

5

That Beethoven significantly expands the formal dimensions of the high classical symphony is a truism of music history familiar to all lovers of the musical arts. We are well acquainted with some of the frequently cited techniques that Beethoven uses to enlarge his symphonic movements, especially those in sonata form: how he explores more remote tonal regions, introduces new melodic-motivic materials within the development section, and converts the coda into an additional area of thematic development. Discussions of form in Beethoven, however, pay scant attention to ways in which the subordinate-theme (or second-theme) area within the exposition and the recapitulation is often considerably lengthened in comparison with the norms established by Haydn and Mozart. In fact, the formal construction of subordinate themes has generally been given short shrift in current writings on sonata form, with more interest being shown in how the composer modulates to the new key rather than in what he does having finally arrived there.¹

The present study seeks to redress this neglect by focusing on specific phrase-structural procedures used by Beethoven to expand the subordinate-theme areas of his symphonic forms. Following a brief introduction to my analytical methodology, which will be exemplified by the main and subordinate themes within the first movement of the Fifth Symphony, I undertake a comparative analysis of the opening movements of the First, Third, and Ninth symphonies. I show that, in the First Symphony, Beethoven employs the *additive* technique of stringing together a series of self-contained subordinate themes, a procedure especially favored by Mozart. I then examine the ways in which the subordinate groups of the Third and Ninth symphonies are organized in a more integrated fashion, with richer hierarchical relations. The

subordinate-theme areas of these latter symphonies are revealed as not merely *longer* but truly *larger* in structural scope, which helps create the impression of monumentality so characteristic of these works.

In order to demonstrate my thesis, I employ a new theory of formal analysis, one highly inspired by the teachings of Arnold Schönberg and his student Erwin Ratz.² This theory establishes categories of *formal functions* that together operate syntactically at various levels of structure within a work. To illustrate this notion of formal function and to introduce fundamental concepts and terminology for the analyses to follow, I begin by discussing the main theme from the first movement of the Fifth Symphony (ex. 5.1). Despite the manifestly dramatic importance of the opening measures, we learn, as the music progresses, that

The image displays a musical score for the main theme of the first movement of Beethoven's Fifth Symphony, marked "Allegro con brio". The score is divided into two systems. The first system (measures 1-11) is labeled "(introduction)" and "presentation". It features a four-measure unit (measures 7-10) labeled "basic idea" and a two-measure unit (measures 11-12) labeled "b.i.". The second system (measures 13-21) is labeled "continuation (fragmentation)" and "cadential". It shows a four-measure unit (measures 14-17) and a two-measure unit (measures 18-19). The score includes dynamic markings such as *ff*, *p*, *cresc.*, and *f*. Below the score, a harmonic analysis line shows the following sequence: I, (V), I, V₅⁶, I, V₅⁶, I, A₆ (It.), V, and a boxed "HC" symbol.

Example 5.1. Beethoven, Symphony no. 5 in C Minor, op. 67, i (HC = half cadence).

they actually serve to introduce the main theme proper, which begins at the upbeat to measure 7. Here, a four-measure unit supported by tonic harmony, which I call a *basic idea*, is immediately repeated in measures 11-14, now in the context of dominant harmony. Beginning at the upbeat to measure 15, the basic idea is reduced in size to become a

two-measure unit, which itself is repeated in measures 17–18. The theme ends in measure 21 with a half cadence created by the forte chords of the orchestral tutti.

The organization of this theme is typical of what Schönberg and Ratz term the *sentence* (*Satz*). Going further than these theorists' description of this form, I wish to focus on what I regard as the three constituent formal functions of the sentence design. The first of these functions arises as a result of the immediate repetition of the basic idea. I refer to this function as a *presentation* because, by directly restating the basic idea, the composer unequivocally "presents" to the listener the fundamental melodic-motivic materials of the theme. The presentation serves not only to establish the basic idea through repetition but also to provide a secure harmonic foundation for the beginning of the theme. Consequently, presentation function is supported by tonic harmony, usually in root position. The tonic may be literally extended for the duration of the presentation, or, more frequently, it may be prolonged by means of neighboring or passing chords. In example 5.1, the root-position tonic is prolonged from measure 7 to the downbeat of measure 15 by a neighboring V_5^6 chord.

The second formal function, termed *continuation*, begins with the upbeat to measure 15 and is characterized foremost by a reduction in the size of the musical units, a process I call *fragmentation*. Continuation function also tends to feature an acceleration of harmonic rhythm, which usually accompanies the fragmentation. Here, the rate in the alternation of tonic and dominant harmonies increases markedly at the beginning of the continuation.

