

HAYDN'S DRAMATIC DISSONANCES:
CHROMATICISM AND FORMAL PROCESS IN HIS STRING QUARTETS, OPP. 9 AND 17

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Cornell University 2015

Most scholarship on the string quartets of Joseph Haydn favors the music he composed from Op. 33 (1781), citing evolutionary progress in his style according to limited criteria, such as voice equality and formal symmetry. Looking beyond this historical narrative, I examine Haydn's compositions from the 1760s-70s in greater detail, focusing on the string quartets, Opp. 9 and 17 (1769-71). In these quartets, I investigate how destabilizing shifts to the parallel minor, bold chromatic gestures, and passages of intense chromatic voice-leading are used to disrupt the phrasing and heighten the tension of sonata-form movements, treating chromaticism under the rubric of form-generating dissonance. In so doing, I deemphasize traditional definitions of "sonata form"—long recognized as inadequate for describing Haydn's approach—in favor of highlighting the role of dissonance in the expansion from smaller song and dance forms into larger vehicles for dramatic expression; I have termed this the sonata style. In the sonata style of Opp. 9 and 17, Haydn employs chromatic harmony and voice-leading especially during the act of initial modulation, prolonging the phrasing of his expositions and elevating the musical discourse from simple courtly song and dance to dynamic and psychological tonal process. Evidence from the Haydn repertoire suggests that this combination of chromaticism with formal process began in the string quartets with Opp. 9 and 17.

BIOGRAPHICAL SKETCH

Adem Merter Birson is a musicologist specializing in the history and analysis of eighteenth-century Viennese instrumental music, with additional expertise in Ottoman Turkish classical music. He was born in 1984 in Milford, Connecticut, and received his first musical instruction at the piano at age seven. In 2006, he graduated from CUNY Queens College, where he studied Western music history and theory with Henry Burnett. He received his master's in Music History from Queens College in 2008 while working under William Rothstein and Richard Kramer of the CUNY Graduate Center. In 2015, he completed his doctorate in Musicology at Cornell University, where he continued his musicological and theoretical development under James Webster and Roger Moseley. At Cornell, he earned a graduate minor in Near Eastern Studies under Ziad Fahmy and received training in Turkish and Arabic music theory (*makam*) and lute (*'ud*) performance from Simon Shaheen, Ali Jihad Racy, Charbel Rouhana, Ahmet Erdoğdular, Ömer Erdoğdular, Yurdal Tokcan, Ross Daly, and Timuçin Çevikoğlu.

To Merter Hikmet Birson (1945-91)

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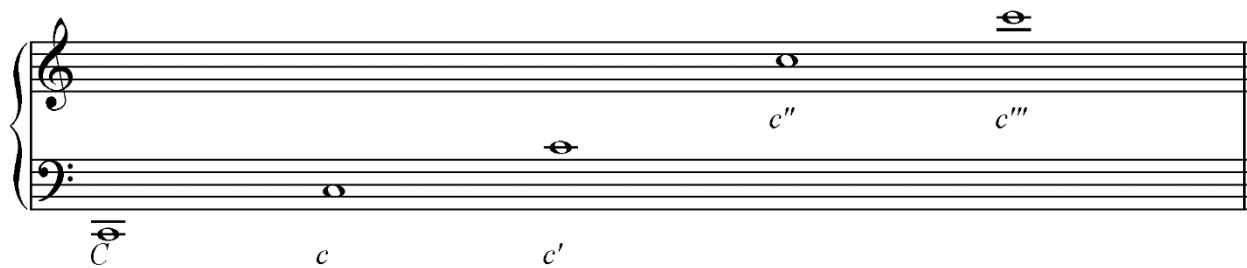
LIST OF ABBREVIATIONS AND SYMBOLS

HC: Half Cadence (a cadence ending on an active V chord; this dominant chord will also end a phrase)

PAC: Perfect Authentic Cadence (a phrase-concluding formula featuring V-I root-position bass motion; the upper voice ends on scale-degree 1 above the tonic chord)

IAC: Imperfect Authentic Cadence (similar to PAC, but the upper voice ends on scale-degree 3 or 5 above the tonic chord)

Reference to individual pitches will be made using the Helmholtz system:



In the case of general pitch classes, a capital letter name will be used.

INTRODUCTION

Early Quartets

In 1769, Joseph Haydn began work on the composition of his Op. 9, the first of three distinct string quartet opera—Opp. 9, 17, and 20—to be completed between the years 1769-72. It had been more or less a decade since his initial venture into the medium; the ten quartets that today constitute Opp. 1 and 2 were originally composed for private musical gatherings at the palace of the Baron von Fürnberg during the late 1750s.¹ The earliest quartets were composed in five movements, most commonly with an *Adagio* third movement in the center that was preceded and followed by separate and distinct minuet and trio movements.² As such, their organization follows the format of the cassation or divertimento of the early- to mid-eighteenth century.³ In an excerpt from the *Biographische Notizen über Joseph Haydn*, Haydn's biographer Georg August Griesinger reports on the circumstances of the first quartet, in which Haydn himself is believed to have performed:

Ein Baron Fürnberg hatte eine Besetzung im Weinzierl, einige Posten von Wien, und er lud von Zeit zu Zeit seinen Pfarrer, seinen Berwalter, Haydn und Albrechtsberger (einen Bruder des bekannten Contrapunktisten, der das Violoncell spielte) zu sich, um kleine Musiken zu hören. Fürnberg forderte Haydn auf, etwas zu komponiren, das von diesen vier Kunstfreunden aufgeführt werden könnte. Haydn, damals achtzehn Jahr alt, nahm den Antrag an, und so entstand sein erstes Quartett [incipit of HIII:1] welches gleich

¹ See H.C. Robbins Landon, *Haydn: Chronicle and Works* (Bloomington: Indiana University Press, 1980), 1:250-57; and Floyd Grave and Margaret Grave, *The String Quartets of Joseph Haydn* (Oxford: Oxford University Press, 2006), 137-55.

² Op. 1 No. 3 in D major and Op. 2 No. 6 in B-flat major use Presto tempos in their third movements.

³ Landon, *Chronicle and Works*, 1:254; see also James Webster, "Towards a History of Viennese Chamber Music in the Early Classical Period," *Journal of the American Musicological Society* 27 (1974): 212-47.

nach seiner Erscheinung ungemeinen Beyfall [sic] erhielt, wodurch er Muth bekam, in diesem Fache weiter zu arbeiten.⁴

A certain Baron Fürnberg had an estate in Weinzierl, several stages from Vienna; from time to time he invited his parish priest, his estate manager, and Albrechtsberger (a brother of the well-known contrapuntist, who played the cello) in order to have a little music. Fürnberg asked Haydn to compose something that could be played by these four friends of the art. Haydn, who was then 18 [sic.], accepted the proposal, and so originated his first quartet [incipit of HIII:1], which, immediately upon its appearance, received such uncommon applause as to encourage him to continue in this genre.

Based on the dates of his early days in Vienna, we know that Haydn was not eighteen years old at the time of the composition of these quartets, but rather in his mid-twenties. It also cannot be verified that the incipit of Op. 1 No. 1 in B-flat major included by Griesinger was in fact the first quartet composed. Factual uncertainties aside, the quote reflects that the genre at this time was nascent, their context was initially probably understood as a casual social event and the music was to be performed by a group in part consisting of amateur musicians. They were originally compiled and published without Haydn's involvement in a variety of editions in Paris (La Chevardiere, Huberty) and Amsterdam (Hummel) during the 1760s.⁵ Save for critics in North Germany, they were a Europe-wide success, and, if not the first such works composed for a solo ensemble consisting of two violins, viola, and basso (violoncello), they played a major role in the development of the string quartet as a genre during this time.⁶

⁴ Georg August Griesinger, *Biographische Notizen über Joseph Haydn* (1810; repr., Vienna: Kaltschmied, 1954), 13; trans. and ed. Vernon Gotwals in *Haydn: Two Contemporary Portraits* (Madison: University of Wisconsin Press, 1968), 13. This translation is taken from James Webster and Georg Feder, *The New Grove Haydn* (New York: MacMillan, 2002), 9.

⁵ For the publication history and sources, see Webster, "The Chronology of Haydn's String Quartets," *Musical Quarterly* 61 (1975): 35-43; Landon, *Chronicle and Works*, 1:250-7, 595-8; and Grave and Grave, *String Quartets of Joseph Haydn*, 137-40.

⁶ Grave and Grave, *String Quartets of Joseph Haydn*, 9. On the issue of scoring in the early string quartets, see Webster, "Violoncello and Double Bass in the Chamber Music of Joseph Haydn and His Viennese Contemporaries, 1750-1780," *Journal of the American Musicological Society* 29 (1976): 413-38; and "The Bass Part in Haydn's Early String Quartets," *Musical Quarterly* 63 (1977): 390-424.

The first Esterházy decade

In spite of the contemporaneous popularity of the string quartets Opp. 1 and 2, however, Haydn was not to touch the medium again until Op. 9. This was most probably due to the fact that he was too preoccupied with his new engagement as the vice-*Kapellmeister* at the court of Esterházy in 1761 (he would become full *Kapellmeister* in 1765). His duties were extensive, and dealt with the composition primarily of new symphonies, operas, festive cantatas, and the cultivation of what would by the mid-1770s amount to 126 trios featuring the baryton, Prince Nicolaus's favorite instrument. The Prince even specifically demanded that Haydn exert more of his energy in works for baryton in 1765:

Endlichen wird ihme Capelmeister [sic] Haydn bestermassn anbefohlen[,] sich selbstn embsiger alß bißhero auf die Compositionen zu legen, und besonders solche stücken, die man auf der Gamba [baryton] spielen mag, und wouon wir noch sehr wenig gesehen haben, zu Componiren um seinen Fleiß sehen zu können, von allen waß immer einen Compositionen das erste stuckh sauber, und rein abgeschriebener unß jeder zeit einschicken.

Finally, said *Capelmeister* [sic] Haydn is urgently enjoined to apply himself to composition more diligently than heretofore, and especially to write such pieces as can be played on the gamba [baryton], of which pieces we have seen very few up to now; and to be able to judge his diligence, he shall at all times send us the first copy, cleanly and carefully written, of each and every composition.⁷

The Prince betrays an old-fashioned taste in his preference for baryton works, and simultaneously communicates a desire for strict control over Haydn's musical production.⁸ Scholars have speculated that it was in part due to the accusations of non-productivity in this order that Haydn

⁷ Dénes Bartha, ed., *Joseph Haydn: Gesammelte Briefe und Aufzeichnungen: unter Benützung der Quellensammlung von H.C. Robbins Landon* (Kassel: Bärenreiter, 1965), 49-54. The English translation may be found in Landon, *Chronicle and Works*, 1:420.

⁸ For discussion of the baryton works, see Elaine Sisman, "Haydn's Baryton Pieces and His Serious Genres," in *Internationaler Joseph Haydn Kongress, Wien 1982*, ed. Eva Badura-Skoda (Munich: Henle, 1986), 426-35.

began to have a list of his compositions recorded in the *Entwurf-Katalog*.⁹ In any event, the quote from Griesinger and the order from the court of Esterházy both indicate that much of Haydn's creative activity during this period was both controlled and cultivated by the aristocracy.

Opp. 9, 17, 20

For reasons unknown, Haydn returned to the string quartet in 1769. There has been speculation that the Prince and the court's first violinist Luigi Tomasini may have requested Haydn compose them after having heard Luigi Boccherini's quartets in Paris in 1767.¹⁰ This seems unlikely, since all of Haydn's quartet opera besides 9, 17, and 20 were written for private, aristocratic commission outside of the Esterházy court, or commercially for public consumption. The Esterházy family neither encouraged Haydn to compose them, nor did they exhibit a taste for them during Haydn's time at the court.¹¹ It is possible that they were commissioned by an unknown aristocratic patron, yet no documentation exists for such a circumstance. One plausible hypothesis is that, after nearly a decade of satisfying the Prince's musical demands, Haydn had an opportunity to pursue his own musical interests and return to the genre that was granting him fame across Europe.

Whatever the reason for their composition, the quartets of Opp. 9, 17, 20 are widely recognized as central to any understanding of the development of the string quartet during the late eighteenth century, for it is with them that Haydn established the six-quartet opus grouping and four-movement format that would become the standard design for all his future string quartets and

⁹ Webster and Feder, *New Grove Haydn*, 16.

¹⁰ Daniel Heartz, *Haydn, Mozart and the Viennese School: 1740-1780* (New York: Norton, 1995), 324; and Grave and Grave, *String Quartets*, 11-12, and 156. For further speculation, see Webster, "The Chronology of Haydn's String Quartets," 30; and László Somfai, "An Introduction to the Study of Haydn's String Quartet Autographs (with Special Attention to Op. 77/G)," in *String Quartets of Haydn, Mozart, and Beethoven: Studies of the Autograph Manuscripts. A Conference at Isham Memorial Library, March 15-17, 1979*, ed. Christoph Wolff (Cambridge MA: Harvard University Press, 1980), 6.

¹¹ Landon, *Haydn: Chronicle and Works* (Bloomington: Indiana University Press, 1978), 2:318.

those of many of his contemporaries.¹² Op. 17 alone is outstanding enough to merit scholarly attention due to its compositional achievement and the ways in which it may have influenced composers in the subsequent decades. The teenaged Mozart owned and studied a copy, making analytical markings in the margins of Nos. 2, 6, and 5.¹³ It is tempting to imagine Beethoven, in spite of arriving in Vienna around a quarter of a century after the composition of Op. 17, being impressed by the rhetorical force of the deliberately ambiguous third, E-flat/G, at the beginning of No. 4 in C minor, a harmonic device he would come to use in his own compositions. The formal dimensions and harmonic language of these quartets even extends into even the early Romantic period, with the prolonged C major passage in the exposition of No. 6 in D major predating Schubert's use of the three-key expositions in the early nineteenth century. If these quartets did not provide direct models for the music of these later composers, they at least proved to be lessons in composition for Mozart, Beethoven, and Schubert, among others.

The 'Classical' Quartets

In spite of their having been popular and influential in their own time, Opp. 9 and 17 in particular have garnered little attention in modern reception. Op. 20 is a special case in this regard, having been recognized as a masterpiece,¹⁴ albeit problematized for Haydn's use of the fugal technique in the finales of Nos. 2, 5, and 6¹⁵ as well as for a perceived lack of balance and symmetry in

¹² The six-quartet opus grouping was likely adopted by Haydn according to the published versions of his early quartets, which followed a European custom of printing works in groups of six. The order of movements in Opp. 9, 17, and 20 was varied in later quartets, although their number remained the same.

¹³ Cliff Eisen, "Mozart's Copy of Haydn's op. 17," in *Mozart-Jahrbuch 2006* (Kassel, 2008), 409-21. Landon has claimed that the opening of Op. 9 No. 4 in D minor was the source of the opening motive in Mozart's Symphony No. 40 in G minor. See *Chronicle and Works*, 2: 320.

¹⁴ Landon, *Chronicle and Works*, 2:324; Hans Keller, *The Great Haydn Quartets: Their Interpretation* (London: Dent, 1986), 30.

¹⁵ For a critique of the controversy of the fugal finale in Op. 20, see Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style: Through-Composition and Cyclic Integration in His Instrumental Music* (Cambridge: Cambridge University Press, 1991), 294-300.

comparison to Haydn's subsequent quartets, Op. 33 (1781).¹⁶ Nevertheless, it is generally believed that Op. 20 is the most advanced of the three quartet opera composed between 1769 and 1772, and it is usually either focused on exclusively or separated cleanly from Opp. 9 and 17 in historical and analytical studies on the subject.¹⁷ By most accounts, Haydn's efforts in Opp. 9 and 17 are viewed as a preparation for his first successful masterpiece in Op. 20. As such, when compared with all later quartets, Opp. 9 and 17 are generally assumed to be lacking in expression and technical mastery, and writing on Haydn's string quartets tends to relegate them to the status of "mere" musical craftsmanship, their existence justified as harbingers of the greatness still to come in Op. 20 or Op. 33.¹⁸

This has to do in part with what James Webster has identified as the evolutionist historical narrative that describes Haydn as ultimately discovering the high Viennese classical style of the late-eighteenth century through incremental developments in the string quartet.¹⁹ While many of the analytical observations of scholars subscribing to this way of thinking are on the surface accurate (formal asymmetry, first violin domination), it does not therefore follow that anything Haydn composed before Op. 20 or Op. 33 is fundamentally inferior or was written with the ideal of "classical style" in mind. Furthermore, as has been noted, aspects of composition appearing in the earliest quartets are present in quartets and other genres throughout Haydn's career.²⁰ This assessment of Haydn's earlier works has to do with the tendency of scholarship of so-called

¹⁶ Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven* (New York: Norton, 1972), 111-12, and 118-19.

¹⁷ William Drabkin discusses Op. 20 in *A Reader's Guide to Haydn's Early String Quartets* (Westport, CT: Greenwood Press, 2000). Grave and Grave offer a separate chapter for Op. 20, placing Opp. 9 and 17 together as a pair in *String Quartets of Joseph Haydn*, 156-76, and 177-98.

¹⁸ Reginald Barrett-Ayres, *Joseph Haydn and the String Quartet* (London: Barrie & Jenkins, 1974), 57-68, 94-118; Landon, *Chronicle and Works*, 2:315-34; and Keller, *The Great Haydn Quartets*, 8.

¹⁹ Webster, *Haydn's "Farewell" Symphony*, 335-57; esp. 341-7.

²⁰ Mary Hunter, "The Quartets," in *The Cambridge Companion to Haydn*, ed. Caryl Clark (Cambridge: Cambridge University Press, 2005), 112; see also Grave and Grave, *String Quartets of Joseph Haydn*, 147, 156.

“classical” music to critically evaluate these works with criteria more suited to later stages in his career and developments in music history.²¹ Here is one example, from Ratner:

As the string quartet matured in the 1760s and 1770s, this greater sophistication of part-writing is clearly visible. The early works of Haydn have a rather stiff patchwork of textures; his later works are marvels of ingenious part writing. This is also true of Mozart. Boccherini, on the other hand, had a special flair for texture in all his chamber music.²²

Webster cautions against just this type of claim when he states “the argument against Haydn’s early mastery always appeals to the notion of a general inadequacy in mid-century music, without which it would go up in smoke.”²³ Challenging the view that Haydn discovered either his mature style with Op. 20 or the high Viennese classical style with Op. 20 or Op. 33, Webster writes:

And yet such views are indefensible: they reduce Haydn’s immense and multifarious quartet *oeuvre* to an evolutionist “progress” toward some “goal.” It is of little consequence whether the latter is taken as the “great” Op. 20 or the “Classical” Op. 33; within any such framework, all earlier quartets must be marginalized as immature or at best experimental.²⁴

For the modern historian to imply that these early quartets are in any way inferior as chamber music according to the musical style of the late-eighteenth century is for her/him to overlook the ways in which they are successful compositions according to their own criteria. As I shall demonstrate, Haydn’s music in Opp. 9 and 17 was anything but stiff, be it in terms of texture, form, or harmonic language.

²¹ Webster, “Haydn’s Symphonies Between *Sturm und Drang* and ‘Classical Style’: Art and Entertainment,” in *Haydn Studies*, ed. W. Dean Sutcliffe (Cambridge: Cambridge University Press, 1998), 218-45.

²² Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer, 1980), 126.

²³ Webster, *Haydn’s “Farewell” Symphony*, 340.

²⁴ Webster, “Haydn’s Op. 9: A Critique of the Ideology of ‘Classical’ String Quartets,” in *Essays in Honor of László Somfai on his 70th Birthday: Studies in the Sources and the Interpretation of Music*, ed. Vera Lampert and László Vikárius (Lanham, MD: Scarecrow, 2005), 139.

One of the primary reasons for the dismissive attitudes regarding Opp. 9 and 17 is the chamber music ideal of voice equality that became identified with “modern” quartet culture since the 1780s. It was by this time that the string quartet’s reputation had solidified as one of the most popular musical settings for sociability, manifested both in its external function as a leisure activity for four musicians and in its internal content lending “equal voice” to each instrument in a conversation-like texture.²⁵ This is not a modern assertion. In the third volume of his treatise *Versuch einer Anleitung zur Composition* (1793), for example, the composer/theorist Heinrich Christoph Koch writes:

Das Quatuor, anjezt das Lieblingsstück kleiner musikalischen Gesellschaften, wird von den neuern Tonsetzern sehr fleißig bearbeitet. Wenn es wirklich aus vier obligaten Stimmen bestehen soll, von denen keine der andern das Vorrecht der Hauptstimme streitig machen kann, so muß es nach Art der Fuge bahandelt werden. Weil aber die modernen Quartetten in der galanten Schreibart gesetzt werden, so muß man sich an vier solchen Hauptstimmen begnügen, die wechselsweise herrschend sind, und von denen bald diese, bald jene den in Tonstücken von galantem Stiele gewöhnlichen Baß macht.

Während aber sich eine dieser Stimmen mit dem Vortrage der Hauptmelodie beschäftigt, müssen die beyden [sic] andern, in zusammen hängenden Melodien, welche den Ausdruck begünstigen, fortgehen, ohne die Hauptmelodie zu verdunkeln. Hieraus siehet man, daß das Quatuor eine der allerschweresten Arten der Tonstücke ist, woran sich nur der völlig ausgebildete, und durch viele Ausarbetungen erfahrene Tonsetzer wagen darf.²⁶

The quartet, currently the favorite piece of small musical societies, is cultivated very assiduously by the more modern composers. If it really is to consist of four obbligate voices of which none has priority over the others, then it must be treated according to the fugal method. But because the modern quartets are composed in the *galant* style, there are four main voices which alternately predominate and sometimes this one, sometimes that one forms the customary bass.

²⁵ For a discussion of how sociability was encoded into the music of this period, see W. Dean Sutcliffe, “The Shapes of Sociability in the Instrumental Music of the Later Eighteenth Century,” *Journal of the Royal Music Association* 38 (2013): 1-45; and also Sutcliffe, “Before the Joke: Texture and Sociability in the Largo of Op. 33 No. 2,” *Journal of Musicological Research* 28 (2009): 92-118.

²⁶ Heinrich Christoph Koch, *Versuch einer Anleitung zur Composition* (1793; repr., Hildesheim: Olms, 1969), 3:325-326. Translated as *Introductory Essay on Composition: The Mechanical Rules of Melody, Sections 3 and 4*, trans. Nancy Kovaleff Baker (New Haven: Yale University Press, 1983), 207. Koch writes much the same in his definition of string quartet (*quatuor*) in his *Musicalisches Lexicon* of 1802. For an English translation of the passage in question, see Leonard G. Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer, 1980), 125-6.

While one of these parts concerns itself with the delivery of the main melody, the other two [melodic voices] must proceed in connected melodies which promote the expression without obscuring the main melody. From this it is evident that the quartet is one of the most difficult of all kinds of compositions, which only the composer who is completely trained and experienced through many compositions may attempt.

Here, Koch not only sets the parameters for voice equality within the *galant* style (presented in contrast to the fugal method), he equates it with the highest level of compositional mastery of his time. He goes on to single out only four of the masters in this respect: Haydn, Pleyel, Hoffmeister, and Mozart.

Given the confluence of factors in the year 1781—the composition of Haydn’s Op. 33 along with the letters advertising them as having been composed in a “new and special manner”; the arrival of Mozart in Vienna and the composition of his six quartets dedicated to Haydn and published in 1785;²⁷ and the publication of Pleyel’s Op. 1 following a five-year period of study with Haydn (1772-77)—Koch is most likely referring to this and subsequent stages in the development of the genre when he writes his definition of the “modern” string quartet. There also existed a kind of quartet culture between these composers themselves, known from documents like Leopold Mozart’s 1785 account of Haydn and W. A. Mozart performing quartets together in the latter’s Vienna apartment, along with the anecdote that Haydn purportedly stated directly, “I say to you before God and as an honest man, your son is the greatest composer known to me in person or by name: he has taste, and what’s more, the greatest knowledge of composition.”²⁸ Add to this

²⁷ For a translation and interpretation of Mozart’s dedication to Haydn in their publication, see Mark Evan Bonds, “The Sincerest Form of Flattery? Mozart’s ‘Haydn’ Quartets and the Question of Influence,” *Studi musicali* 22 (1993): 365-409.

²⁸ The anecdote and quote from Haydn can be found in a letter from Leopold Mozart to his daughter, dated 16 February 1785. See Emily Anderson, trans. and ed., *The Letters of Mozart and His Family* (London, 1938), 3:1321. A second account of Haydn and Mozart performing together, along with Dittersdorf and Vanhal, comes from the tenor Michael Kelly, this time in 1784. Here, there is more detail, including that Haydn and Dittersdorf were first and second violins, respectively, Mozart played viola, and Vanhal the cello. See *Reminiscences of Michael Kelly*, 2nd ed. (London, 1826), 1:237.

the revised contract that Haydn negotiated with the Esterházy court in 1779, allowing him to freely compose and publish his music, and we have the ingredients for the clear demarcation of a style period around 1780 involving the string quartet and with Haydn as its central figure.

Certainly, Opp. 9 and 17, as well as Op. 20, fall outside this period of intense social interaction between several masters all living in the same area, communicating and even competing with one another with respect to the string quartet.²⁹ Yet, in the previous decades, Haydn also shared the lead amongst the company of several quartet-composing contemporaries, such as Boccherini, Franz Asplmayr, Florian Leopold Gassmann, Carlo d'Ordoñez, Johann Gerog Albrechtsberger, Leopold Hofmann, and Johann Baptist Vanhal.³⁰ There are also plenty of noteworthy mid-century influences reflected in Haydn's style in Opp. 9, 17, and 20, including dramatic techniques of Christoph Willibald Gluck and Italian opera cultivated at Esterháza in the late 1760s, and the obvious yet difficult to pinpoint traits of C. P. E. Bach evident in so many of the features of these quartets and other instrumental music by Haydn from this period.³¹

Since Webster's critique, it is longer feasible to explicitly denigrate Haydn's early music on the grounds of "classical style." However, the call to study early Haydn at all, let alone more seriously, has gone largely unheeded in the general musicological and theoretical literature. Major recent and relevant scholarly publications have implicitly perpetuated this ideology through their omission of the music of earlier eighteenth-century composers, including the younger Haydn, in

²⁹ Most sense of competition was felt between Mozart and Pleyel, as Haydn was by far the most respected and established composer of the group during the 1780s. See Bonds, "Replacing Haydn: Mozart's Pleyel Quartets," *Music & Letters* 88 (2007): 201-25.

³⁰ For an intriguing study of Boccherini's quartets, see Elizabeth LeGuin, *Boccherini's Body: An Essay in Carnal Musicology* (Berkeley: University of California Press, 2005).

³¹ Much has been written in speculation concerning C. P. E. Bach's precise influence on Haydn, especially in regards to the solo keyboard sonata. See A. Peter Brown, *Joseph Haydn's Keyboard Music: Sources and Style* (Bloomington: Indiana University Press, 1986), 203-32; Ulrich Leisinger, *Joseph Haydn und die Entwicklung des klassischen Klavierstils bis ca. 1785* (Laaber: Laaber-Verlag, 1994), 246-320; and Bernard Harrison, *Haydn's Keyboard Music: Studies in Performance Practice* (Oxford: Clarendon Press, 1997), 167-95.

their studies. William Caplin, for example, openly states that his theory “is limited to the instrumental music of Haydn, Mozart, and Beethoven as representing the core repertory of the high Viennese classical style (ca. 1780-1810).”³² James Hepokoski and Warren Darcy boldly claim that their theory is “a method of approaching analytically any sonata-form movement from the period of Haydn, Mozart, and Beethoven.”³³ Although Janet Schmalfeldt makes overtures to Webster, *et al*, she begins her chapter on eighteenth-century music with an analysis of Op. 33 No. 3 in C major, citing their “sociological significance,” which may be interpreted as code for “classical style.”³⁴ In spite of all their theoretical virtues gleaned from empirical analysis or contemporary philosophy, each of these above-mentioned studies remain from an historical perspective somewhat unconvincing, as they try in vain to claim rigid exclusivity for aspects of musical form that in reality were always in flux and evident to varying degrees both well before and after the fixed style periods in question. As will be demonstrated, these claims lead to certain misinterpretations and inaccuracies, both theoretical and historical.

Literature on Opp. 9 and 17

While a substantial corpus of analysis currently exists for Op. 20, there have to date been no full-length studies devoted exclusively to Op. 9 and/or Op. 17. As for what literature does exist, we have the beginning of what appears to be a working field of inquiry, established since 2001. Floyd K. Grave has worked to break down the barrier of voice equality as a necessary precondition for the relative success of a string quartet by demonstrating how concerto style—in which a solo first

³² William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (Oxford: Oxford University Press, 1998), 3.

³³ James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), 9.

³⁴ Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (Oxford: Oxford University Press, 2011), 62.

violin would be expected to dominate the texture—played an integral role in all of Haydn’s string quartets.³⁵ This would theoretically clear the way for scholars to look at the earlier quartets without the preconception of inferiority associated with first-violin dominated textures. Separately, James Webster has characterized the quartets from Op. 9 as masterpieces that helped shape the Viennese quartet style in the 1770s, and introduced many of the trademark elements of Haydn’s style that would play a role in the genre for decades to come: this opus established the format for slow movements and finales; the use of witty endings-as-beginnings, as in the Minuet and Trio of Op. 9 No. 1; and the presence of multi-movement thematic unity, especially in Nos. 3-5.³⁶ In addition, Nancy November has attempted to establish a historical, aesthetic, and philosophical context for arias in the mid-eighteenth century, analyzing selections from the “operatic” slow movements of Opp. 9 and 17.³⁷ Finally, a discussion of the formal and harmonic ambiguity in the slow movements of Op. 17 has been published by James MacKay,³⁸ and an earlier version of Chapter 3 of this dissertation on Haydn’s use of minor mode and dissonant sonority in Opp. 9 and 17 was published in the same volume by the present author.³⁹

Perhaps the most gainful approach in breaking ground for the focus on Opp. 9 and 17 has been the de-emphasis on voice equality and focus on situations in which first-violin domination can be construed as a virtue. One such strategy is to highlight the slow movements of Opp. 9 and 17, many of which are cast as “instrumental arias.” November has interpreted the following 1772

³⁵ Floyd K. Grave, “Concerto Style in Haydn’s String Quartets,” *Journal of Musicology* 18 (2001): 76-97.

³⁶ Webster, “Haydn’s Op. 9,” 139-57.

³⁷ Nancy November, “Instrumental Arias or Sonic Tableaux: ‘Voice’ in Haydn’s String Quartets, Opp. 9 and 17,” *Music & Letters* 89 (2008): 346-72.

³⁸ James MacKay, “Sonata Form Experimentation in Joseph Haydn’s String Quartets, Opus 17,” *HAYDN: Online Journal of the Haydn Society of North America* 4.1 (2014), <http://haydnjournal.org>.

³⁹ Adem Merter Birson, “Minor Mode and Playing with Sonority in the Expositions of Haydn’s Opp. 9 and 17,” *HAYDN: Online Journal of the Haydn Society of North America* 4.1 (2014), <http://haydnjournal.org>.

quotation from Charles Burney as evidence for the importance of these slow movements in contemporary reception, establishing a link between solo aria and string quartet:

Between the vocal parts of this delightful concert, we had some exquisite quartets, by Haydn, executed in the utmost perfection: the first violin by M. Startzler [Starzer], who played the *Adagios* with uncommon feeling and expression; the second violin by M. Ordontez [Ordonnez]; [sic]. All who had any share in this concert, finding the company attentive, and in a disposition to be pleased, were animated to that true pitch of enthusiasm, which, from the ardor of the fire within them, is communicated to others, and sets all around in a blaze; so that the contention between the performers and hearers was only who should please, and who should applaud the most!⁴⁰

Due to the date of this quote from 1772 and lack of further specific information, it cannot be verified to which quartets Burney was specifically referring, Opp. 9, 17 or 20. However, he singles out the slow movements for their having been well-executed by the first violinist. There is a sense of intense musical communication depicted in this scenario, as indicated by all those who had a “share” in the concert interacting with one another, audience and performer alike. It seems, therefore, that in order for the musical conversation to have been able to reach “that true pitch of enthusiasm,” it was not considered distasteful during the early 1770s to have had the conversation dominated by one member of the quartet. In fact, as both November and Floyd K. Grave have pointed out, it would not have been appropriate for Haydn to have composed an Adagio, or music for other contexts in which a single voice carried the bulk of the expressive responsibilities, in another manner. Furthermore, Burney’s concert paired vocal pieces with string quartets, a fact that perhaps underscores the connection between song and instrumental music, both of which would feature predominantly a soloist who stood in hierarchical relationship to the other musicians.

⁴⁰ Charles Burney, *The Present State of Music in Germany, the Netherlands, and United Provinces* (1775; repr., New York, 1969), 1:294.

