sonata norms, the musical experience unfolded here is that of once-shining hopes collapsing into ruins. Seeking stability and closure in E major, the secondary theme “fails” in its generic mission—even more drastically than had been foretold in the exposition, because the modulatory scheme now sprouts a final, negative element. In m. 73 this theme's parallel consequent sets out—seeking

E-major closure (essential structural closure, the ESC). Analogously with the exposition, in m. 74 we find a disintegration of mode into E minor. Within the slow movement as a whole, this inability to sustain the *tonic* major in the now all-important pre-ESC region confronts us with an image of the unfaceable—the negative inverse of the idyllic E-major tonic, the perhaps permanent loss of the E-major wholeness posited (or hoped for?) at the movement's opening. At least for the next measure or two the transpositional parallels with the exposition continue, and we find the corresponding quick-escape, the *fortissimo* and *diminuendo* common-tone push onto C major in mm. 75–76.

Were the secondary theme deployed in a manner fully parallel with that of the exposition, it would now conclude in this “false-major,” C major (♯VI of E). This would grasp at the recapitulatory straws of a “sham” or “self-deceptive” nontonic major mode, but one that at least fulfills a recognizably generic role of a balanced fifth-relation to the G major at the end of the exposition's secondary theme, although in a larger, more trenchant sense remaining non-resolving with regard to the governing tonic of this *Largo con espressione* as a whole. But in perhaps the most telling gesture of the movement, Beethoven proceeds to demonstrate the non-sustainability of this “false-hope” C♯major by falling away from the pattern of direct transposition from the exposition. Unexpectedly, C major itself decays by slumping to its submediant, A minor, in mm. 78–79, in which key, in m. 82, the secondary theme is brought to its close in ashen dissolution: A minor (minor iv of the original E major!).

We have reached a crucial point in the piece. If we had concluded earlier that the parallel moment in the exposition was in fact the end of the exposition, then we have—following the norm of symmetrically rotational recapitulations—reached the end of the rhetorical recapitulation. In short, we would be confronted with a nonresolving recapitulation, ending in the extraordinary, “lost” place of the minor subdominant. Is what follows, mm. 82–90 and its varied restatement in 90–100, both of which finally reinstate E♯major with a perfect authentic cadence, a newly “expanded” or billowed out part of the recapitulation? In musical terms,

65

69

73

76

p

p

pp

p espressivo

ff

p

ff

Example 5: Beethoven, Piano Trio in G Major, op. 1, no. 2, movt. II, mm. 65–90.

80

85

90

Example 5 (*continued*)

it begins by ruminating bleakly on the nontonic, minor-mode void (mm. 82–85)—on the shattering of the dream-idyll—but eventually ends by restoring E major (or pretending to restore it, m. 89) and finally closing the requisite 3–2–1 linear descent completing the *Urlinie*.

But, again, are mm. 82–90 and then the varied restatement in 90–100 to be understood as existing within rhetorical recapitulatory space? Do they constitute a recapitulatory extension of that which had been smothered off, not allowed to flourish, in the exposition's closing-

space? Or is this the onset of a corrective coda, à la *Egmont*?¹⁸ This is a difficult question, and

¹⁸Some readers might initially consider also, however briefly, the merits of a third interpretation, namely whether this movement might be grasped under the paradigm of the sonata-rondo. The relevant model here would be the pattern sometimes described as ABAB'A + coda, although in such manifestly sonata-oriented cases as these it is more accurately laid out as: exposition—recapitulation—return of primary theme (P)—coda. As always, everything depends on the range and clarity of one's definitions, but in the present situation the sonata-rondo reading seems the least desirable of the available interpretive options. The sonata-

substantial cases may be made both for and against either view. It is true, for example, that the secondary-theme cadence at m. 82 is elided with an A-minor invocation of the primary theme's head motive, one, moreover, that proceeds at once to exploit diminished-seventh sonorities—events that had also occurred at the parallel point after the EEC-substitute in m. 40. On the other hand, the texture at m. 82 (piano alone) is more suggestive of a recapturing of the *opening* measures of the piece rather than a

rondo subtype in question represents an intermixture between the rondo principle and the so-called sonatina (or sonata-without-development—which we call the “Type 1 Sonata” in the *Elements of Sonata Theory*). (In our view, an example of such a mixture is found in the second movement of Mozart's Symphony No. 39 in E_b, K. 543.) It is clear, however, that this kind of sonata-rondo mixture is similar to another formal possibility: the sonatina (Type 1 Sonata) with extended, P-based coda. In the *Elements of Sonata Theory*, these nearly identical formats are distinguished by such factors as: (1) the presence in the sonata-rondo of a clear, separate retransition-link (RT) between the end of the recapitulation and the restatement of the rondo “refrain” that follows (as opposed, for instance, to a simple elision of the one into the other); (2) the seeming rondo-character, or lack of it, of the P-theme; and (3) the degree to which the thematic integrity of the (tonic-grounded) P is maintained in the final statement of it after the recapitulation (more deviations from the original model suggest a coda, not a rondo refrain).