The third formal function effects harmonic and melodic closure of the theme and is thus appropriately named *cadential*. This function is defined essentially by its underlying harmonic content—more specifically, by the presence of a conventionalized progression of chords, such as those shown in example 5.2. Notice that the *authentic* cadential progressions end with a root-position dominant resolving to a root-position tonic. It is a fundamental assumption of this study that all cadences must feature dominant harmony in root position. Note, moreover, that a cadential progression often includes an initial tonic—usually in first inversion—and a *pre-dominant* harmony, typically a II^6 or IV chord.⁵ In the Fifth Symphony example, the cadential progression begins in measure 19 with an initial tonic (here, in root position), continues with a pre-dominant Italian augmented sixth, and concludes with the root-position dominant, thus effecting a half cadence on the downbeat of measure 21.

authentic cadential progressions half cadential progressions

c: I⁶ II⁶ V⁷ I I⁶ IV V I I⁶ II⁶ V(4 6/5 7) I c: I V I⁶ II⁶ V(4 6/5 3)

Example 5.2. Authentic and half cadential progressions.

Let us now consider the subordinate theme of this same movement (ex. 5.3). Traditionally, the subordinate theme, or “second subject” as it is often called, is identified exclusively as a melody, often lyrical in character, that contrasts with the main theme and resides in a new tonality,

conti

ff
V⁵—
(evaded cadence)

V

Example 5.3. B Symphony no. 5 nor, op. 67, i (Perfect authentic c

(introduction) presentation continuation

basic idea

ff *sf* *sf* *p dolce*

E_b: (I) V (4 6/5 7) I

b.i. b.i. model

67 70 71 74 75

6 V⁴₃ 7 I 6 V⁴₃ 7 I 6 V⁶₅ 7 I

II

sequence (fragmentation)

79 82 83 85 87 89

cre- scen-

IV VII⁷ (14)_p A⁶ (Ger) p VII⁶₅

91 *do* *ff* cadential etc.
 94 96 98 100
 V_5^6 I V_3^4 I⁶ II₅⁶ $V(\frac{4}{4})$ ($\frac{3}{3}$)
 continuation cadential closing section codetta

102 *ff* evaded cadence cadential closing section codetta
 106 110
 V_5^6 I V_3^4 I⁶ II₅⁶ $V(\frac{4}{4})$ ($\frac{7}{7}$) I PAC

114 (frag.)
 118 120
 V I V I V I V I

Example 5.3. Beethoven, Symphony no. 5 in C Minor, op. 67, i (PAC = perfect authentic cadence).

one closely related to the home key. Following the lead of Schönberg and Ratz, however, I regard a subordinate theme as an integral unit of form, one that includes a bass-line counterpoint to the melody, a syntactic succession of formal functions, and a concluding perfect authentic cadence to confirm the new key. Moreover, I agree with these theorists that the subordinate theme achieves its essential contrast with the main theme by being more *loosely* organized.⁴ By loose formal organization, I mean the presence within the theme of such features as expansion through time of the formal functions, asymmetrical phrase structure, instability of harmonic progressions, increased chromaticism, and diverse melodic-motivic materials. All these characteristics are exemplified in the Fifth Symphony subordinate theme.

Like the main theme, the subordinate theme is preceded by a brief introductory passage, here sounded by the horns. The theme proper begins in measure 63 with a four-measure basic idea in the subordinate key of E-flat, the relative major of the home key. The basic idea is then repeated in measures 67–70 to yield presentation function. The first step in loosening the form occurs when Beethoven repeats the basic idea once again, thus extending the presentation for an additional four measures.

The continuation begins in measure 75 when the basic idea is transformed into a four-measure *model* that is repeated as a *sequence* in measures 79–82. Harmonic sequence is a hallmark of continuation function, taking its place alongside fragmentation and harmonic acceleration. At this point in the continuation, the music still groups itself into four-measure units during the model-sequence technique. But fragmentation begins in measure 83, when the unit size is reduced to two measures, and the reduced unit size is maintained until shortly before the climax at measure 94. Throughout this continuation section, the rate of harmonic change increases markedly in relation to that of the presentation.