Goals and Main Thesis

In examining Opp. 9 and 17, I hope to build on these already-established foundations for a better understanding of the aesthetic and historical significance of these quartets. As Landon wrote, perhaps parodying Haydn's famous 1781 remarks, Op. 9 actually was written in an "entirely new manner."⁴¹ As outlined above, Haydn's quartets beginning with Op. 9 are distinct from the early quartets in outer design and expressive ambition, and they proved influential in their own time in spite of their present reputation. They also differ from the early quartets in what Grave and Grave have described as "expanded harmonic resources."⁴² Perhaps most striking is their use of dramatic, expressive, and extremely dissonant harmony, especially in the first and third movements.

Due to these factors, it seems pertinent to conduct a thorough examination of the ways in which Haydn used chromaticism in Opp. 9 and 17. Given the historical and analytical evidence, this initial formulation can be logically extended to propose that any complete understanding of the nature of chromaticism in Haydn's string quartets must therefore begin with Opp. 9 and 17. Since many of the chromatic moments in these quartets occur in the first and third movements, they constitute an integral part of the discourse in mid-eighteenth-century sonata style. This will therefore also necessarily entail an investigation into Haydn's conception of the sonata in the first and third movements of these quartets. While not necessarily concerned about the status of Opp. 9 or 17 as masterworks, I seek more modestly to analyze and interpret them for their most interesting and outstanding features as excellent musical compositions representative of their time and cultural *milieu*.

⁴¹ Landon, *Chronicle and Works*, 2:317.

⁴² Grave and Grave, *String Quartets of Joseph Haydn*, 164.

Chapter Preview

Chapter One will examine the available literature on Haydn's string quartets with respect to chromaticism, which currently focuses on examples from Op. 33 or later. There are three major avenues for understanding chromaticism in eighteenth-century music that have intersected with the study of Haydn's quartets. The first is pitch-specific chromaticism, whereby an individual chromatic pitch is given structural properties that can appear recognizably in various contexts and have significant consequences for our ability to derive musical meaning. The second is tonal enrichment, a process by which segments of complete chromatic scales gradually accrue over the course of a movement. The third is chromatic completion, the Schoenberg-inspired theory that eighteenth-century music was organized around the structural completion of chromatic scales or aggregates. Each avenue of inquiry will be treated with a literature review followed by an analysis of their respective merits and drawbacks. This will be followed by an alternative argument for the role of chromaticism as a broad class of dissonance—increased harmonic tension, half-step voice leading, modal shifts, chromatic chords, sudden modulations—as being more appropriate for analysis of Opp. 9 and 17, not the motivic/structural properties of individual chromatic pitches.

Chapter Two will focus on phrase expansion and the development process in the expositions of first movements in Opp. 9 and 17. In spite of many studies on sonata form in the nineteenth and twentieth centuries, Haydn's approach to sonata composition is still largely misunderstood, especially when considered in light of theories devised according to the styles of Mozart and Beethoven. Using Jens Peter Larsen's article, "Sonata Form Problems" (1963),⁴³ as a starting

⁴³ Jens Peter Larsen, "Sonatenform Probleme," in *Festschrift Friedrich Blume zum 70. Geburtstag*, ed. Anna Amalie Abert and Wilhelm Pfannkuch (Kassel: Bärenreiter, 1963), 221-30. Trans. Ulrich Krämer as "Sonata Form Problems," in *Handel, Haydn & the Viennese Classical Style* (Ann Arbor: UMI Research Press, 1988), 269-79; also trans. Jerald C. Graue as "Sonata Form Problems" (1978) and repr. in *HAYDN: Online Journal of the Haydn Society of North America* 3.2 (2013), <http://haydnjournal.org>.

point, I will critique the most recent and influential scholarship on late-eighteenth-century form with respect to Haydn, especially the work of James Hepokoski and Warren Darcy.⁴⁴ By focusing on Opp. 9 and 17, I avoid the circumscribed style period of their work, and “classical style” in general, enabling me to offer novel approaches to understanding what I have termed Haydn’s sonata style in the late 1760s/early 1770s; of course, any findings with respect to this style also have serious implications for his later quartets and instrumental music in general.

Rather than use the most current models of late-century sonata form that, no matter how sophisticated, still depend on a binary opposition of primary and secondary themes, I argue that the sonata is an organic procedure that takes shape as a result of the generative development and stylized dramatization of its own musical material. In this way, I avoid the rigidity of mainstream definitions of form that have symptomatically led to the by now tired portrayals of Haydn’s sonata style as unconventional. Beginning with Larsen’s analysis of Keyboard Sonata No. 20 in C minor (1771), followed by a comparison of Heinrich Christoph Koch’s analysis of the third-movement minuet from the Divertimento in G major, Hob. II:1 (composed before 1766) with my own analysis of Op. 1 No. 2 in E-flat major, I advocate for an alternative approach to analysis in Haydn, termed sonata style, that liberates one from the necessity of pinpointing essentials of sonata “form.” Using examples from Opp. 9 and 17, I demonstrate that Haydn’s conception of sonata style at mid-century revolved around the implication of structural cadences, the expansion of phrases beyond moments of potential closure, and the generation of form via newly-introduced and increasingly dissonant music.⁴⁵

⁴⁴ Hepokoski and Darcy, *Elements of Sonata Theory*.

⁴⁵ While seemingly relevant, Michael Spitzer’s “Haydn’s Reversals: Style, Gesture and Implication-Realization Model,” in *Haydn Studies*, ed. Sutcliffe, 177-217, deals more with minute details of melodic structures, whereas I approach formal rhetoric on the phrase level.

Chapter Three will build on the foundations of formal process established in the previous chapter to treat the role that shifts to the parallel minor in major-mode expositions of first movements play as types of dramatic dissonance during phrase expansions. This technique is directly drawn from tendencies observed in Opp. 1 and 2, but is treated in greater expressive dimension in Opp. 9 and 17. The chapter is organized around three detailed case studies of the major-mode expositions in which shifts to the parallel minor most prominently occur: Op. 9 No. 1 in C major, Op. 17 No. 2 in F major, and Op. 17 No. 6 in D major. In each of these quartets, the parallel minor is introduced towards the beginning of the second group, expanding the phrase and initiating the development process. I refer to these instances of minor mode harmonic detours as parallel minor passages. Most often, while the minor mode destabilizes the local tonic, its primary function is to allow for chromatic intensification of the dominant of the new key, especially through the dramatic use of the flatted-sixth scale degree and chromatic chords like the augmented sixth and diminished seventh. In addition to minor mode, in this chapter I will discuss how these parallel minor passages either lead to or are directly followed by a climactic dissonance on a chromatic sonority. Other quartets discussed include Op. 9 No. 6 in A major, Op. 9 No. 2 in E-flat major, Op. 9 No. 4 in D minor, and Op. 76 No. 6 in C major.

Chapter Four will continue along these same lines, dealing with other types of chromatic harmony employed by Haydn for dramatic phrase expansion. I will start by introducing the concept of the modulating sequence, which occurs only in expositions in major mode, and was one of Haydn's preferred methods of modulating to the dominant in sonata style. Having such an identifiable feature to grasp onto during the often tumultuous modulation process will enable me to focus on the significance of its absence or alteration in the recapitulation. Most often, the modulating sequence is omitted, allowing for a smooth connection between the end of the opening

phrase or period in the tonic and the continuation of the phrase at some point later in the recapitulation. Using quartets the expositions of which follow this progression, Op. 17 No. 5 in G major, Op. 9 No. 3 in G major, and Op. 17 No. 1 in E major, I trace the ways in which chromatic harmonies function as an integral part of phrase expansion and cadential rhetoric. In each of these cases, there is a particular gesture associated with a destabilizing chromatic harmonic event, providing a hermeneutic window into its ramifications both within the same phrase and later in the movement.

Finally, in Chapter Five, I investigate the slow movements of Opp. 9 and 17, which have been the object of recent study in the musicological literature for their identities as operatic arias for the first violin. Form is central in these movements, too, since one of the key issues in the discourse is their use of the formal types known as sonata, sonata without development, and binary. This chapter will look into the ways in which chromaticism not only functions formally and expressively, but might lend itself to the particulars of slow movements or any sense of parody of the operatic stage.

CHAPTER 1

CHROMATICISM IN HAYDN'S STRING QUARTETS

Before examining Haydn's use of chromaticism in Opp. 9 and 17, the primary focus of Chapters 3-5, I will look into the existing theories on how chromaticism is believed to function in later quartets by Haydn. Since the mid-twentieth century, there has been discussion of the expressive and structural potential of chromaticism in the musicological literature on late-eighteenth-century instrumental music, Haydn's instrumental music in general, and his string quartets in particular. Chromaticism has therefore become recognized as one of the fundamental aspects of Haydn's style; specific examples from his quartets have been analyzed for their tendency to locate structural properties in chromatic pitch material. This understanding originates with Charles Rosen, who asserts that dissonance is primarily responsible for creating and shaping musical form. In this view, Haydn marks individual chromatic pitch classes as significant during the opening phrases of his sonata-form first movements, and subsequently reintroduces them to initiate other formal events, like modulating transitions and second themes. Since Rosen, others have contributed to this discourse, building on his own original observations or identifying structural chromatic pitches in different quartet movements. This discourse has resulted in three distinct, yet related, approaches to analysis of chromaticism in Haydn's string quartets: pitch-specific chromaticism, tonal enrichment, and chromatic completion.

Pitch-Specific, Structural Chromaticism

One of the most influential trends in scholarship on Haydn's string quartets has to do with the development of specific chromatic pitch classes and their enharmonic equivalents from ornamental or melodic entities to structural and harmonic ones. The compatibility of this approach with Haydn's music, and general eighteenth-century thought on chromaticism, however, is debatable. To be sure, most of the studies in this category are concerned with larger issues of history, analysis, and aesthetics, but as such they have ventured into detailed discussions of chromaticism, and therefore form an important part of the thought on the possibilities of chromatic language in Haydn's instrumental music. As we will see, however, analyses of chromaticism that are oriented around a specific pitch class are initially compelling but quickly become difficult to maintain.

Charles Rosen's *The Classical Style: Haydn, Mozart, Beethoven* (1972) credits Haydn with the invention, via the string quartet, of an international musical language based largely on the dramatic use of dissonance.¹ His chapter on Haydn's quartets is a survey of the works composed from 1781 until the death of Mozart, or from Op. 33 through Op. 64. Rosen believes that the string quartet, for reasons of consistency of timbre and the use of four independent voices without continuo, was the medium perhaps best suited to the expression of the "classical style."² One of the central claims of this study is that Haydn's conception of this style was based on the use of energy in musical material in order to generate form:

The two principal sources of musical energy are dissonance and sequence—the first because it demands resolution, the second because it implies continuation. The classical style immeasurably increased the power of dissonance, raising it from an unresolved interval to an unresolved chord and then to an unresolved key.³

¹ Charles Rosen, "String Quartet," *The Classical Style: Haydn, Mozart, Beethoven* (New York: W. W. Norton, 1972), 111-42.

² *Ibid.*, 138. Rosen also claims that the keyboard was an ideal medium, though less so because it could not achieve the linear quality inherent to the string quartet.

³ *Ibid.*, 120.

In this view, dissonance is the primary means of creating what Rosen calls “musical energy,” and it can penetrate into deeper levels of harmonic structure. For Rosen, any dissonance contained within the opening phrase provides all the necessary tension required for the music to organically unfold from that point on. As an especially clear case, he quotes from the first movement *Allegro* of Op. 50 No. 1 in B-flat major (1787), “built from almost nothing at all”:⁴ a single, soft note, pulsing in the cello (Example 1.1).

Example 1.1. Joseph Haydn, “Quartett in B: ‘op. 50 Nr. 1,’” ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), first movement, measures 1-30. Used by permission.

Hoboken III:44

Allegro

The musical score is for a string quartet in B-flat major, Op. 50 No. 1 by Joseph Haydn. It shows the first 12 measures of the first movement, marked 'Allegro'. The instruments are Violino I, Violino II, Viola, and Violoncello. The key signature has two flats (B-flat major) and the time signature is common time (C). The Violoncello part begins with a single, soft note (piano, p) in the first measure, which is the focus of the example. The score includes various musical notations such as dynamics (p, f, dolce), articulation (accents, slurs), and fingerings (1, 3). The Violoncello part is marked with a 'p' (piano) in the first measure and continues with a steady pulse. The other instruments enter in the second measure with various melodic lines. The score is divided into two systems, with measures 1-6 in the first system and measures 7-12 in the second system.

⁴ Ibid. Rosen’s earlier analysis of Op. 33 No. 1 in B minor has been omitted from this survey due to his use of the corrupted Eulenberg edition of the score. Since the critical edition of the *Joseph Haydn Werke* for Op. 33 had not yet come out, Rosen interpreted a chromatic conflict between A-natural and A-sharp in the opening two measures that did not exist. See Rosen, 116-19. For more information, and a more accurate analysis of this quartet, see James Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style* (Cambridge: Cambridge University Press, 1991), 127-30. A discussion of Webster’s analysis appears below.

Example 1.1 (cont'd).

The musical score is presented in two systems. The first system contains measures 14 through 21, and the second system contains measures 22 through 29. The notation is for a string quartet, with Violin I and Violin II on the top staves, and Cello and Double Bass on the bottom staves. The key signature has two flats (B-flat and E-flat), and the time signature is 3/4. Dynamics such as *p* (piano) and *f* (forte) are indicated throughout. Measure numbers 14, 22, and 28 are explicitly marked at the beginning of their respective measures.

Rosen cites the melodic motion from e-flat'' to d'' in measures 3-4 in the first violin as a dissonance meant to call attention to its harmonic implications. The relationship between these two notes is emphasized throughout, as they figure prominently at the start of both the development section and the recapitulation, and form the final gesture at the conclusion of the first movement. Embedded within this larger analysis, Rosen notes that an f-sharp in the cello in measure 9 is the first chromatic pitch introduced in the quartet. It appears as part of a chromatic intensification of G minor and is immediately followed by yet another melodic iteration of e-flat'' and d'' in the first violin in measure 10. Rosen claims this chromatic pitch to be of special importance, since it participates in a larger process of increasing harmonic tension in the opening, culminating in measure 28, when the F-sharp "that has appeared so prominently is made more striking by being

presented as the bass of an augmented triad.”⁵ In making this statement, Rosen assumes that Haydn’s use of f-sharp’ in the transition is connected with its first appearance in measure 9 of the opening phrase. In this way, the single chromatic pitch class becomes structural and almost motivic in quality; it is treated as an entity and its status is raised from a dissonant pitch to a dissonant chord responsible for generating the modulation to the key of the second group.

Rosen’s analysis is insightful in many ways, yet his argument is not without historical or analytical flaw.⁶ In particular, while his identification of dissonance as form-generating is illuminating, his assignment of special significance to the diatonic pitch classes E-flat, D, and the chromatic F-sharp has led to misconceptions about the role that pitch specificity has to play as a dissonance in Haydn’s language. For example, the opening melodic motive in the first violin rises from e-flat’’ and d’’ in measures 3-4 to g’’ and f’’ in measures 5-6. Instead of following the overall trajectory of this motive, Rosen remains fixated on its original pitch content, which has now migrated to an inner voice.⁷ The role of e-flat’’ and d’’ in measure 10 is also not as clear as he would like. While it is theoretically compelling that they signify a reinterpretation of those two pitches from B-flat major to G minor, the e-flat’’ appoggiatura of measure 10 may just as plausibly be heard as unrelated to the opening, part of a dramatized cadential progression heading towards a PAC in the tonic in measure 12. In fact, this latter interpretation may offer a more meaningful alternative to Rosen’s analysis because it directs attention away from atomized pitch content and allows the intensified motion to the submediant to be heard as a dramatic gesture in the larger context of the phrase and its cadence.

⁵ Ibid., 123.

⁶ See Webster, *Haydn’s “Farewell” Symphony*, 335-41. Webster critiques Rosen’s treatment of Haydn’s music from the 1770s and the notion of “classical style.”

⁷ See Rosen’s voice-leading reduction in *Classical Style*, 121.

Rosen's analysis presents further difficulties when examined for its interpretation of chromaticism. His assertion that the f-sharp in measure 9 has special significance as the "first chromatic alteration in the movement" leaves further implications of this observation unstated, except that the pitch will be emphasized until it is used in measure 28 to initiate the modulation. There is no mention of chromatic pitches other than F-sharp in the opening, for instance the b-natural' of the first violin in measure 10; the g-flat' in the viola in measure 14; and the a-flat' in the viola in measures 18 and 22.⁸ The pitches b-natural' (measure 10) and a-flat' (measures 18 and 22) also appear in the initial measures of the passage beginning at measure 28, making it unclear how F-sharp stands out as the sole agent of initiation.

Furthermore, the idea that the incorporation of f-sharp' as the bass of an augmented triad is of special importance is mitigated by the alternative interpretation that measure 28 is not merely an augmented triad, but also an embellished F-sharp diminished seventh chord; the d'' and b-flat' of the violins are re-attached suspensions from the B-flat major triad that concluded the previous phrase.⁹ The chord in measure 28, therefore, is not an obvious harmonic development of the initial appearance of the f-sharp in measure 9, where it is also presented as the bass of a diminished seventh chord. While Rosen's ability to assign meaning to a particular chromatic pitch class—and to trace its appearances throughout a movement as related—is impressive, it is not necessarily representative of the way chromaticism operates as a domain of dissonance in Haydn's music.

Rosen's ideas regarding the form-generative capabilities of individual chromatic pitch classes have become influential. W. Dean Sutcliffe's handbook to Haydn's string quartets, Op. 50,

⁸ The main idea is executed in the viola and the cello in measures 18 and 22, while the pulsing, single note accompanimental idea passes between the violins.

⁹ Although the concept of a suspension occurring after a formal caesura is not common, the musical example provides evidence that Haydn found it acceptable to maintain harmonic logic across adjacent formal divides.

also features pitch-specific discussions of chromaticism.¹⁰ According to Sutcliffe, the second movement of Op. 50 No. 1 in B-flat major, an *Adagio* theme-and-variations movement in E-flat, contains further ramifications of Haydn's use of the chromatic pitch class F-sharp from the first-movement. At the end of the main theme of the *Adagio*, g-flat' is heard in the first violin across measures 11-12 before the tonic PAC (Example 1.2). Sutcliffe describes the note as being out of context until the start of the second variation at measure 25; here, the g-flat' is seen to have functioned partly as preparation for the minor mode (Example 1.3).¹¹ This variation forms the climax as it enters at the mid-point of the movement, and its arrival apparently marks the development of the dissonant g-flat' from melody to harmony; or, to quote Rosen again, from "an unresolved interval to an unresolved chord and then to an unresolved key."

Example 1.2. Joseph Haydn, "Quartett in B: 'op. 50 Nr. 1'," ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), second movement, measures 1-12. Used by permission.

The image displays a musical score for the second movement of Joseph Haydn's String Quartet in B-flat major, Op. 50 No. 1. The score is written for four staves: Violin I, Violin II, Cello, and Double Bass. The key signature is two flats (B-flat major), and the time signature is 8/8. The tempo marking is 'Adagio'. The score shows measures 1 through 12. In the first violin part, there is a notable chromatic descent in the final measures, ending on a G-flat. Various musical notations such as 'p' (piano), 'fz' (forzando), and 'staccato' are used to indicate dynamics and articulation. The bottom system of the score includes measure numbers 7 and 11.

¹⁰ W. Dean Sutcliffe, *Haydn: String Quartets, Op. 50* (Cambridge: Cambridge University Press, 1992).

¹¹ *Ibid.*, 72.

Example 1.3. Joseph Haydn, “Quartett in B: ‘op. 50 Nr. 1’,” ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), second movement, measures 23-26. Used by permission.



Sutcliffe later observes how a supposedly ongoing chromatic conflict between G-natural and G-flat is resolved in the concluding variation when, after g-flat' has preceded the cadence in measure 58, in the codetta the final melodic gesture of the movement is a diatonic leap from g-natural' to e-flat' across measures 60-61 (Example 1.4).

Example 1.4. Joseph Haydn, “Quartett in B: ‘op. 50 Nr. 1’,” ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), second movement, measures 54-61. Used by permission.



Example 1.4 (cont'd).

Here again, however, focus on the ramifications of a single chromatic pitch class obscures the overall progression of the phrase. The g-flat' does not appear completely out of context, but rather as a member of an A-natural diminished seventh chord—already containing g-flat' in the second violin—that serves as a passing harmony within a cadential progression using the bass line 4-4#-5 in the cello. While it is true that Haydn seizes an opportunity to suggestively write an exposed g-flat' just before a cadence in E-flat major, the g-flat' itself is not harmonically unjustified; in fact, a diatonic g-natural' would have sounded the more out of place in this progression.

There are also other domains in play that add to the generation of form in this movement. Sutcliffe's assertion that the pitch g-flat' anticipates the minor variation should be tempered, since presentation of the theme in minor was commonplace in theme-and-variations movements during the eighteenth century. In addition, if the existence of the codetta is in part due to the need to resolve G-flat into G-natural, it is also motivated by the metric displacement caused by the cadence at measures 57-58. Including measure 58, each of the next three measures has the dominant occurring on the downbeat followed by a relatively weak tonic cadence. Only in measure 61 is the displacement corrected by having the tonic fall on the downbeat.

Nevertheless, Sutcliffe further echoes Rosen when he offers an even stronger interpretation of the F-sharp from the *Allegro*, establishing a connection between it and the G-flat from the *Adagio* and treating them as a single chromatic entity:

The presence of the G-flat itself provides another feature that demands the active understanding of the listener. This note, leaving a sting at the end of a restful theme, looks both back and forward. It is a strongly pointed reminder of the dissonant F-sharp/G-flat that counterpointed E-flat in the first movement. This was the first chromatic note to be introduced in the *Allegro*, at bar 9.4. *Haydn often utilizes the immediate aural impact of such a note at turning-points in the subsequent harmonic structure* [emphasis mine].¹²

Now the ideal listener is expected to hear the first violin's g-flat' in measure 11 of the second movement as having come from the cello's f-sharp in measure 9 of the first movement. The importance of the pitch class F-sharp in the opening was already perhaps overstated by Rosen, yet it is that initial observation which leads Sutcliffe to extend the chromatic note's structural properties from across adjacent phrases in a single movement to across movement boundaries.¹³

For further references to pitch-specific chromaticism in the literature, I turn to James Webster, who, though in disagreement on Rosen's attitude towards Haydn's music from the 1770s, accepts the notion of individual chromatic pitches as potential sources of form-generating tension. Included in this discussion is an augmentation of Rosen's analysis of the quartet Op. 33, No. 1 in B minor.¹⁴ Webster's first point is that the initial gesture is not a complete D major triad in first inversion—an erroneous feature of the Eulenberg edition that prompted Rosen's misidentification

¹² Ibid.

¹³ Similar analyses featuring individual chromatic pitches also appear for Op. 50 Nos. 2 and 5. See Sutcliffe *Haydn: Op. 50*, 81-83, and 94-99.

¹⁴ James Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style* (Cambridge: Cambridge University Press, 1991), 128-29. Another analysis from this study that more explicitly asserts the structural properties of a specific chromatic pitch deals with Haydn's "Oxford" Symphony, No. 92 in G major, where a dissonant C-sharp is highlighted for its alleged progression from a melodic surface element to the harmonic root of a diminished seventh chord in the slow introduction. See Webster, 162-73. Since that analysis is of a symphony and not a string quartet, it has been omitted from this survey.

of a dramatic clash between A-natural and A-sharp in the first two measures—but rather an incomplete triad between the first and second violin, featuring only d'' and f-sharp' (Example 1.5). This is responsible for the tonal ambiguity of the opening, which would possibly have been understood by the original performers to have been equally in D major as it could have been in the actual tonic, B minor. The realization of a single tonic comes at the end of measure 2, however, when f-sharp' and c-sharp'' in the violins establish the fifth of the dominant of B minor. All doubt is then removed in measures 3-4, when the ensemble participates in a dramatic expansion of this dominant, replete with rhythmic staccato figures, *crescendo*, and climax of register.

Example 1.5. Joseph Haydn, “Quartett in h: ‘op. 33 Nr. 1’,” ser. XII, vol. 3 of *Joseph Haydn Werke*, ed. Georg Feder and Sonja Gerlach (Munich: Henle, 1974), first movement, measures 1-4. Used by permission.

Allegro moderato Hoboken III:37

The musical score is for the first movement of Joseph Haydn's Quartet in A major, Op. 33 No. 1. It shows measures 1 through 4. The tempo is marked 'Allegro moderato'. The key signature is one sharp (F#). The time signature is common time (C). The instruments are Violino I, Violino II, Viola, and Violoncello. The score begins with a dynamic of *p* (piano). In measure 1, Violino I plays A4 (natural) and Violino II plays A4 (sharp). In measure 2, the violins play F#4 and C#5, establishing the fifth of the dominant. In measures 3-4, the ensemble participates in a dramatic expansion of this dominant, with rhythmic staccato figures, a *crescendo*, and a climax of register. The score includes dynamic markings of *p*, *cresc.*, and *f*.

Like Rosen, Webster points out a dramatic cross relation between A-natural and A-sharp in the opening phrase, but his use of the *Joseph Haydn Werke* critical edition (1974) enables him to identify the conflict as beginning in measures 3-4, between the cello and the upper strings. Moreover, this clash coincides with a deceptive motion in the bass, further highlighting the instability of the moment. In Webster's analysis, too, the chromaticism at this point reverberates with the tonal ambiguity of the opening. As in the above cases, however, Webster's focus on specific pitch content perhaps obscures the larger point. The a-natural in the cello has no adverse

effect on the sense of B minor in measures 3-4, since there is a strong feeling of dominant harmony provided by the f-sharp in the bass and the A-sharps in the upper strings. Yet to call attention to the dramatic meaning of a chromatic clash that points to the relationship between B minor and D major, is not harmonically accurate. The figure in the cello comes from the melody in measures 1-2, and the use of ornamental a-naturals is motivated by the fact that a-sharps would have created a melodic augmented second with g-natural.

Pursuing the consequences of this opening to later in the movement, however, Webster finds ramifications of the chromatic clash at the recapitulation, where a-sharp' appears between the previously incomplete f-sharp' and d'' in measure 59 (Example 1.6). He writes:

Finally, Haydn articulates the beginning of the recapitulation with one last D-major/B-minor trick (which, owing to the corrupt texts, has gone unnoticed). Dominant preparation for B minor is strong and unambiguous (mm. 57-58), emphasized by an augmented sixth chord. The reprise reverts to the high register of the beginning, the cello again pausing; the melody is unaltered, the bass (in the viola) essentially so. But one tiny change effects a stunning reversal. The second violin completes the triad; it even resolves the original ambiguity, by providing the “missing” leading-tone a-sharp'—but in so doing it creates an *augmented* triad! This new harmonization may be logical, but it is implicitly destabilizing, indeed, explicitly dissonant; it miraculously recapitulates the original fluidity and complexity as well. (The corrupt scores and parts give the bowdlerization a' in place of Haydn's a-sharp'.)¹⁵

Example 1.6. Joseph Haydn, “Quartett in h: ‘op. 33 Nr. 1’,” ser. XII, vol. 3 of *Joseph Haydn Werke*, ed. Georg Feder and Sonja Gerlach (Munich: Henle, 1974), first movement, measures 56-63. Used by permission.



¹⁵ Ibid., 129.

Example 1.6 (cont'd).

The fact that the harmony at the moment of recapitulation in measure 59 constitutes an augmented triad for Webster further signals the importance of a-sharp' at this moment. It resolves the tonal ambiguity presented in the opening, yet delays satisfactory resolution of the instability by virtue of the dissonant intervals of the triad.

As in the case of Op. 50 No. 1, however, the augmented quality of this triad is not so apparent, as both the a-sharp' in the second violin and the f-sharp' in the viola are suspended from the previous HC on F-sharp major. Even though the resolution of a-sharp' to b' in the second violin occurs over g' in the viola's bass line, both the identity and function of the a-sharp' as a suspension remain the same. Furthermore, there is no need for Haydn to emphasize a presumed missing leading tone in measure 59 because it has long been established as part of the dominant seventh chord leading up to measure 58. Given the strong harmonic implications at this pivotal moment, tonal ambiguity would have been impossible. Webster himself acknowledges the lack of ambiguity in the recapitulation, which, however, runs counter to his previous statement that it articulates "one last D major/B minor trick." The broader harmonic context mitigates the specific impact of the a-sharp' on the overall sense of dissonance in this passage. As in the opening, the source of the dissonance can be heard as coming from the dominant, the continuation of which occurs across the structural boundary of the recapitulation in measures 58-9. In fact, tension caused by this

prolonged dominant grows to a frenzy, and is only released in measure 72 with the arrival of a root-position B minor tonic triad emphasized with a *forte* dynamic.¹⁶

Tonal Enrichment

Floyd and Margaret Grave also interpret Haydn's use of chromaticism in detail in their chapter on Op. 54/55 in *The String Quartets of Joseph Haydn*.¹⁷ Their analysis pairs chromaticism with a phenomenon they call tonal enrichment, referring to an accumulation of chromatic pitches that ultimately prepares modulation to remote harmonic areas. Their discussions in this section mostly do not depend on pitch-specificity, making them generally unproblematic. However, in their analysis of the first movement of Op. 55 No. 3 in B-flat major, they conflate tonal enrichment with a process by which chromatic lines accrue in a chain-like manner to an original chromatic pitch at different structural events of this movement. Rosen was again the first to point out the conflict between the e-natural' and e-flat'' across measures 4-5.¹⁸ Like Rosen, the Graves highlight the e-natural' in measure 4 as the first chromatic pitch in the work and associate the chromatic line in the cello, e-flat-e-natural-f in measures 6-7, as having been elicited from the original pitch, initiating a process of tonal enrichment around this line (Example 1.7).

¹⁶ The first movement of Op. 64 No. 2 in B minor begins with a nearly identical expression of tonal ambiguity, creating similar effects at both the opening phrase and the moment of recapitulation.

¹⁷ Grave and Grave, *String Quartets of Joseph Haydn*, 252-56.

¹⁸ Rosen, *Classical Style*, 130-31.

Example 1.7. Joseph Haydn, “Quartett in B: ‘op. 55 Nr. 3’,” ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), first movement, measures 1-9. Used by permission.

Vivace assai Hoboken III:62

The musical score displays the first nine measures of the first movement. The instruments are Violino I, Violino II, Viola, and Violoncello. The tempo is 'Vivace assai'. The key signature is two flats (B-flat major). The time signature is 3/4. The score shows the initial development of a motive across the instruments, with dynamic markings like *p* (piano) and *f* (forte). The motive is characterized by a chromatic line that moves through various pitch classes, including E-flat, E-natural, and F.

The Graves aim to illustrate the process of chromatic accretion of this motive beyond the pitch classes E-flat, E-natural and F. This technique is somewhat different from the idea of a single pitch becoming harmonically developed by moving from melodic ornament to harmonic and structural agent; the analysis claims that growing chromatic lines in and of themselves can function as motivic forms of dissonance. The motive, for example, attains a g-flat’ in the viola in measures 21 and 23 (Example 1.8), and then reappears in the second group with the addition of d, f-sharp and g in measures 46-48. The line is thus extended to encompass a fully-chromatic interval of a fourth, from d’-g’ (Example 1.9).

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Handwritten musical score for 'The Rose Tree'. The score is written on four staves. The first two staves are in treble clef with a key signature of one flat (B-flat). The third staff is in bass clef with a key signature of one flat (B-flat). The fourth staff is in bass clef with a key signature of one flat (B-flat). The music features various notes, rests, and dynamic markings such as *p* (piano) and *fz* (forzando). The piece concludes with a double bar line and a repeat sign.

Example 1.10. Joseph Haydn, “Quartett in B: ‘op. 55 Nr. 3’,” ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), first movement, measures 60-66. Used by permission.

60

f

f

f

f

The musical score for 'The Rose Tree' is presented in a four-staff format. The first staff (treble clef) contains the melody, starting with a forte (*f*) dynamic. The second staff (treble clef) provides harmonic support with chords. The third staff (bass clef) continues the harmonic support with chords. The fourth staff (bass clef) provides a bass line, also starting with a forte (*f*) dynamic. The score is in 2/4 time and features a key signature of one flat (B-flat). The melody is characterized by a series of eighth and sixteenth notes, with a prominent trill in the fourth measure. The harmonic support consists of sustained chords and moving lines in the lower staves.

The two lines are supposedly linked in the recapitulation, where the first violin plays an ascending chromatic scale from d' to b-flat' in measures 137-38 (Example 1.11), thus displaying all of the pitches involved in the development of this motive as a countersubject to the main theme, presented in the viola.

Example 1.11. Joseph Haydn, “Quartett in B: ‘op. 55 Nr. 3’,” ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), first movement, measures 125-40. Used by permission.

The image displays a musical score for measures 125-133 of Joseph Haydn's Quartett in B, op. 55 Nr. 3. The score is written for four staves: Violin I, Violin II, Viola, and Cello/Double Bass. The key signature is B-flat major (two flats), and the time signature is 2/4. The first system (measures 125-132) shows a complex texture with various dynamics (f, p, f(z), p) and articulations. The second system (measures 133-140) shows a continuation of the themes, with a prominent ascending chromatic scale in the first violin in measures 137-138.