Instructive along these lines—and clarifying with regard to the present op. 1, no. 2, movt. II situation—is the A_b-major second movement (Adagio molto) of Beethoven's Piano Sonata in C Minor, op. 10, no. 2, which presents some of the same issues without the “nonresolving” complications of the Trio movement. Lacking an RT between the end of the recapitulation and the onset of P (m. 91)—and presenting that P in an incomplete, “decaying,” and much-varied form (mm. 91–102)—this movement is best considered a Type 1 Sonata (sonatina) with discursive coda (mm. 91–112), not a sonata-rondo. (Within this paradigm, “discursive codas”—or lengthy, multisectional codas, which can appear in conjunction with any sonata type and often begin with P-based material—often also feature a “coda-to-the-coda” effect at the end.) The fuller rationale and argumentation behind these assessments (along with a few more nuances) are provided in *Elements of Sonata Theory*. In any event, within the second movement of the Trio, op. 1, no. 2, the potential candidate for any supposed final, post-recapitulation rondo-statement, m. 82, is begun off-tonic (A minor), is unprepared by any retransition (it is elided directly with the final chord of the recapitulation), and is subject to extreme decay and variation from the original P-idea. For these reasons it is not helpful to regard mm. 82–107 as participating *principally* in a broader sonata-rondo structure. (In other words, there is a simpler explanation of the form to be found other than that resulting from a primary appeal to the sonata-rondo concept—which in any case does not affect the central “nonresolving” argument presented above.)

regrasping of the texture at m. 40: this would argue that m. 82 initiates the onset of a new referential rotation, an unusually large codarotation (in this case, what I call an example of a “discursive coda”) whose task, in part, is to ruminate on what did not happen in sonata-space by correcting and setting to rights (“outside of the essential action”) what the sonata itself had failed to accomplish. Still, there is no denying its equally telling relationships with ideas planted in mm. 40–47, which may suggest that mm. 82–100 could be understood, albeit with a degree of conceptual overextension, as in part accomplishing some kind of deformational, corrective recapitulatory function.

Readers might want to consider this ambiguity in more detail on their own, but the main point is this: at the very least, we have a nonresolving *secondary theme*, substantially alienated from tonal resolution in the recapitulation—thus foreshadowing what would happen in *Egmont*—and if we choose to regard the symmetrical m. 82 as the close of at least the *rhetorical* recapitulation (measuring its expanse against that of expositional space), then we would also have an unequivocal nonresolving recapitulation. However one might choose to understand it, this is a tonally anguished structure. My own suspicion is that its expressive point is not to ask us for a quick-and-easy analytical solution but to invite us to experience the difficulty of decision, the strain of the process of structural deformation and secondary-theme “failure.”

Beyond all this, there are still larger hermeneutic questions to ponder. Broadly speaking, one might wish to regard the eighteenth-century sonata as the abstract, metaphorical representation of a successfully carried-out, symmetrically disposed human action (albeit one whose specific details are underdetermined). Within the metaphor, that action includes such central components as the essential sonata trajectory, the long-range, successful bringing-into-being of full tonic presence within sonata-space—perhaps a representation of a now-enhanced self-identity—by means of authentic-cadential resolution at the recapitulatory point of the ESC (linear and cadential tonic resolution at the end of the secondary theme). Only at this point, norma-

tively, is the tonic marked as lastingly stabilized, made permanent, brought into a full ontological presence.¹⁹ Within this conception of the genre, any nonresolving recapitulation conveys the unfolding of an unusually disruptive expressive situation.

The result suggests a number of interpretations. The most conventional line of understanding would probably center on the private, emotional turbulence of the individual experience being represented, its subjectivity and impression of *Innerlichkeit*. But if one prefers, one may extend the metaphor. It would be an easy move, for example, to suggest (in classic Adornian fashion) that elements of social critique are inscribed within the processes of such music. If the generic aspect of form is its social aspect, as Adorno argued—or alternatively, as New Historicists and others would claim, if that generic aspect is construed as a telling mode of cultural, even ideological representation—then the staging of a demonstration of the insufficiency of that socially grounded form could underscore the arbitrariness and historical contingency of this cultural practice, rather than its “timeless” perfection.

MOZART’S K. 173, MOV’T. I:
A REPRESENTATION OF EXTREME DISTRACTION?