Following the climax, continuation function is further expressed as the units again reduce in size and the harmonic rhythm accelerates. During this passage, the music drives forward with great momentum toward cadential closure. The actual onset of cadential function coincides with the beginning of the cadential progression in measure 98.⁵ Here, the initial tonic in first inversion moves to the predominant II_2^6 and on to the root-position dominant in measure 100. At this point, Beethoven *evades* the expected cadence when the root-position dominant fails to resolve to the final tonic, and this lack of closure motivates a repetition of the preceding passage. Such cadential evasion is typical of a subordinate theme and contributes to its looser organization. The authentic cadence finally arrives in measure 110, thus closing the entire theme. There follows a short closing section made up of codettas that prolong the final tonic of the cadential progression.

Although the second-key area of the Fifth Symphony exposition brings a number of distinctly different melodic ideas, these ideas actually form just a single subordinate theme, one containing a logical succession of formal functions and closing with a perfect authentic cadence. Many of Beethoven's sonata-form expositions, however, feature multiple subordinate themes. This adding on of theme after theme, a compositional procedure employed by Haydn and even more frequently by Mozart, is



G.



G: V 7
D: I
(PAC)
→ HC

V(6 4)
4 2

16

the simplest way to expand the subordinate-theme area. Such an additive technique is present in the opening movement of the First Symphony (ex. 5.4). Here, Beethoven constructs a subordinate group consisting of three themes, each of which is fully closed by perfect authentic cadences in the subordinate key of G major (mm. 77, 88, and 100).

Subordinate Theme I
Antecedent
pres.

ob. 53
p
b.i.
fl.
b.i.
ob.
fl.
57
sf
59
sf
D: $\begin{matrix} 1 \\ IV \\ V(6\ 7) \end{matrix}$

Consequent (mm. 61-77)
pres.

60
p
61
65
sf
sf
G: V 7
D: I

(PAC) → HC) cadential
pres.

new b.i.

68
69
72
f
f
f
f
f
V(6 4/2) i6 (evaded cadence)
(V3/2) I V(4/2) i6
E. C. P.

cont.

73
76
sf
ff
i6 IV V I0 IV V(6 7)

Subordinate Theme II
continuation

“cadential” model sequence

77 79 81 82

f pp dolce

desc. 5th sequence

I change to minor mode IV II V7 I II₅⁶ V V₅⁶ I

cadential Subordinate Theme III presentation continuation

84 85 87 88 90

cresc. ff sf sf sf

G: II₅⁶ V₅⁶ V₇ VI II₅⁶ V I V

(return to major mode) PAC

cadential

92 96 98

sf f

I V₃⁴ I₆ (VII₃⁴/VI) (V₆⁶/II)

E.C.P.

96 98

sfz sfz sfz sfz

(VII₆⁶/II) II₆ (VII₇⁷) V | VI II₆⁶

clo

100 106

f p

I PAC

Example 5.4.1
Symphony no. 1
op. 21, i (HC :
dence, PAC =
thentic cadenc
expanded cade
sion).

The image displays two staves of musical notation. The upper staff is for the piano, and the lower staff is for the horn (labeled '10b'). The piano part features a series of chords with dynamic markings: *f*, *p*, *sf*, *p*, *sf*, *f*, *fp*, *sf*, *f*, *fp*, and *f*. Above the piano staff, a bracket labeled 'closing section' spans from measure 55 to 77. Within this section, a 'codetta' is marked from measure 68 to 77. A 'PAC' (perfect authentic cadence) is indicated at the end of the closing section. The horn part is marked '10b' and includes a 'tr(transition)' bracket. Dynamics for the horn part include *dm.* (diminuendo). The piano part also shows harmonic progressions with 'V' and 'I' markings below the staff.

Example 5.4. Beethoven, Symphony no. 1 in C, op. 21, 1 (HC = half cadence, PAC = perfect authentic cadence, ECP = expanded cadential progression).

The first subordinate theme (mm. 55–77) is constructed as a large period whose eight-measure antecedent and consequent units are themselves built as sentences. The consequent does not end as expected because the cadence promised in measure 68 is evaded when the root-position dominant (with six-four embellishment) moves to a first-inversion tonic on the downbeat of the following measure. The consequent is thus expanded by the following eight-measure phrase, which also has a sentence-like organization. Underlying this entire phrase, however, is an *expanded cadential progression* whose initial first-inversion tonic is prolonged for four measures by neighboring dominant chords. The phrase thus acquires an overall *cadential* function within the theme as a whole. The use of expanded cadential progressions is common within the classical literature and represents one of the significant ways in which subordinate themes achieve their looser organization.⁶