While the observation of an increasing volume of chromatic pitches in any tonal composition that modulates is axiomatic, and the notion that chromaticism plays a role under the rubric of tonal enrichment is, broadly speaking, accurate, the assertion that any of these chromatics are motivically related to one another as pitch classes causes the downplaying of other aspects, even other chromaticism. For instance, ascribing motivic properties to the chromatic line e-flat–e–natural–f in the cello at measures 6-7 assumes lesser significance for the immediately subsequent

chromatic lines g'-g-sharp'-a', and b-flat'-b-natural'-c'' in the second and first violins, respectively, across measures 7-8 (refer back to Example 1.7). It also neglects to theorize the alteration of the opening theme upon its repetition in measure 9, which highlights the pitch classes A-flat and B-natural in measures 12-13. Furthermore, the supposed extension of the motive to g-flat'' in measures 20-23 is part of a phrase that concludes with a HC in which the root of the dominant, f' in the viola, is surrounded by its chromatic neighbors e-natural' and g-flat'. As we will see, this is a common use of chromaticism in Haydn whereby passages of standing on the dominant are intensified via half-step voice leading and chromatic harmony (Chapter 3). Note how the fifth of the chord, c'' in the first violin, is likewise intensified with d-flat'' in measures 21 and 23, momentarily implying B-flat minor, before rising to d-natural'' in measure 25 (refer back to Example 1.8).

Focus on the tonal enrichment of the supposed chromatic motive also causes overlooking of the harmonic implications of the opening gesture involving E-natural. In the opening, the main idea was played as a unison, with all four voices expressing the chromatic E-natural. In the recapitulation, however, Haydn harmonizes the theme in a surprising way. The B-flat, which presumably would have supported an implied tonic, is first heard in the violin over a quarter rest, then is reinterpreted as the fifth of an E-natural diminished seventh chord (refer back to Example 1.11). The last quarter of the measure, which in the original melody resolves to A, does so here supported by a tonicized F major triad. The gesture is repeated on the tonic in the next measure, with e-flat in the first violin harmonized as part of an A diminished seventh chord. The last two measures of the opening approach the E-natural as the third of a C dominant seventh chord by way of a preceding augmented sixth chord, with D-flat in the bass, creating a second-violin counterpoint of b-flat-b-natural-b-flat. The harmonic implications of the C dominant seventh

chord explain the juxtaposition with E-flat in the next measure, as it deflects the progression back towards B-flat major for a HC in the tonic. In this way, the repetition of the main idea fits into a larger context of heightened chromatic activity.

Chromatic Completion

Others have dealt with chromaticism by assigning special significance completions of chromatic aggregates. These studies tend to encompass and expand upon the logic of pitch-specific chromaticism and tonal enrichment, making them in some respects more comprehensive theories that account for and interpret all the chromatic pitch classes within a given musical section or work. In the most influential formulation of this approach, James M. Baker arrives at a hybrid historical framework that combines what he identifies as eighteenth-century pitch sensitivity with twentieth-century understandings of the structural properties of chromaticism by using selections from the writings of Johann Philipp Kirnberger (1721-83), Heinrich Christoph Koch (1749-1816), and Georg Joseph Vogler (1749-1814), and then supplementing them with the views of Arnold Schoenberg (1874-1951), Anton Webern (1883-1945), and Heinrich Schenker (1868-1935).¹⁹ Using this rubric, Baker claims to demonstrate a tendency on the part of eighteenth-century composers to fill out the harmonic space of a given musical section with all twelve chromatic pitch classes. For instance, in the third of Mozart's six "Haydn" quartets, K. 428 in E-flat major, the repetition of the opening phrase completes the chromatic aggregate (Examples 1.12-1.13).²⁰

¹⁹ James M. Baker, "Chromaticism in Classical Music," in *Music Theory and the Exploration of the Past*, ed. Christopher Hatch and David W. Bernstein (Chicago: University of Chicago Press, 1993), 233-307; esp. 233-59.

²⁰ *Ibid.*, 235-39.

Example 1.12. W. A. Mozart, String Quartet in E-flat major, K. 428, measures 1-4 (9 tones).

Allegro non troppo

Example 1.13. W. A. Mozart, String Quartet in E-flat major, K. 428, measures 12-15 (12 tones).

12

Baker locates a source of dissonance in the absence of the chromatic pitch classes F-sharp/G-flat, C-sharp/D-flat in Mozart's opening idea, which by virtue of being in unison uses 9 out of the 12 pitch classes of the full chromatic aggregate. In fact, owing in part to Rosen's concept of dissonance, Baker identifies the tension created from the supposed expectation of aggregate completion as responsible for generating the newly-harmonized texture of the phrase at its repetition in measure 12, which provides the remaining notes of the completed aggregate.

A later study by Baker applies the same principles to Op. 76, No. 6, also in E-flat major.²¹ Baker claims chromaticism is responsible for the unique formal design of this quartet, most likely referring to the *Fantasia* second movement, thought of as beginning in the key of B major without key signature (the five-sharp key signature comes later, at measure 60).²² In spite of its coherence, deficiencies in this theory can be identified, especially since its tenets force one to problematize any musical unit that does not contain all twelve chromatic pitch classes, irrespective of other musical domains.

As with the above authors, Baker's conception of chromaticism is dependent on pitch specificity. He finds enough pitch material to satisfy the aggregate theory by counting the chromatic pitches of the 36-measure opening theme, all of which appear by measure 9 (Example 1.14).²³ Baker finds it significant that the first chromatic pitch class to appear after the repeat completes the aggregate, claiming that Haydn reserved it for the special formal function of highlighting the new section. With respect to this opening theme, Baker later argues that the subsequent movement in the remote tonality of B major (the movement begins without key signature) is anticipated, one might say generated, by the c-flat'' in the first violin in measures 24-25 as part of an interpolation of the main theme.²⁴

²¹ Baker, "Chromaticism, Form, and Expression in Haydn's String Quartet, Op. 76, No. 6," *Journal of Music Theory* 47 (2003): 41-101.

²² *Ibid.*, 41-42.

²³ *Ibid.*, 47-48.

²⁴ *Ibid.*, 60.

Example 1.14. Joseph Haydn, “Quartett in Es: ‘op. 76 Nr. 6’,” ser. XII, vol. 6, ed. Horst Walter (Munich: Henle, 2003), first movement, measures 1-36. Used by permission.

Allegretto Hoboken III:80

The musical score is presented in four systems, each containing four staves (Violino I, Violino II, Viola, and Violoncello). The key signature is two flats (B-flat and E-flat), and the time signature is 2/4. The tempo is marked 'Allegretto'. The score includes dynamic markings such as *f* (forte) and *p* (piano). The first system (measures 1-8) shows the initial entry of the instruments. The second system (measures 9-18) features a more active melodic line in the first violin. The third system (measures 19-27) shows a change in texture with more sustained parts. The fourth system (measures 28-36) concludes the excerpt with a final cadence.

Lastly, Baker finds motivic connections with the chromatic lines A-flat–A-natural–B-flat and C-natural–C-flat–B-flat in the second and fourth movements. In the second movement, for example, the modulation from B major to C-sharp minor supposedly features a retrograde inversion of the A-flat–A-natural–B-flat, this time spelled A-sharp–A-natural–G-sharp in the cello at measures 14-15 (Example 1.15).²⁵ Throughout his analyses, chromatic aggregate completion corresponds to identification of important formal junctures.

Example 1.15. Joseph Haydn, “Quartett in Es: ‘op. 76 Nr. 6’,” ser. XII, vol. 6, ed. Horst Walter (Munich: Henle, 2003), second movement, measures 1-17. Used by permission.

Though not explicitly stated as such, Baker’s theory of chromatic completion in some ways represents the fullest realization Rosen’s pitch-specific model. The difficulties encountered with

²⁵ Ibid.

the isolation of an individual chromatic pitch in spite of the presence of others are dealt with in this approach by literally accounting for every non-diatonic pitch class in a given passage of music.

Even in this effort, however, it is impossible for Baker to assign meaning to every chromatic pitch class, and the added condition that form is generated from the need to supply certain chromatic pitch classes hitherto lacking represents a further abstraction from Rosen's analyses. While the above-mentioned studies form contributions to the study of chromaticism in eighteenth-century music, they cannot allow for approaches to eighteenth-century notions of chromaticism without involving the obligatory completion of a chromatic octave or aggregate, a technique seemingly contrary to eighteenth-century conceptions and practices of music.²⁶ This is partially due to the reliance on twentieth-century atonal procedures, perhaps conditioned by serialism, in which the use of all the pitches of a chromatic octave were believed to have had organizational properties. There is thus an impulse towards assigning significance to complete chromatic scales or aggregates that may not have been current in eighteenth-century musical thought. Although Baker was likely correct in his assertion that musicians of the time may have been sensitive enough to pitch to have been able to discern subtle chromatic inflections, he needed to include the post-tonal theoretical perspective of Schoenberg to establish any link between the role of chromaticism in eighteenth-century music and completion of chromatic aggregates as structural devices.

The common thread of these analyses is the belief that Haydn himself, consciously or unconsciously, maintained a focus on particular chromatic pitches as determining factors in the shaping musical form. It speaks to the assumption of the extent to which pitch-specificity formed

²⁶ Other studies that promote similar theories of chromatic completion are Henry Burnett and Shaughn O'Donnell, "Linear Ordering of the Chromatic Aggregate in Classical Symphonic Music," *Music Theory Spectrum* 18 (1996): 22-50; Burnett and Roy Nitzberg, *Composition, Chromaticism and the Developmental Process: A New Theory of Tonality* (London: Ashgate, 2007); Edward Green, "The Principle of Chromatic Saturation in the Late Vocal Music of Mozart and Haydn," *The Choral Journal* 46 (2006): 34-50; and Green, "Chromatic Completion in the Late Vocal Music of Haydn and Mozart: A Technical, Philosophical, and Historical Study" (Ph.D. diss., New York University, 2008).

part of Haydn's aesthetic. I hope to have demonstrated that this is not necessarily the case, and that this betrays more of a twentieth-century understanding of the structural properties of pitch material than it does actual eighteenth-century practice, as represented by Haydn. For each of the above cases, I hope to have offered a counter argument for the way in which chromatic gestures operate in concert with diatonic harmony and work within the context of tonal progression, phrase, and cadence.

Chromaticism as Dissonance and Gesture

There seems to be a consensus among these studies, beginning with Rosen, that Haydn occasionally conceived of chromaticism as motivic, and that the quartets in which this occurs are of special importance. It is also generally assumed that this practice began only with the advent of the "classical" style in Op. 33, and that Haydn's harmonic language became more saturated with chromaticism later in his career. One of the virtues of this approach is that it incorporates dissonance and formal rhetoric as central to Haydn's musical language, yet a drawback is that it tends to cause fixation on pitch-specific interpretations that ignore broader contexts.

There has been no overt methodology explicitly stated, yet piecing together the approaches of the authors leads to some impression of agreed-upon, implicit principles. Motivic properties are usually only assigned to a single chromatic pitch; however, they can also involve clashes between a chromatic pitch and its diatonic namesake. The chromatic pitch in question will either be the first non-diatonic pitch in the first movement, or be signaled via some other rhetorical gesture that marks it as a special dissonance. In order to function as a motive, the chromatic pitch should have harmonic implications that later become structural, for example initiating the modulation to the second key. From the second harmonic area on, it may reappear at important dramatic moments in

the form, such as during remote modulations in the development section, at the start of the recapitulation, during the modified bridge passage that enables the music to remain in the tonic, or as the last gesture of the movement, resolving tension it initially served to create. The parameters thus far defined seem to be most commonly applied to first movements in sonata form, but are not limited to this, with examples appearing also in slow introductions, and theme and variation movements. The appearance of a motivic chromatic pitch class in the middle movements may also indicate cyclic integration in that the pitch class originated in the first movement.

As I have attempted to demonstrate in each analysis from the literature on chromaticism in Haydn's string quartets, this approach at best is insufficient in describing what role chromaticism does play as a dissonant element in the formal process of development. Getting away from pitch-specific interpretations and focusing on Haydn's broader applications of chromaticism in the context of phrase expansions and cadential rhetoric leads to several illuminating tendencies that are grounded much less in abstraction and more incorporated in the dynamic processes of the music itself. By way of a final example, I turn to the commonly-cited instance of motivic chromaticism in Op. 50 No. 5 in F major and its dramatic use of C-sharp in the opening phrase (Example 1.16).

Example 1.16. Joseph Haydn, "Quartett in F: 'op. 50 Nr. 5'," ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), first movement, measures 1-8. Used by permission.

(Allegro moder)ato Hoboken III:48

Violino I

Violino II

Viola

Violoncello

The emphasis on pitch specificity as a criterion for dissonance has caused many who have analyzed this quartet to misread the significance of C-sharp. As in most of the above cases, the method originated in Rosen, who claims that the “first striking dissonance we hear is generally used later as the means of launching the first large harmonic movement.”²⁷ He highlights the C-sharp in the cello and viola in measure 5 and says “It is both charming and logical when, twenty measures later, the same note is superimposed on the first measure to begin modulation to the dominant” (Example 1.17).²⁸

Example 1.17. Joseph Haydn, “Quartett in F: ‘op. 50 Nr. 5’,” ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), first movement, measures 22-28. Used by permission.



Sutcliffe echoes Rosen by tracing ramifications of C-sharp further into the coda. He also points out the lack of emphasis on this chromatic pitch in the slow movement (his analyses of Op. 50 Nos. 1 and 2 demonstrate continued motivic use of the first chromatic introduced in the opening movement).²⁹ As we shall see in Chapter 4, Haydn’s use of c-sharp” in measure 25 is a common strategy for modulating to the dominant by way of sequence, first by playing the opening idea in the key of the submediant, then sequentially repeating it a whole step lower. This instance is not

²⁷ Rosen, *Classical Style*, 131.

²⁸ *Ibid.*, 132.

²⁹ Sutcliffe, *Haydn: Op. 50*, 94-99.

exactly sequential, but it begins with the opening idea in the upbeat to measure 25, winding up in D minor in the next measure, followed by a varied repeat that is modified to end on the dominant of C major. The C-sharp from the opening phrase therefore does not necessarily have to do with generating the c-sharp'' in measure 25. Instead, the opening chromatic dissonance may be conceived of as a broader class of destabilizing gesture that initially plays on the sound of C-sharp in the bass. Without focusing on the score, this pitch could be heard as D-flat, which would resolve downwards to C for a half cadence. This does not lessen the unusual quality of the sound of that gesture in the opening phrase of a composition, but that is precisely the point. Haydn gets away with potential abruptness of having D-flat, the flatted-sixth scale degree, in the bass so early in a composition by interpreting it as a C-sharp as part of an expanded cadential progression, resolving to D in the next measure and then completing a PAC in the tonic in measure 8.

By focusing on the C-sharp alone, one misses the play on gesture, register, and broad tonal implications of this moment. In the next phrase, for example, the C-sharp is written in the upper register as melody above a cadential progression in the bass, measures 13-16 (Example 1.18). The gesture becomes further developed by using E-flat instead of C-sharp in measure 17, a way of deflecting the cadential resolution of the previous measure and restarting the progression in the bass. The dissonance is therefore not pitch specific, but is constantly reinterpreted and serves as a destabilizing chromatic gesture that is particularly active around cadences.

Example 1.18. Joseph Haydn, “Quartett in F: ‘op. 50 Nr. 5,’” ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), first movement, measures 9-21. Used by permission.

As Grave and Grave have already pointed out, the gesture returns in measures 47-54, transposed to G–G-sharp–A, and part of a cadential progression in the new key, C major (Example 1.19).³⁰ The contrapuntal relationship between the flatted-sixth degree and the dominant is also present, as the G-sharp appears ascending from the previous dominant pedal on G in the cello, held as the bass of a prolonged dominant seventh chord in measures 45-46. This relationship is further manipulated in the development section, when the opening theme appears in the key of C major beginning in measure 66 (Example 1.20). The gesture appears in measures 70-72 and cadences in measure 73. Immediately after this, the enharmonic equivalent A-flat appears in the bass as part of the gesture, but it is used as scale-degree 4 in E-flat major in measures 74-77.

³⁰ See analysis of this movement in Grave and Grave, *String Quartets of Joseph Haydn*, 234-36.

Example 1.19. Joseph Haydn, “Quartett in F: ‘op. 50 Nr. 5’,” ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), first movement, measures 44-56. Used by permission.

Example 1.19 shows measures 44-56 of Joseph Haydn's Quartett in F, op. 50 Nr. 5. The score is in F major, 3/4 time, and consists of four staves. Measures 44-50 show a complex interplay of dynamics (p, f) and articulation (accents, slurs). Measures 51-56 feature a prominent trill in the first violin and a rapid sixteenth-note passage in the third violin.

Example 1.20. Joseph Haydn, “Quartett in F: ‘op. 50 Nr. 5’,” ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), first movement, measures 66-79. Used by permission.

Example 1.20 shows measures 66-79 of Joseph Haydn's Quartett in F, op. 50 Nr. 5. The score is in F major, 3/4 time, and consists of four staves. Measures 66-79 show a continuation of the dynamic contrast (p, f) and articulation (accents, slurs) from the previous section, with a notable trill in the first violin in measure 79.

Example 1.20 (cont'd).

In the recapitulation, the gesture once again appears as part of the opening phrase. This time, the bass notes echo the motive of the main theme by providing harmonic support for the upper two strings in measures 103 and 105 (Example 1.21). Then the familiar destabilizing gesture returns, with C-sharp again in the bass resolving to F major over the course of measures 106-109.

Example 1.21. Joseph Haydn, “Quartett in F: ‘op. 50 Nr. 5,’” ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), first movement, measures 99-122. Used by permission.

Example 1.21 (cont'd)



In measure 110, a harmonic progression identical to that of measures 74-77 occurs; D-flat is now heard as a reinterpretation of the C-sharp, yet it serves as scale-degree 4 as part of a cadential progression to A-flat major in measures 110-113. It is not until the end of that phrase that the issue is (partly) resolved, when D-flat is heard as the bass of an augmented sixth chord resolving to a half cadence in measures 120-121. The gesture returns, however, with C-sharp in the bass in measures 143-147 followed by a climactic chromatic resolution of the motive in measures 148-157 (Example 1.22).

Example 1.22. Joseph Haydn, “Quartett in F: ‘op. 50 Nr. 5’,” ser. XII, vol. 4 of *Joseph Haydn Werke*, ed. James Webster (Munich: Henle, 2009), first movement, measures 147-165. Used by permission.

Example 1.22 (cont'd)

The pitch class C-sharp in particular therefore does not create any dissonant energy by itself, but rather as a part of a destabilizing chromatic gesture that strongly implies dominant harmony and builds tension around the dominant at points of cadence.

All of the features in Op. 50 No. 5—chromatic gesture, strong implication of dominant harmony, and cadential rhetoric—can be found in Opp. 9 and 17. This matter will be discussed more fully in Chapters 3-4. Most significantly, as we will see in Chapter 4, the exact kind of procedure with chromatic gesture in Op. 50 No. 5 has precedent in Op. 17 No. 5 in G major. In fact, this statement holds true for each of the above-cited instances, the chromatic techniques of which can be traced back directly to Haydn's quartets from the late-1760s/early 1770s.

CHAPTER 2

THE ROLE OF FORMAL PROCESS IN HAYDN'S EARLY-PERIOD SONATAS

Haydn and "Sonata Theory"

The technical success and expressive dramatic force of Haydn's sonata style have inspired scholars to criticize traditional definitions of sonata form. One primary characteristic of this style has often been referred to as monothematicism, or "main theme transposition," in which the second group begins with a variant of the opening musical idea. Another, more recent way of understanding this approach uses the terms "expansion section" or "continuous exposition," referring to the uninterrupted style of phrasing and unstable passages found in many of Haydn's sonata expositions. These features often result in the supposed bypassing of formal boundaries generally accepted as norms in the sonata-form compositions of Mozart and Beethoven. For this reason, studies of musical form that aim to generalize an eighteenth-century sonata practice face difficulty when comparing and categorizing Haydn's sonata movements primarily according to principles derived from the music of his later contemporaries. The debate has its roots in well-known discourses about the questionable relevance of first and second themes coinciding with the articulation of first and second keys to the modern definition of the late-eighteenth-century sonata

form.¹ One of the earliest scholars to point out the inadequacies of this understanding was Jens Peter Larsen, who introduced the notion of a three-part exposition to accommodate Haydn's music:

The assumption of a fundamental two-part division of the exposition, corresponding to the two-part tonal division, was referred to earlier. Even if there are innumerable movements with a tonally indicated two-part division, the notion of monopolization of this form still remains absolutely untenable. Actually, it is not entirely correct to speak of this as a two-part tonal division, since the arrangement more clearly shows a three-part division instead: tonic region–T-D transition–dominant region.²

Though speaking in general terms, Larsen is thinking of Haydn, as his subsequent examples are from the composer, starting with the Sonata No. 20 in C Minor (c. 1771). Larsen's polemic is mainly against mid-twentieth-century understandings of sonata form, which at the time depended on binary opposition between tonal regions coinciding with a structural division of the exposition and often involving a thematic contrast (current understandings of sonata form still depend on such binary oppositions, although this model has been masked by more complex terminology; more on this subject below). That many of Haydn's expositions rarely meet the criteria for this design, but rather continue to unfold with modulating "transitional" material until just before a closing cadence in the new key, causes Larsen to raise the possibility of an exposition divided into three parts: an opening phrase or period in the tonic, a distinct modulating section, and closing material in the dominant.

One of the initial obstacles in Haydn encountered by scholars of musical form, however, is the variety of formal strategies in his sonata movements. Examining compositions from the late

¹ This definition first appeared in the nineteenth-century treatise by Adolph Bernhard Marx, and has long been discredited by scholars of eighteenth-century music as anachronistic. See Jane Stevens, "Georg Joseph Vogler and the 'Second Theme' in Sonata Form: Some 18th-century Perceptions of Musical Contrast," *Journal of Musicology* 2 (1983): 278-304; Scott Burnham, "The Role of Sonata Form in A. B. Marx's Theory of Form," *Journal of Music Theory* 33 (1989): 247-72.

² Jens Peter Larsen, "Sonata Form Problems," in *Handel, Haydn & the Viennese Classical Style*, trans. Ulrich Krämer (Ann Arbor: UMI Research Press, 1988), 274; see also Jerald C. Graue, trans., "Sonata Form Problems" (1978), repr. in *HAYDN: Online Journal of the Haydn Society of North America* 3.2 (2013), <http://haydnjournal.org>.

1760s/early 1770s, one observes that Haydn's first groups can be, but are not limited to, eight-measure antecedent/consequent periods ending with a PAC in the tonic (Sonata No. 20), reversed periods ending with a HC in the tonic (Op. 9 Nos. 1, 4, Op. 17 No. 6), irregular phrases or periods closed by an IAC or a PAC in the tonic (Op. 9 Nos. 2, 3, Op. 17 Nos. 1, 2, 4, and 5), and modulating periods ending with a half cadence in the new key (Op. 9 No. 6).

Larsen's point about there not existing an explicit parallelism between tonal and formal regions is also well taken. The start of the second key in Haydn's expositions often does not coincide with the start of a clearly-separated second group, and often is not further demarcated by the onset of a new theme. Rather, the listener frequently feels as though incrementally drawn towards the new tonal center by means of dramatic modulatory units and increasing emphasis on the new key, until a confirming cadence is reached at or close to the end of the exposition. These second groups may begin in the original tonic (Op. 17 Nos. 1 and 6), in the submediant of the original key and establishing the new key by way of sequence (Op. 9 No. 2, Op. 17 Nos. 2 and 5), or in the new key itself, corresponding to the two-part tonal division critiqued by Larsen (Op. 9 Nos. 1 and 6). No sooner than one attempts to establish a formal convention based on empirical observation from a sample set of movements, there appears a counter-example, a seeming contradiction. Indeed, thinking in form-functional or even stylistic norms runs the risk of missing the expressive point of the music itself. Charles Rosen describes the situation with his usual clarity and force:

In short, the average music lover in the 1780s—as today—listened to Haydn not against a background of general practice but in the context of Haydn's own style. He did not expect Haydn to sound like anybody else; by the 1780s his music was accepted on its own terms. We might, in fact, claim that the more Haydn was heard against general practice, the less he was understood: it is interesting to account for the misunderstandings of the past, but a musicology which seeks to revive and perpetuate them ought not to go unchallenged.³

³ Charles Rosen, *Sonata Forms*, rev. ed. (New York: Norton, 1988), 6.

Rosen's comments today seem prescient. With the appearance of more recent and influential studies on form, such as William E. Caplin's *Classical Form* (1998) and James Hepokoski and Warren Darcy's *Elements of Sonata Theory* (2006), precisely that against which Rosen had earlier warned has happened.⁴ Authors that follow these theories of general practice often struggle to accommodate Haydn's sonata movements into models designed more specifically for Mozart and Beethoven (even there they should be approached with skepticism), requiring either separate discussions devoted to Haydn or ignoring the differences of his style altogether. Yet, as Rosen states, Haydn was already widely known and immensely popular across Europe by the time Mozart arrived in Vienna in 1781—even more so for Beethoven, in 1796—and so it should not be assumed that Haydn's understanding of sonata composition is to be conditioned by or even necessarily compared with those of the younger composers, no matter how influential they both became in posterity. Fortunately, Rosen's call to challenge is not going unheeded: the idea that Haydn's music does or does not conform to a general late-eighteenth-century sonata practice is being exposed as inadequate by those more concerned specifically with Haydn's style.⁵

Since it deals exclusively with the sonata, I will focus on Hepokoski and Darcy's *Elements of Sonata Theory*; although Caplin's study is also prominent, it offers no substantially different views on Haydn in this regard.⁶ The aspect of Hepokoski and Darcy's sonata theory in particular

⁴ William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (Oxford: Oxford University Press), 1998; and James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006).

⁵ Among the Haydn scholars who have recently challenged sonata theory are Alexander Ludwig, "Hepokoski and Darcy's Haydn," *The Online Journal of the Haydn Society of North America* 2.2 (2012), <http://haydnjournal.org>; Evan Cortens, "The Expositions of Haydn's String Quartets: A Corpus Analysis," *The Online Journal of the Haydn Society of North America* 4.1 (2014), <http://haydnjournal.org>.

⁶ See Caplin, *Classical Form*, esp. 97-138 and 195-203. In fact, Caplin does not acknowledge any fundamental distinction between Haydn and his "classical" successors, instead uncritically locating arbitrary subordinate themes at random points in Haydn's expositions. For his analyses of Haydn relevant to this subject, see 104-5, 116, 128, 130, 136, and 204.

that poses difficulties for describing Haydn's sonata movements is the so-called continuous exposition. When described in these terms, any sonata movement by Haydn is judged against a preconceived model of a fully-realized late-eighteenth-century sonata "form":

The continuous exposition is identified by its lack of a clearly articulated medial caesura followed by a successfully launched secondary theme. Instead of providing a TR that leads to a medial caesura and thence to an S, as with the two-part exposition, the continuous exposition, especially in Haydn's works, usually fills up most of the expositional space with the relentlessly ongoing, expansive spinning-out (*Fortspinnung*) of an initial idea or its immediate consequences.⁷

Though on the surface not incorrect, Hepokoski and Darcy essentially define Haydn's style by what it is not: as a kind of anti-sonata, due to the absence of certain features one would typically expect. Despite their claims to the contrary, they denigrate Haydn's style by comparing it to an ideal—one might as well say "classical"—counterpart. Hepokoski and Darcy betray a certain awkwardness in their model of the continuous exposition when they can only describe it as a masking of clear articulations and successful theme launches in favor of space fillings, relentless ongoing, and consequence spinnings. What is worse, this can imply that Haydn's style is somehow deficient with respect to said norms, and audiences should be prepared for disappointment when listening to any sonata movement by Haydn:

The presence of a continuous exposition involves issues of musical perception, interpretation, and reinterpretation. When first confronting an eighteenth- or early-nineteenth-century exposition, our most reasonable expectation would be that we are about to experience the far more common type, the two-part exposition with an MC and a subsequent S. When we are presented instead with a continuous exposition of the expansion-section subtype, there is usually a moment of psychological conversion (provided that we are aware of our interpretive options)—a personal understanding that at

⁷ Hepokoski and Darcy, *Elements of Sonata Theory*, 51.

some mid-expositional point the more standard, two-part form is not going to be realized... Demonstrating this process rhetorically is often what Haydn's expositions are about.⁸

This collective "we" and "our most reasonable expectation," however, represents a class of ideal listeners trained on the basis of repertoires other than Haydn. Note Hepokoski and Darcy's qualifying statement that we are impacted by this supposed deformation of the more common sonata form only "provided that we are aware of our interpretive options." As Rosen states, however, comparison of Haydn's music against such a prevailing norm ignores the fact that listeners in the eighteenth century would have been aware of Haydn *qua* Haydn, making it uncertain why one would expect anything but a continuous exposition as standard within the context of his own music. Hepokoski and Darcy's ideal listener would therefore have to be gullible to a degree of comic proportions to perpetually return to Haydn's sonata movements only to be deceived out of their expectation of an archetypal late-eighteenth-century sonata time and again. As I hope to demonstrate in the following analyses, Haydn's sonata style was fully-defined from his earliest string quartets in the 1750s, and he continued to adhere to this general and variable approach throughout his career, irrespective of supposed later norms.

Sonata No. 20 in C Minor

Returning to Larsen's essay, it is worth revisiting his analysis of Sonata No. 20 as a preliminary demonstration of the structure and expressive capability of Haydn's sonata style from the late 1760s/early 1770s. Although this is a movement from a keyboard sonata and not a string quartet, it is contemporaneous with Opp. 9 and 17 and shares many formal and harmonic characteristics

⁸ Ibid., 52.

with them.⁹ Larsen's breakdown of the divisions is as follows: main theme in measures 1-8; transition ("elaboration section") in measures 9-26; and closing ("epilog") in measures 26-37.¹⁰ Upon initial examination, this analysis seems appropriate, as there is an opening antecedent-consequent period in the tonic, C minor, constituting measures 1-8, followed by a long, continuous, and modulatory passage culminating in a climactic fermata on the dominant of the new key E-flat major at measure 26. The third section introduces new thematic material and leads to a PAC at the last moment of the exposition, in measure 37. However, this PAC is not only the final cadence of the exposition, it is the first formal cadence of any kind since the end of the opening period in measure 8.¹¹ This absence of cadential closure gives reason to reconsider measures 9-37 as a single, elongated phrase.

This latter reading suggests a two-part exposition after all, albeit one that fundamentally differs from the traditional model: the second part does not begin correspondingly in the new key, but rather emphasizes the process of confirming the modulation, and prolongs the phrase by dramatically delaying the arrival of a structural PAC. These formal sections, furthermore, are delineated not on the basis of new thematic content or rhetorical pauses, as in Larsen's analysis, but by their cadences as the primary factor in establishing formal boundaries.¹² In order to argue for this alternative two-part reading, the most obvious issue is the pause at the fermata in measure

⁹ On the topic of form in Haydn's keyboard sonatas, see Michelle Fillion, "Sonata-Exposition Procedures in Haydn's Keyboard Sonatas," in *Haydn Studies*, ed. Jens Peter Larsen, Howard Serwer, and James Webster (New York: Norton, 1981), 475-81.

¹⁰ Larsen, trans. Krämer, "Sonata Form Problems," 274.

¹¹ Larsen's analysis has recently also been criticized in Nathan John Martin, "Larsen's Legacy: The Three-Part Exposition and the New *Formenlehre*," *HAYDN: Online Journal of the Haydn Society of North America* 4.2 (2014), <http://haydnjournal.org>. Martin demonstrates the continued influence of Larsen's three-part model on modern approaches to Haydn's sonata expositions. For a take on Larsen's analysis of Symphony No. 97, see also Jan Miyake, "Readdressing Haydn's Formal Models: Common Paths Through Expositions," *Theory and Practice* 34 (2009): 31-46.

¹² See Ann Blombach, "Phrase and Cadence: A Study of Terminology and Definition," *Journal of Music Theory Pedagogy* 1 (1987): 225-51.