Before proceeding further with the model and its subtypes, we might ask whether Beethoven was the first to articulate it. Apparently not, although it seems to have been rare, virtually nonexistent, prior to Beethoven’s Piano Trio of 1793–94. One curious predecessor is the first movement of Mozart’s String Quartet in D Minor, K. 173, written in Vienna in September 1773. (It is conceivable that young Beethoven could have known it: Artaria published the first two movements, rounded off with a finale from an earlier work, in 1792, a year after Mozart’s death. In other words, Artaria published the early Mozart quartet three years before it published the Beethoven Trio.) This quartet movement from K. 173 could hardly be more strange. Indeed, its tonal oddity is so non-normative

¹⁹This proposition about tonic presence is elaborated in chap. 11 of the *Elements of Sonata Theory*.

that one might momentarily question whether it is best regarded as a sonata movement, and yet its first-movement position, along with its unmistakable repeat-scheme, declares unequivocally that we are to understand the events of this piece through the expectations that we have of more “normal” first movements. As always, before thinking about the recapitulation, we need to look at its exposition, which is shot through with unmistakable *topoi* of minor-mode sorrow (ex. 6).

A quick inventory of potential precedents confirms the obvious—that this was a purposefully deviant movement. Prior to K. 173 Mozart had written around a dozen and a half minor-mode sonata (or instrumental “binary”) movements. Of the seventeen that I consulted (albeit with no claims to completeness), including a few from roughly the same time as K. 173, all divided their expositions into two tonal planes, and all of the expositions were tonally normative. (Fourteen of them move to what I call the first-level-default, the major *mediant*, for the second key, three to the second-level-default, the minor *dominant*.²⁰) But in this D-

²⁰“First-level default,” in this context, connotes “the most standard thing to do” in such a minor-mode piece—the most common, almost pre-assumed compositional “option” that would have to be consciously overridden in order to proceed to the next to most common available option, the “second-level default.” (The terminology is explored further in *Elements of Sonata Theory*.) In the present discussion the central point, of course—which is hardly a surprise—is that the young Mozart had produced numerous fully “normal” minor-mode sonata movements prior to or around the time of K. 173, mov’t. I. Setting aside the four minor-mode “binary” (nearly “sonata”) movements from the London Sketchbook collection of 1764—all four of which, in any case, make the standard move from i to III in their first halves (K. 15^p, 15^r, 15^u, 15^z)—we may note that at least five fast movements proceeded from an initial i to III in their expositions: the two outer movements of the Overture to *Betulia liberata*, K. 118 (74c); the G-minor second movement (Allegro) of the Quartet in B \flat , K. 159; and the two outer movements of the Symphony No. 5 in G Minor, K. 183. At least nine slow movements also moved from i to III, and they are from: the Violin [Flute] and Cello Sonata (also printed as a Violin Sonata) in F, K. 13; the Symphony No. 1 in E \flat , K. 16; the Symphony No. 5 in B \flat , K. 22; the Violin Sonata in E \flat , K. 26; the Cassation in B \flat , K. 99 (63a); the Symphony in C, K. 96 (111b); the Quartet in G, K. 156; the Quartet in C, K. 157; and the Symphony No. 26 in E \flat , K. 184 (166a). The “second-level-default” expositional shift from i to the more “negative” v was less common. It occurs in three slow movements, from: the Piano Concerto in G, K. 41; the Quartet in F, K. 168; and the Quartet in E \flat , K. 171.

1 Allegro ma molto moderato

9

14

19

Example 6: Mozart, String Quartet in D Minor, K. 173, movt. I (exposition), mm. 1–45.

Musical score system 1, measures 24-28. The system consists of four staves: Treble, Violin, Cello/Double Bass, and Bass. The key signature is one flat (B-flat major or D minor). Measure 24 starts with a piano (*p*) dynamic. Trills (*tr*) are present in measures 25, 26, 27, and 28. The Cello/Double Bass staff has a piano (*p*) dynamic in measure 25.

Musical score system 2, measures 29-33. The system consists of four staves. Measure 29 starts with a piano (*p*) dynamic. Trills (*tr*) are present in measures 29, 30, and 31. Measure 32 features a forte (*f*) dynamic in the Violin and Cello/Double Bass staves. Measure 33 ends with a piano (*p*) dynamic in the Violin staff.

Musical score system 3, measures 34-40. The system consists of four staves. Measure 34 starts with a piano (*p*) dynamic. Measure 40 features a forte (*f*) dynamic in the Violin, Cello/Double Bass, and Bass staves.

Musical score system 4, measures 41-45. The system consists of four staves. Measure 41 starts with a piano (*p*) dynamic. Trills (*tr*) are present in measures 41, 42, 43, and 44. Measure 45 ends with a piano (*p*) dynamic in the Bass staff.