The second subordinate theme begins in measure 77 with a sudden shift to the minor mode. The internal organization of this theme does not fit into any of the conventional phrase-structural patterns that we have seen up to now; nevertheless, we can still recognize prominent traits of continuation and cadential functions, especially as they are expressed by the supporting harmonic progressions. The theme begins

directly with a sequential, descending-fifth progression, which leads the music off into B-flat major, the flat-III region of the subordinate key. Measure 81 sees the beginning of a cadential progression in B-flat, which is evaded when the dominant moves to a V_5^6/VI chord on the downbeat of the next measure. This chord now functions as the dominant of the original key, G minor, and initiates a sequential repetition of the preceding three-measure unit. When similar material is repeated for a second time, beginning in measure 85, the music shifts back to the major mode and finally brings a perfect authentic cadence on the downbeat of measure 88 to close the theme.

The third subordinate theme begins with relatively compressed presentation and continuation functions, but the subsequent cadential unit is once again greatly expanded. Here, the initial I^6 (m.92) is prolonged for four measures by a series of subsidiary chords. The pre-dominant II^6 appears in measure 96 and is further expressed by the passing VII^7/V . When the dominant arrives in measure 98, it is first embellished by double-neighbor notes (which imply the VI and II^6 chords, respectively) and then finally resolves to the root-position tonic to effect the perfect authentic cadence. The following closing section consists of a series of codettas and a retransition, which brings back the home key for the repetition of the exposition.

Let us now examine the overall organization of the subordinate-theme area to see if it displays a more comprehensive formal plan of some kind. Owing to the sudden change to the minor mode, the prominent tonicization of the flat-III region, and the unconventional phrase structure, the second subordinate theme contrasts significantly with the first and third subordinate themes. Moreover, by beginning directly with continuation function and thus bypassing an expected presentation, this second theme lacks a sense of solid initiation and thus acquires a somewhat dependent structural status in relation to its surrounding themes. For all these reasons, the second subordinate theme acquires the character of a *contrasting middle*, and the subordinate area as a whole expresses a distinctly ternary design. By creating thematic differentiation in this way, Beethoven reveals his ability to construct large-scale structural hierarchies, an ability that becomes ever more refined in his later symphonies.

I want to turn now to the first movement of the *Eroica* Symphony, the work representing Beethoven's major break with the norms of classical symphonic dimensions (ex.5.5). On the basis of my definition of "theme" as an integral unit of form, I suggest that measure 57 marks the

Example 5.5. B. Symphony no. 3 op. 55, I (PAC = authentic cadence, expanded cadence).



Subordinate Theme I
presentation

Example 5.5. Beethoven,
Symphony no. 3 in E-flat,
op. 55, I (PAC = perfect
authentic cadence, ECP =
expanded cadential progres-
sion).

basic idea

57

p

Bb I V7

b. i. (varied) continuation (frag.)

61

cresc.

65

f

V(7) VII7

67

69

VI VII3

model sequence cadential

71

73

75

II6 VI I V6 IV E.C.P.

(II6) $V\left(\frac{6}{4} \text{ --- } 7\right)$

Subordinate Theme II
part I
closing section → presentation
codetta → b.i.

ff *f* *cresc.* *sf*

I
PAC

continuation (frag.)

86 87 91 94 95

p *cresc.* *f* *p* *cresc.* *sf* *p*

II6 $\frac{5}{3}$ V_3 7 I (minor mode) II_3 V_7 I

(descending fifth sequence)