26. This fermata marks a culmination of dissonant forces from the beginning of the second group in measure 9. Following the tonic PAC in measure 8, Haydn starts the second group by modulating sequentially, first to A-flat major in measures 9-11, and then to B-flat major in measures 12-14 (Example 2.1).¹³

Modulation is achieved when the B-flat major triad becomes the dominant of the new key with the introduction of a-flat' in its top voice at measure 15, and it is prolonged for the remainder of the passage up to the aforementioned fermata in measure 26. During this prolongation, the dissonance generated by the new dominant is intensified through various chromatic means, first by borrowing from the parallel minor in measure 17 (a feature that will be dealt with in greater detail in Chapter 3). There is then an approach towards a HC using chromatic harmony resulting in an augmented sixth chord resolving to the dominant across measures 18-19. Haydn maintains the rhythmic momentum, however, and continues to approach and dramatize the dominant with incrementally more chromatic voice leading and chords borrowed from the parallel minor. First, an f'' is prolonged as the unsupported upper voice of an implied first-inversion ii(7) chord, surrounded and chromatically intensified by its half-step neighbors, e-natural'' and g-flat'', in measures 20-21. The borrowings from the parallel minor recur in measures 23-24, when a second-inversion F half-diminished seventh chord appears with c-flat' in the bass, emphasized with an expressive *adagio* tempo marking and cadenza-like figuration. This resolves by half-step descent at measure 25, further marked rhythmically with a slowing of the tempo, *tenuto*, and syncopated attacks. The music has slowed to a crawl; a dramatically dissonant c-natural''' now sits in the

¹³ This resembles conceptually Riepel's "Monte," represented and discussed in Robert O. Gjerdingen, *Music in the Galant Style* (Oxford: Oxford University Press, 2007), 89-106. This way of modulating in the second period of the exposition provides further evidence for connections between Haydn's sonata style and the smaller dance forms of the eighteenth century.

uppermost register atop a dominant ninth chord in measure 25, held through as the music comes to a complete stop at the fermata in measure 26.

Example 2.1. Joseph Haydn, “Sonate in c, 1771 Hoboken XVI:20,” ser. XVIII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1970), first movement, measures 8-29. Used by permission.

The image displays a musical score for measures 8 through 29 of Joseph Haydn's Sonata in C major, Hoboken XVI:20. The score is written for piano and is divided into four systems, each containing two staves (treble and bass clef). The key signature is one flat (B-flat), and the time signature is common time (C). The score includes various musical notations such as notes, rests, and dynamic markings. The first system (measures 8-11) shows a treble staff with a dominant ninth chord in measure 25, which is held through to measure 26. The second system (measures 12-15) continues the melodic and harmonic development. The third system (measures 16-19) features a 'ten.' (tension) marking above a measure. The fourth system (measures 20-23) shows a final melodic phrase in the treble staff and a corresponding bass line. The score is marked with dynamics such as *f* (forte), *p* (piano), and *ten.* (tension). The notation includes various note values, rests, and articulation marks.

Example 2.1 (cont'd).

This fermata does not represent a formal cadence, but rather an overwhelming moment of dissonance that forces the music to pause and regroup for the conclusion of the exposition. Heinrich Christoph Koch points to exactly this situation in the second volume of his *Versuch einer Anleitung zur Composition* (1787) when he says:

Auch auf den Ruhepunkten des Geistes der noch unvollständigen Theile, oder auf der Cäsur der Einschnitte wird oft eine Fermate angebracht.

Hierben ist noch zu bemerken, daß ein Satz, welcher mit einer Fermate sich endigt, die auf einem dabey [sic] zum Grunde liegenden dissonirenden Accorde gemacht wird, eigentlich noch nicht vollständig ist, sondern zu seiner Vollständigkeit den nach der Fermate folgenden Theil verlangt, weil das Gefühl der Dissonanz einen nachfolgenden damit in Verbindung gebrachten Satz voraus set, in welchem ihre Auflösung erfolgt.¹⁴

¹⁴ Heinrich Christoph Koch, "Von den interpunctischen Zeichen der Sätze und ihrer Einschnitte, oder von den Endigungsformeln der melodischen Theile" in *Versuch einer Anleitung zur Composition* (1787; repr., Hildesheim: Ohms, 1969) 2:413-14; trans. and ed. Nancy Kovaleff Baker as "Basic Phrases and the Incises Contained in Them," in *Introductory Essay on Composition: The Mechanical Rules of Melody, Sections 3 and 4* (New Haven: Yale University Press, 1983), 35-36.

Also, a fermata is often placed upon the resting points of still incomplete segments or the caesuras of incises.

[Musical example of Holzbauer; see above]

In addition, it should be noted that a phrase which ends with a fermata placed on an underlying dissonant chord is really not yet complete. Rather, for its completion a section following the fermata is required, because the feeling of dissonance demands a subsequent phrase in which its resolution occurs.

Koch's example places a fermata on g''—the seventh of an implied dominant seventh chord—after which the phrase is completed with a melodic PAC motion. Haydn's sonata is of much larger dimensions than Holzbauer's song, but the two phrases are analogous in this respect; the fermata highlights the dissonance of the chord, which demands the cadence of the following music to complete the phrase. The dominant ninth chord at measure 26 in the Haydn sonata therefore cannot be considered the end of a phrase, if these are to be defined by cadences. That Koch himself makes this observation demonstrates an eighteenth-century understanding of this type of moment.

The music that follows in measure 26, although it presents new thematic material, at the same time is the continuation of the previous music, now pushing towards cadential conclusion. Rather than begin this final section with a root-position tonic to coincide with his new theme, Haydn instead uses a first inversion tonic, which is often the signifier of a cadential progression;¹⁵ this is therefore signaling the end, not the beginning, of the phrase. Haydn makes an approach to the cadence in measures 28-31, however again breaking off with *fortissimo* arpeggios on a dissonant V7 chord; then he begins yet another idea in measure 32, still without completing the cadential motion (Example 2.2).

¹⁵ For an identification of this progression, see Janet Schmalfeldt, "Cadential Processes: The Evaded Cadence and the 'One More Time' Technique," *Journal of Musicological Research* 12 (1992): 3.

Example 2.2. Joseph Haydn, “Sonate in c, 1771 Hoboken XVI:20,” ser. XVIII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1970), first movement, measures 30-37. Used by permission.

Finally, in measures 31-37, we have a proper structural cadence replete with emphatic cadential gestures: a root-position tonic chord, a cascade of descending sixteenth-note triplets, a subdominant chord followed by a chromatic line from e-natural” to c””, and a PAC in E-flat major in measure 37.¹⁶ This measure is both the last bar of the exposition as well as the first moment of resolution since the cadence in C minor at measure 8. Haydn has thus expanded this phrase, beginning in measure 9, by postponing the arrival of the PAC in the new key until the very last moment.

¹⁶ For a discussion on cadential gestures in Haydn, see Floyd K. Grave, “Freakish Variations on a ‘Grand Cadence’ Prototype in Haydn’s String Quartets,” *Journal of Musicological Research* 28 (2009): 119-45.

Although Larsen is correct to be suspicious of the traditional views on two-part expositions, his neglect to address the role of cadences in Haydn's formal rhetoric leads to the problematical identification of a fundamental three-part design in Sonata No. 20. Lastly, Hepokoski and Darcy's interpretation of Haydn's style with respect to sonata theory would force one to read the music between measures 19-37 as including the bypassing of a conventional medial caesura—thereby lacking a conventional secondary theme—followed by a process of conversion to the continuous exposition of the expansion-section subtype. However, the expanded second period of this two-part exposition in Haydn's style can instead be portrayed as a dramatic emphasis on the process of confirming the modulation itself, characterized by increasing dissonance surrounding the new dominant. Measure 19 can be regarded structurally not as a medial caesura that never materializes, but rather as an initiation of a process that brings this dominant into sharper focus; in essence propping it up and keeping it in place for the subsequent drama of increasing its dissonant and psychological effect through the accumulation of chromaticism and other expressive devices.¹⁷

Unity of Idea and Cadential Rhetoric in Haydn's Early Quartets

As the above analysis suggests, form in the exposition of Sonata No. 20 is experienced as an evolving process that solidifies only when the phrases and periods are closed with formal cadences, and it is the nature of the content of these musical units that ultimately gives shape to the composition. If one may attempt to speak of any kind of common practice in the music of the late-eighteenth century, one must at the same time acknowledge that Haydn's understanding of the sonata originates closer to mid-century, and is therefore unique.

¹⁷ This most closely resembles what the Graves previously described as tonal enrichment, which is an important concept so long as none of the pitch content is treated motivically.

In order to ground an historical and theoretical inquiry into Haydn's mid-century practice, we may turn to a point made by Larsen in a passage following the above quote, regarding the emergence of the sonata from the Baroque dance suite.¹⁸ While it is unclear to what degree Larsen was willing to take his remarks, this trend in the academic discourse has its origins in the eighteenth century. As Elaine Sisman has shown, Heinrich Christoph Koch was among the first to argue for the existence of a direct relationship between the sonata and the dance forms such that the sonata is developed into its larger dimensions by means of expansion of these smaller forms.¹⁹ Whereas in the dance forms, phrasing tends to be more regular, modulations direct, and periodicity felt roughly on the scale of 8-16 measures, a sonata has an inherently dynamic and developmental process underlying its phrasing and modulations. For an earlier formulation of this idea we again turn to Rosen:

For most of the eighteenth century, sonata form does not exist as a separate, clearly definable form—and this is true even for most of the second half of the eighteenth century. What does exist is a series of procedures for enlarging, articulating, and dramatizing short patterns of two, three, and four phrases—brief dance forms and song forms.²⁰

For Haydn, drawing the basis of his musical knowledge from the music of mid-century, and composing prolifically during that period, the sonata is less a fixed formal type consisting of essential elements, and more a style of composition by which smaller musical units are enlarged and rendered more dramatic. This is borne out in Sonata No. 20, the exposition of which begins with an eight-measure, antecedent/consequent period and then develops its subsequent phrase, the

¹⁸ Larsen, trans. Krämer, "Sonata Form Problems," 274.

¹⁹ Elaine Sisman, "Small and Expanded Form: Koch's Model and Haydn's Music," *Musical Quarterly* 68 (1982): 444-75. Mark Evan Bonds described this approach using the metaphor of oration, forming an analogy with the process of elaborating an idea within a speech. See Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of Oration* (Cambridge, MA: Harvard University Press, 1991).

²⁰ Rosen, *Sonata Forms*, 16.

second group, to dimensions of nearly thirty measures. In addition, Haydn places a particular dramatic emphasis on the process of confirming the modulation with a PAC, as in Sonata No. 20, with its expressive moments leading to the climactic fermata on the dominant ninth chord of the new key. Indeed, there is a palpable musical energy felt in a sonata movement by Haydn when he prolongs phrases in such a way as to foreground shifting harmonic relationships. This method of composition, by which phrases are expanded and modulations prolonged and dramatized, may be referred to as sonata style; its distinction from the smaller forms is dependent on the developmental process. In what follows, I hope to demonstrate further how this process works in earlier Haydn sonatas, using the rubrics of thematic unity and cadential rhetoric.

If one accepts the premise that Haydn's sonata style is based in part on the development of simple phrasing derived from dance and song forms, it may be claimed that as a point of rhetoric these phrases often begin with the same theme, from here on referred to as musical idea,²¹ or some recognizable variant of it. Much of this understanding of developing form owes to the theoretical writings of Koch, the third volume of whose *Versuch einer Anleitung zur Composition* (1793) is largely based on Haydn's mid-century music. For example, Koch analyzes a Haydn minuet, the third movement of his Divertimento in G major, Hob. II:1 (before 1766), in order to demonstrate his understanding of one of the most basic kinds of compositions, a pair of non-modulating periods each of which consists of two phrases (melodic sections).²² Together, these periods make up a small binary form that remains in the tonic throughout. In his analysis of this minuet, Koch highlights how each of the phrases begins with the same musical idea.

²¹ As is the case with other sonata terminology, theme has become loaded, and is therefore given way too much importance in theoretical discourse as a constituent of form.

²² On the relation between minuet and sonata in Koch's theory, see Wolfgang Budday, *Grundlagen musikalischer Formen der Wiener Klassik: An Hand der zeitgenössischen Theorie von Joseph Riepel und Heinrich Christoph Koch dargestellt an Menuetten und Sonatensätzen (1750-1790)* (Kassel: Bärenreiter, 1983).

Dieses kleine Tonstück hat die vollkommenste Einheit. Es enthält in seinen vier melodischen Theilen, aus welchen es besteht, nur einen einzigen Hauptgedanken, der aber auf verschiedene Art modificirt ist. Dieses ist der erste Vierer, welcher zuerst als Grundabsatz erscheint, aber unmittelbar hernach wiederholt, und in einen Schlußsatz verwandelt worden ist. Derjenige Satz, welcher im zweyten [sic] Theile den Quintabsatz, und bey [sic] seiner Wiederholung den Schlußsatz macht, *ist im Grunde betrachtet nichts weniger, als ein solcher melodischer Theil, der von den vorhergehenden Theilen verschieden ist, sondern es ist eben derselbe Satz, nur in eine andere Wendung gebracht, welche darinne bestehet* [emphasis mine], daß der Satz in der Gegenbewegung vorgetragen, und durch eine damit verbundene durchgehende Ausweichung mit mehr Mannigfaltigkeit verknüpft worden ist.

Man siehet hieraus, daß schon ein einziger Satz zu einem solchen kleinen Tonstücke hinreichend seyn [sic] kann, wenn der Tonsetzer denselben in so verschiedene Wendung und Berbindung zu bringen weiß, daß das Ganze, bey [sic] seiner Einheit dennoch die nöthige Mannigfaltigkeit bekommt.

Man darf aber nicht glauben, daß in solchen kleinen Tonstücken von vier Sätzen nothwendig die drey [sic] letzten Sätze jederzeit durch Modification des ersten entstehen müssen. Nein! In den mehresten solcher kleinen Tonstücke werden zwey [sic] wirklich verschiedene melodische Theile verbunden; die übrigen beyden [sic] aber entstehen allsdenn theils durch Modification, theils auch durch Wiederholung der vorhergehenden Theile.²³

Menuet Haydn

²³ Koch, “Von der Einrichtung kleiner Tonstücke,” in *Versuch* (1793) 3:59-60; trans. Baker as “The Arrangement of Short Compositions,” in *Introductory Essay*, 85-86.

This short composition has the most perfect unity. It consists of four melodic sections and contains only a single main idea, which, however, is modified in various ways. This is the first four-measure phrase, which initially appears as a I-phrase [IAC], but immediately afterwards has been repeated and changed into a closing phrase [PAC]. In the second section, the phrase which is a V-phrase [HC] and with its repetition is the closing phrase *is essentially the very same phrase; it has merely been given a different turn* [emphasis mine]. The phrase has been played in contrary motion and through a passing modulation has been given more variety.

From this it is apparent that a single phrase can indeed be sufficient for such a short composition if the composer knows how to give it a different direction and connection so that the whole, despite its unity, obtains nevertheless the necessary variety.

But one must not believe that in such short compositions of four phrases the three last phrases always have to arise through modification of the first. No! In most such compositions two truly different melodic sections are connected; the remaining two then arise partly through alteration and partly also through repetition of the preceding sections.

[Musical example of Haydn, Divertimento in G major, Hob. II:1, Menuet; see above]

Koch describes Haydn's use of only one idea as giving this composition "the most perfect unity." Though he states this is less common for compositions of his time, even short binary ones, Koch points out that the use of a single idea is compelling due to the way in which each successive iteration leads to a different cadence; in the "second period" (the second half of the binary form), it is melodically inverted and given harmonic variety. It is this unity of idea that seems to have dominated Haydn's conception of musical form throughout his career. Indeed, Haydn himself stated as much to Griesinger when explaining his compositional process:

Hatte ich eine Idee erhascht, so ging mein ganzes Bestreben dahin, sie den Regeln der Kunst gemäß auszuführen und zu souteniren. So suchte ich mir zu helfen, und das ist es, was so vielen unserer neuen Komponisten fehlt; sie reihen ein Stückchen an das andere, sie brechen ab, wenn sie kaum angefangen haben: aber es bleibt auch nichts im Herzen sitzen, wenn man es angehört hat.²⁴

²⁴ Georg August Greisinger, *Biographische Notizen über Joseph Haydn* (1810; repr., Vienna: Kaltschmied, 1954), 114; trans. in Vernon Gotwals, *Haydn: Two Contemporary Portraits* (Madison, WI: University of Wisconsin Press, 1968), 61. This translation is taken from James Webster, "Haydn's Aesthetics," in *The Cambridge Companion to Haydn*, ed. Caryl Clark (Cambridge: Cambridge University Press, 2005), 37.

Once I had seized upon an idea, my whole endeavor was to develop and sustain it in keeping with the rules of the art . . . This is what so many younger composers lack: they string one little idea after another; they break off when they have scarcely begun. Hence nothing remains in the heart after one has heard it.

It is important to note, however, that not all sonatas by Haydn adhere to this paradigm. We have already seen in Sonata No. 20 that he uses new ideas and motives at the start of different sections; this observation is therefore a tendency and not a law in Haydn's music. Nevertheless, with respect to expositions of sonata-style movements in particular, once the opening phrase or period in the tonic is completed, Haydn often begins the second phrase or period with either the same musical idea or some recognizable variant of it. His own words "develop and sustain" are suggestive in this context, for that is precisely what occurs during the rest of the exposition.

This aesthetic philosophy was with Haydn from the beginning. The quartet, Op. 1 No. 2 in E-flat major, offers an example of how sonata style is brought about from the expansion of simpler phrasing of the dance forms by using the developmental process. The opening phrase is composed in the manner of a minuet, albeit irregular (9 measures), with a four-measure *galant* opening idea followed by a five-measure continuation to an IAC in measure 9 (Example 2.3).²⁵

²⁵ Corresponds to Robert O. Gjerdingen's "Meyer." See Gjerdingen, *Music in the Galant Style*, 111-28.

Example 2.3. Joseph Haydn, “Quartett in Es: ‘op. 1 Nr. 2’,” ser. XII, vol. 1 of *Joseph Haydn Werke*, ed. Georg Feder with Gottfried Greiner (Munich: Henle, 1973), first movement, measures 1–9. Used by permission.

After the completion of this phrase in measure 9, the second phrase begins with a modified repetition of the opening idea (Example 2.4). This time it is expressed in the viola and second violin, while the first violin enters with a new countersubject in measure 11.²⁶ It is from this point that the developmental process will work to expand, or “develop and sustain,” the original phrase and simultaneously dramatize the modulation.

Following measure 13, instead of continuing to an IAC as in the opening phrase, Haydn alters the harmonic progression such that it leads to a HC in measure 21, followed by an elided and sudden shift to the dominant. The arrival at the new key is immediately followed by an expressive sixteenth-note motive on the B-flat in the cello and viola, identified as motive x, with A-natural as its chromatic lower neighbor, marked *forte*. This motive in particular will be a key identifying feature in recognizing the recurrences of this passage in both the remainder of the exposition and the analogous moments in the recapitulation.

²⁶ Here is a good example of ensemble interplay in Haydn’s quartet writing from the 1750s. The opening idea has essentially been rendered “accompaniment” upon the entrance of the first violin’s countersubject above the rest of the ensemble.

Example 2.4. Joseph Haydn, “Quartett in Es: ‘op. 1 Nr. 2’,” ser. XII, vol. 1 of *Joseph Haydn Werke*, ed. Georg Feder with Gottfried Greiner (Munich: Henle, 1973), first movement, measures 10-36. Used by permission.

The musical score is presented in three systems. The first system (measures 10-19) is marked *p* (piano). The second system (measures 20-28) is marked *f* (forte). The third system (measures 29-36) includes a trill in the first violin at measure 29. The score is in E-flat major and 3/4 time, with four staves representing the string quartet.

Perhaps for rhetorical emphasis, the new tonic, B-flat major, is prolonged with motive x three times in the lower strings followed by an answer in thirds in the upper strings. The IAC at measure 29 also coincides with an elision to the subsequent phrase and an appearance of motive x, this time in the first violin. As in the previous phrase, motive x is heard three times (counting the third time as

an arpeggiated variant of the original), followed by a two-measure PAC in the new key of B-flat major, identifying measures 29-35 as a “rhyming” reinterpretation of measures 21-28. Note how this time motive x is transferred to the melody in the first violin and the answer to it has become an accompaniment figure in the lower register. A codetta with repeated PACs in the new key is heard after measure 35 until the end of the exposition, confirming the modulation. This approach to composition in the sonata style in the mid-eighteenth century is perhaps best understood as a reflection on the importance of foregrounding the modulation. With this method, Haydn is rendering the act of shifting from tonic to dominant and then confirming the modulation with a PAC both harmonically tense and psychologically dramatic, creating a malleable and dynamic musical form out of a smaller, dance-like style of phrasing.

In the recapitulation, motive x is further manipulated, and the harmonic context in which it appears differs from the exposition, since this portion of the sonata will not modulate.²⁷ After an immediate reprise of the opening statement from measures 56-64, a sequence takes the place of an immediate repetition of the main idea, leading to a developmental passage in C minor, starting in measure 73.²⁸ At its end, however, a HC analogous to that of measures 20-21 appears in measure 82, and is identified with motive x (Example 2.5). This time, however, the cadence is followed with a full caesura in measure 84. The varied repetition of the main idea (analogous to measure 10 of the exposition) then returns in measure 85, complete with the countersubject in the first violin, but the HC that originally formed its conclusion in measures 20-21 is replaced with a PAC in E-

²⁷ See Webster, “Freedom of Form in Haydn’s Early String Quartets,” in *Haydn Studies*, ed. Jens Peter Larsen, Howard Serwer, and James Webster (New York: Norton, 1981), 522-30.

²⁸ Webster, “Binary Variants of Sonata Form in Early Haydn Instrumental Music,” in *Internationaler Joseph Haydn Kongress, Wien 1982*, ed. Eva Badura-Skoda (Munich: Henle, 1986), 128. See also Bonds, *Wordless Rhetoric*, 220-24.

flat major in measures 97-98. Motive x is again heard in measure 98 leading to the following passage now standing on a tonic pedal.

Example 2.5. Joseph Haydn, “Quartett in Es: ‘op. 1 Nr. 2’,” ser. XII, vol. 1 of *Joseph Haydn Werke*, ed. Georg Feder with Gottfried Greiner (Munich: Henle, 1973), first movement, measures 81-117. Used by permission.

The musical score is presented in four systems, each with four staves (treble and bass clefs for two parts). The key signature is two flats (B-flat and E-flat), and the time signature is 3/4. Measure numbers 81, 91, 100, and 109 are indicated at the start of their respective systems. The first system (measures 81-90) includes a piano (*p*) dynamic marking. The second system (measures 91-100) includes a forte (*f*) dynamic marking. The third system (measures 101-109) includes a piano (*p*) dynamic marking. The fourth system (measures 110-117) includes a piano (*p*) dynamic marking. The score features various musical notations, including eighth and sixteenth notes, rests, and a trill (*tr*) in measure 109.

The rhetorical use of motive x during the original modulation is critical to understanding why the phrase beginning with the varied repetition of the main idea in measure 85 now leads to a PAC in the new tonic. In the analogous moment of the exposition, this phrase led to a potential HC, enabling the dominant pedal to be held and converted to the tonic. This time, since the pedal passage beginning in measure 98 elides with a PAC in the tonic, it is already grounded in E-flat major, and that remains the prevailing harmony for the remainder of the movement.

These examples from Op. 1 No. 2 show that Haydn had a clear method for his own sonata style, even in his earliest compositions. This style is rooted in the phrasing and periodicity of the dance forms, rendering them more dynamic by expanding them according to the developmental process. Koch's analysis of the third-movement minuet from Haydn's Divertimento in G major, Hob. II:1, offers evidence that Haydn's manner of composition was understood as unique even in the eighteenth century, and that he was known for his use of a single main idea for each melodic section. Koch's example was meant to demonstrate one of the simplest compositions for a beginning composer to attempt: a two-period binary form that does not modulate. Haydn's Op. 1 No. 2, probably composed earlier than the example in Koch's treatise, remains grounded in the same fundamentals. As in the divertimento minuet, each phrase in the exposition of the first movement of Op. 1 No. 2 begins with the same main idea. Koch's next exercise for the beginning composer would involve a simple binary form with the same phrasing and dimensions that incorporates a modulation at the end of its first half.²⁹ Op. 1 No. 2, being in the sonata style, differs from this conceptually only in Haydn's technique of drawing out and dramatizing the modulation, lending a certain psychology to the harmonic relationships and a dynamism to the phrasing.

²⁹ Koch, trans. Baker, *Introductory Essay*, 95.

In addition to each of the phrases beginning with the same main idea, the rhetorical use of a cadential motive, motive x in the case of Op. 1 No. 2, is an important identifying feature in maintaining the listener's orientation during the developmental process. As such, it becomes a dramatic device in its own right, since it symbolizes the completion of the phrase or period.³⁰ Similarly to the unity of idea, the use of a cadential motive is not absolutely necessary, nor does one appear in all sonata movements by Haydn. Cadential motives perform no strict formal function other than to provide an identity to a cadence that has been both implied and postponed via the developmental process, thus engendering the listener's expectation, and they are especially useful in this respect when this process involves modulation. Now that we have situated ourselves within Haydn's compositional practice as developed from his earliest days as a composer in the mid-eighteenth century, we are prepared to see how these features manifest themselves in the string quartets of Opp. 9 and 17.

Opp. 9 and 17, Sonata Style, and the Developmental Process

Although composed nearly a decade after the quartets of Opp. 1-2, Haydn takes the same approach to sonata style with Opp. 9 and 17. If there is any noticeable difference in these later quartets, it resides primarily in his increased attention to the developmental process and its potential use at any point in the movement, lending further dramatic power to the music and giving greater dimensions to the form. Nevertheless, while certain developmental features may have become more pronounced in Opp. 9 and 17, they remain conceptually identical to the already-advanced

³⁰ On the topic of Haydn's conventions of closure, see George Edwards, "The Nonsense of an Ending: Closure in Haydn's String Quartets," *Musical Quarterly* 75 (1991): 227-54. Edwards is interested in critiquing assumptions of large-scale unity and closure in Haydn's quartet cycles. The model also applies, however, to single movements and phrases, as I suggest here.

sonata style upon which Haydn built his early reputation: expanding smaller, dance-like phrases and periods into larger, more dynamic forms.

The exposition of Op. 17 No. 2 in F major is a particularly clear example of a dramatic sonata-style movement in which Haydn incorporates unity of opening idea and cadential rhetoric as key components of the developmental process. The movement begins with a four-measure phrase and articulates a main idea, a melodic leap from c'' to f'' in the first violin; its ending (measure 4) features an identifiable cadential motive, which is immediately echoed in the lower strings (Example 2.6). The second phrase begins with a recognizable variant of the first. A development alters the progression beginning in measure 6, when the dominant chord is locked onto and intensified with chromatic half-step figuration. As the end of this phrase arrives in measures 8-9, the cadential motive returns and is now echoed three times through measure 11. The first two echoes provide PACs in the tonic, F major, closing out the first group, both phrases of which are built from the same idea.

Example 2.6. Joseph Haydn, "Quartett in F: 'op. 17 Nr. 2'," ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 1-17. Used by permission.

Hoboken III: 26

Moderato

Violino I

Violino II

Viola

Basso Violoncello

Example 2.6 (cont'd).

The musical score is presented in three systems, each containing four staves (two treble and two bass). The key signature is one flat (B-flat), and the time signature is common time (C). Measure numbers 5, 9, and 14 are indicated at the start of their respective systems. The notation includes various rhythmic values, slurs, and dynamic markings such as *p* (piano), *f* (forte), and *(f)* (forzando). The score shows a complex interplay of melodic and harmonic lines across the staves.

The third echo of the cadential motive forms an anacrusis to the start of the second group at measure 12, another period which begins with a transposition of the opening idea to D minor, vi. After these four measures in D minor, the main idea is again transposed to start the next phrase, this time in C major beginning in measure 16. The second phrase of this period, however, will be subjected to a more substantial development in which Haydn expands its dimensions. The chromatic nature of development during the phrase expansion here and in other contexts will be the subject of the following chapter, but for now it is enough to skip to the first formal cadence, a

PAC in the new key of C major in measures 35-36 (Example 2.7). The cadential motive is heard in the second violin and viola, giving a structural and rhetorical close to the second period. Although expanded to much greater dimensions, the construction of this second period forms a “rhyming” analogy with the phrase rhythm established in the opening period: a four-measure phrase using the main idea followed by a developed repetition leading to a formal cadence. That the second group is an expanded development of the opening period is made recognizable by the unity of opening idea at the start and the closing cadential motive at the end of each new phrase.

Example 2.7. Joseph Haydn, “Quartett in F: ‘op. 17 Nr. 2’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 35-38. Used by permission.

With this analysis, I can now speak to the effectiveness of this methodology for analyzing Haydn’s sonata movements. It is admittedly far from conventional theories of sonata “form,” and yet the old models have in many ways blinded scholars from forming these connections; the nearly two-century-old quest for first and second theme is not missed, nor is there a lack for recent arguments over whether we are in transitional space or the subordinate theme zone. Instead, this method penetrates to the heart of Haydn’s sonata style, the power of which resides in his ability to expand and develop simple phrases into dynamic forms.

Op. 9 No. 6 in A major is another example of how unity of idea, phrase expansion, and cadential rhetoric make up the developmental process in these quartets. In the opening, a gigue-like idea in the first violin, characterized by 6/8 meter and a lilting embellishment of a melodic e'', trails off after the downbeat of measure 3 (Example 2.8). Later on, this tapered ending will be understood to have marked a rupture; the lower strings rest and there are two beats of silence before the phrase begins again. Its continuation leads to an IAC in the tonic in measure 7.

Example 2.8. Joseph Haydn, "Quartett in A: 'op. 9 Nr. 6'," ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 1-7. Used by permission.

Presto Hoboken III: 24

The musical score shows measures 1 through 7. Violino I starts with a melodic line on E5, embellished with a grace note. The other instruments (Violino II, Viola, and Basso) provide harmonic support. Dynamics include [f], p, and f. The tempo is Presto.

The second period begins in measure 26; its first phrase leads to a PAC in the new key of E major at measure 41 (Example 2.9). After this cadence, a variant of the opening idea returns in the new tonic, but this time completes itself with a PAC in measure 45, signaling the resolution of the exposition and closing off the developmental process with respect to that motive and phrase.

Example 2.9. Joseph Haydn, “Quartett in A: ‘op. 9 Nr. 6,’” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 37-51. Used by permission.

In order to further demonstrate Haydn’s sonata style in the 1760s-70s, I will look at a few more examples from Opp. 9 and 17, starting with Op. 9 No. 4 in D minor. As in the case of Op. 17 No. 2, this movement begins with an opening period both phrases of which start with the same main idea. Also similar to the previous example is the way in which the second phrase of this opening period is rendered dynamic using the developmental process. After the conclusion of the opening phrase with a rhythmically offset HC,³¹ the opening idea is repeated in measures 7-8 (Example 2.10). Development of this phrase begins when the first violin leaps to a *forte* d”, which is suspended over a C-sharp diminished seventh chord across measures 8-9. Haydn now plays with this diminished seventh sonority by stretching it out for three measures. The period then concludes with an expressive HC that gradually emerges out of a dissonant fog of suspensions and chromaticism over the course of measures 12-14. The HC of measure 14 can be thought of as the

³¹ This is a very intriguing cadence. The suspended b-flat’ and g’ resolve to a’ and f’, respectively, but then the a in the cello drops out, leaving a first-inversion C-sharp diminished triad.

extended development of the same HC from the previous phrase, in measure 6, which briefly also alludes to this relationship between the diminished- and dominant seventh chords.

The second period of the exposition begins in measure 15 as a free variant of the main idea, and it is immediately developed. The modulation to F major is achieved by converting the A major dominant triad of measure 15 into A minor during the presentation of the main idea, and a smooth voice leading motion out from the octave A's in the G in the cello and b-flat' in the first violin results in the outer voices of an inverted C dominant seventh chord in measure 16. Now in the developmental process of the second period, Haydn employs another form of cadential rhetoric: the promised cadence. This occurs when a cadential harmonic progression that had been implied and then denied completion itself becomes *motivic* by reappearing later in the period, in either the same or some other recognizably identifiable form, and achieving closure with a PAC. In the case of the exposition of Op. 9 No. 4, this cadence is characterized harmonically by a series of IACs followed by an alternation between I-IV chords in measures 16-20. In measures 19-20, the I-IV alternation in F major culminates in a cascade of sixteenth-note triplets, followed by another pair of IACs into measures 21-22. The resolution of the IAC in measure 22 is deflected with the introduction of e-flat'' in the first violin, rendering the F major a dominant seventh chord. Haydn is denying the cadential resolution of this phrase.

This leads to an unassuming *piano* deceptive cadence in measure 24, as though the first violin were requesting the phrase to be concluded and the modulation process to be complete, but the lower strings decline. The first violin tries again in measure 25, and the ensemble responds with a dramatic pause on a C dominant seventh chord with fermata in measure 26. This moment recalls the analogous climactic dominant-ninth chord in Sonata No. 20, and marks one of the primary stylistic differences between Haydn's earlier music and that of the late 1760s/early 1770s.

His dramatic treatment of dissonance seems even more pronounced and overtly psychological than before. The harmonic alternation between I-IV in measures 19-20 and the cascading triplet figuration in measures 20-22 in this case mark the entire progression of measures 19-22 as a kind of cadential motive, such that, when the phrase resumes in measure 27, the triplet figure has taken over. In measures 28-9, we again hear a I-IV alternation that in this instance leads to a PAC in measure 30, followed by a confirming repetition of the cadence in measure 32. This resolves the tension created by Haydn's cadential rhetoric, as the cadence that had previously been denied closure completes a key-confirming PAC.

Example 2.10. Joseph Haydn, "Quartett in d: 'op. 9 Nr. 4'," ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 1-38. Used by permission.