Example 6 (continued)

minor quartet movement things are different. Here the central points of cadential arrival are split among three nontonic keys: mm. 18, 22, and 24, A minor, minor v (an acceptable, if less frequent expositional option in the 1770s); m. 33, E minor, minor ii (now losing sight of any norm); and m. 42, G minor, the virtually “impossible” minor iv (completing the expositional rhetorical layout proper before initiating a retransition, mm. 43–45). In sum, the customary division of the exposition into two tonal zones has been multiplied into four (i, v, ii, and iv—all *minor* keys, note), the last two of which are counter-generic.

What are we to make of this flamboyant deformation of expositional norms from the young composer? Assuming that it was intended to make sense at all—as opposed to being merely a carnivalesque display of cheeky nonconformity or, perhaps, a heavy-handed structural ironizing of a stereotypical expression of melancholy—we might propose that at the very least the musical tale told is that of an expected structural course losing its directional sense and straying into “lost” tonal territory. As listeners, we become witnesses to its generic trajectory undermined through lamenting circle-of-fifth descents and an unpleasantly peremptory, quasi-mechanical cadential formula ratifying the wrong keys at the wrong places. The affective image associated with such musical behavior—especially in a minor-key work—would be that of a lamenting grief or looming threat so uncontrollably powerful that it overflows or shatters the very Enlightenment vessel that had been devised to contain and direct it in socially acceptable ways—the traditional pattern of expositional norms. We may even be confronting a representation of extreme distraction or a self-consuming melancholy tipping into madness.²¹ (While one cannot claim

²¹For this suggestion I am indebted to the more general discussion of eighteenth-century conceptions of melancholy provided by Elaine Sisman in “C. P. E. Bach, Beethoven, and the Labyrinth of Melancholy,” delivered at the American Musicological Society, Toronto, 2 November 2000; an expanded version was presented at Yale University, 29 November 2000. (I am grateful to Professor Sisman for providing me with a copy of this paper.) Sisman related a number of minor-mode works or sections thereof—normally in slow tempo—to the contemporary discourse sur-

rounding melancholia. Frequently associated with this sadness of temperament were such features as a studious frame of mind, extreme mental acuity and memory, a high degree of self-absorption (though occasionally leading to apparent surface disorder), and occasionally a labyrinthine convolution of thought process. Many eighteenth-century writers took pains to distinguish it from the extreme of genuine madness (typically understood as more raving or violent), but from time to time, as Sisman mentions, room was permitted for melancholy to slide into such states as “melancholy madness.”

the unusual first movement of Haydn’s Quartet in G Minor, op. 20, no. 3, as an obvious *tonal* model for K. 173, movt. I, the former’s erratic character, overstuffed with non sequiturs and “wrong” tonal moves, may have provided something by way of a general suggestion.²²)

Coming to terms with the exposition of K. 173, movt. I, requires a knowledge of the numerous differing exposition types of the eighteenth century and the manner in which they might be subjected to internal deformations. Here Mozart seems to have produced music in dialogue with what I have elsewhere called the “second type” of continuous exposition. (Less common than the “two-part” exposition, a “continuous” exposition lacks a properly articulated medial caesura and hence lacks a “secondary theme” proper, even though a closing theme might be provided.) Very briefly—and passing over the oddly asymmetrical, four- + five-measure opening modules, which are doubtless relevant—one could take m. 18, effectively standing for a premature perfect authentic cadence in minor v, as a somewhat reckless veering into the closure of a potential EEC “too soon” (and possibly “too negatively”) in the composition. (Metaphorically, this is the driving of the music into a cadential ditch.) Such a procedure is characteristic of the second type of continuous exposition, and the normal strategy associated with it is immediately and repeatedly to undo the EEC- (closure-) effect of the early cadence by “backing up” to provide multiple, varied reiterations of the cadential module, as if again and again to defer the closure-effect of the cadence until one has arrived

²²I have provided a discussion of op. 20, no. 3, movt. I, in “Beyond the Sonata Principle.”

at a properly proportional spot within the exposition.²³

This line of argument understands m. 19 as a fidgety, reactive reopening of the seeming closure of the A-minor cadence. It initiates an implied question-and-answer dialogue between individual modules, perhaps something like, "Surely you didn't intend to close down this quickly in minor v?" followed by the emphatic "Indeed I did!" of the *forte* reconfirmation in mm. 23–24. It may be that the similarly apprehensive, questioning reactions in m. 25 (the anxious fluttering-about, *piano*, through the descending circle of fifths) keep the cadential space open by refusing to leave the main idea at hand. But this time, mm. 25–31, the passage destabilizes tonally and veers toward E minor, which is confirmed with another declarative statement of the resolute hammer-cadence at m. 33: we have now lost our way.