model sequence standing on the dominant

97 99

p *pp* *p*

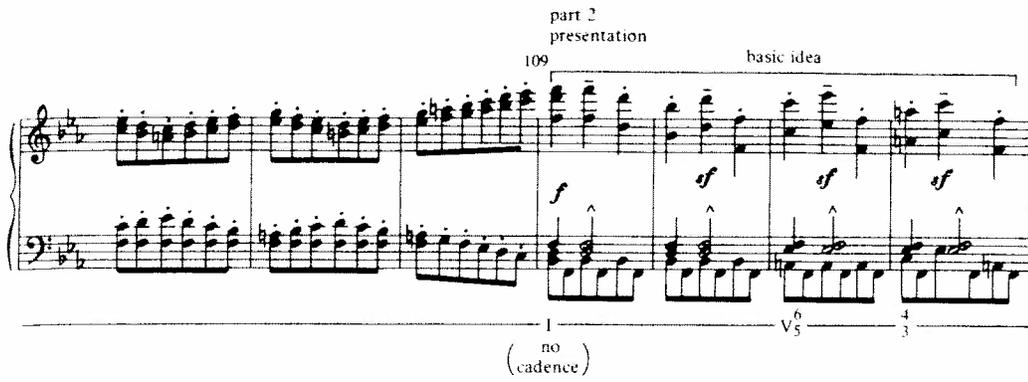
VII⁷/II V_7 V_7

113

ff

part 2
presentation

109 basic idea

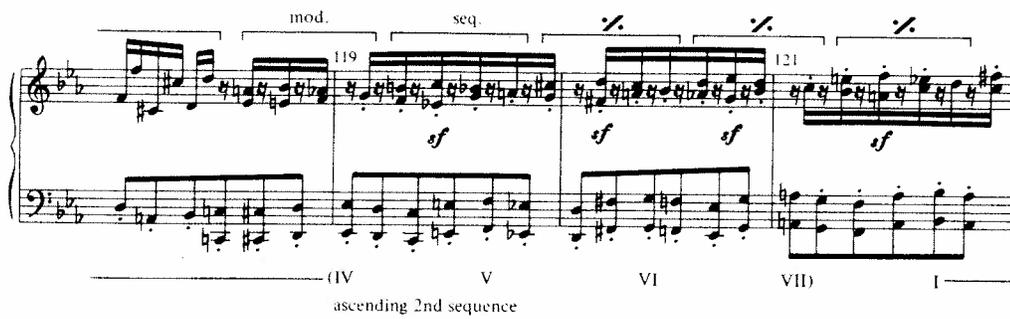


(no cadence)

continuation

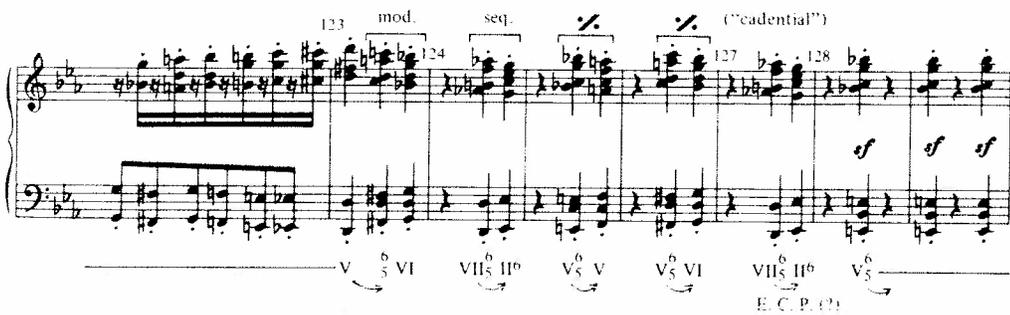


mod. seq. % % %



(IV) V VI VII I
ascending 2nd sequence

123 mod. seq. % % ("cadential")



V V_5^6 VI VII_5^6 II^b V_5^6 V V_5^6 VI VII_5^6 II^b V_5^6
E. C. P. (2)

model

132 134 135 137

f *sf* *p*

$v(4)$ $(A^6_{Ger.})$ $v(4)$ v^5 $bVII$

sequence

cadential

140 142

cresc.

v^5 I II^6 $v(4)$

E. C. P.

closing section

144

ff *sf* *sf* *ff*

7) I ped. PAC (IV) I (VII^7)

(retransition)

148

sf *p* *decresc.* *pp* *f* *p*

beginning of a genuine subordinate theme, one that closes with a perfect authentic cadence in the new key, B-flat major. The rest of the exposition organizes itself into a second subordinate theme—made up of two main parts—and ends with a brief closing section.⁷

The first subordinate theme expresses a true sense of structural beginning by opening with a four-measure basic idea that prolongs tonic harmony; the immediate repetition of this idea—in a varied form, to be sure—creates presentation function. Measure 65 begins a large continuation featuring systematic fragmentation of the unit size and an acceleration of the harmonies. The harmonic progression itself is essentially sequential, with prominent tonicizations of the sixth and second scale degrees. At the very climax of this passage, the upbeat to measure 75, Beethoven initiates an expanded cadential progression, which begins with V^6/IV , a chromatic embellishment of the more conventional I^6 . The progression continues with the pre-dominant IV chord in measure 75, which is then prolonged by II^6 in the next measure; when the dominant arrives, it is stretched out for a full six measures before finally resolving to I on the downbeat of measure 83, thus effecting the perfect authentic cadence.