Moderato Hoboken III: 22

The musical score is for Joseph Haydn's Quartet in D major, Op. 9 No. 4, first movement, measures 1-38. The score is for Violino I, Violino II, Viola, and Basso. It shows a key signature of one flat (B-flat) and a time signature of 3/4. The tempo is Moderato. The score includes dynamic markings such as p (piano), f (forte), fz (forzando), and (f) (forzando). It also includes articulation marks like accents and slurs. The first system shows measures 1-5, and the second system shows measures 6-10. The music features a mix of melodic lines and rhythmic patterns, including triplets and sixteenth notes.

Example 2.10 (cont'd).

This musical score is divided into four systems, each containing four staves (treble, alto, tenor, and bass clefs). The key signature is one flat (B-flat).

- System 1 (Measures 12-15):** Features trills (*tr*) and dynamic markings *p*, *pp*, *p cresc.*, *f*, and *ff*. Measure 15 includes a *[p] cresc.* marking.
- System 2 (Measures 18-20):** Continues the melodic lines with various articulations and rests.
- System 3 (Measures 21-24):** Includes triplets (marked with a '3' over the notes) and dynamic markings *p* and *[1]*. Measure 24 has a *[1]* marking.
- System 4 (Measures 25-28):** Features *tenuto* markings above and below notes, and dynamic markings *f* and *[3]*. Measure 28 has a *[3]* marking.

Example 2.10 (cont'd).

The musical score for Example 2.10 (cont'd) spans measures 29 to 33. Measures 29-32 are a single system with four staves. Measure 29 features a treble staff with a triplet of eighth notes, a trill, and a sixteenth-note run. The bass staff has a simple accompaniment. Measures 30-32 continue with similar textures, including more trills and sixteenth-note passages. Measure 33 is a new system with four staves, marked with a first ending (1.) and second ending (2.) bracket. It features a more melodic line in the treble staff and a rhythmic accompaniment in the bass staff. Dynamics include piano (p) in measures 29-32 and fortissimo (fz) in measure 33.

Another example of a promised cadence is from Op. 17 No. 6 in D major. Following the concluding HC of the opening period in measure 14, the gigue-inspired opening idea reappears and starts the second period in the tonic (Example 2.11). This period is immediately developed when the main idea is fragmented, beginning in measure 17. A cadential progression is initiated in measure 20 and a PAC is reached in the tonic in measure 24. This cadential progression restarts immediately following the resolution, but this second time does not complete, instead pushing ahead to a massive modulating transition. This transition passage is so large and complex that it will require further attention in the next chapter. For now, I will skip ahead to the end of the exposition and the return of the cadential motive just established.

Example 2.11. Joseph Haydn, “Quartett in D: ‘op. 17 Nr. 6’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 13-32. Used by permission.

The musical score for measures 13-32 of Joseph Haydn's Quartett in D, Op. 17 Nr. 6, is presented in three systems. The first system (measures 13-19) begins with a piano (*p*) dynamic. The second system (measures 20-26) concludes with a forte (*f*) dynamic. The third system (measures 27-32) continues the musical development. The score includes various musical notations such as notes, rests, beams, and dynamic markings.

After a long development of the second group ending in a HC in measure 56, the opening idea again appears, this time in measure 57, transposed to the dominant A major (Example 2.12). It immediately cadences with a structural PAC in measure 62. Following this cadence, however, the motivic cadential progression from the start of the second period returns, resolving with a PAC in measure 66. It then restarts, just as it had prior, but this time instead of having its resolution denied,

it resolves in measure 70, concluding the exposition and offering rhetorical closure to the developmental process.

Example 2.12. Joseph Haydn, “Quartett in D: ‘op. 17 Nr. 6’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 53-73. Used by permission.

The musical score is presented in three systems, each with four staves (treble and bass clefs for two parts). The key signature is D major (two sharps). Measure numbers 53, 60, and 67 are indicated at the start of their respective systems. The first system (measures 53-59) begins with a piano introduction and includes a forte (f) dynamic marking. The second system (measures 60-66) features trills (tr) and a first ending bracket. The third system (measures 67-73) concludes the section with a repeat sign and a final cadence.

By reintroducing the cadential progression from earlier, Haydn has underscored the fact that its denied resolution in the previous musical paragraph was, in fact, a kind of dissonance that needed to be resolved. The closure of the cadential progression at the end of the second group demonstrates

how the developmental process occurs in Haydn, and it also corroborates how expanded forms can be derived from the prolongation of smaller ones.

Conclusion

It is well known that the term sonata form did not exist in the eighteenth century, and the analyses in this chapter perhaps indicate why this is the case. There is evidence that first movements from Haydn's string quartets, beginning with Op. 1, appear to have been conceived as dance and song forms, the phrases of which are expanded using the developmental process. Most obvious in this connection are the opening ideas of Op. 1 No. 2, Op. 17 No. 6, and Op. 9 No. 6, which are clearly derived from the minuet and gigue. Sonata No. 20, Op. 17 No. 2 and Op. 9 No. 4, on the other hand, appear to take their sources from aria (more in Chapter 5).

The final forms of all of these movements are so different from one another that it would seem arbitrary to classify them all under the rubric of a single form. What they all have in common is a sophisticated style that treats the elements of basic structures such as melody, harmonic progression, phrase, period, and cadence with a dynamic and dramatic psychological character. As such, the sonata is less a form, or even a special technique, than an aesthetic philosophy, a way of composing music that addresses the listener by rendering ordinary-sounding music into something alive and inspirational. Nevertheless, in the nineteenth and twentieth centuries, scholarship has insisted on imposing a rough sonata form model that is predicated on the structural requirement of theme, which in turn has led to strict divisions between first and second groups, development sections, and recapitulations. In fact, theme for Haydn appears to have been more of an aesthetic concept than a constituent of form, a rhetorical device that can coincide with structure but does not necessarily have to. He even states as much when he describes his compositional process as seizing

upon an idea in order to develop and sustain it. If Haydn had wanted, he could have composed music with any number of themes—as he complained most younger composers did—but it was a point of style for him, not a necessity of form, to give the listener something that “remains in the heart.”

These compositional choices ultimately give form to the music; as such, it is often Haydn’s preference to compose his phrases with a unity of opening idea. This manifests itself in beginning each phrase or period of a movement in any formal type with the same basic idea and taking it in different directions, as was demonstrated using Koch’s analysis. This concept applies not only to phrase beginnings, however, and is evidenced by the occasionally motivic use of cadences, as is the case in Op. 17 Nos. 2 and 6 and Op. 9 Nos. 4 and 6. Haydn’s use of a specific motive or harmonic progression in phrase expansion and cadential rhetoric is less consistent than his use of the same idea at the beginnings of phrases, further pointing to the varying degree to which these devices may or may not be present. Whether Haydn uses literal recurrences of a cadential motive, as in Op. 17 No. 2, literal recurrence of a harmonic progression, as in Op. 17 No. 6, or loosely varies the musical material of a specific harmonic progression, as in Op. 9 No. 4, these decisions wind up having a drastic impact on the shape of the movement. To conclude this chapter with an apt quote from Webster, “without rhetoric, without dynamic musical ‘forming,’ this music—all of Haydn’s music—would not have been possible.”³²

³² Webster, *Haydn’s “Farewell” Symphony and the Idea of Classical Style* (Cambridge: Cambridge University Press, 1991), 127.

CHAPTER 3

THE USE OF MINOR MODE AND PLAYING WITH SONORITY

With the exception of perhaps Op. 9 No. 4 in D minor and Op. 17 No. 4 in C minor, modern academic discourse on Haydn's quartets from Opp. 9 and 17 offers few examples of sustained analysis and discussion of first movements;¹ the previously-mentioned studies tend to refer to inner movements or theoretical aspects that do not involve prolonged attention to formal process, harmonic progression, or *thematische Arbeit*. This general lack of attention may reflect ongoing biases of "classical style" or an unwillingness to engage meaningfully with sonata form or the string quartet during the 1760s/70s, when they are believed to have been "emerging." However, contrary to popular perception, both Haydn's formal process and harmonic language even in his latest quartets maintained a consistency with features that can be traced back to Op. 1, complicating evolutionist historical and individual narratives culminating in Haydn's artistic maturity at some point mid-life. Furthermore, greater focus on Haydn's earlier quartets reveals a marked shift beginning with Opp. 9 and 17 in the nature and scope of the chromatic harmonic language employed in the movements composed in the sonata style. While some may wish to maintain a belief in a kind of superiority for the later quartets, on the grounds that Haydn simply gained

¹ Hans Keller, *The Great Haydn Quartets: Their Interpretation* (London: Dent, 1986), 19-29; Steve Larson, "Recapitulation Recomposition in the Sonata-Form First Movements of Haydn's String Quartets: Style Change and Compositional Technique," *Music Analysis* 22 (2003): 141-56; Nancy November, "Register in Haydn's String Quartets: Four Case Studies," *Music Analysis* 26 (2007): 294-97.

compositional knowledge and skill as he aged, evidence from the repertoire suggests his ability to use chromaticism as a dramatic, form-generating element of composition was already fully-realized at least by Op. 9, and he continued to rely upon the same formal and harmonic techniques found in these early quartets throughout his career.

In particular, beginning with Opp. 9 and 17 Haydn grasped how to use chromatic voice-leading and harmony to prolong or extend phrases and delay a key-confirming PAC of the second harmonic area until the very last moments of a sonata exposition. Especially striking in this regard is his use of the parallel minor as an agent of destabilization in major-mode sonata movements.² In order to avoid confirmation of the new key, these modal shifts tend to appear shortly after modulation has occurred; they are marked as well by contrast of motive and rhythm, and their dissonant local harmonic impacts extend the phrases of the movements in which they appear. Following this initial destabilization, Haydn's next main goal is to gradually re-establish sense of the new key via re-articulation and intensification of its dominant—a harmony that serves as a focal point for chromatic and expressive activity—before finally settling on a structural PAC.

Referring to Janet Schmalfeldt, perception of the second key in Haydn's expositions can be understood as a formal "process of becoming," with modulation not cleanly separated harmonically or thematically from the first key (for example, by a "medial caesura"), but rather hinted at, constantly in flux and incrementally explored for further harmonic possibilities.³ Although Schmalfeldt claims primarily that early nineteenth-century instrumental music emphasizes this formal-becoming model, her chapter on eighteenth-century precedents for formal process analyzes the first movement of Haydn's Op. 33 No. 3 in C Major (1781) and the finale of

² On the use of destabilization in Haydn's instrumental music, see James Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style* (Cambridge: Cambridge University Press, 1991), 127-154.

³ Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Concepts on Form in Early Nineteenth-Century Music* (Oxford: Oxford University Press, 2011), 3-22.

his Piano Trio in C major, Hob. XV:27, (1795-97).⁴ Most of Schmalfeldt's observations, especially regarding the trio, hold true for Opp. 9 and 17 as well, further highlighting the centrality and historical significance of Haydn's early quartets to the discourse on form and harmonic progression. This chapter will begin with an examination of two occurrences of the parallel minor in Op. 1 in order to prepare discussion of both the similarities and differences in its use in Opp. 9 and 17. It will then go into more detailed analysis of the first movements of Op. 9 No. 1 in C major, Op. 17 No. 2 in F major and Op. 17 No. 6 in D major. In these examples, during the above-described process of destabilizing the second key with the minor mode, there are climactic moments in which the sense of harmonic progression is halted and Haydn dwells on the sonority of a particular chromatically-inflected chord.

Early Quartets

Dramatic, form-generating shifts to the parallel minor are already evident in Haydn's harmonic language in Op. 1 and these instances are telling for their future use in Opp. 9 and 17. In the first movement of Op. 1 No. 1 in B-flat major, for example, the minor mode appears at the end of a short development section. Following the repeat of the exposition, the development section opens with two-stage sequence in the manner of Riepel's "Fonte," starting in measure 25 (Example 3.1). By virtue of this sequence, Haydn returns to the tonic B-flat major by measure 28, and follows up with a three-measure progression leading to an IAC in measure 31. Measures 31-40 mark the development of the cadential motive from the "Fonte"—an eighth-note anacrusis to three repeated eighth notes followed by a quarter—in part using a shift to the parallel minor. The motive from measures 31-32 is varied and the harmony is prolonged beginning in measure 33, converting it

⁴ Ibid., 62-73.

into a passage of standing on the dominant. Meanwhile, g-flat” appears as an upper neighbor to f” in the first violin in measure 35. The lower strings then echo the gesture, each of them using it to articulate a half-step away from one of the pitches of the dominant F major triad. This continues to a free inversion of the main idea in the minor mode in measures 37-38, and leads to a structural HC that is prolonged until measure 40, just before the start of the recapitulation. This is one of the earliest instances of Haydn using the minor mode to intensify the dominant of the local key, and it is found in the development section.

Example 3.1. Joseph Haydn, “Quartett in B: ‘op. 1 Nr. 1’,” ser. XII, vol. 1 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1973), first movement, measures 25-40. Used by permission.

Another instance of the parallel minor in Haydn’s early quartets occurs in Op. 1 No. 4 in G major; it takes place in the exposition, towards the end of the second group, in D major. After a PAC in measures 38-40, the violins articulate the D major triad, *pianissimo*, echoed with hocketing from the viola and cello (Example 3.2). The ensemble then comes together on an A dominant

seventh chord held from measures 44-48, ornamented with half-step neighbor notes between B-flat/A in the cello and viola, and d''/c-sharp'' in the first violin (the second violin holds the seventh of the chord, g'), culminating in a fermata and *tenuto* in measure 48. As in the previous example, B-flat is borrowed from the minor mode as the flatted-sixth scale degree to chromatically intensify the local dominant. This dissonance is ultimately resolved by the completion of the phrase in D major with a PAC in measure 58. By re-articulating this now chromatically-intensified dominant harmony after the PAC from measure 40, Haydn introduces a dissonance that justifies the closing phrase, demanding resolution and generating form.

Example 3.2. Joseph Haydn, "Quartett in G: 'op. 1 Nr. 4,'" ser. XII, vol. 1 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1973), first movement, measures 38-58. Used by permission.

The musical score is presented in two systems. The first system covers measures 38 to 48, and the second system covers measures 49 to 58. The key signature is one sharp (F#), and the time signature is 3/4. The score includes various musical notations such as trills (tr), tenuto marks, and dynamics (pp, f). The first system shows a chromatically-intensified dominant harmony (B-flat/A) with various ornaments and dynamics (pp, pp, pp, pp). The second system shows the resolution of this dissonance, culminating in a fermata and tenuto in measure 48, and a final resolution in measure 58.

In both of these quartet movements, the minor mode heightens the harmonic tension associated with the dominant, as the lowered third and sixth scale degrees form chromatic half-step neighbors with two of the pitches of the dominant triad. The advantage of the minor mode in these examples is that it creates a harmonic contrast with the immediate tonal context and heightens expressivity.

Op. 9 No. 1 in C major

After having observing this technique in the quartets of Op. 1, an increase in the scope of shifts to the parallel minor becomes evident in Opp. 9 and 17. In the two previous examples, the parallel minor appeared in the development section and at the end of the exposition, after a PAC had firmly established modulation to the new key. Furthermore, the minor was confined to the context of the dominant, save for the brief tonic arpeggio in Op. 1 No. 1. In the first movement of Op. 9 No. 1 in C major, the act of shifting to the parallel minor has been moved towards the beginning of the second harmonic area, and because of this it leads to a more extended prolongation of the phrase than in the previous examples. The first group of this quartet concludes with a HC in the tonic, C major, at measure 14 (Example 3.3).⁵ The start of measure 15 transports us immediately to G major for the second key, by way of a bifocal close to the previous phrase.⁶ Just as the modulation to G is established with a PAC in measure 19, however, Haydn undermines this cadence by introducing a rest on the downbeat in the first violin, and the parallel minor in its subsequent new idea. The introduction of the minor mode denies a complete confirmation of G major; simultaneously, the

⁵ A Schenkerian analysis of the opening group of this quartet may be found in Anthony Albert Walts, "The Significance of the Opening in Sonata Form: An Analytical Study of the First Movements from Three String Quartets by Joseph Haydn" (Ph.D. diss., Yale University, 1985), 32-67.

⁶ For a definition of bifocal close, see Robert S. Winter, "The Bifocal Close and the Evolution of the Viennese Classical Style," *Journal of the American Musicological Society* 42 (1989): 275-337.

contour of the theme from measure 15 is reversed, further adding to the moment's subversive effect. The minor mode therefore introduces a dissonance that generates form since it must be resolved back to the major before the exposition can conclude.

Before this resolution occurs, however, Haydn further explores the harmonic dimensions of the new key—now tinged with the parallel minor—and also introduces a new sense of drama. The combination of minor mode and the inverted theme leads to an F-sharp diminished seventh chord, arpeggiated by all four instruments, beginning with the cello in measure 22. With this arpeggiation, Haydn suspends ordinary voice leading and melodic-harmonic progression, renders the rhythm unstable via syncopation, and abandons the ornamented surface of the music in favor of an unadorned fourth-species texture.⁷ In being exposed, the contrapuntal treatment of the voices is rendered dramatic and destabilizing; the ensemble interaction is such that no one voice holds precedence over another, not even the first violin.⁸ The cello even has the melodic figure that leads up to the fermata in measure 25. This combination of effects across multiple domains brings about a highly expressive and unstable passage.

The parallel minor and F-sharp diminished seventh chord together form part of a larger dramatic unfolding: the re-articulation and chromatic intensification of the new dominant. The passage culminates at the fermata on a dominant seventh chord in first inversion, a harmonic motion achieved by shifting the first violin a semitone from e-flat' to d' while the other strings hold firmly onto their pitches. D had first been established as dominant with the arrival of the new tonic, G major, at measure 15, and it appeared in a full cadential progression in measure 18. The fermata in measure 25, however, represents an intensification of the chord as a dissonance with respect to

⁷ Fourth-species texture refers to the syncopations.

⁸ Gretchen A. Wheelock, "The 'Rhetorical Pause' and Metaphors of Conversation in Haydn's Quartets," in *Internationales musikwissenschaftliches Symposium "Haydn & Das Streichquartett"*, 67-88.

the local tonic. In the measures leading from the introduction of the parallel minor to the fermata, therefore, it seems that Haydn's goal is to foreground the dominant; it is playing a pivotal role both as the means of defining G major as tonic and yet standing in dissonant relationship to it, providing a focal point for chromatic and expressive activity. After this climactic moment, the original contour of the main theme returns in measure 25, as part of a three-stage sequence that restores the light mood, returns to the major mode, and prepares another cadential progression in G major. In measure 28, the F-sharp diminished seventh chord makes yet another appearance, as a recollection of the climactic sonority just previously heard. This time, however, it gives way to the completion of a PAC, thus resolving the dissonance and concluding the drama of the exposition.

Example 3.3. Joseph Haydn, "Quartett in C: 'op. 9 Nr. 1'," ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 13-31. Used by permission.

The musical score is presented in two systems. The first system contains measures 13 through 16, and the second system contains measures 17 through 20. The notation includes various musical symbols such as triplets, fermatas, and dynamic markings like 'p' (piano). The key signature is one sharp (F#), indicating C major. The time signature is 3/4. The score is written for four staves, representing two voices in treble and bass clefs.

Example 3.3 (cont'd).

The musical score is divided into three systems. The first system (measures 21-24) shows the initial key of G major. The second system (measures 25-28) shows a key change to F major, indicated by the addition of a flat to the key signature. The third system (measures 29-32) continues in F major. The score includes various musical notations such as slurs, ties, triplets, and dynamic markings like 'f' (forte).

In this quartet, therefore, Haydn displays a similar use of the parallel minor to Op. 1 Nos. 1 and 4, yet its effect is more prolonged and destabilizing. Here, the minor mode is introduced towards the beginning of the second key, and its initial appearance affects the new tonic directly; in the previous examples, the parallel minor appears as a decoration of the local dominant. In Op. 9 No. 1, Haydn allows the parallel minor to remain operative for longer. Due to this process of delaying the structural cadence, prolonging the phrase of the second group and incrementally

intensifying the dissonance associated with the new dominant, it is impossible to say when G major, despite being unambiguously present from measure 15 on, is fully confirmed as a stable tonality. It therefore seems more accurate to describe the arrival of the second harmonic area in this movement not in terms of a single event, but rather as a gradual process of becoming that permits more dissonant relationships and animated forms of expression along the way. This exposition thus marks a development in Haydn's compositional style that would remain prominent in his future quartets and other genres of instrumental music.

Op. 17 No. 2 in F major

Another quartet in which we encounter an analogous shift to the parallel minor of the second key is Op. 17 No. 2 in F major. The second harmonic area of this quartet follows a similar progression to that of Op. 9 No. 1: Haydn uses its parallel minor as the initial destabilizing agent to extend the phrase beyond the moment of a cadence, leading ultimately to a climactic dissonant sonority based on a half-step relationship to the new dominant. The parallel minor mode, once it is introduced as a dissonance, needs to be handled in a way such that the music can return convincingly to the major. Its appearance therefore necessitates what we may term the parallel minor passage: a harmonic detour at the start of the exposition's second key that begins in minor and is resolved back to major through the use of a chromatic harmony like the diminished seventh or augmented sixth chord.

The first structural dominant of the second key in Op. 17 No. 2 is reached in measure 20, where a pedal tone g" is held in the first violin, and the rest of the ensemble alternates between a G dominant seventh chord and a C major triad (Example 3.4). The G dominant seventh chord in measure 20 is preceded and intensified by its own dominant, with F-sharp appearing as part of a

second-inversion D dominant seventh chord in measure 19. This harmonic and voice-leading relationship will become re-emphasized later in the progression. Haydn inflects the harmony to C minor in measure 22, creating a parallel minor passage and extending the phrase. Rhythmic and harmonic activity continues to accumulate from there. The minor mode leads to a striking arpeggiation in the cello in measure 23, accompanied with a dramatic C minor triad held in long notes in the upper strings, which culminates in an augmented sixth chord in measure 24. The augmented sixth chromatically colors the dominant in measure 25, the double half-step relationship intensifying its presence and allowing Haydn the opportunity to return to the major, which he does in the subsequent measures. To this point, we have had two approaches to the dominant of the new key, the second of which is intensified by the half-step relationships engendered by the parallel minor and a stronger chromatic harmony in the form of the augmented sixth chord.

The harmonic progression is then directed towards a PAC in C major in measures 25-28, but there is a deceptive cadence. The deflected resolution here is not to a submediant or subdominant first inversion triad, as one might expect, but rather to an F-sharp diminished triad in first inversion, the a in the cello providing the deceptive bass motion from the previous g. This voice leading perhaps recalls the approach to the initial structural dominant from measure 20, which was also between a and g in the cello and was based on a similar harmonic relationship involving F-sharp and an applied dominant to G. This chord is then led to a C major triad in second inversion, and Haydn oscillates between these two harmonies for two measures until stopping on the diminished triad in measure 31.⁹ This harmonic alternation is unusual and dissonant; Haydn confronts us with it for three measures, forming the harmonic and expressive climax of the

⁹ Grave and Grave have described this moment as a “mystifying temporal parenthesis.” See Floyd Grave and Margaret Grave, *String Quartets of Joseph Haydn* (Oxford: Oxford University Press, 2006), 163.

exposition. As is the case in Op. 9 No. 1, the harmonic progression is somewhat halted with the arrival of this dissonant sonority. Here, too, we feel the impact of ensemble interaction; the deceptive resolution, repetition and rhetorical pause make it seem as if the ensemble as a collective simply refuses to let the phrase conclude. What follows is a gesture similar to that of Op. 9 No. 1, in which the ornamented surface texture becomes unadorned as a half-diminished seventh chord is presented in quasi-fourth species. This chord is closely related to that after which the music had paused; this gesture therefore appears dramatically as an outgrowth of the same harmonic forces. It also represents a further degeneration of musical normalcy. After one measure, Haydn resolves this dissonance and allows the first structural PAC of the exposition to occur in measure 36.

Example 3.4. Joseph Haydn, “Quartett in F: ‘op. 17 Nr. 2’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 18-38. Used by permission.

The image displays a musical score for measures 18-38 of Joseph Haydn's Quartett in F, Op. 17 Nr. 2. The score is written for four staves (treble and bass clefs). It shows a complex harmonic progression with various chords and melodic lines. The key signature is one flat (F major/D minor). The notation includes many accidentals, ties, and dynamic markings. The first system covers measures 18-21, and the second system covers measures 22-25.

Example 3.4 (cont'd).

The musical score for Example 3.4 (cont'd) spans measures 26 to 35. It is written in D major. The score consists of three systems, each with a treble and bass staff. Measure 26 begins with a trill (tr) in the treble staff. Measures 27-29 continue the melodic and harmonic development. At measure 30, a parallel minor passage begins, marked with a piano (p) dynamic. This passage continues through measure 35, where it ends with a crescendo marking. The score includes various musical symbols such as trills, dynamics (p, f), and crescendo markings.

Op. 17 no. 6 in D major

Parallel minor passages can occur at different points in an exposition, and can last for various durations. In both Op. 9 No. 1 and Op. 17 No. 2, the parallel minor passages occurred towards the beginning of the second key and were relatively short, moving within a couple of measures to a chromatic chord and resolving to the re-articulated and chromatically-intensified dominant as preparation for the return of the major mode. Op. 17 No. 6 in D major is the most extensive exploration of the parallel minor passage of this group. The exact “form” of its exposition is

difficult to dissect, as the harmonic domain of second key and the formal domain of transition/second group do not coincide. In this case, the parallel minor passage occurs in the key of the dominant but within a phrase that began with the movement's opening idea presented in the tonic. Secondly, rather than quickly returning to the major, Haydn dwells in the minor for an entire section lasting several measures and even includes modulation to its relative major. With this exposition, therefore, Haydn to the greatest extent yet reveals the harmonic depths he could attain in the parallel minor passage as well as the expressive capacity of his musical language in sonata style.

After an opening period in D major concludes with a HC in measure 14, yet a third phrase in the tonic with the opening musical idea begins in measure 15 (Example 3.5). Haydn completes a PAC in D major in measure 24, but in the same measure restarts the cadential progression. When the dominant is again approached in measure 26, there is a sudden *forte*, and a grace note g-sharp'' now ornaments a melodic f-sharp'' in the first violin, signaling a shift in tonal center to A major, the second key of the exposition. This shift is form-generating, as it denies the resolution of the previous cadence and creates the need for new material, extending the phrase as A major now alternates with an E dominant seventh chord in second inversion in measures 26-29. The passage now has the feeling of a modulating transition.

What happens next is by now a familiar destabilizing strategy: the second key's parallel minor. In measure 30 Haydn uses A minor, dramatically signaling this modal shift by leaping to c-natural''' in the first violin and introducing a new theme. The parallel minor passage arrives on a dominant pedal in measures 40-3. In similar fashion to the above-discussed quartets, the dominant chord is here intensified and becomes a focal point for chromatic activity. A jagged melodic line colored with chromatic neighbor notes in the first violin in measures 38-39 leads to

this dominant pedal. Upon the arrival at measure 40, e' in the first violin is encircled by d-sharp' and f-natural', creating half-step neighbor notes on either side of the pitch, further intensifying the dominant. This arrival is tense, since it is still within the bounds of A minor, or the parallel minor passage that was initiated in measure 30. There has been no augmented sixth or diminished seventh chord to pull us out of the harmonic space engendered by the minor mode, and so, at measure 43, the ensemble stops at what seems to be a large half cadence in the key of A minor. In measure 44, however, as the rest of the ensemble drops out, the first violin holds e', then pushes up to g-natural', while the cello enters with a low C in measure 45, making for the start of a new idea in C major.

This halt on a potential structural HC at measure 43, then whisking away into the exotic sound of C major is a striking and boldly imaginative harmonic digression. It is justified in part as the relative of A minor, yet its juxtaposition against the local dominant E major produces a major third relationship. Adding to the dreamy effect of this sonority is that C major is never fully established as a key by its own phrase and cadence. The outer voices instead remain stationary on a C-G fifth; the cello holds firm on its c throughout, while the violin feigns melodic motion despite never completely moving off its g'. This false appearance of melodic and harmonic progression lends a bizarre atmosphere that enhances the impact of our feeling of distance. We are already in the parallel minor passage, which is one level of remove from the true local tonic of A major; we have settled on a dominant pedal, an instance of foregrounding and intensifying the new dominant, which is yet another level of removal; and then from that platform we are launched into a new level on a sonority that feels like it is worlds away from where we should be.¹⁰ Although part of a

¹⁰ This moment is briefly referred to in Mark Evan Bonds, "Haydn's 'Cours complete de lat composition' and the *Sturm und Drang*," in *Haydn Studies*, ed. W. Dean Sutcliffe (Cambridge: Cambridge University Press, 1998), 152-76; and also in Grave and Grave, *The String Quartets of Joseph Haydn*, 164.

definition specifically of chamber symphonies, one is reminded of Kirnberger's entry in Sulzer's *Allgemeine Theorie der schönen Künste* (1771-74):

Die Kammersymphonie, die ein für sich bestehendes Ganzes, das auf keine folgende Musik abzielet, ausmacht, erreicht ihren Endzweck nur durch eine volltönige, glänzende und feurige Schreibart. Die Allegros der besten Kammersymphonien enthalten große und kühne Gedanken, freye [sic] Behandlung des Satzes, anscheinende Unordnung in der Melodie und Harmonie, stark marquirte Rhythmen von verschiedener Art, kraftige Baßmelodien und Unisoni, concertirende Mittelstimmen, freye [sic] Nachahmungen, oft ein Thema, das nach Fugenart behandelt wird, *plößliche Uebergänge und Ausschweifungen von einem Ton zum andern, die desto stärker frappiren, je schwächer oft die Verbindung ist* [emphasis mine], starke Schattirungen des Forte und Piano, und vornehmlich *descrescendo*, das, wenn es zugleich bey [sic] einer aufsteigenden und an Ausdruck zunehmenden Melodie gebracht wird, von der größten Wirkung ist.¹¹

The chamber symphony, which constitutes a self-sufficient whole and is not dependent upon any subsequent music, achieves its aim with a sonorous, polished, and brilliant style. The allegros of the best chamber symphonies contain profound and clever ideas, a somewhat free treatment of the parts, an apparent disorder in the melody and harmony, strongly marked rhythms of different types, robust melodies and unison passages, concerting middle voices, free imitations of a theme (often in fugal style), *sudden modulations and digressions from one key to another that are all the more striking the more distant their relation* [emphasis mine], strong gradations of loud and soft and especially of the crescendo, which when used in conjunction with an ascending and sweepingly expressive melody, is of the greatest effect.

In fact, all three of the quartets from Opp. 9 and 17 so far analyzed fit this general description, evidence that places them in line with certain aspects of the aesthetics of their time. The sudden tonal digression in the exposition of Op. 17 No. 6 may have been intended to shock the performers and audience with an abrupt and unforeseen feeling of distance from the locally-implied tonic during the process of confirming its modulation.

¹¹ Johann Georg Sulzer, ed., *Allgemeine Theorie der schönen Künste* (Leipzig, 1794) 4:479; trans. Thomas Christensen in *Aesthetics and the Art of Musical Composition in the German Enlightenment: Selected Writings of Johann Georg Sulzer and Heinrich Christoph Koch*, trans. and ed. Nancy Kovaleff Baker and Thomas Christensen (Cambridge: Cambridge University Press, 1995), 99.

Haydn moves away from C major by sequence to return to A minor, then uses an augmented sixth chord to arrive at a HC in measure 56, effectively bringing an end to the parallel minor passage. The strange C major sonority thus proves to be a parenthetical insertion in a larger and dramatic process of modulation that prolongs and intensifies the dominant of A, realizing the harmonic potential in having been in this extended passage in the parallel minor. All of these elements place this moment in the same category as the two dissonant sonorities previously discussed; the fact that the C major in this case is not a dissonant chromatic chord but rather a foreign major triad renders the expression unique. Although the harmony and voice leading of the C major digression are static, there is no breakdown of texture and rhythm, and the hierarchical ensemble relationship with the melodic voice in the first violin remains intact. The music that follows re-introduces the main musical idea of the movement, now in the dominant, and fulfills the promise of the cadential motive originally expected at the start of the modulatory phrase in measures 24 and 26. The sound of A major is a welcome one, made all the more stable by the presentation of the main idea for the first time in the new key. This phrase goes on to cadence in measure 62 and measures 63-70 reintroduce the cadential progression, allowing it to fulfill its original implication by completing the PAC.

Example 3.5. Joseph Haydn, “Quartett in D: ‘op. 17 Nr. 6,’” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 13-59. Used by permission.

The musical score is presented in four systems, each with four staves (Violin I, Violin II, Viola, and Cello/Double Bass). The key signature is D major (two sharps) and the time signature is 3/4. Measure numbers 13, 20, 27, and 33 are indicated at the beginning of each system. Dynamics such as *p* (piano) and *f* (forte) are marked throughout the score. The notation includes various rhythmic values, including eighth and sixteenth notes, as well as rests and slurs.

Example 3.5 (cont'd).