Now abandoning the flutter-reactions of mm. 19 and 25, m. 33 returns to the original primary-theme incipit (carried out in canon with the cello). Even though this music reinvokes segments of the descending circle of fifths, this return to a variant of the first theme is a familiar strategy of Mozartean *closing-theme* space, and it is probably best understood as a last-minute effort to "normalize" at least some aspect of this eccentric exposition.²⁴ (Should we interpret m. 33 as a closing theme, we would be obliged to claim that the effective EEC—the *sine qua non* before closing-space may be considered as having begun—had been sounded in E minor, ii, at m. 33. But by now the tonal course of the music has come totally unhitched from normative practice. This accounts, one supposes, for the representation of multiplying laments through canonic treatment.) On this

²³This type is dealt with in much more detail—with examples—in Hepokoski and Darcy, *Elements of Sonata Theory*, chap. 4. (It is also mentioned in Hepokoski and Darcy, "The Medial Caesura and Its Role," p. 119.) I might only mention that two more normative examples may be found in the first movement of Mozart's Quartet in B \flat , K. 458 ("Hunt," with multiple "stuttering" cadences—and hence no secondary theme proper—in mm. 54, 60, 66, and 69, along with an effective EEC at m. 77, and a closing theme beginning at m. 78), and Haydn's Symphony No. 88 in G. Compare n. 4 above.

²⁴Characteristic C-types and their implications are discussed in the *Elements of Sonata Theory*, chap. 9.

reading, the deformation of closing-theme space, mm. 33–42, ends through yet another reactivation of the hammer-cadence figure, now closing in m. 42 on the "impossible" G minor, minor iv. Another reading might propose, though, that the return to the unshakable cadential motive in mm. 41–42 undoes the possible earlier EEC-effect at m. 33. Such a view would entail the postponing of what is perceived to be deformational closure to m. 42 (which would also cancel out the only apparently "closing" character of mm. 33ff). More important than making any unequivocal analytical decision here, though, is the perception of the strain and deformational ambiguity to which Mozart has submitted his materials.

Obviously, the presence of such a "failed" exposition does not augur well for a tonally successful recapitulation—which begins in m. 65. The recapitulation starts to differ from the exposition two beats before m. 77 (the normative pre-cruce recomposition), and at m. 80 we arrive at the *crux*, the point at which the recapitulation becomes by and large a transposition of the exposition, down a fifth.²⁵ Thus, while noting the occasional variant here or there (especially in the first few measures), we may regard mm. 80–112 as revisiting mm. 10–42 a fifth lower (our familiar fifth-transposition, discussed earlier). As a result we need not provide its music in a separate example. The D-minor perfect authentic cadence at m. 88 replicates down a fifth the parallel, A-minor moment of the exposition (m. 18), but since this is a tonic cadence it also threatens the possibility of an unacceptably early essential structural closure (ESC), a threat reiterated in mm. 92 (cf. m. 22) and 94 (cf. m. 24). As if to flee that premature closure, the phrase beginning in m. 95 (cf. m. 25) moves the recapitulation from the existing tonic, D minor, to a new tonic a fourth lower, A minor, in m. 103 (cf. the E minor m. 33): here the recapitulation detaches from its tonic-key moorings. The deformational conclusion, starting in m. 103, brings the A minor up a third to C minor (m. 112; cf. the G minor m. 42), clos-

²⁵The term "crux" is taken from Ralph Kirkpatrick, *Domenico Scarlatti* (Princeton: Princeton University Press, 1953), pp. 253–61.

ing the rhetorical recapitulation on the “impossible,” “lost” key of vii. The recapitulatory space thus touches on three tonal planes, minor i, v, and vii. A retransition follows (m. 113)—along with a repetition of the whole development and rhetorical recapitulation—and the negative tonic is attained and stabilized only in the coda (see ex. 7).

One might initially be tempted to hear the foregrounded cadence effect at m. 119 as a moment of D-minor closure. But it is preferable, in my view, to understand the preceding retransition (mm. 113–17) as ending with a half cadence in D minor (m. 117) followed by two measures of caesura-fill, albeit on the frustrating cadential figure. In the two measures preceding m. 119 the cadential module is stripped back to a single instrument (it is not sounded in its usual *all'unisono* version in either three or all four parts), it is sounded *piano*, not *forte*, and the strength of its cadence effect is in part undercut by elision with the relaunch of the first-theme incipit. In context this cadence effect, far from closing what has just occurred, launches something new. The corrective coda (mm. 119–36), an appendix existing outside of sonata-space, finally brings about (or reflects on) the resolution that the sonata proper was not permitted to accomplish. Satisfactory perfect-authentic-cadence closure in the tonic is produced only in m. 132, *pianissimo*. It is subsequently confirmed with two more grim, *forte* reiterations, *all'unisono*, of the nightmarish cadential module that had so seized the whole piece (mm. 133–34, 135–36). At the end an ominous fermata prolongs the silence—the void—into which this movement has finally been thrown.