The material that immediately follows is often regarded as the beginning of the “true” subordinate area; I suggest, on the contrary, that, after such powerful cadential closure, this music has more the character of a closing section, which dissipates the energy built up by the end of the theme and whose quiet dynamic could have led naturally back to the beginning of the exposition. But we soon learn that this material actually serves as the presentation of a second subordinate theme: measures 83–86 bring the basic idea, which is repeated in the following four measures.⁸ Although the basic idea is stated once again in measures 91–94, this music is more suggestive of continuation function because of the descending-fifth sequential progression that underlies the passage. (Note, by the way, that the change to minor mode and the move into the flat-III region is highly reminiscent of the analogous section of the First Symphony.) Measure 95 sees fragmentation into two-measure units of model-sequence technique, and the continuation comes to an end on the dominant-seventh chord of measure 99.

Beethoven now prolongs this V^7 for ten measures and creates a giant orchestral crescendo that ultimately resolves to the tonic harmony of measure 109. Now, it might be asked whether an authentic cadence is created at this point. I would answer no because the dominant-seventh chord that precedes the tonic is not heard as part of a cadential progression; when that dominant arrived at the end of the sequences in

measure 99, it marked the conclusion of the continuation, and we had no expectation then of an immediately following tonic to bring a cadence. The subsequent prolongation of this dominant, which, after Ratz, I call a “standing on the dominant,”⁹ has the effect of an extended upbeat to the tonic of measure 109, a tonic that is then heard exclusively as a “beginning” harmony, not an “ending” harmony. What begins is another presentation: measures 109–12 bring a new four-measure basic idea, which is then repeated. Measure 117 starts the continuation; it stretches out at least as far as measure 123 and features fragmentation, harmonic acceleration, and model-sequence technique.

In order to understand the formal expression of the passage beginning in measure 124, let us pause for a moment to examine an interesting ambiguity in the classification of harmonic progressions. Example 5.6*a* illustrates a deceptive cadential progression, in which the dominant resolves to VI rather than I. If this same progression is embellished chromatically, as in example 5.6*b*, then it can also resemble an ascending-stepwise sequential progression, one that could be extended even further, as shown in example 5.6*c*.

Let us see how Beethoven skillfully exploits this harmonic ambiguity for the purposes of significantly expanding the form. Observe first that measure 124 (of ex. 5.5) initiates a progression resembling example 5.6*b* just studied. (The only difference is that the first step sees a tonicization of the supertonic rather than the subdominant.) In the context of the thematic structure thus far, we are probably expecting a cadential progression to follow on the continuation. Yet, because of the presence of clear model-sequence technique, the progression is best classified at this point as sequential, thus further extending continuation function. However, when the same progression begins to be repeated in measure 127, it gets “stuck,” so to speak, on the pre-dominant V_5^6/V chord. The resulting elongation of this harmony now strongly suggests an expanded cadential situation, which gives us cause to believe that cadential function is finally being expressed. When the bass in measure 132 moves up to the dominant degree, F, bringing with it the six-four embellishment, the cadential character of the progression is virtually confirmed. In the following measure, the bass rises to G^b to form an augmented-sixth chord, whose return to the cadential six-four in measure 134 prepares us for what could be an immanent resolution to a five-three position of the dominant and the ultimate move to a root-position I for the cadence.

But now Beethoven effects a wonderful surprise: the bass at measure 135 ascends once again, this time to G^{\sharp} , but rather than supporting a

Ex. 5.6*a*B \flat : I⁶

Example 5.6. *a*, I cadential progression, chromatically embellished. *c*, Sequential progression.

Ex. 5.6a

Bb: I⁶ IV V VI

Ex. 5.6b

Bb: V₅⁶ IV V₅⁶ V V₅⁶ VI

Ex. 5.6c

Bb: V₅⁶ IV V₅⁶ V V₅⁶ VI V₅⁶ flat VII V₅⁶ I

Example 5.6. *a*, Deceptive cadential progression. *b*, Deceptive cadential progression, chromatically embellished. *c*, Sequential progression.

VI chord, as this note has done otherwise throughout the passage (cf. mm. 123 and 126), it now underlies a V₅⁶ of flat VII. When this harmony resolves to flat VII in measure 137 and then is sequenced up a step to the tonic, what we thought was a cadential progression must now be reinterpreted again as a full sequential progression (like that in ex. 5.6c). As a result, the expected cadential function is *abandoned*, and the entire passage is assimilated into the preceding continuation. Beethoven now can no longer withhold a cadence, so he brings a pre-dominant II⁶ at measure 140 to initiate the cadential progression that ultimately closes the theme in measure 144. The exposition then concludes with a brief closing section and retransition.