Other Uses of Parallel Minor: Op. 9 No. 6 and Op. 9 No. 2

In the above-mentioned examples, the parallel minor passage leads to increased chromatic activity around an intensified dominant, followed by a climactic dissonant sonority. However, this is not Haydn's only use for the minor mode in these quartets. In Op. 9 No. 6 in A major, the parallel minor is used at the recapitulation as a variation on the restatement of the opening theme in measures 93-95 (Example 3.6). Unlike the previous examples, this use of parallel minor is not form generating, but rather maintains its position in the phrase as analogous to the exposition.

Example 3.6. Joseph Haydn, “Quartett in A: ‘op. 9 Nr. 6’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 82-102. Used by permission.

The musical score for measures 82-102 of Haydn's Quartett in A (Op. 9 No. 6) is presented in three systems. The key signature is A major (three sharps) and the time signature is 3/4. The score involves four staves: Violin I, Violin II, Viola, and Cello/Bass. The first system (measures 82-86) features rapid sixteenth-note passages in the violins and a steady eighth-note accompaniment in the lower strings. The second system (measures 87-94) introduces dynamics (piano and forte) and a shift in the lower strings. The third system (measures 95-102) continues the texture with various articulations and dynamics, including a final forte passage in the lower strings.

In Op. 9 No. 2 in E-flat major, the parallel minor is limited to its immediate yet potent impact on a passage of standing on the dominant. The second period of the exposition begins with a sequence on the opening idea in measure 15 and, after modulating to the new key of the dominant, arrives at a dominant pedal in measures 25-26. The dominant pedal is approached for a second time and intensified beginning in measure 30, when a new motive is heard in the first violin, followed by a shift to *piano* and the parallel minor in measure 31 (Example 3.7). Haydn then brings the dynamic down another level to *pianissimo* and maintains the f pedal in the cello as the bass of

a first-inversion D-flat dominant seventh chord in measure 32. This resolves to G-flat major in measure 33, which is rendered tense with a syncopated rhythm in the first violin, a rising chromatic line in the second violin, and a *crescendo* in the dynamic. The G-flat major triad gives way to an E-natural diminished seventh chord, the g-flat in the cello rising a half step to g-natural in order to accommodate the shift. This points to yet another relationship between chromatic harmonies in Haydn's language of this time: the diminished seventh, augmented sixth, and dominant seventh chords are interchangeable and contrapuntally related. The dominant seventh chord is enharmonically related to the augmented sixth chord, and the diminished seventh is therefore one half step away from each of them. Haydn could have maintained g-flat in the cello, which would have created an augmented sixth with the e-natural' in the second violin, but he instead opted to use the diminished seventh to return to the F dominant seventh chord in the following measure.

Example 3.7. Joseph Haydn, "Quartett in Es: 'op. 9 Nr. 2,'" ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 29-41. Used by permission.

The image displays a musical score for measures 29-41 of Joseph Haydn's Quartett in Es, op. 9 Nr. 2. The score is written for four staves: Violin I, Violin II, Viola, and Cello. The key signature is E-flat major (three flats) and the time signature is 3/4. The score is divided into two systems. The first system covers measures 29-33, and the second system covers measures 34-41. The music features a variety of rhythmic patterns, including eighth and sixteenth notes, and rests. Dynamic markings such as *p* (piano), *pp* (pianissimo), and *cresc.* (crescendo) are used throughout. The score is presented in a clear, professional layout with standard musical notation.

Example 3.7 (cont'd)



This points to a relationship between the dominant seventh and the diminished seventh chords, occurring twice in the development section of Op. 9 No. 4 in D minor. The first case is at the beginning of the development section, measure 35, where the main idea appears in the subdominant, G minor (Example 3.8). In measure 39, a first-inversion C minor triad gives way to a first-inversion C-sharp diminished seventh chord, with e-flat ascending by half step to e-natural in the cello before resolving to the local dominant in the subsequent measure. The second case begins in measure 47, when one of the ideas from the second group appears in the key of A minor. Haydn follows this with a statement of the local Neapolitan, B-flat major in first inversion, *fortissimo* in measure 49, leading to an E dominant ninth in measure 50. While the upper strings hold their chord tones, the cello ascends by half step, from e to f, forming a third inversion G-sharp diminished seventh chord. The cello rises another half step from f to f-sharp, supporting a first-inversion D-sharp diminished seventh chord held, with a *tenuto* marking and a fermata in measure 51. This chord then resolves to a cadential 6/4 followed by a PAC in the key of A minor in measures 52-3.

Example 3.8. Joseph Haydn, “Quartett in d: ‘op. 9 Nr. 4’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 33-55. Used by permission.

The musical score is presented in four systems, each containing four staves (Violin I, Violin II, Viola, and Cello/Double Bass). The key signature is D major (two sharps) and the time signature is 3/4. The score includes first and second endings at measures 33-38. Dynamic markings include *f*, *ff*, *p*, *cresc.*, *tr.*, and *tenuto*. The score is written in a standard musical notation with various ornaments and articulations.

Op. 76 No. 3 in C major

As stated at the opening of this chapter, the use of shifts to the parallel minor as agents of destabilization in the second harmonic area remained an important part of Haydn's harmonic language in sonata style throughout his career. For instance, a progression very similar to that of Op. 9 No. 1 can be found in the first movement of Op. 76 No. 3, also in C major (1797). Like Op. 9 No. 1, the second group of this quartet's opening movement uses the parallel minor as a means of generating form and intensifying the dominant of the new key. Also similar is that the music in the minor mode leads directly to a fixation on a dissonant sonority with respect to the local tonic, in this case an E-flat major triad (flat-VI) in the context of G major.

Starting in measure 26, a new melodic motive based on the main theme is introduced in the first violin. In measure 28, however, the motive takes a different turn, as the voice leading descends to a B-flat over G minor in measure 29 (Example 3.9). As stated earlier, this move to the minor is analogous to the one found in a similar juncture of Op. 9 No. 1, also in C major and featuring an almost identical tonal progression in the exposition (C major first group, bifocal close, G major second group, G minor tonal digression). Here, however, the consequences of the minor mode are quite different. This time, in measure 30, Haydn introduces the dominant seventh chord of E-flat major in first inversion, with D in the bass; it alternates with E-flat major over the next three measures before a rhetorical pause in measure 32. The main theme then appears in measure 33, building up from the cello through to the first violin, all in E-flat. The use of flat-VI here is analogous to its use in the second group of Op. 9 No. 2 in E-flat, where the parallel minor passage leads directly to the a D-flat dominant seventh chord in first inversion, followed by a G-flat major triad. E-flat major, however, does not constitute its own phrase, as it has no cadence to solidify it as a modulation, but rather marks a moment of fixation on a particular harmonic chord within the

larger phrase in G minor. This is proven by the motion to a cadential 6/4 in measure 37, preceded by an augmented sixth chord on E-flat. The harmonic area of flat-VI serves as a voice-leading intensification of the dominant, and is not intended to be felt as a modulation. Here, then, is evidence that Haydn's harmonic language as late as 1797 is based on procedures evident in the early quartets and fully-present in the quartets of Opp. 9 and 17.

Example 3.9. Joseph Haydn, "op. 76 Nr. 3'," ser. XII, vol. 6 of *Joseph Haydn Werke*, ed. Horst Walter (Munich: Henle, 2003), first movement, measures 26-39. Used by permission.

The musical score is presented in three systems, each with four staves (treble, alto, tenor, and bass). The first system (measures 26-28) begins with a piano (p) dynamic and features a forte (f) dynamic in the second measure. The second system (measures 29-31) begins with a forte (f) dynamic and features a forte (f) dynamic in the second measure. The third system (measures 32-34) begins with a piano (p) dynamic and features a piano (p) dynamic in the second measure. The score includes various musical notations such as notes, rests, and dynamic markings.

Example 3.9 (cont'd).

The musical score for Example 3.9 (cont'd) spans measures 36 to 39. It is written for a string quartet, with four staves: Violin I, Violin II, Viola, and Cello/Double Bass. The key signature has one flat (B-flat major or D minor). The time signature is 4/4. The score begins at measure 36 with a *pp* (pianissimo) dynamic. In measure 37, the dynamics shift to *f* (forte) for the Violin I and Cello/Double Bass, while the Violin II and Viola remain *pp*. Measure 38 features a complex texture with rapid sixteenth-note passages in the Violin I and Cello/Double Bass, and a more melodic line in the Violin II. Measure 39 concludes the excerpt with a final cadence in the Violin I and Cello/Double Bass, while the Violin II and Viola provide harmonic support.

Conclusion

Typically, sonata-style expositions in Haydn's early quartets have not been associated with daring harmonic progressions. More frequently, his monothematic and end-directed approach to sonata form is described in terms of non-normalcy for sonata types of the late eighteenth century. Yet this very approach to sonata style—the lack of a clear-cut division between first and second groups and the delay of a closing structural cadence in the second key—is evident in Opp. 9 and 17 and is a central aspect of his expositions. Haydn in the late 1760s exhibited compositional mastery on the level of merging form, harmonic progression and dramatic gesture to create musical moments of deep expressivity.

An important element of Haydn's style in these quartets and beyond is the way in which the dominant is made the focal point during the delayed structural cadence of the second group. The most intense chromatic activity occurs in the context of the dominant, and in many respects serves to intensify the harmony, foregrounding its dissonant relationship to the local tonic before allowing it to assume its role in articulating the tonic at the point of cadence. Delaying the arrival of this cadence, initially through the introduction of a parallel minor passage, extends the phrasing of the exposition, offering him an opportunity to explore ever more distant harmonic relationships. These moments, furthermore, display Haydn's awareness of part writing and "conversational"

ensemble interaction, this in spite of the predominance of the first violin throughout Opp. 9 and

17. As Tovey states regarding Op. 9:

In the Quartets of Op. 9 . . . the four string parts are equally necessary and equally alive. They are not equally prominent; because the criterion is not polyphony but self-sufficiency for the purposes of this kind of music; and in this kind of music the normal place for the melody is on the top.

It is no imperfection . . . that the first violin is full of brilliant features which the other instruments cannot share. The other instruments are perfectly happy in their place, and there is not a dull or useless note.¹²

In Op. 9 No. 1 and Op. 17 No. 2, the breakdown of harmonic progression and use of contrapuntal fourth-species texture offer opportunities in which the ensemble could interact as equals. Nevertheless, Tovey is correct to say that all of the parts are necessary and “alive” in these early quartets, and it is especially clear during these climactic dissonant sonorities when the otherwise normative and hierarchical ensemble interaction is fundamentally altered. The F-sharp diminished seventh chord in Op. 9 No. 1 is a powerful example of the whole ensemble coming to life. The syncopation adds rhythmic instability to this harmonic dissonance, and also suggests the effect of “breathing” throughout the ensemble, as though the players were expressing the dissonance of the harmony in a bodily way. As the quartet’s musical momentum collapses, it is almost as though the ensemble itself is overcome by the severity of the dissonance, or the intensity of the discourse.

¹² Donald Francis Tovey, “Haydn’s Chamber Music,” in *Essays and Lectures on Music* (London: Oxford University Press, 1949), 26.

CHAPTER 4

THE MODULATING SEQUENCE AND DESTABILIZING CHROMATIC GESTURES

In the previous chapter, I demonstrate how Haydn used chromaticism in the developmental process of first-movement expositions in sonata style, especially as it pertains to phrase prolongation and delay of a key-confirming, structural PAC. In these instances, shifts to the parallel minor in the second key open harmonic avenues capable of supporting further, phrase-expanding harmonic detours, represented in the extreme by Op. 17, No. 6 in D major. Certain additional chromatic tendencies were also revealed, namely the heightened chromatic activity around the dominant of the new key during the modulation and the play on the half-step relationship between chromatic chords like the dominant seventh, diminished seventh, and augmented sixth. This chapter will continue to explore how chromaticism, broadly conceived, intensifies the dissonance of prolonged phrases. Two new concepts to be introduced are the modulating sequence, one of Haydn's preferred methods for arriving at the second key in the major mode, and the use of a motivic, destabilizing gesture on a chromatic sonority.

In distinction to traditional analyses that focus on pitch-specific interpretations, this broad approach can be used to emphasize gestures incorporating chromatic harmony and voice leading. Focusing on gesture enables the accounting for instances in which a single disruptive motive can occur with different pitch material, while at the same time permitting interpretations to be inclusive

of multiple domains, like rhythm, register, dynamic, etc. Chromaticism for Haydn appears to have been more a general class of dissonance, often used in conjunction with dramatic gesture, as a way of enhancing expressivity or heightening tension. Like its predecessor, this chapter deals with individual case studies of sonata-style first movements: the G-major quartets, Op. 17, No. 5 and Op. 9, No. 3, and the quartet in E major, Op. 17, No. 1. All three use a modulating sequence to leave the original tonic and a combination of chromatic harmony and destabilizing gesture during the developmental process. To begin, however, a discussion of further issues of form involving the so-called modulating transition will help illuminate the logic behind the development of a movement in sonata style, revealing how these gestures function both structurally and expressively.

Modulating Sequence and Comparison with the Recapitulation

Many of Haydn's major-mode sonata movements employ the same general modulation strategy: using the submediant, vi, as a pivot tonality in the first part of a two-stage sequence that ends in the key of V and remains there for the rest of the exposition. These characteristics place this strategy, from here on referred to as the modulating sequence, in a category related to Riepel's "Fonte," which the theorist originally recommended be used after the double bar at the midpoint of a minuet.¹ Of the eight major-mode first movements in sonata style from Opp. 9 and 17, five of them—Op. 9, Nos. 3 and 2, and Op. 17, Nos. 2, 1, and 5—incorporate this strategy. Although the general harmonic sequence of events at the point of modulation is similar in each of these

¹ See Gjerdingen, *Galant Style*, 61-72. I relate the term modulating sequence to the "Fonte," despite the sequence having been originally described as a means of returning to the tonic. Although the harmonic progression and voice leading are the same, the formal function of the modulating sequence is to initiate modulation from the tonic, not return to it.

movements, their particular characteristics differ from case to case.² Occasionally, the passage in the submediant will occur at the start of the second phrase or period of the exposition, and use the main idea or some recognizable variant of it. This is the case in Op. 9, No. 2 and Op. 17, Nos. 2, and 1. In Op. 17 No. 5, the modulating sequence occurs after the opening period in the tonic has been completed, yet begins with a new idea based on its motivic, destabilizing chromatic gesture. Op. 9 No. 3 has a style of phrasing that is unique in this group of quartets, in that the modulating sequence occurs in the middle of the developmental process. Identification of the modulating sequence is relevant because it necessarily involves chromaticism, and it has ramifications for formal process in the sonata style. In such cases, the second key is reached in a single, albeit two-stage, formal event, eliminating the need for identifying a modulating transition as a distinct structural unit. Once the modulating sequence has been executed, Haydn is effectively in the new key and the subsequent process revolves around delaying confirmation of this new key until the articulation of a structural PAC.

Since the moment of this sequence is the point of the exposition at which modulation to the dominant occurs, the analogous point in the recapitulation must be omitted or modified in order for the music to remain in the tonic.³ In fact, this modification seems to have been predetermined by Haydn as early as the opening phrase or period. The ends of the opening units are typically composed in such a way that they have the potential of linking up with the music at some point in the middle of the second group. This blurs the boundary between first and second group in the traditional definition of sonata form. Haydn's most common strategy is to omit the sequence and

² It seems as though Haydn made a special point not to use a particular technique in exactly the same way in two different compositions. James Webster makes this observation about the variety of Haydn's repeated use of remote harmonic juxtaposition in his instrumental music around 1770; see *Haydn's "Farewell" Symphony and the Idea of Classical Style* (Cambridge: Cambridge University Press, 1991), 137.

³ Ethan Haimo, "Haydn's Altered Reprise," *Journal of Music Theory* 32 (1988), 335-51; see also Markus Neuwirth, "Recomposed Recapitulations in the Sonata-Form Movements of Joseph Haydn and His Contemporaries," (Ph.D. diss., Katholieke Universiteit Leuven), 2013.

connect the second part of the opening period with the rest of the exposition, now in the tonic. A case in point is the first movement from Op. 17 No. 2 in F major. As we saw in Chapter 2, its first period is comprised of two phrases, the second of which contains a passage of standing on the dominant—intensified chromatically with half-step neighbors—from measures 6-8 before coming to a close in measures 9-11 (Example 4.1).

Example 4.1. Joseph Haydn, “Quartett in F: ‘op. 17 Nr. 2’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 1-13. Used by permission.

Hoboken III: 26

Moderato

The musical score is presented in four staves, corresponding to the instruments: Violino I, Violino II, Viola, and Basso Violoncello. The key signature is one flat (F major), and the time signature is common time (C). The tempo is marked 'Moderato'. The score is divided into three systems. The first system contains measures 1-4. The second system contains measures 5-8, with a measure number '5' at the beginning. The third system contains measures 9-13, with a measure number '9' at the beginning. The score includes various musical notations such as notes, rests, beams, and dynamic markings like *p* (piano) and *f* (forte). The Viola and Basso Violoncello parts have figured bass notation below the notes. The score is identified as Hoboken III: 26.

In the recapitulation, the same progression is recomposed and elaborated such that it forms a smooth connection to the transposed version of measure 20 from the second group. In the exposition, the half-step intensifiers around the c' pedal in the cello begin to include d-flat' in measure 8. In the recapitulation, the analogous second phrase of the opening period begins in measure 75 (Example 4.2). The passage standing on the dominant once again ensues, but d-flat' becomes the root of its own triad in measure 79. It rises a half step to d-natural' in the bass as part of a first inversion B-natural diminished-seventh chord in measures 80-81, and resolves to the transposed second group material in measure 82.⁴

Example 4.2. Joseph Haydn, “Quartett in F: ‘op. 17 Nr. 2’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 72-84. Used by permission.

The image displays a musical score for measures 72-84 of Joseph Haydn's Quartet in F major, Op. 17 No. 2. The score is written for four staves: Violin I, Violin II, Viola, and Cello/Double Bass. Measures 72-76 show a complex interplay of half-step intensifiers around a c' pedal in the cello. Measures 77-84 show a passage standing on the dominant, with a first inversion B-natural diminished-seventh chord in measures 80-81, and a resolution to the transposed second group material in measure 82.

⁴ Here again is an example of the half-step relationship between the diminished seventh and dominant seventh chords; this progression also occurs in the exposition of Op. 9 No. 2 and the development section of Op. 9 No. 4.

Example 4.2 (cont'd).



The modulating sequence at the start of the second period is bypassed; the remainder of the music from the second key continues in the original tonic until the conclusion of the movement. In this respect, the two-part division of the exposition is also reduced to one. The fact that there is chromatic intensification of the home dominant in the second part of the opening period—a gesture normally reserved for intensifying the modulation process to the second key—indicates that Haydn composed this passage with its connection to the second group already in mind.

Op. 17 No. 5 in G major

In Op. 17 No. 5 in G major, the modulating sequence and the use of a destabilizing chromatic gesture coincide. The opening period closes with a PAC in measure 12 (Example 4.3). The next measure (13) is an emphatic *fortissimo* unison half-note E descending to D-sharp. This implies the dominant of E minor, and the following two measures are in that key. Measures 13-14 serve as the initial stage of the modulating sequence, as they are transposed down a whole step to D major and onto a pedal on its dominant (measure 18); the music continues in D for the remainder of the exposition. This destabilizing gesture assumes motivic properties, irrespective of its pitch content, as it returns at various points in the movement to disrupt the local harmonic progression.

In the meantime, however, Haydn relies upon other uses of chromaticism as a general agent of tension in the development process. D major is more strongly implied by a dominant pedal beginning in measure 18, which supports a chromatic stepwise descent in the violin. A progression with a C-sharp diminished seventh chord resolves the dominant without caesura into a D major triad in measure 21. This is followed by a progression leading to a deceptive cadence in measure 24. The pre-dominant chord from measure 23 is chromatically intensified in measures 24-25, and a PAC in the new key of D major follows in measure 25. The ensuing phrase gains momentum as a new cadential progression starts in measure 26, marked by a motion to the subdominant, G major in measure 28 before an IAC in measure 30. In measure 31, the dramatic gesture from the modulating sequence is heard as a reinterpretation of the preceding subdominant resolution just before the concluding PAC of the exposition, in D major at measure 32. Although the gesture is modified in that it is harmonized, shorter, and on an upbeat, the two-part shape with *forte* associates it with the earlier version; it closes the exposition by resolving what had been an agent of destabilization during the modulation process into the final cadence in the new key.

Example 4.3. Joseph Haydn, “Quartett in G: ‘op. 17 Nr. 5,’” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 10-34. Used by permission.

Example 4.3 (cont'd).

This musical score is divided into four systems, each containing three staves (treble, alto, and bass clef). The key signature is one sharp (F#) and the time signature is 4/4.

- System 1 (Measures 15-19):** Measure 15 begins with a treble staff containing a sixteenth-note triplet. Measures 16-19 feature a *ff* (fortissimo) dynamic. The bass staff includes dynamic markings *[ff]* and *[f]*.
- System 2 (Measures 20-23):** Measure 20 starts with a treble staff containing a half note. Measures 21-23 show a *p* (piano) dynamic in the treble and *(p)* in the bass.
- System 3 (Measures 24-26):** Measure 24 begins with a treble staff containing a half note. Measures 25-26 feature a *f* (forte) dynamic. The bass staff includes dynamic markings *[f]* and *[f]*.
- System 4 (Measures 27-30):** Measure 27 starts with a treble staff containing a half note. Measures 28-30 feature a *f* (forte) dynamic. The bass staff includes dynamic markings *[f]* and *[f]*. Trills (*tr*) are indicated in measures 29 and 30.

Example 4.3 (cont'd).

The gesture is then the first thing heard at the start of the development section, when a solo first violin plays a melody consisting of scalar figurations in D major and a *forte* unison on F-sharp rings throughout the ensemble, resolving to G as part of a cadential progression ending with a PAC in D major in measures 34-7 (Example 4.4). The opening idea is then heard in D major by elision, first as the three-measure unit over a tonic pedal, followed by a repetition of the idea in the inner strings in measure 40. Only the first measure of this phrase is heard before the gesture comes back, dramatically introducing a C-natural resolving to B in the context of E minor in measure 41.

Example 4.4. Joseph Haydn, “Quartett in G: ‘op. 17 Nr. 5’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 34-42. Used by permission.

Example 4.4 (cont'd)



A cycle of fifths sequence ensues, leading to a developed version of the gesture, starting with a unison D-sharp in measure 48 (Example 4.5). Rather than resolve as part of a two-note gesture, however, this iteration continues as an arpeggiation, leaping to C-natural (implying a diminished seventh chord) and continuing to move through F-natural, C-natural, A-sharp and G-natural before settling on the dominant of E minor in measure 52.

Example 4.5. Joseph Haydn, “Quartett in G: ‘op. 17 Nr. 5,’” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 48-52. Used by permission.



In the recapitulation, the three-measure opening theme returns in measure 69, followed by a repetition of the opening motive, but in the tonic minor (Example 4.6). The minor mode enables Haydn to use the gesture in yet another tonal guise, this time a unison E-flat in the context of the

minor subdominant, C minor, in measure 73. Haydn ultimately reinterprets the E-flat as part of an augmented sixth chord that resolves to the dominant of G major in measures 75-6.

Example 4.6. Joseph Haydn, “Quartett in G: ‘op. 17 Nr. 5’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 70-74. Used by permission.

The musical score for measures 70-74 of Haydn's Quartet in G major, Op. 17 No. 5, is presented for four staves. The key signature is one sharp (F#). The score includes dynamic markings such as *fz* (forzando), *f* (forte), and *p* (piano). There are also articulation marks like accents and slurs. The notation shows a variety of rhythmic values and intervals, with some measures featuring complex harmonic textures.

The gesture makes one final appearance at the end of the movement, in measure 87 as a transposition of the final motion towards the subdominant just prior to the last PAC. To reiterate, this is an instance of a gesture, not a particular pitch, being developed over the course of a movement, adding drama and excitement.

Op. 9 No. 3 in G major

The developmental process in Op. 9 No. 3 in G major involves a chromatic gesture that plays an active role in cadential rhetoric during the exposition. As in the previous analysis, other chromatic harmonies and intensifications are at play, although here chromaticism is operative from the very beginning. The opening idea of the movement is identified by both its melodic profile and the harmonic progression of its first three measures. A half-note g' in the first violin starts the melody over eighth-note pulses on a tonic G major triad in the lower strings (Example 4.7). This leads to a chromatically-decorated e'' in measure 2, with a subdominant C major triad heard over a tonic

g pedal in the cello, followed by a return to tonic harmony in measure 3. After an IAC completes the first phrase in measure 5, the idea is heard at the start of the second phrase of the opening period, this time varied in accompaniment texture and melodic figuration.

After this second phrase is completed with PACs in measures 9-10, the opening idea is heard yet a third time in measure 11, in varied form; it is developed, elaborating on the original and expanding it harmonically. This time, the new phrase begins as twice before with a half-note g' in the first violin, yet it is supported by a first-inversion G major triad. In a variation of the harmonic progression of the opening, Haydn turns the G major triad into a dominant seventh with the introduction of f-natural' in measure 11 and the use of a d-sharp' appoggiatura resolving to e' supported by a root-position C major triad in measure 12. In the opening statement, a root-position G major triad moved over a G pedal in the cello to a second-inversion C major triad, decorated with a d-sharp'' in the first violin in measure 2. This variation represents an intensification of the chord from its initial presentation. Each time we hear the opening idea at the start of the first three phrases, therefore, it is developed; the third is a more intense chromatic variation, which impacts the harmony. The modulation has not begun, however, as all three of these phrases represent developments within the context of the tonic.

As the progression continues, a disruptive chromatic gesture forcefully changes the course of the movement. A first-inversion E-flat major triad interrupts the phrase, *forte*, on the last beat of measure 14. This leads to a flourish of thirty-second notes in the first violin rising to a c''' supported by a first-inversion D dominant seventh chord in measure 15. This bold chromatic gesture impacts the progression, harmonically foregrounding the dominant in a new way. The progression then moves to a G major triad in measure 16 and the phrase concludes without another conclusive caesura. It is tempting to posit a connection between the d-sharp' in the first violin in

measure 2 with the d-sharp in measure 12, then enharmonically reinterpreted as e-flat' in measure 14. However, more disruptive than the precise pitch classes in this context is the chromatic gesture itself, which intensifies and dramatizes the harmonic progression. The d-sharp'' and c-sharp'' of the first violin in the first two phrases are significant in the way they form half-step lower neighbors with their diatonic counterparts, e'' and d''. In measure 11, the f-natural' adds to the intensity of the resolution to e' from d-sharp', making the developmental process with respect to chromaticism involve more than one pitch. The dramatic gesture in measure 14 can be heard as related to the previous chromatic activity by way of a general harmonic intensification of the tonal progression, and less as a continuation of the motivic properties of any one specific pitch class.

The modulating sequence appears in measures 17-19, with a new idea presented first in E minor and leading to D major. Once in D major, Haydn remains in that key for the remainder of the exposition. Consistent with his practices of chromatic intensification of the dominant we saw in earlier contexts, he immediately emphasizes the dominant of the new key using chromatic half steps in measures 20-22. The first-inversion A dominant seventh chord resolves to D major in measure 23, followed by the onset of the third version of the opening idea, now transposed to D major. In measure 24, the tonic d' is held in the first violin supported by a first inversion D major triad with pulsing eighth-note accompaniment.

Here, cadential rhetoric becomes important. The first version of this phrase appeared in measure 11, and there has been no PAC up to this point (measure 16 is an IAC). In this D major version of the main idea, the same intensified harmonic gesture to the subdominant is made in measures 24-25, including the use of c-natural' and a-sharp' as chromatic lower neighbors. This time, however, it is developed in a slightly different direction. The two-measure unit beginning in measure 26 repeats the measure with the a-sharp' appoggiatura, and then gives way to an emphatic,

forte, first inversion D-sharp diminished seventh chord just before the cadential progression ending in a PAC in measure 31, the only PAC in the exposition. This music is a version of the original disruptive gesture from earlier in the phrase, a feature made evident by the variant of the thirty-second-note continuation in the next measure. Here, the gesture leads directly to a structural PAC in the second group, resolving the dissonance it created upon its initial appearance.

Example 4.7. Joseph Haydn, “Quartett in G: ‘op. 9 Nr. 3,’” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle 1963), first movement, measures 1-34. Used by permission.

Moderato Hoboken III: 21

Violino I

Violino II

Viola

Basso

5

8

11

f

p

Example 4.7 (cont'd).

This musical score is for Example 4.7 (cont'd), spanning measures 12 to 30. It is written for a four-part ensemble: Treble 1, Treble 2, Bass 1, and Bass 2. The key signature is one sharp (F#), and the time signature is 4/4. The score is divided into five systems, each containing four measures.

- Measures 12-15:** The first system. Measures 12 and 13 feature a melody in Treble 1 with a forte (*f*) dynamic. Measures 14 and 15 continue the melody, also marked *f*. The bass parts provide a steady accompaniment.
- Measures 16-19:** The second system. Measures 16 and 17 show a more complex melodic line in Treble 1. Measures 18 and 19 continue the piece with various melodic and harmonic developments.
- Measures 20-24:** The third system. Measures 20 and 21 feature a trill (*tr*) in Treble 1. Measures 22 and 23 continue the melodic line. Measures 24 and 25 show a change in dynamics, with *p* (piano) and *f* (forte) markings.
- Measures 25-29:** The fourth system. Measures 25 and 26 feature a trill (*tr*) in Treble 1. Measures 27 and 28 continue the melodic line. Measures 29 and 30 show a change in dynamics, with *p* (piano) and *f* (forte) markings.
- Measures 30-33:** The fifth system. Measures 30 and 31 feature a trill (*tr*) in Treble 1. Measures 32 and 33 continue the melodic line. Measures 34 and 35 show a change in dynamics, with *p* (piano) and *f* (forte) markings.

The score includes various musical notations such as notes, rests, trills, and dynamic markings (*f*, *p*). The bass parts provide a steady accompaniment throughout the piece.

This exposition uses the modulating sequence as part of an extended phrase that can be traced to the third iteration of the opening idea in measure 11. Haydn uses it in the recapitulation transposed to remain in the tonic. This has an important implication for the harmonic progression in the recapitulation. If it is to feature the modulating sequence, Haydn must recompose the recapitulation in such a way that the sequence can begin on ii, or A minor. This means that there has to be a harmonic transition between the music in the tonic, G major, and the connection to the start of the sequence in A minor. In the recapitulation, the third iteration of the opening idea reappears in measure 58, but is developed differently. The measure featuring the f-natural' is repeated in measure 60 and developed such that the e' to which it resolves continues a stepwise chromatic ascent from measures 61-63 in the first violin, accompanied at the chromatic lower sixth in the second violin and lower tenth by the cello in measures 61-62 (Example 4.8).

Example 4.8. Joseph Haydn, “Quartett in G: ‘op. 9 Nr. 3’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle 1963), first movement, measures 56-71. Used by permission.

The image displays a musical score for a string quartet, specifically measures 56-71 of Joseph Haydn's "Quartett in G: 'op. 9 Nr. 3'". The score is written for four staves: Violin I, Violin II, Viola, and Cello/Double Bass. The key signature is one sharp (F#), indicating G major. The time signature is 3/4. The score is divided into two systems. The first system covers measures 56 to 60, and the second system covers measures 61 to 65. Measures 56-60 are marked with a piano (p) dynamic, while measures 61-65 are marked with a forte (f) dynamic. The music features a chromatic ascent in the first violin from measure 61 to 63, accompanied by the second violin and cello in measures 61-62.

Example 4.8 (cont'd).



This leads back to the modulating sequence in measure 65, now in A minor, ii, and the transposition of the remainder of the exposition material in the tonic. Haydn has bypassed the chromatic gesture of the exposition in favor of a different chromatic progression in order to redirect the modulation.

Op. 17 No. 1 in E major

As in the other two case studies of this chapter, Op. 17 No. 1 in E major uses the modulating sequence to arrive in the key of the dominant for the second group. Its exposition can be divided into two main phrases, the first of which is closed and in the tonic, the second of which is a developed and extended version of the first. There is also a striking chromatic gesture that plays an important role in the cadential rhetoric of this movement. One of the major differences between this quartet and the others examined here, however, is the unique treatment of the modulating sequence, which is given larger formal proportions.

After a six-measure phrase that ends with a PAC in the tonic, the next phrase begins with the same opening idea (Example 4.9). This time, however, it is presented *pianissimo* and takes off in a different direction for modulation to the second key, beginning an intense developmental process. The modulating sequence spins off from the opening idea, its first stage moving from a

G-sharp dominant-seventh chord to C-sharp minor in measures 8-9. The second stage “should” represent an exact transposition of the first, in B major. As in the progression of the previous two measures, Haydn begins measure 10 with an F-sharp dominant-seventh chord, yet this time maintains as a pedal, transforming the modulating sequence into a passage on a dominant pedal lasting until measure 13.