When confronting such a work by the young Mozart from 1773, one should surely be cautious about advancing any grand hermeneutic claims. In this rudimentary instance it is anything but clear whether the seventeen-year-old was merely toying with received ideas—manipulating short-winded, formulaic gestures in ways that are momentarily curious—or whether he genuinely meant something more disturbing. The slow movement of the Beethoven Trio from 1793–94, on the other hand, may strike us as more trenchant, more expressively engaged in troubling ways. In both of these cases, an

“errant” exposition led inexorably, though the mechanisms of normative transposition, to a “failed” recapitulation (although in the Beethoven movement an extra, non-transpositional twist was added at the end). In both movements a counter-generic exposition was predictive of a nonresolving recapitulation.

This is not always the case: sometimes a tonally problematic exposition can be rehabilitated by corrective action taken within the recapitulation. In the Andantino slow movement of Mozart’s Piano Concerto in E \flat , K. 449 (“No. 14,” from 1784), the unusual exposition proceeds in a manner that somewhat foreshadows the Beethoven Trio.²⁶ In this B \flat -Major Sonata movement the exposition’s second theme begins in the proper key, F major (V, m. 41), but through a series of harmonic upheavals fails to cadence in the normative F major and pushes instead to a perfect authentic cadence in the key of A \flat major (locally, \flat III; reckoned from the governing tonic, \flat VII of B \flat) to conclude the exposition. (Thus: major I—“collapsing” V—and close in major \flat VII.²⁷) In the recapitulation, however (beginning in m. 80), Mozart interpolates a corrective circle-of-fifths passage within the second theme—something of a “magic passage” (mm. 103–06)—that deliciously subverts the mechanical transposition and makes possible the perfect authentic cadence—the ESC—in the proper tonic, B \flat major (m. 116). Here the generic principle of formal containment trumps the predicted threat of a nonresolving recapitulation.

But the reverse can also occur. Although instances of these things are scarce in the decades around 1800, it was possible for a tonally normative exposition to become tonally derailed in the recapitulation. In such cases, a non-problematic exposition finds its negative reflection

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²⁶Compare also the analysis of K. 449, movt. II, in Carl Schachter, “Idiosyncratic Features of Three Mozart Slow Movements: The Piano Concertos K. 449, K. 453, and K. 467,” in *Mozart’s Piano Concertos: Text, Context, Interpretation*, ed. Neal Zaslaw (Ann Arbor: University of Michigan Press, 1996), pp. 315–33.

²⁷As before, of course, the issue of one key substituting for another (that has proven “unable” to sustain itself for one reason or another) invites speculation about theoretical matters of chordal and tonal transformation—although in this case the matters are not directly related to the concept of closed groups of hexatonic cycles “based on voice-leading efficiency.” Compare nn. 8 and 17 above.

106

Musical score for measures 106-112. The score is in D minor, 3/4 time. It features four staves: Violin I, Violin II, Viola, and Cello/Double Bass. The music is characterized by a strong dynamic of *f* (forte) and includes trills (*tr*) in the upper staves. The first violin part has a melodic line with trills, while the other instruments provide harmonic support with rhythmic patterns.

113

Musical score for measures 113-118. The score continues in D minor, 3/4 time. The dynamics shift to *p* (piano) in the first violin and *f* (forte) in the other parts. Trills (*tr*) are present in the first violin part. The music shows a contrast between the soft first violin and the more active other instruments.

119

Musical score for measures 119-125. The score continues in D minor, 3/4 time. The first violin part is marked *p* (piano) and features a melodic line with trills (*tr*). The other instruments provide a steady accompaniment with rhythmic patterns.

126

Musical score for measures 126-136. The score continues in D minor, 3/4 time. The first violin part is marked *pp* (pianissimo) and features a melodic line with trills (*tr*). The other instruments provide a steady accompaniment with rhythmic patterns. The overall texture is delicate due to the *pp* dynamic.

Example 7: Mozart, String Quartet in D Minor, K. 173, movt. I (conclusion), mm. 106–36.

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Example 7 (*continued*)

in an unforeseen, nonresolving recapitulation—the tonal crisis intervenes late in the sonata, not in its exposition. The *locus classicus*, and the model that doubtless ratified once and for all the category of “failed recapitulation” in the minds of later composers, was Beethoven’s *Egmont* Overture.

WHAT COUNTS AS A NONRESOLUTION?
DIFFERING STRENGTHS OF
“FAILED” RECAPITULATIONS

By way of a conclusion I might point toward some nuances within the larger concept at hand, since we have been dealing only with the most extreme examples of it, those whose rhetorical recapitulations end in the “wrong key.” In fact, obviously parallel structural procedures can be encountered in less tonally extravagant strains. It might help to round out the discussion by acknowledging, in very general terms, three broad, related categories of sonatas that fall short of fulfilling their generic missions in one way or another and whose deformational aspects range from mild—even non-deformational—to extreme. Only the last two of these three categories have recapitulations that are properly described as nonresolving.