Continuity sketches for this passage show that Beethoven originally intended to follow the syncopated chords of measures 128–31 with an expanded V₄^(6 7)-I cadence.¹⁰ In fact, the most “advanced” sketch (see ex. 5.7)¹¹ reveals that the number of measures occupied from the beginning of the expanded dominant to the moment of cadence is exactly the same as the number found in the final version from the dominant of measure 132 to the final tonic of measure 144.¹² Beethoven had thus arrived at the final structural framework for the whole passage but was obviously dissatisfied with the way in which, rather mechanically, the dominant was expanded for twelve measures. As discussed above, he ultimately discovered a more ingenious way of filling in the twelve-measure time span by temporarily abandoning the cadential progression at measure 136, only to resume it again at measure 140.

Example 5.7. PAC = perfect authentic cadence.

To summarize the form of this second-key area, it begins with a subordinate theme featuring a simple succession of presentation, continuation, and cadential functions. There follows a second subordinate theme of more complex organization. Because it contains two different presentations, each followed by a continuation, the theme divides itself into two main parts. The first part does not achieve cadential closure: in place of a true cadential progression to follow the continuation, Beethoven writes a long “standing on the dominant”, section. This prominent dominant emphasis not only fails to achieve closure for the theme but also helps motivate all the more the appearance of a third presentation-continuation-cadential process. Consequently, the two parts are united into a single theme with perfect authentic closure.

In the subordinate theme of the Ninth Symphony (ex. 5.8), Beethoven has discovered how to integrate three parts into a single theme of enormous scope. He accomplishes this task by employing various means of evading potential cadences and by ensuring that the one final perfect authentic cadence has sufficient force to close all the previous materials in a convincing manner.

The theme begins in measure 80 with presentation function; measure 88 brings fragmentation into two-measure units and model-sequence technique, sure signs of continuation function. A new running sixteenth-note idea in measure 92 leads to the pre-dominant IV chord in measure 94, which serves to initiate a short cadential progression

Example 5.8. Syn no.9 in D Minor (PAC = perfect cadence, ECP = cadential progres

Subordinate Theme presentation

basic idea

Example 5.8. Symphony no. 9 in D Minor, op. 125, I (PAC = perfect authentic cadence, ECP = expanded cadential progression).

sequence

98 *cresc.* 100 *piu cresc.*

Bb: IV V₃/II V₃ 6/5

cadential

102 *ff* 104 *p dolce* 106 *ff* 108 *p*

I⁶ E. C. P. IV V(4 7) I⁶ "E. C. P." (evaded cadence) IV (minor) Cb: I⁶ IV

"closing section" → "presentation"

codetta → b. i.

110 *pp* 112 113

Cb: V(4 7) I ped. (PAC?) (V7)

continuation

(frag.) model

sequence

114 *sempre pp* 116

Cb: I Bb: I V₅ (IV₄) P V₃

106

108

[cont (frag.)

128

V

conti:

132

VII⁶ ascendit

standing on the dominant [→ presentation]
[basic idea]

119 120

sempre pp

16 II⁶ (6/14) p IV⁶ V ped. (I)

124 130

cresc.

V (I)

[continuation]
(frag.)

128 130

V (I) V (I) V I

continuation
model sequence

132

f

VII⁶ 16 II⁶

ascending 2nd sequence

135

VII⁶ IV⁶ V⁶ 4/2

138

cadenzial

ff espress. *ff* *p*

140

I⁶ II⁵

E. C. P.

142

144

V³/IV IV⁶

146

150

closing

v(6/4) (6/4) PAC

secti

section

d: V

moving to the dominant in the next measure. Considering the grand scope of this movement, as expressed by the previous main theme and transition sections, we hardly expect an immediate closure of this subordinate theme; indeed, Beethoven evades the cadence by returning in measure 96 to the previous running sixteenth-note idea, making it a model for sequential treatment.

The new continuation reaches a climax in measure 102 with the I^6 chord; this is the conventional sign for the beginning of a cadential progression, one that then continues with the subdominant and dominant harmonies of the next two measures. Again, however, Beethoven evades the cadence and brings back the previous cadential unit in measure 106. But now the composer tricks us into believing that the cadential progression reaches its end without actually creating a genuine cadence. He does this first by suddenly shifting the music into the minor mode at the pre-dominant IV chord of measure 107; he then brings the Neapolitan sixth on the downbeat of the next measure. But, rather than allowing this chord to function normally as a pre-dominant in the subordinate key of B-flat, he reinterprets it as I^6 in C-flat major, the flat-II region. (For ease of reading, the music is notated enharmonically in B major.) This I^6 initiates a cadential progression that reaches its final tonic on the downbeat of measure 110.