The phrase again approaches the dominant, this time with more intensely chromatic harmony. In measure 15, a D-sharp dominant seventh chord in first inversion, with f-double-sharp in the cello, rises out of a chromatic voice-leading progression from the f-sharp in the previous measure, then resolves to a G-sharp dominant-seventh chord in third inversion in measure 16. This then resolves to a C-sharp minor triad in first inversion in measure 17, the e in the cello of which rises by half step through e-sharp to arrive yet again on the F-sharp dominant for an HC in measure 18. This is an unusual harmonic progression that encircles the new dominant from the sharp side.

The rhythmic energy of this caesura is maintained, however, with a decorated rising arpeggio in the first violin punctuated by off-beat chords in the lower strings. In measure 20, a climax is reached after which a scale consisting of descending eighth notes is heard until the end of measure 21. This leads to another approach to the dominant F-sharp, this time further chromatically intensified by an augmented sixth chord; the g-natural in the cello and e-sharp’ in the first violin are each a half step from the dominant root, F-sharp. At the same time, d-natural’ in the second violin and b-natural in the viola likewise form half-step neighbors to the other notes of the dominant triad, c-sharp’ and a-sharp. This chromatic intensification likewise centers on the dominant, a harmony which was demonstrated in the previous chapter to serve as focal point for chromatic activity. In this movement more than the others in this chapter, Haydn uses a variety of chromatic harmonies to foreground, prolong, and intensify the dominant in a passage that stretches

from measures 10-24. All of this occurs during the process of confirming the modulation, beginning with the modulating sequence technique, as a way of strongly implying the new tonic without actually articulating it, generating great harmonic tension along the way.

The continuation of this expanded phrase introduces a destabilizing chromatic gesture that plays a repeated role in this movement, each time more intense than the last. The harmonic tension generated by the dominant pedal is dissolved through an evaded resolution to a first-inversion tonic triad, B major, in measure 25. The next two measures are full of neighbor-note chromatic resolutions and appear headed for a cadential progression in B major, as indicated by I6/3 moving to IV in measure 26. However, in measures 27-28, the harmony reverts to the first-inversion tonic triad and there is a climactic a-natural''' in the first violin forming the seventh of a first inversion B dominant seventh chord. This use of chromatic harmony—converting a local tonic into a dominant seventh by adding a flattened seventh degree—has forestalled the sense of progression and prevented cadential resolution to B major.

The gesture appears again, modified, in the exposition and then even more strikingly in the development section. A duet in thirds in the violins picks up where the previous portion of the phrase left off and re-approaches the cadence in measures 29-30, when again resolution is deflected to a first-inversion tonic. This time, the figure from measure 25 that previously had chromatic neighbor notes is rhythmically varied in measure 31, accelerated into sixteenth-note sextuplets while again headed for the same cadence. As Haydn approaches the analogous moment in the phrase, he uses a-natural''' for a second time with the same destabilizing chromatic gesture in measure 34, but this time c-natural'' has replaced the b', forming a diminished seventh chord. This second iteration of the gesture from earlier represents another increase in the intensification of the dissonant harmony. We have seen an example of the half-step relationship between dominant

seventh and diminished seventh chords in the first movement of Op. 9 No. 1 in C major. It seems that, for Haydn, the diminished seventh chord was a more dissonant version of the dominant seventh.

The cadential rhetoric of a promised cadence has been strongly implied in this movement so far, as we have had two identical progressions, neither of which have been permitted to complete a PAC. As we approach yet another cadence, Haydn begins the same progression starting with the duet in the first and second violins, but develops the phrase yet again, when he deflects the F-sharp of the cello up to F-double-sharp—reminiscent of his earlier progression at the beginning of this long passage—and initiates a chromatic descending fifths sequence in measure 36, culminating in an E major IV chord in measure 39. Finally, in measures 40-41, Haydn allows the cadence he had promised twice to resolve, even with a literal repeat of the cadential gesture and trill from the previous attempt in measure 30, and the last two measures confirm the arrival of the cadence with two measures of tonic pedal. The entire expanded second phrase, therefore, uses chromaticism in the development process as a way of enhancing modulation and indicating cadential rhetoric. It is possible to conceive of the chromatic circle of fifths sequence as a reiteration of the incomplete modulating sequence that initiated the developmental process from earlier in the exposition. While the earlier version did not follow through by landing on and remaining in B major, this sequence not only accomplishes that, but moves on to a PAC in the new key, thereby fulfilling its projected harmonic goal of modulating to the dominant.

Example 4.9. Joseph Haydn, “Quartett in E: ‘op. 17 Nr. 1,’” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 5-43. Used by permission.

The musical score is presented in four systems, each containing five measures. The key signature is E major (three sharps) and the time signature is 2/4. The notation includes various musical symbols such as notes, rests, beams, and dynamic markings. The first system (measures 5-9) shows a dynamic shift from *pp* to *f*, with *p[p]* and *[f]* markings in the lower staves. The second system (measures 10-14) continues the melodic lines. The third system (measures 15-19) includes trills (*tr*) in the first violin part. The fourth system (measures 20-24) concludes the excerpt with various melodic and harmonic textures.

Example 4.9 (cont'd).

This musical score is for Example 4.9 (cont'd), covering measures 25 through 39. It is written for a piano in the key of D major (indicated by two sharps) and 4/4 time. The score is organized into five systems, each containing three staves (treble, alto, and bass clefs).
- **Measure 25:** The right hand features a complex melodic line with many accidentals and slurs. The left hand provides a steady eighth-note accompaniment.
- **Measure 29:** The right hand has a trill (tr) on the final note of the measure. The left hand continues with eighth notes.
- **Measure 32:** The right hand contains a dense, rapid sixteenth-note passage. The left hand has a more relaxed eighth-note accompaniment.
- **Measure 34:** The right hand has a melodic line with some slurs. The left hand features a half-note accompaniment.
- **Measure 39:** The right hand begins with a forte (f) dynamic and a rapid sixteenth-note run. The left hand also starts with a forte (f) dynamic and a half-note accompaniment. The system concludes with a double bar line and repeat signs.

The development section also uses cadential rhetoric and chromaticism, featuring the same destabilizing gesture from the exposition. In measure 57, Haydn prepares a PAC in C-sharp minor, vi, yet deflects resolution via a deceptive cadence using a version of the gesture he had used earlier to derail the harmonic progression in the exposition, measures 28 and 34 (Example 4.10). The gesture is repeated *piano* in the next measure on an F-double-sharp diminished seventh chord, which helps to chromatically intensify the G-sharp cadential 6/4 of measure 60. This, however, is deflected again using a diminished seventh moving to an F-sharp in first inversion and creating a HC in the tonic at measure 62.

Example 4.10. Joseph Haydn, “Quartett in E: ‘op. 17 Nr. 1’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 57-62. Used by permission.

The next bars are a false recapitulation, as the main theme and the tonic return, but the music immediately returns to development via a sequence beginning in measure 64. Chromaticism returns in measure 73, when the tonic E major is turned into minor and the modal mixture helps to intensify the caesura on the first-inversion B dominant seventh chord in measure 75, using the gesture once again (Example 4.11). The recapitulation then ensues in the following measure.

Example 4.11. Joseph Haydn, “Quartett in E: ‘op. 17 Nr. 1,’” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), first movement, measures 73-86. Used by permission.

In the development section, then, the gesture is used in a manner similar to the exposition, initially creating instability at the point of a cadence, then working in favor of achieving an implied harmonic goal. In this case, the gesture complicates the potential caesura in C-sharp minor, then prepares the double return of the original tonic and main theme for the onset of the recapitulation.

In the recapitulation, the modulating sequence is bypassed by repeating the cadence of the opening phrase, which occurs here in measure 81, and opening it to new development. In measure

83, the resolution of the cadence is deflected to IV, and the subdominant (both IV and ii6) is held for a full measure in measure 84. It connects with the analogy to measure 18 in measure 85, and the remainder of the recapitulation is a transposition of the exposition.

Conclusion

These three quartets help to build on the observations from the previous chapter. In each of these movements, the modulating sequence was employed to bring the music out of the tonic and place it directly in the new key, after which point the development process was initiated. Based on observations from these expositions, the harmonic progressions and chromatic gestures appear to be consistently present elements in the quartets of Opp. 9 and 17, yet they are never presented in the same way from one movement to the next. As such, they represent elements that are flexible in location and variable in presentation. In the earlier chapter, we see the variability of location and duration of the parallel minor passage; similar characteristics are shared by the modulating sequence. All of these elements point to Haydn's approach to chromaticism being broadly conceived, a way of introducing dynamic harmonic tension to achieve expressive gains.

The destabilizing chromatic gestures are dealt with to a greater degree in this chapter. More than individual pitch material, these gestures can be recalled as motives at various points throughout a movement. This gives them a psychological or emotional potency that complements advanced compositional technique in the domains of voice leading, rhythm, phrasing and harmonic progression. They can induce and resolve the tension-generating demands of Haydn's cadential rhetoric. This is certainly the case in the exposition of Op. 9, No. 3, when the chromatic gesture both precedes the modulating sequence by prolonging the phrasing and resolves the tension of the exposition by appearing before a PAC. The use of the gesture in Op. 17, No. 5 during the

recapitulation and in the minor mode as a way of bypassing the modulating sequence also indicates the deep impact of the rhetorical force of these ideas at any point in the movement. In Chapter 1, the ramifications of the destabilizing chromatic gesture in the opening phrase of Op. 50 No. 5 in F major occur in much the same way. This chapter provides evidence that these chromatic techniques in composition of sonata style first movements in string quartets had their beginnings in Opp. 9 and 17. The only quartet for which the sonata style first movement has not been analyzed is Op. 17 No. 4 in C minor, since Op. 9 No. 5 and Op. 17 No. 3 are both theme-and-variations movements. This gives us a relatively complete picture of how chromaticism operates in Haydn's first-movement expositions in sonata style.

CHAPTER 5

CHROMATICISM AND SONATA STYLE IN THE SLOW MOVEMENTS

In Chapter 2, the first movements from Opp. 9 and 17 were discussed as being in sonata style, as opposed to sonata “form,” the former being an approach to expanding the phrasing of smaller song and dance forms and dramatizing the process of modulation. This was borne out in analysis over the course of Chapters 3 and 4, in which the role of chromatic harmony and voice leading in these phrase expansions was demonstrated. As is the case with the first movements, the slow-tempo third movements from Opp. 9 and 17 are treated in the sonata style, although certain issues unique to them arise owing to their separate context. The most obvious distinction to be made is their being in an “instrumental aria” format, and as such they have been remarked upon for their overt use of certain vocal conventions, such as the recitative passages in Op. 17 No. 5,¹ and the aria-like cadenzas for the first violin in Op. 9 No. 4 and Op. 17 No. 6.² Their forms also differ from first movements, in that they are composed in one of three formal types: a smaller-scale sonata “form,” complete with exposition, development, and recapitulation (Op. 9, Nos. 1, 4, and 6, Op. 17 Nos. 1, 3); sonata without development/slow movement form, with exposition and recapitulation only

¹ Donald Francis Tovey, “Haydn’s Chamber Music,” in *Essays and Lectures on Music* (London: Oxford University Press, 1949), 37; see also Nancy November, “Instrumental Arias or Sonic Tableaux: ‘Voice’ in Haydn’s String Quartets Opp. 9 and 17,” *Music & Letters* 89 (2008): 363-5.

² Floyd Grave and Margaret Grave, *The String Quartets of Joseph Haydn* (Oxford: Oxford University Press, 2006), 74.

(Op. 9 No. 3, Op. 17 Nos. 2, 5); and binary form (Op. 9 Nos. 2, 5, Op. 17 Nos. 4, 6).³ This variety of formal types arises in part from Haydn's treatment of aria in the sonata style, and chromaticism once again plays a critical role in the developmental process.

The difference between sonata, sonata without development, and binary forms has been the source of some controversy regarding what qualifies as sonata form. Many of the slow movements in Opp. 9 and 17 offer another perspective on sonata practice, described most frequently as sonata without development, or "slow movement" form. James Webster defines it as follows:

Closely related to sonata form is the common form comprising an exposition and recapitulation but no development (and usually no repeats). As it often occurs in the first movements of sonatinas, and in slow movements, it is often called 'sonatina form' or 'slow-movement form'; but it also appears in other contexts, so the more neutral term 'sonata without development' is preferable...Often one or more paragraphs will be considerably expanded in the recapitulation, giving the satisfaction of a "secondary" development in an appropriate context.⁴

This definition is vague, suggesting equivocal views in the scholarly literature on the subject. This form is described as "closely related to sonata" in that it lacks a development section (though this distinction is not always clear), may or may not repeat, and it can include further extended, developmental phrasing in its recapitulation. A common denominator in the cases of sonata and sonata without development is the necessity of the so-called double return: the simultaneous reappearance of the main theme with a return to the tonic after modulation. Of the formal types found in the slow movements of Opp. 9 and 17, this leaves binary form out of the sonata definition due to its return to the tonic not coinciding with statement of the main theme. This therefore

³ Formal types taken from Grave and Grave, 159.

⁴ James Webster, "Sonata Form," in *The New Grove Dictionary of Music and Musicians*, 2nd ed., ed. Stanley Sadie (London: MacMillan, 2001), 23:697.

constitutes the fundamental difference between a recapitulation (with double return) and a reprise (tonic return), the former being one of the conditions for the identification of a sonata form.

This sonata/binary distinction does not necessarily reflect the inherent dynamism of each of these formal types when they are composed in the sonata style, which is not dependent on a formal thematic return for its comprehension. Hepokoski and Darcy criticize these terminological differentiations with the insightful claim that sonata “form” can be understood more as a regulative idea than as a fixed formal type:

Once one takes a more sophisticated view of a genre (or a form) not as a concrete thing to be found in the music proper but as a regulative idea guiding analytical interpretation, many of the problems associated with this terminological concern become less pressing.⁵

Instead of building on this statement, Hepokoski and Darcy proceed to add jargon, now distinguishing between sonata without development, binary, and sonata forms as Type 1, Type 2, and Type 3 sonatas, respectively, finding commonalities and interpretive gray areas between the three.⁶ In fact, this new nomenclature is more abstract than the one they seek to replace. A truly alternative regulative idea is the sonata style, which in the slow movements of Opp. 9 and 17 is achieved through the developmental expansion of the phrasing of smaller binary and ternary forms, more specifically, aria.⁷ Whether such a movement features a recapitulation or a reprise has little impact on our experience of the musical drama of sonata style and the developmental process up until that point.

⁵ James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (Oxford: Oxford University Press, 2006), 343.

⁶ *Ibid.*, 343-87.

⁷ Charles Rosen, *Sonata Forms*, rev. ed. (New York: Norton, 1988). On the subject of developing aria forms in particular, see 28-70

Identical forms are to be found in Haydn's arias from the period, indicating a relationship between his vocal and instrumental music. In a survey of formal types in these arias, Mary Hunter locates parallels between Haydn's use of their musical structures and texts, and likewise correlates the appearance of full sonata "form" with *seria* characters and sonata without development or binary form with *buffa* characters.⁸ Hunter identifies the tripartite structure of exposition, development, and recapitulation as a reinterpretation of the paradigmatic *da capo* aria form into Haydn's mid-eighteenth-century sonata practice.⁹ Floyd and Margaret Grave similarly claim that the form of sonata without development in the Haydn quartets was derived from contemporary operatic practices in which the setting of an aria modulates to the dominant or relative major, then reverts to tonic as the text repeats.¹⁰ Their insights do not go as deep as Hunter's, however, in that they do not take into account the role of aria and character type in impacting the selection of one of the three formal types found in the slow movements, including full sonata and binary forms. The notion that text structure and character register may account for the different formal types in Haydn's vocal arias calls into question the necessity for essentialist claims regarding their form. In the case of the slow movements of Opp. 9 and 17, we may more beneficially consider the presence of the sonata style in these movements as a dramatization of simple song or aria structures, AA' (binary form with or without double return) or ABA. The difference between sonata, sonata without development, and binary forms in Opp. 9 and 17 is therefore potentially more one of character than of formal identity.

⁸ Mary Hunter, "Haydn's Aria Forms: A Study of the Arias in the Italian Operas Written at Esterhaza, 1766-1783" (Ph.D. diss., Cornell University, 1982), 275; see also Hunter, "Text, Music, and Drama in Haydn's Italian Opera Arias: Four Case Studies," *Journal of Musicology* 7 (1989): 29-57.

⁹ Many of Hunter's observations regarding form in these arias are consistent with the theory of sonata style and the developmental process as it appears both in first and third movements.

¹⁰ Grave and Grave, *String Quartets of Joseph Haydn*, 74.

Although the slow movements of Opp. 9 and 17 are distinct in character from the first movements, the format still allows for the phrase-expanding and dramatic developmental process of sonata style. One primary difference between *Allegro* first movements and slow-tempo third movements is that the latter tend to begin with a more regular kind of opening statement. These may range from 4-8 measures, but they always conclude with an IAC or PAC in the tonic key. Most often, there is a development from the main idea beginning with the second phrase, an observation consistent with Haydn's tendency to form his music using unity of idea as a point of departure. In these "instrumental arias," the ensemble has active textures mimicking orchestral accompaniment, mainly giving soloist responsibilities to the first violinist. Finally, Haydn employs the technique of written-out varied reprises in the slow movements of Op. 9 Nos. 2 and 4 and Op. 17 No. 4, further evidence of his direct engagement with C. P. E. Bach's music and theoretical writings occurring at some point during the 1760s.¹¹ These variations offer some insight into how Haydn conceived of chromaticism as a means of ornamenting pre-existing melodies. The melodic ideas of the violin tend to be more expansive, which gives ample opportunity for rhythmic, motivic and chromatic variation. Very often, decorative chromaticism involves half-step lower neighbor appoggiaturas. Even with so much variation, the use of chromatic harmony as a central feature of the developmental process at point of cadence is ubiquitous, and can involve even more intense harmonic juxtapositions or modal shifts than are found in first movements.

¹¹ Ibid., 96-115. In a separate study, László Somfai has hypothesized that Haydn read Bach's treatises in 1762, when conventions of notation for ornaments in Haydn's keyboard music begin to reflect those of Bach. For that discussion, see Somfai, *The Keyboard Sonatas of Joseph Haydn: Instruments and Performance Practice, Genres and Styles*, trans. the author with Charlotte Greenspan (Chicago: University of Chicago Press, 1995), 37-105, esp. 39, fn. 3. For a general study of Haydn's variation technique, see Elaine Sisman, *Haydn and the Classical Variation* (Cambridge: Harvard University Press, 1993).

Sonata without Development in Opp. 9 and 17

The *Largo* of Op. 9, No. 3 is one of the slow movements classified in the literature as a sonata without development.¹² Its opening phrase is five measures long, ending with an IAC in the tonic, C major. This phrase serves as the opening ritornello of a simple song structure which will be immediately expanded and developed according to the sonata style. After the second phrase begins with the two-measure main idea in the tonic in measures 6-7, it takes a different turn with a new melodic and rhythmic identity (Example 5.1). The remainder of the original phrase is replaced with a *cantabile* passage above a gently pulsing C major orchestral accompaniment and a soaring, long note e'' in the first violin in measure 8, giving the impression that a soprano character has entered the scene. The momentum of this initial lyricism does not build, however, as a first-inversion G-sharp diminished seventh chord, *sforzando*, interrupts the otherwise tranquil sentiment, altering the dramatic tone of the passage while harmonically initiating a modulation to G major. Since the start of this second phrase, the developmental process of sonata style is associated with various operatic conventions. A HC in the new key is reached in measure 11, yet the first violin is used to extend the phrase beyond the point of caesura. This leads to a destabilizing chromatic gesture in which the rest of ensemble joins in unison in the manner of a chorus in measures 12-14, outlining an F-sharp diminished seventh chord. This is followed by a repeated and dramatic half-step descent from E-flat to D in measures 14-15, the second time being a *piano* echo of the first.¹³

¹² Grave and Grave *String Quartets of Joseph Haydn*, 74. All movements identified in this chapter as sonata without development are derived from this source.

¹³ This harmonic gesture again highlights the semitonal, contrapuntal relationship between dominant seventh and diminished seventh chords, much like that which appeared in other quartets from Opp. 9 and 17, most notably the first movement of Op. 9 No. 1, also in C major. Like in the other examples, here the tension associated with the dominant is intensified by the diminished seventh chord, which, by virtue of the half-step motion from E-flat to D, provides an increment of dissonance beyond that which is felt at the initial HC in measure 11.

The events going back to the start of the second phrase in measure 6 can be understood under the rubrics of unity of idea and cadential rhetoric. The developmental process of this movement began as an introduction of dramatic operatic events after the second presentation of the opening idea, and a destabilizing chromatic gesture was used to disrupt a potential caesura at the HC of measure 11; Haydn's exposition will conclude upon the resolution of this gesture with a PAC. Meanwhile, each of the instruments continues play a role in this "instrumental aria," alternating between orchestral accompaniment and characters in the scene. The start of the next phrase begins with a new idea characterized by an alternation of held tones, passed from the first violin to the second, as though from one singer to another.¹⁴ When the second violin takes over the melody in measure 18, the first violin becomes accompaniment above it. The lower strings join the second violin in measure 21, initiating a descending sequence that lasts until measure 24. After this, the first violin's melody is again infused with the feeling of a disruptive ominous event. This sense is achieved through a variant of the destabilizing chromatic gesture heard earlier in the exposition, as an arpeggiation of falling thirds in the solo first violin is colored with decorative chromatic neighbors, leading to another ensemble-wide, unison arpeggiation in measure 25. The dominant is regained in measure 26, and everything about its articulation in this moment recalls, if not expands upon its previous, unresolved appearance in measures 11-15. The arpeggiation again becomes alternation between a unison ensemble and solo first violin before pausing on a D dominant seventh chord in measure 29.

¹⁴ The Graves call this passage a substitution the operatic stage for a "mystified space of shimmering instrumental color and metrically disoriented arpeggiation." See Grave and Grave, *String Quartets of Joseph Haydn*, 173. November argues against this claim, suggesting that the sudden change in texture falls under the rubric of *tableau* in which the listener is to be moved through varying views of a single aesthetic subject. See November, "Instrumental Arias": 361-62.

At the return of the opening idea in measure 30, cadential rhetoric comes to the fore. Whereas the previous phrase led to a destabilizing chromatic gesture, this time it will resolve with an emphatic PAC in the new key, thereby concluding the exposition. The opening idea is now heard in the dominant, G major, in measures 30-31. This time, however, the phrase does not develop. A strong downbeat is provided by the cello on G, *forte*, in measure 32 and the ensemble passes duets in a cascade of descending thirds in sixteenth-note triplets until the PAC in measures 34-35, both forming a rhythmic connection with and resolving the destabilizing chromatic gesture from earlier. The entire exposition of this movement therefore features the developmental process, in much the same way as in the expositions of sonata-style first movements. Unity of idea and cadential rhetoric, established by the precedent of the opening phrase in the tonic, offers Haydn an avenue to elaborate on the original idea by way of inserting new material based on operatic conventions, extending phrases, and avoiding potential caesuras. As a general category of dissonance, chromaticism is responsible both for the generation of form and the intensification of the dominant of the second key during the course of confirming the modulation. In the case of the slow movements, these “instrumental arias,” the dramatic character of these dissonances are especially clear.

Example 5.1. Joseph Haydn, “Quartett in G: ‘op. 9 Nr. 3,’” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), third movement, measures 1-37. Used by permission.



Example 5.1 (cont'd).

This musical score is divided into five systems, each containing three staves (treble, alto, and bass clef). The notation includes various musical symbols such as notes, rests, beams, and dynamic markings.

- System 1 (Measures 7-12):** Features a melodic line in the treble staff with a *fz* (forzando) marking. The bass staff has a *fz* marking. The alto staff has a *fz* marking.
- System 2 (Measures 13-17):** Includes a *p* (piano) marking in the treble staff and a *f* (forte) marking in the bass staff. A *C. W.* (Crescendo) marking is present above the treble staff.
- System 3 (Measures 18-20):** Continues the melodic development in the treble staff.
- System 4 (Measures 21-23):** Shows a continuation of the melodic line in the treble staff.
- System 5 (Measures 24-26):** Includes a *3* (triple) marking in the bass staff.

Example 5.1 (cont'd).

The musical score consists of three systems of staves. The first system (measures 27-30) shows a piano (p) section with various melodic and harmonic lines. The second system (measures 31-34) features a forte (f) section with more complex rhythmic patterns, including triplets and trills. The third system (measures 35-38) shows a continuation of the piano section with a key signature change to two flats. The score is written for a piano and includes detailed notation for dynamics, articulation, and phrasing.

In spite of this movement being classified as a sonata without development, there is a brief transition passage that is elided to the conclusion of the last phrase of the exposition, connecting it to the recapitulation. In spite of its brevity, this transition is full of chromatic interest, not the least of which is its conclusion on E major as the dominant of A minor, or vi, just before the return of the main idea in the tonic. This is a common way of preparing the recapitulation in Haydn's music around 1770, described by Webster as remote harmonic juxtaposition.¹⁵ After articulating

¹⁵ Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style: Through-Composition and Cyclic Integration in His Instrumental Music* (Cambridge: Cambridge University Press, 1991), 137. November interprets this in operatic terms as a "scene change." See "Instrumental Arias": 363.

the PAC to conclude the exposition in measure 35, Haydn immediately uses the parallel minor as a destabilizing sonority, and what follows is a chromatic harmonic progression much like the type that can be found in the development sections of first movements (Example 5.2). The g in the cello is held as a pedal for measures 35-37, over which are heard G major, G minor, and a C-sharp diminished seventh chord. The diminished seventh chord is in 4/2 position, and resolves to a first inversion D minor triad by measure 38, f in the cello. An F dominant seventh chord in root position appears in measure 39, which is then reinterpreted enharmonically as an augmented sixth chord, the e-flat'' transforming into a d-sharp'' in the first violin. This augmented sixth chord then resolves to a HC on an E major dominant triad in measure 40. The progression calls to mind the famous passage on "free fantasia" in the *Versuch* of C.P.E. Bach:

Auf eine noch kürzere, und dabey [sic] angenehm überraschende Art in die entferntesten Tonarten zu kommen, ist kein Acord so bequem und fruchtbar, als der Septimenaccord mit der verminderten Septime und falschen Quinte, weil durch seine Verkehrungen und durch die Verwechselung des Klanggeschlechts sehr viele harmonische Veränderungen vorgenommen werden können. Wenn man hierzu die übrigen harmonischen Künste und Seltenheiten, welche wir in den vorhergehenden Capiteln abgehandelt haben, mit zur Hülfe nimmt: was eröffnet sich nicht alsdenn für ein unzuübersehendes Feld von harmonischer Mannigfaltigkeit! Solte es alsdenn wohl noch schwehr fallen, dahin zu gehen, wo man nur will? Nein, man darf nur wählen, ob man viele, oder gar keine Umwege nehmen will . . . Wir wiederholen nochmals, dergleichen chromatische Sätze nur dann und wann, mit guter Art, un langsam vorzutragen.¹⁶

As a means of reaching the most distant keys more quickly and with agreeable suddenness no chord is more convenient and fruitful than the seventh chord with a diminished seventh and fifth, for by inverting it and changing it enharmonically, a great many chordal transformations can be attained. And when there is added to this all the harmonic artistry and rare progressions of the preceding chapters, what an endless vista of harmonic variety unfolds before us! Does it still seem difficult to move wherever we will? Hardly, for we need only decide how circuitous or direct our route must be . . . We repeat that such chromatic progressions are to be played only occasionally, with artistry, and broadly.

¹⁶ C. P. E. Bach, *Versuch über die wahre Art das Klavier zu spielen* (Berlin, 1762), 2:120; trans. and ed. William J. Mitchell as *Essay on the True Art of Playing Keyboard Instruments* (New York: Norton, 1948), 438.

As demonstrated in earlier contexts, for Haydn, the dominant seventh, diminished seventh, and augmented sixth chords are related to one another as chromatic harmonies by way of semitonal or enharmonic reinterpretation, and are therefore interchangeable. Although it is not a diminished seventh chord that allowed Haydn to quickly reach the key of A minor from G, his music here in a sense adds to Bach's theoretical commentary by "attaining chordal transformation" using the enharmonic reinterpretation of a dominant seventh chord as an augmented sixth.

Example 5.2. Joseph Haydn, "Quartett in G: 'op. 9 Nr. 3'," ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), third movement, measures 38-41. Used by permission.



The *Adagio* of Op. 17, No. 2 is similar in structure and texture to the slow movement of Op. 9, No. 3. It opens with a six-measure phrase in B-flat major with a *cantabile* main idea in the first violin over orchestral accompaniment in the lower strings, ending with an IAC in the tonic (Example 5.3). The counterstatement is a complete, undeveloped repetition, although it is varied with the entire ensemble heard an octave lower and the first violin's melody played *sopra una corda*. The first phrase of the next period begins in the tonic at measure 13 with the opening idea, but it is immediately modified so that the last upbeat pulse of the measure features an e-natural'' in the first violin, initiating the modulation to the dominant; it leads to an IAC in measure 16. The same variation then occurs for the second phrase of this period, which also mirrors the previous

phrase an octave lower, *sopra una corda*. The end of this phrase, however, is developed according to sonata style procedures. The IAC in the dominant, F major, at measure 20 is deflected through the second half of the bar by e-flat', converting the tonic triad to a dominant seventh and extending the phrase. The violin's decorative chromaticism in measure 21, c-sharp' and f-sharp', signals heightened expressivity of the now destabilized phrase, leading to a HC in measure 22. The dominant is prolonged as a pedal, alternating with a second inversion tonic triad until measure 27, when an F-sharp diminished seventh chord alters the progression.

This passage presents another opportunity to demonstrate the power of cadential rhetoric in the context of Haydn's sonata style. The chromatic and harmonic gestures involved in the IAC/HC just heard over the course of measures 20-22 present a motivic dissonance, a promised cadence that will remain unfulfilled until Haydn presents them again later in the phrase and completes a structural PAC. The arrival of the dominant pedal in measure 22, with the simultaneous introduction of eight-note triplet arpeggios in the second violin, implies a new beginning that foregrounds the dominant as the expansion of the original basic phrase beyond measure 20.

To further emphasize this point, the same cadential progression starts anew from the tonic in measure 31, featuring all the identical harmonic and motivic elements from earlier plus dramatic elaboration. The arrival on the subdominant is again preceded by a dominant seventh chord on the tonic and enhanced with the chromatic neighbor notes c-sharp''' and f-sharp''' in measures 31-32, making this moment exactly analogous to measures 20-21. Instead of resolving this to the dominant pedal, as he had in measure 22, Haydn in measure 33 moves to a third-inversion C dominant seventh chord, with B-flat maintained in the bass from the downbeat of the previous measure. The ensuing first-inversion tonic is again converted to a dominant seventh chord in the

first violin, but this time as part of a newly-introduced gesture in the form of a five-note descending chromatic scale, from f''' to c-sharp'''. Only after the appearance of this gesture is the dissonance of the promised cadence resolved and the progression is completed with a PAC in measures 34-35.¹⁷

Elided with the articulation this cadence, however, the first violin keeps the rhythmic momentum of the phrase alive by introducing an eighth-note pulse on a dominant c'' pedal. The new descending chromatic gesture is then presented in a passage of standing the dominant. The motive is repeated three times in the second violin, accompanied with Haydn's characteristic chromatic double neighbor around the first violin's c'' pedal tone. In measures 38-39, the motive is expanded, doubled at the octave between the viola and the cello, before cadencing once and for all with a PAC in measure 41. Analysis in terms of cadential rhetoric allows for the comprehension of the return of identical music associated with the unresolved dissonance of a previously manipulated cadence, and likewise reveals how chromaticism is used to augment the tension and enhance the expressivity of the original.

Example 5.3. Joseph Haydn, "Quartett in F: 'op. 17 Nr. 2,'" ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), third movement, measures 1-43. Used by permission.

Adagio

¹⁷ Each time this cadential progression is expressed, the first violin is heard an octave higher from the previous iteration, a demonstration of how register is used dramatically in Haydn's sonata style. See November, "Register in Haydn's String Quartets: Four Case Studies," *Music Analysis* 26 (2007): 289-322.

Example 5.3 (cont'd).

This musical score is divided into five systems, each containing four staves (treble, alto, tenor, and bass clefs). The key signature is B-flat major (two flats). The systems are numbered 7, 13, 19, 24, and 28 at the beginning of the first staff in each system.

- System 7:** Measures 7-12. The first staff features a melodic line with various ornaments (accents, grace notes) and a triplet in measure 10. The other staves provide harmonic accompaniment.
- System 13:** Measures 13-18. The first staff includes a trill (tr) in measure 16. The accompaniment continues with steady eighth-note patterns.
- System 19:** Measures 19-23. The first staff has a long note in measure 23. The accompaniment features a triplet in measure 21.
- System 24:** Measures 24-27. The first staff has a long note in measure 25. The accompaniment continues with eighth-note patterns.
- System 28:** Measures 28-31. The first staff has a long note in measure 29. The accompaniment includes some rests and specific chordal textures in the final measures.

Example 5.3 (cont'd).