Category One: Minor-Mode Sonatas That Are Not Liberated into the Major Mode in the Recapitulation. This category concerns primarily those minor-mode sonata forms that move to

the major mediant in their expositions—or later, with Beethoven and others, to the major submediant or other major-mode key. In other words, these are sonatas marked by a minor-major contrast between the two planes of their expositions: the dark or “negative” minor-mode opening brightens into a more “positive” nontonic major in the second half. One point of the expositional *nontonic* major (normally supporting S and C) is to carry the possibility, though not the necessity, of being recapitulated in the *tonic* major. In this case the sonata form as a whole will have proceeded from a minor-mode opening to a major-mode close.²⁸ (Such a possibility is more remote, although not unthinkable, within sonata forms whose expositions move to the minor dominant, the “second-level default” key-choice for S and C.) In the category of “failure” under consideration, this expositional contrast—dark to light—is undone by the minor-minor uniformity of the recapitulation. Here the originally major-mode S and C return in minor-mode transformations. All that was modally “promised” in the second half of the exposition (or at least all that existed as generic potential, or perhaps even “hope”) is extinguished, measure by measure,

²⁸The structural and expressive usages of major and minor within sonatas—usages that can be highly variable—are inventoried and discussed in chap. 14 of the *Elements of Sonata Theory*, which lays out the hermeneutic implications that undergird the present discussion.

in the parallel zone in the recapitulation: negative-positive is replaced by negative-negative. From this perspective, we may speak legitimately of “sonata failure.” In these cases that which a sonata can do, turn minor into major, is not done.

As it happens, this is Mozart’s virtually invariable practice, from his first minor-mode sonatas onward. Under no circumstances should we regard the procedure as in the slightest deformational or non-normative. Such a procedure was always available from the start among the generic options for minor-mode sonatas. Still, this minorizing of previously major-mode secondary- and closing-space can suggest an *expressive* “failure” or negativity on the grandest scale, as in the outer movements of the two G-Minor Symphonies, K. 183 and K. 550, the first movements of the D-Minor Quartet, K. 421, the A-Minor Piano Sonata, K. 310, the G-Minor Piano Quartet, K. 478, the G-Minor String Quintet, K. 516, and so on. Beethoven was also often attracted to this “negative” generic option, although his practice is more variable than is Mozart’s. (When he did select this option—as opposed to producing the recapitulatory S and C principally in the major-mode throughout—he sometimes began the recapitulatory secondary-theme zone in the major only to extinguish it, permanently, into the minor-mode a few phrases later.) Instances of the general effect, though—closing the recapitulation in the fatalistic, opposite mode from that which had concluded the exposition—may be found with some frequency in Beethoven. It turns up not only in his earlier works—for example, in the first movements of his Piano Sonatas in F Minor, op. 2, no. 1, and in C Minor, op. 10, no. 5—but also in such later works as the opening movement of the Symphony No. 9 in D Minor, op. 125.²⁹

The immediately required nuance is to insist on a distinction between tonal closure and *modal emancipation* within conventional sonata practice. To be sure, all of the sonatas in

this minor-mode category are tonally closed. They do fulfill the tonal generic requirements expected of sonatas. As such they have emphatically *resolving* recapitulations. Nevertheless, the *patetico* cast of their unrelentingly minor-mode recapitulations shows a sign of pervasive negativity or “failure” precisely at the moment when the musical action is coming to its own sense of successful tonal closure in the area surrounding the ESC. This working at expressive cross-purposes could be explored further, but of course it is by no means a nonresolution. Rather, it is more a portrayal of an all-consuming, inescapably negative presence. For this first broad category, then, we must distinguish between these two characterizations, “nonresolving recapitulation” and “sonata failure.” And again, because of such considerations, this is clearly the mildest of the three categories. Within the period’s norms of sonata-construction it is not deformational at all.

Category Two: Suppression of a Perfect Authentic Cadence within Secondary-Theme Space (or Its Equivalent) at the End of the Exposition and Recapitulation.³⁰ Stronger than the first—and now moving into the area of structural deformation—this category encompasses sonata forms in which both the exposition and the recapitulation *are* brought to their respective proper keys in the secondary thematic zone, but fail to close in that key with a perfect authentic cadence, or, in most cases, to close even with an imperfect substitute. In other words, these are instances in which secondary-theme space is kept from cadential closure. The exposition fails to produce an EEC, and, complementarily, the recapitulation, even though it unfolds wholly in the proper key, is kept from producing the tonic closure of the ESC, the principal goal of any sonata form.