The image displays three systems of musical notation, each consisting of four staves (two treble and two bass clefs). The key signature is B-flat major (two flats). Measure numbers 32, 36, and 40 are indicated at the start of their respective systems. The notation includes various musical symbols such as notes, rests, accidentals, and a trill (tr) in measure 32. The music is written in a complex, multi-measure format, likely for a string quartet or similar ensemble.

Following the PAC in measure 41, in this quartet, too, there is a connecting transitional passage leading to the double return of the original tonic and main idea at the recapitulation. The progression is also very similar to Op. 9 No. 3 in that it uses chromatic voice leading to arrive at a HC in the key of the submediant, vi, in this case G minor, before returning to the tonic, creating a remote harmonic juxtaposition. The tonic is again destabilized through the use of the applied dominant seventh to the subdominant. This resolution, however, is to the minor subdominant, with d-flat'' in the first violin in measure 43. The d-flat'' forms a common tone with the E-flat dominant

seventh in measure 44, which resolves as an enharmonically respelled augmented sixth to a second inversion G minor triad. This starts a passage of standing on the dominant of G minor, ending the transition with a HC in measure 52 (Example 5.4).

Example 5.4. Joseph Haydn, “Quartett in F: ‘op. 17 Nr. 2,’” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), third movement, measures 44-52. Used by permission.

The movement concludes with appearances of the five-note, descending chromatic motive as part of the coda in the tonic in measures 87-89 (Example 5.5). This is further evidence that chromaticism for Haydn operated as a non-pitch-specific, broad class of dissonance that could be represented and resolved on the motivic level.

Example 5.5. Joseph Haydn, “Quartett in F: ‘op. 17 Nr. 2’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), third movement, measures 86-90. Used by permission.



The *Adagio* of Op. 17, No. 5 is arguably the most famous of the slow movements classified as sonata without development due to its operatic, recitative-like passages.¹⁸ These passages, however, have never been remarked upon for their chromatic harmony and voice leading, the treatment of which places them among the more dissonant progressions in Haydn. After an opening phrase in the tonic concludes with a PAC in measure 8, the second phrase follows with the same two-measure main idea as the opening, as is the case in the *Largo* of Op. 9 No. 3 (Example 5.6). Also analogous to that movement, in the second phrase Haydn associates the developmental process of sonata style with the operatic convention.

The phrase takes a new turn with a violent interruption on A-flat, *forte*, a destabilizing chromatic gesture which leads to a unison descending scalar outline of a B-natural diminished seventh chord in measures 11-12, introducing the recitative. This B-natural splits off into a first-inversion G major triad in the same measure, creating a harmonic ambiguity between diminished and dominant seventh chords by an implied semitonal relationship. Haydn plays with the dissonance of these related chromatic harmonies, arpeggiated with a series of fermatas over the

¹⁸ Tovey, “Haydn’s Chamber Music,” 37. Tovey believes these instrumental recitatives anticipate those of Beethoven’s Ninth Symphony, further underscoring their historical influence and importance.

course of measures 11-14, ultimately resolving in the first violin to an e-flat'' of an implied C minor triad in measure 15.

The next part of the phrase establishes a harmonic and voice-leading connection with this resolution, as the destabilizing chromatic gesture is transposed up a perfect fifth to articulate an F-sharp diminished seventh chord in unison descending scalar fashion, starting from E-flat in measure 16 (there is a three-note lead-in to this pitch in measure 15). As had been the case just prior, as soon as the lower strings land on F-sharp in measure 17, they split off into a first inversion D major dominant triad. The half-step relationship between the F-sharp diminished seventh and D dominant seventh chords then becomes transformed to initiate a shocking and sudden modulation to the relative major. In measures 19-20, the first violin slightly adjusts its gesture to land a half step higher, on e-flat'', potentially implying the diminished seventh chord. In the lower string response, however, f-sharp in the cello descends a half step to f-natural, forming the root of an F-natural dominant seventh chord, the dominant of the new key, B-flat major.

This approach to the dominant seventh chord of the new key by way of half-step voice-leading from the dominant of the original key both points to the relationship between G minor and B-flat major and allows Haydn to intensify the new dominant with chromaticism. The F dominant seventh chord moves to B-flat minor in second inversion, with f-natural still in the cello, creating a parallel minor passage. The parallel minor of the new tonic enables Haydn to move to G-flat major in measure 23, which becomes then an augmented sixth chord finally resolving to F major for the HC in measure 26. In this transition, therefore, the structural dominant was approached using harmonies with either f-sharp or g-flat in the bass. This particular enharmonic relationship is unique to the minor mode in that the raised-seventh scale degree in the tonic minor is itself a chromatic pitch, which has a tendency to resolve upwards by semitone to a stable tonic note. If it

is respelled enharmonically in the context of the relative major, it can be used as the flatted-sixth scale degree to resolve to the tension-building dominant tone of the new key. This is exactly what Haydn does to prepare for the appearance of the main idea in the relative major in measure 27.

Example 5.6. Joseph Haydn, “Quartett in G: ‘op. 17 Nr. 5’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), third movement, measures 8-27. Used by permission.

The musical score is presented in three systems, each with four staves (treble, alto, tenor, and bass). The key signature is G minor (three flats) for measures 8-14, then changes to G major (two flats) for measures 15-27. The time signature is 3/4. Dynamics include *p* (piano), *f* (forte), and *(f)* (forzando). The score shows a modulating transition from G minor to G major, with the final measure (27) being the first measure of the recapitulation in G major.

The recapitulation offers an alternative interpretation of this progression. Since the D dominant seventh chord from the first part of this modulating transition is in fact the dominant of the home tonic, G minor, Haydn does not need to enharmonically reinterpret the f-sharp in the

cello. The analogous moment occurs in measure 53 of the recapitulation, where the dominant seventh chord in first inversion breaks off and makes way for the first violin's solo recitative. This time, instead of modulating, the first violin articulates the pitches of the D dominant seventh chord, resolving to G minor in measure 57 (Example 5.7). What follows is newly composed music based on the remainder of the transition phrase. At first, Haydn does not allow G minor to be confirmed, as he moves to E-flat major with a fermata in measure 58. The E-flat major becomes a dominant seventh resolving to A-flat major in measure 62, held with a fermata in measure 63. This moves to a fermata on E diminished seventh in measure 64 and an F minor in first inversion in measure 66. At the same time as there is an ascending scalar step at each of the fermatas of this passage, g''-a-flat''-b-flat''-c'', Haydn is composing out the harmonization of a chromatic line from e-flat''-g'' over the course of measures 58-68.

Example 5.7. Joseph Haydn, "Quartett in G: 'op. 17 Nr. 5,'" ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), third movement, measures 45-74. Used by permission.

The musical score is presented in two systems. The first system covers measures 45 to 57, and the second system covers measures 58 to 68. The key signature is one sharp (F#), indicating G major. The time signature is 3/4. The score includes various musical notations such as notes, rests, beams, and slurs. Dynamic markings like *f* (forte) and *p* (piano) are used to indicate volume changes. Fermatas are placed over notes in measures 58, 63, and 64. The notation for the first violin in the second system shows a chromatic line: e-flat''-g''-a-flat''-b-flat''-c''.

Example 5.7 (cont'd).

The image displays two systems of musical notation. The first system, labeled with measure 60, consists of four staves (treble and bass clefs for both hands). It features a melody in the upper staves with various rests and eighth notes, and a more active accompaniment in the lower staves. The second system, labeled with measure 68, continues the piece. It includes a piano (*p*) dynamic marking in the first measure. The melody in the upper staves becomes more complex with sixteenth-note passages, while the accompaniment in the lower staves continues with steady eighth-note patterns. The key signature is B-flat major, and the time signature is 3/4.

Varied Reprise, Chromaticism and the Sonata Style in Binary Form

Three of the *Adagios* in Opp. 9 and 17—Op. 9, Nos. 2, 4 and Op. 17 No. 4—contain varied reprises, written out repeats of the exposition which contain the composer’s own embellishments of his melodies. Of these, only the slow movement of Op. 9 No. 4 is classified as being in sonata “form.” The other two are in binary form, which, in addition to demonstrating the role of chromaticism in Haydn’s variation technique, presents an opportunity to discuss the developmental process and sonata style as it appears in that context.

The *Adagio* of Op. 9, No. 2 is perhaps best known for its opening, executed in an operatic, declamatory style in the first violin with arpeggios in the accompaniment built note by note in the lower strings. The Graves interpret the form as irregular binary, though it bears resemblance to the

sonata without development discussed above.¹⁹ This resemblance, in fact, creates an uncertainty of classification that further highlights the relatedness of all three formal types discussed in this chapter. The developmental process is foregrounded in this movement, placing it as squarely in the sonata style as any of the other movements labeled as in sonata “form.” Following the *Adagio* introduction, the opening phrase begins in measure 9. It contains the identifiable profile of the main melodic idea in the first two measures, followed by a continuation to a PAC in measure 13 (Example 5.8). The next phrase begins with the same main idea in the tonic, although it is developed, as the progression is altered starting in measure 15. From there a modulation ensues, leading to a passage of standing on the dominant of E-flat from measures 19-21. A climactic fermata on a third inversion B-flat dominant seventh chord is held in measure 24, presumably followed by an improvised cadenza in the first violin. The phrase concludes in measures 24-25 with a PAC in the new key of E-flat major. Although labeled as a binary form, it so far bears all the markers of an exposition in the sonata style. The exposition concludes in measure 28; measures 29-46 are a varied reprise of Haydn’s exposition (up to the PAC in measure 26).

Example 5.8. Joseph Haydn, “Quartett in Es: ‘op. 9 Nr. 2’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), third movement, measures 8-38. Used by permission.

¹⁹ Grave and Grave, *String Quartets of Joseph Haydn*, 101.

Example 5.8 (cont'd).

This musical score is divided into four systems, each containing four staves (treble, alto, tenor, and bass clefs). The key signature is three flats (B-flat, E-flat, A-flat), and the time signature is 4/4. Measure numbers 16, 22, 29, and 35 are indicated at the beginning of their respective systems.

- System 1 (Measures 16-21):** The melody in the treble staff begins with a trill (tr) on a quarter note. The bass line consists of eighth-note patterns. Measure 21 features a triplet of eighth notes in the treble.
- System 2 (Measures 22-28):** The treble staff contains a series of beamed sixteenth notes. Measure 26 includes a trill (tr) on a quarter note. The bass line continues with eighth-note patterns.
- System 3 (Measures 29-34):** The treble staff features a trill (tr) on a quarter note in measure 32. The bass line maintains the eighth-note rhythmic pattern.
- System 4 (Measures 35-40):** The treble staff concludes with a sixteenth-note run marked with a bracket and the number 6. The bass line continues with eighth-note patterns.

The varied reprise immediately follows in measures 29, and Haydn maintains the harmonic progression of the original exposition until the fermata in measure 44, analogous to that of measure 24 (Example 5.9). Following the fermata in measure 44, including a written-out cadenza variation, and the PAC in measure 46 (same as measure 26), Haydn sequentially arrives at the dominant of C minor using chromatic voice leading via applied dominants in two-measure units from measures 46-50. E-flat major becomes a third-inversion dominant seventh chord, which resolves deceptively to the dominant of F minor. Then, the sequence repeats, as F minor becomes the dominant seventh of C minor. Meanwhile, the first violin has a chromatic rise from e-flat' to g'. From here on, the music is a recapitulation of material that had been in the second key, starting with the analogous music from measures 19 and 39, respectively. Just before the conclusion of the movement with a final PAC in C minor, however, Haydn adds a final summary of the chromatic progression from earlier in the phrase. After the fermata in measure 55, the cadential progression analogous to measures 24-26 deviates at the last moment (measure 55, third beat) to an E-flat dominant seventh in measure 56 on the way to chromatically enhancing G as the dominant of C minor. In measure 57, F-sharp diminished seventh completes a fully-harmonized chromatic encircling of the dominant before a fermata in measure 58 for a cadenza.

Example 5.9. Joseph Haydn, “Quartett in Es: ‘op. 9 Nr. 2’,” ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), third movement, measures 44-61. Used by permission.

Example 5.9 (cont'd)

The musical score for Example 5.9 (cont'd) spans measures 49 to 55. It is written for four staves: Violin I, Violin II, Viola, and Cello. The key signature is E-flat major (three flats) and the time signature is 4/4. Measures 49-54 contain intricate melodic and rhythmic patterns, including grace notes, trills, and various ornaments. Measure 55 is a cadential phrase, marked with *f* and *p* dynamics. The score concludes with a double bar line in measure 55.

The next quartet that has a slow movement in binary form with varied reprise is Op. 17, No. 4. The opening phrase is four measures, ending with an IAC in the tonic, E-flat major. The second phrase is extended by means of an inserted two-measure sequence and ends with an HC in the tonic in measure 10, giving the entire opening the structure of a reversed period (Example 5.10). This exposition features a new idea at the start of the next period and begins directly in the new tonic, B-flat major, forming a bifocal close with the preceding HC. Although the full exposition will be reprised with written-out variations, the technique of variation appears even within the individual phrase repetitions of the exposition itself. In measure 5, the cello is an octave lower than in measure 1, and in measure 6 the first violin is varied with rhythmic diminution from measure 2. As the second period gets under way, its opening two measures will be repeated with melodic variation in the first violin in measures 13-14. This phrase continues to a HC in B-flat major in measure 20. Cadential rhetoric starts to take over following this HC, as the second idea begins a new phrase that will feature further variations and chromatic intensifications on the way

to a pair of PACs to conclude the exposition. This new phrase has several markers identifying it with respect to cadential rhetoric. The accompaniment texture changes in measure 21 to feature arpeggios in both the second violin and viola. The second idea is melodically and harmonically varied in the first violin at measure 22, converting the B-flat major into a dominant seventh chord including a chromatic descent featuring a-flat'' and f-sharp''. This initiates a cadential progression in measure 23, the completion of which is elided to the start of the phrase again.

With the restart of the phrase, the cadential progression also begins anew. The one difference in this version is that the cello replaces the viola as the second voice participating in the arpeggiations with the second violin. The arrival at the subdominant in measure 26 coincides with a chromatic intensification before leading to an explosive melodic run in the first violin for an emphatic PAC in measures 28-29. Including the variations composed into repetitions during the exposition at the phrase level, in spite of this movement not being labeled as in sonata form, there is a significant amount of development going on, making this exposition virtually indistinguishable from any of the other movements analyzed in this chapter with respect to the sonata style. The phrases are presented and expanded from their original models, especially those occurring from measures 5-10 and 24-33, and unity of idea and cadential rhetoric are important factors.

Example 5.10. Joseph Haydn, "Quartett in c: 'op. 17 Nr. 4,'" ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), third movement, measures 1-33. Used by permission.

Adagio
Cantabile

Example 5.10 (cont'd).

This musical score is for Example 5.10 (cont'd), spanning measures 8 to 25. It is written for a piano in B-flat major (two flats) and 4/4 time. The score is organized into five systems, each with four staves (two treble and two bass). Measure numbers 8, 13, 17, 21, and 25 are indicated at the beginning of their respective systems. The notation includes various musical symbols such as notes, rests, beams, slurs, and ornaments. Specific markings include a trill (tr) in measure 25 and triplets (3) in measures 24 and 25. The piece concludes with a trill in the final measure.

Example 5.10 (cont'd).



The entire section is then repeated exactly as before with Haydn's variations written into the score. The opening phrase heard in E-flat, with rhythmic diminutions again being the primary mode of variation (Example 5.11). Chromatic lower neighbors and passing tones are involved as means of decorating and intensifying the pre-existing voice-leading structure. The second measure of the idea, measure 35, does include a chromatic lower neighbor a-natural' as part of the added pitch material necessary for the added rhythmic activity. The next measure features an e-natural', but this was already part of the original idea.

Example 5.11. Joseph Haydn, "Quartett in c: 'op. 17 Nr. 4'," ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), third movement, measures 34-54. Used by permission.



Example 5.11 (cont'd).

The musical score is presented in four systems, each containing four measures. The key signature is three flats (B-flat, E-flat, A-flat), and the time signature is 4/4. The notation includes a grand staff with a treble clef, a soprano staff, an alto staff, and a bass clef. Measure numbers 39, 43, 47, and 51 are indicated at the start of their respective systems. The score features various musical notations, including sixteenth and thirty-second notes, rests, and dynamic markings such as *mf* and *f*. Fingerings are indicated by numbers 1-5. Articulation marks, including accents and staccato marks, are present. The first system (measures 39-42) shows a melodic line in the first violin with sixteenth-note runs and a triplet. The second system (measures 43-46) continues the melodic development with more complex rhythmic patterns. The third system (measures 47-50) features a more active bass line and a melodic line with many sixteenth notes. The fourth system (measures 51-54) concludes the passage with a final melodic flourish and a sustained bass line.

The second phrase of the opening period, however, becomes more significantly chromatic, with a run from b-flat' to e-flat'' in the first violin in measure 39. The second group is varied by means

of accompaniment texture, as now the first violin accompanies itself paired in thirds with the motive from the second violin. In measure 48, the violin's melodic f' moves to an f-sharp' as part of a chromatic passing variation to g'. In measures 51-53, some chromaticism is added in the first violin, adding color to the cadential progression. Finally, a chromatic line from g' to d' is heard in measure 59 as a carryover from the original exposition, measure 39 (Example 5.12). This line is not a part of the variation process in this reprise, but rather is heard as a variation within the developmental process itself, related to cadential rhetoric. The head motive of the second group phrase has started over twice after potential caesuras, and this instance of chromaticism adds variety and intensifies the sense of dissonance leading up to the PAC in measure 62.

Example 5.12. Joseph Haydn, "Quartett in c: 'op. 17 Nr. 4,'" ser. XII, vol. 2 of *Joseph Haydn Werke*, ed. Georg Feder (Munich: Henle, 1963), third movement, measures 59-62. Used by permission.



The above analyses indicate that the sonata style was present in the slow movements of Opp. 9 and 17 and that it was expressed in a format that was more overtly operatic than first movements. In this way, we may conceive of these movements as expanded song forms that have been dramatized according to the developmental process of sonata style. Whether the final overall form is sonata, sonata without development, or binary form is of little consequence to the developmental process in the exposition, nor does it have an impact on our sense of the tonal and

psychological drama up to that point. As in the analyses of first movements in the previous chapters, Haydn's preferred method for developing phrasing is to begin each new phrase or period of the form with a restatement of the opening idea or a variant of it. From this point, it is usually during the process of modulation from the tonic to the dominant or relative major that the most dramatically dissonant events take place.

The slow movement of Op. 9 No. 3 uses of a previously-discussed technique, the destabilizing chromatic gesture, as a way of dramatizing this process, and it is reintroduced at important moments of cadential rhetoric leading to the final PAC of the exposition. In Op. 17 No. 2, an implied cadence that is evaded using chromatic harmony reappears later in the exposition in a developed form with even more chromaticism adding to the drama of the event. After the PAC at the end of the exposition, a further destabilizing chromatic gesture is used as a motive in the codetta, reappearing at the very end of the piece in order to resolve into tonic harmony. Finally, Op. 17 No. 5 uses a direct reference to recitative in the development of its second phrase, and approaches the dominant of the second key, the relative major, B-flat, with an enharmonic reinterpretation of F-sharp as G-flat. Op. 9 No. 3 and Op. 17 No. 2 both use similar connecting transitional passages between the end of the exposition and the start of the recapitulation. These passages, though short, are replete with chromatic harmony, demonstrating Haydn's own understanding of the principles of chromatic harmony for attaining chordal transformation and modulating quickly to distant tonalities described by C.P.E. Bach in his *Versuch*. Both of these passages, furthermore, conclude with remote harmonic juxtapositions with the subsequent return of the tonic.

For the movements that feature varied reprise, a technique Haydn also most likely learned from Bach, we see primarily rhythmic and textural variation, although chromaticism does play a

role as an added decoration in the rhythmic diminution of particular identifiable voice-leading progressions. With three of the four slow movements with varied reprise in Opp. 9 and 17 being in binary form, the question of their relationship with the sonata and sonata without development forms of the other slow movements is pertinent. These movements in binary form use the same techniques for development and even dramatic chromatic dissonance as the other movements, placing them in the sonata style as well. Op. 9 No. 2 is a short binary form that concludes after the varied reprise, placing it in a unique formal category. The modulation in the reprise is interrupted at the dramatic fermata and a chromatic voice-leading progression brings the music back to the tonic for the conclusion. There is in this case no recapitulation to speak of outside of the return to the beginning at the varied reprise, a fact that puts formal categories in doubt. Op. 17 No. 4 is more expansive than this, since the varied reprise precedes an entire developmental section that resolves in the tonic but does not recapitulate the opening idea.

CONCLUSION

Haydn's approach to music in the sonata style in Opp. 9 and 17 was rooted in the same principles of phrase expansion and development found in Opp. 1 and 2, yet his later understanding and employment of dissonance had a drastic impact on the final outcome of form and expressivity. This dissonance, in Opp. 9 and 17 often heightened with chromaticism, was the primary means of expanding forms of simple phrases and periods into the variety of forms that made up his sonata style. As demonstrated in Chapter 3, dramatic use of chromaticism in the early quartets was restricted to using the minor mode as a way of elaborating on and intensifying the dominant. By the time of Op. 9, the minor mode had become a means of dramatizing and destabilizing the modulation process in the exposition, often occurring before any structural cadences and generating substantial tonal digressions. The extent to which Haydn employed such a dissonance reached its greatest potential perhaps in Op. 17 No. 6, where the modulation from D to A major involved a parallel minor passage in A minor that included its own parenthetical digression to C major before reaching a phrase-concluding structural HC. This example highlights the development of Haydn's art of using dissonance and phrase expansion from the time of Opp. 1 and 2 to Opp. 9 and 17.

This understanding of chromaticism as a class of dissonance that operates within the rhetoric of phrase expansion in sonata style presents an alternative to the prevailing thought with respect to chromatic harmony in the literature on Haydn's string quartets. As we saw in Chapter 1,

beginning perhaps with the influential writings of Charles Rosen, the chromatic language in the string quartets has been described predominantly along the lines of motivic chromaticism. While Rosen is correct to highlight the role of dissonance as central to the development process and, therefore, as a determinant of form in Haydn's music, his analyses identify dissonance according to the motivic properties of individual pitch classes. This leads him to make misleading claims about the ability of chromatic pitch classes to govern formal development, most frequently in the manner of a single note introduced in the opening phrase or period that returns motivically at the start of the transition to initiate the modulation to the second key. This is the case, for example, in his analyses for Op. 50 Nos. 1 and 5, and his focus on individual pitch classes in these cases causes him to ignore more salient features of chromaticism in the very passages he discusses. These kinds of interpretations are also found in the subsequent academic literature. By avoiding pitch-specific analysis of chromaticism, I instead identify an approach to chromaticism in Haydn that is based on its use as a generic class of dissonance that is often aligned with modulation as a destabilizing gesture and an intensification of the new dominant.

The role of chromaticism as a kind of dramatic dissonance in Haydn means that it has important implications for the development of form. Traditional definitions of sonata "form" have assigned structural properties to musical elements such as theme and key area, and yet these models are never able to accurately describe the exact nature of formal development in Haydn's music. This was first problematized by Jens Peter Larsen, who proposed a three-part exposition divided into first group, modulating transition, and second group in his analysis of Haydn's Sonata No. 20 in C minor (1771). Even more recent and sophisticated approaches to sonata analysis, such as that of James Hepokoski and Warren Darcy, fall short in their understanding of Haydn's sonata style in their insistence upon an ideal sonata model that is based on a structural conception of theme. Rather

than thinking in terms of theme as a necessary component of structure, I propose a model in which phrase development governs a sonata style that results in a variety of formal outcomes that are defined in part by the musical material used for development. As such, a sonata for Haydn in Opp. 9 and 17 is not necessarily a fixed form, but rather an aesthetic, or a manner of composing that dramatizes simpler song and dance forms. This approach also has potential to take genre into account. It was evident from the analyses of Chapter 2 how Op. 17 No. 2 was based on the development of an opening song melody, and Op. 9 No. 6 and Op. 17 No. 6 were based on initial gigue phrases. Genre again became relevant in Chapter 5, as the analysis of select slow movements in Opp. 9 and 17 took into account the role of operatic conventions and character development in the variety of formal types derived from aria.

Central to experiencing Haydn's approach to composition in sonata style in Opp. 9 and 17 are unity of idea and cadential rhetoric. In Chapter 2 we saw how in the eighteenth century Heinrich Christoph Koch recognized Haydn's tendency to begin every phrase in even his simplest, non-modulating, binary compositions with the same musical idea or a recognizable variant of it. This approach can be applied conceptually in the development of form to all levels on a spectrum of compositional sophistication, culminating in the dramatic and psychological phrasing in Haydn's sonata style. Although not necessarily a constituent of form, from a rhetorical standpoint, unity of idea shapes the experience of any Haydn movement in sonata style from Opp. 9 and 17, in that each phrase begins with the same idea and subsequently becomes dramatized and developed until the point of a structural cadence. This concept occasionally extends to motivic cadences, for which Haydn associates certain characteristics in melodic profile, harmonic progression, and rhythm with a particular cadence that has been strongly implied. Cadential rhetoric means that when phrases are extended and dramatized beyond these points of cadence, the same identifiable motivic

properties associated with that previous cadential progression will return and either resolve the earlier dissonance or be evaded yet again and subjected to even more intense dissonant treatment. Beyond that, actively expecting certain essential formal components in Haydn's sonata style movements, like "the theme" or "the second key" in past theoretical eras, or "medial caesura" and "second theme zone" in today's terms, limits our ability to engage with the dynamic processes occurring from note to note and measure to measure. In the quartets of Opp. 9 and 17, we see for the first time in Haydn's string quartet *oeuvre* the extended use of chromatic dissonance, including the parallel minor mode, the interchangeability of dominant seventh, diminished seventh, and augmented sixth chords and their dramatic reinterpretations with respect to one another, the prolongation of passages standing on the dominant and the use of that harmony as a locus of increased chromatic pitch activity, and the use of destabilizing chromatic gesture as form-generating elements of phrase development.

Building on these foundations, we are better positioned to understand the nature of chromaticism in the sonata style first and third movements of Opp. 9 and 17. Chapter 3 focuses on quartet movements featuring the parallel minor passage, a technique for chromatic destabilization typically introduced immediately following a modulation to the second key and often culminating in a dissonant sonority on a chromatic harmony. In Op. 9 No. 1 in C major, the parallel minor of the second key is introduced at the end of its first phrase, extending the music beyond the point of cadence and leading to further development of form. This passage ends in the complete breakdown of the phrase in a highly expressive moment of chromatic dissonance that concludes in a fermata on an F-sharp diminished seventh chord. In Op. 17 No. 2 in F major, the parallel minor passage is introduced as a way of continuation of the phrase beyond a structural HC in the second key and leads to an augmented sixth chord, which is followed by multiple attempts to complete a structural

PAC. In this process, a dissonant F-sharp half-diminished seventh chord oscillates with a C major triad, stalling the momentum of the harmonic progression before completing a PAC in the following measures. As stated above, Op. 17 No. 6 in D major represents the greatest extent to which this technique was explored in Opp. 9 and 17, with its parenthetical excursion to the relative major within the context of the parallel minor passage. This technique stayed with Haydn throughout his career, and can be found in Op. 76 No. 3 in C major, for example, where the parallel minor passage in the second key leads to a breakdown of the musical fabric and a passage in the key of E-flat major (flat-VI) before resolving out of it with an enharmonic reinterpretation of E-flat dominant seventh as an augmented sixth chord in the local tonic of G major. The analyses of this chapter, therefore, demonstrate how the parallel minor passage was motivated by a desire on the part of Haydn to both destabilize and approach the dominant of the new key with increased chromatic voice leading.

In Chapter 4, the organizing principle is movements featuring a combination of the modulating sequence and a destabilizing chromatic gesture. The modulating sequence, like the bifocal close, is a common strategy for leaving the tonic and arriving at the key of the dominant in major mode sonatas in the eighteenth century. Unlike the bifocal close, however, the modulating sequence only works in one harmonic direction, meaning that it must either be omitted or recomposed in the analogous moments during the recapitulation. Its incorporation further underscores the relationship between sonata style and the dance forms of the period in that the sequence is the equivalent to Riepel's "Fonte" schema, a means of returning to the original tonic after a modulation in the opening period of a beginner's minuet exercise. In sonata style, however, Haydn uses it after the opening phrase or period in the tonic as a means of modulating away from the original key. He typically accomplishes this by transposing the idea from the opening period

directly into the submediant, vi, and then again into the dominant, V, enabling him to remain in that tonality and develop the phrase until the point of structural cadence after considerable development. In Op. 17 No. 5 in G major, the modulating sequence is coupled with a simultaneous expression of a destabilizing chromatic gesture, which begins in E minor and is repeated in D major. It then forms an important part of the cadential rhetoric in the remainder of the exposition and appears in further harmonic guises as an integral part of the phraseology of the development section. Since the gesture appears as part the modulating sequence, Haydn changes its identity in the recapitulation, omitting the modulating sequence and having the gesture appear as flat-VI as part of a digression to the minor mode, enabling him to resolve the gesture into the original tonic harmony by way of an augmented sixth chord. In Op. 9 No. 3, also in G major, the destabilizing chromatic gesture is an E-flat major triad that enhanced a voice-leading progression to the dominant of the original tonic, after which point the phrasing is developed. The modulating sequence appears after this, and the open-ended phrasing at this stage is ultimately resolved using the gesture as a part of a motivic cadential progression at the end of the exposition. In Op. 17 No. 1 in E major, the modulating sequence is not completed, Haydn instead eliding its second stage with an extended passage of standing on the dominant, using chromatic harmony to intensify the dissonance of the phrase. Its gesture appears after this, as a central component to cadential rhetoric, appearing first as a conversion of the new tonic into a dominant seventh chord, and then a second time as a diminished seventh chord, which for Haydn signified further intensification of the dissonance.

Chapter 5 employs instrumental aria as a way of investigating the use of sonata style in the slow movements of Opp. 9 and 17. The slow movements represent a unique opportunity in analysis of sonata style, since their form and expressive content is traditionally thought to be fundamentally

different from that of first movements. The most obvious manifestation of this is in Haydn's use of two alternative sonata-style formal types: the so-called sonata without development and binary forms. Their use of remote modulation and varied reprise also presents a connection with the theoretical writings of C. P. E. Bach. Beginning with movements that feature sonata without development, many of the same harmonic and phrase developmental elements found in first movements are also present in the slow movements, and operatic conventions such as voice, recitative, chorus, and cadenza are invoked and incorporated into the tonal drama of the sonata style. Although there is technically no development section in these movements, the development process is just as active as in first movements and slow movements that do feature development sections. In Op. 9 No. 3 and Op. 17 No. 2, connecting transitional passages between the exposition and recapitulation feature extreme chromatic harmonic progressions and end with remote harmonic juxtapositions between the submediant and the tonic across structural divisions. The two movements with varied reprise analyzed, Op. 9 No. 2 and Op. 17 No. 4, are binary forms, yet are vastly different in overall shape. Op. 9 No. 2 uses the varied reprise as the recapitulation itself, concluding the second half of its progression with a return to the tonic, while Op. 17 No. 4 uses the conventional varied reprise by which the exposition is literally repeated with melodic ornamentation, before launching a new and separate developmental section that ultimately ends in the original tonic for the end of the movement. Each of the movements discussed in this chapter use the same principles of formal development, rhetoric and chromaticism found in first movements, and as such they may be said to be fully in the sonata style, even though their formal types are so different from one another.

Although Opp. 9 and 17 are not Haydn's first string quartets, they mark the onset of a period of development in the genre during which a four-movement cycle and the expressive

capability of chromaticism in his harmonic language were established. For these reasons, they may be used as a basis for scholarly understanding of chromaticism and sonata “form”—or sonata style—in all his later string quartets, since many of the techniques present in his later music had their initial appearances in these works. Chromatic harmony and its role in the developmental process of the sonata style offer avenues for future study of Haydn’s music from this period, which have been needlessly and misleadingly overshadowed by the false precepts of an ideology of “classical style.” As we have seen, even though there is domination by the first violin, there is a great deal of essential ensemble interaction and development of character identity in the individual performers. This is especially clear in the moments when chromatic dissonance is at its most extreme and the hierarchical orientation of voices breaks down along with the phrase rhythm and harmonic progression. As such, the continuum between clear melody and bass *galant* texture on the one hand, and pure four-voice equal counterpoint on the other, is used as an expressive domain that is enhanced in combination with other musical factors. Furthermore, the concepts of balance and symmetry of form are less pressing in the context of increasing momentum of expanding phrases and heightened dissonance that make up the developmental process. Instead of searching for two-part structural divisions and first and second themes, we are carried along a process of delayed resolutions and heightened expressions that are conditioned by the strength of the dissonance used to generate form and conclude only at the point when their momentum has appropriately been exhausted. Since these movements are built according to a dramatic and psychological treatment of smaller song and dance forms, it is easy to see how they would have been immensely appealing as an entertainment for private gatherings in the mid-eighteenth century.

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