Although a few earlier instances may be found, for instance, in Haydn (such as the first movement of his Quartet in G Minor, op. 20, no. 3),³¹ the most familiar example is provided

²⁹A convenient inventory of such movements and other minor-mode patterns in Beethoven has been made by Joseph Kerman, “Beethoven’s Minority,” in *Write All These Down: Essays on Music* (Berkeley and Los Angeles: University of California Press, 1994), pp. 217–37.

³⁰The phrase about “its equivalent” is provided to cover continuous recapitulations, which lack a medial caesura and, consequently, lack a secondary theme proper. See n. 23 above.

³¹See n. 22 above.

by the finale of Beethoven's Symphony No. 5 in C Minor, op. 67. Here the C-major exposition moves to the dominant and launches a secondary theme in G major (m. 45). In fact, what is produced is a succession of themes, but each finds itself barred from cadential closure. Beethoven here stages an exposition that seems desperately "unable" to produce an EEC, the perfect-authentic-cadential knot that would tie up the expositional layout as a whole. This cadential frustration must surely be the central point not only of this exposition but also of the recapitulation, in which the secondary-theme zone's "inability" plays out in the crucial C-major tonic. The whole symphony has been striving to ground—or better, to bring into being—a secure, confirmed C major as a sign of liberation. Here we learn, even in the finale, that C major is not going to be stabilized within the confines of sonata-space. Thus the multi-modular secondary-theme zone of this recapitulation is quite literally nonresolving. It *does* occupy the proper key, but it is handled in a way to suggest that it is incapable of bringing about cadential resolution. Closure is consequently deferred to the mighty coda, which, it turns out, has its own cadential stories to tell. Parallel examples may be found in the finales of Beethoven's Second and Eighth Symphonies, ops. 36 and 93, in the finale of the C-Major Quartet, op. 59, no. 3, and in numerous post-Beethovenian works, including several outer movements in Bruckner.

Category Three: Recapitulations Ending in a Nontonic Key. This is the most extreme of the categories, that in which the recapitulation's second part finds itself stranded in the "wrong key," with or without cadential closure in that key. I need not discuss this possibility further, for that is where we began, with *Egmont*, with the earlier Beethoven Trio (at least according to one interpretation of the two offered), and with Mozart's Quartet, K. 173, movt. I. Still, when we seek an understanding of the structure of such a piece, say, as the first movement of Brahms's Symphony No. 3 in F, op. 90—whose exposition moves from I to III, F major to A major, then A minor—and when we notice that the second half of the recapitulatory space returns not in the tonic F major but in D major,

collapsing to D minor, major VI followed by minor vi, it is surely relevant to recognize its major-mode variant of the *Egmont* tonal pattern and to recall the other predecessors of such nonresolving structures in the years around 1800 and thereafter.³² The recollection resurfaces when we observe that in the first movement of Mahler's Symphony No. 6 in A Minor the so-called Alma Theme (S) returns in the recapitulatory space not in the planned-for, liberating A major, but rather in the "false" D major, the subdominant major. The same type of nonresolving tonal situation occurs in Glinka's *Ruslan and Ludmilla* Overture; in Tchaikovsky's *Romeo and Juliet*; in the first movement of Saint-Saëns's Symphony No. 3 in C Minor, op. 78; in the finale of Rachmaninov's Piano Concerto No. 2 in C Minor, op. 18; in the second movement of Mahler's Symphony No. 5; and in several other movements.

Much more could be added by way of nuance, by way of qualification, by way of the sharpening and deepening of the central topic here. I could invoke transitional categories of nonresolution or adduce special cases that fall outside of the three main categories. But perhaps the larger point has been made: Once we recognize the persistence of any deformation-family within any existing genre system—the nonresolving recapitulation is only one among many within the flexible genre system that we call the "sonata"—once we attend to the genesis and history of that deformation, once we ponder what its generic and structural implica-

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³²The tonal pattern found in the first movement of Brahms's Third Symphony may also be understood in relation to such major-mode sonata forms with expositional closes in the mediant as Beethoven's Piano Sonatas op. 31, no. 1, movt. I, and op. 53, movt. I. While in this part of his career Beethoven had normally "corrected" the recapitulation's fifth-related submediant (when it occurred) in such a way as to produce the point of essential structural closure (ESC) in the tonic (see n. 5 above along with the related discussion in the text), this does not occur in the Brahms movement. From this perspective, the Brahms piece may be regarded as an instance of an "uncorrected" recapitulation—something on the order of the major-mode op. 53, movt. I, pattern additionally informed by the more non-normative, minor-mode *Egmont* prototype.

tions might be, the deformation-concept can serve as a centering principle not only of sonata analysis but also of the larger task of sonata hermeneutics. For individual pieces do not exist in themselves alone. They cannot speak entirely for themselves. But they may be awak-

ened into meaningful utterances when we attempt to reconstitute their apparent dialogues with pre-existing memory, with complex, pre-existing generic models within constellations of competing, ever-transforming systems.



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