Despite the presence of a cadential progression, Beethoven has failed to close the subordinate theme in its own tonality, B-flat major, and thus we cannot speak of a genuine formal cadence at this point. Nonetheless, the material that follows in measure 110 has the character of a closing section, as though the theme had indeed been completed. But measures 110–13 can also be reinterpreted as a new presentation prolonging tonic harmony of C-flat major, especially when a continuation begins with the descending sixteenth-note figure of measure 114. In the second half of the following measure, Beethoven shifts the music back into the original subordinate key of B-flat, and the continuation proceeds with an ascending-stepwise sequence in measures 116–19.

What happens next strongly resembles an analogous moment in the Third Symphony (ex. 5.5, mm. 99–108). Instead of bringing cadential closure, the continuation leads to a dominant pedal beginning in measure 120, and this “standing on the dominant” then stretches out for twelve measures. Unlike the *Eroica*, however, the dominant emphasis does not lead to a third presentation but rather is followed in measure 132 by a section that maintains the one-measure unit size and features model-sequence technique. In other words, this new section, from measure 132 to measure 137, has clear continuation function. (The question of a missing presentation will be discussed momentarily.) The continuation reaches a climax with the I^6 at measure 138, which introduces the long-awaited, and now highly expanded, cadential function. Measure 150 finally brings the first perfect authentic cadence since the very opening of this subordinate theme in measure 80.

Let us now consider the problem of the apparent missing presentation that could have preceded the final continuation and cadential sections of this theme. Although Beethoven might simply have omitted this function (as he did for the second subordinate theme of the First Symphony), I suggest, on the contrary, that a presentation actually occurs simultaneously with the standing on the dominant beginning in measure 120. A closer look at the harmonic organization of this passage (ex. 5.9) will help support my interpretation. If we temporarily ignore the dominant pedal, we can hear that the first four-measure idea is supported by a dominant seventh resolving to a tonic. I claim that here the dominant is the dependent harmony; in other words, the V chord is subordinate to the I chord, as represented in the analysis of line a, and not vice versa, as shown in line b. We could thus say that the idea, as well as its repetition beginning in measure 124, is prolonged by *tonic* harmony, thus satisfying a necessary criterion of presentation function. Now, to be sure, this “tonic prolongation” is ultimately undermined by

presentat

120

sempre

a) (V⁷) —
accented
neighbor

b) V⁷ —

a) —

b) —

Example 5.9.

The image shows a musical score for Example 5.9, consisting of two staves: piano (top) and bass (bottom). The score is annotated with several sections: 'presentation' (measures 120-124), 'basic idea' (measures 125-128), 'neighbor' (measures 129-132), and 'continuation (frag.)' (measures 133-136). The piano staff includes dynamic markings 'pp' and 'f', and a 'rit.' marking. The bass staff includes a 'rit.' marking. Below the staves are two rows of harmonic diagrams, labeled 'a)' and 'b)'. Row 'a)' shows a sequence of chords: V, I, V, I, V, I. Row 'b)' shows a sequence of chords: I, (V⁷), V⁷, I, (I).

Example 5.9.

the dominant pedal, but that is precisely the way in which Beethoven is able to express simultaneously two different formal functions: an ending function, the standing on the dominant, and a beginning function, the presentation. Under this new interpretation, the continuation now actually begins earlier than originally thought, namely, with the onset of the fragmentation in measure 128.

I conclude this study by summarizing and comparing the structures of the second-key areas of the First, Third, and Ninth symphonies, as displayed by the chart in figure 5.1. Each subordinate group has a tripartite organization, referred to here as parts X, Y, and Z. In the First Symphony, each of these parts is a self-contained theme, with perfect authentic cadential closure. Here, the subordinate area is expanded in scope by means of adding on thematically closed units. It can be recalled that the second theme (part Y) features significant harmonic-tonal contrast through its change to the minor mode and prominent emphasis on the flat-III region; moreover, this theme lacks an initiating presentation function, beginning instead with continuation-like materials; as a result, the theme stands in a somewhat dependent relation with its surrounding themes (parts X and Z).

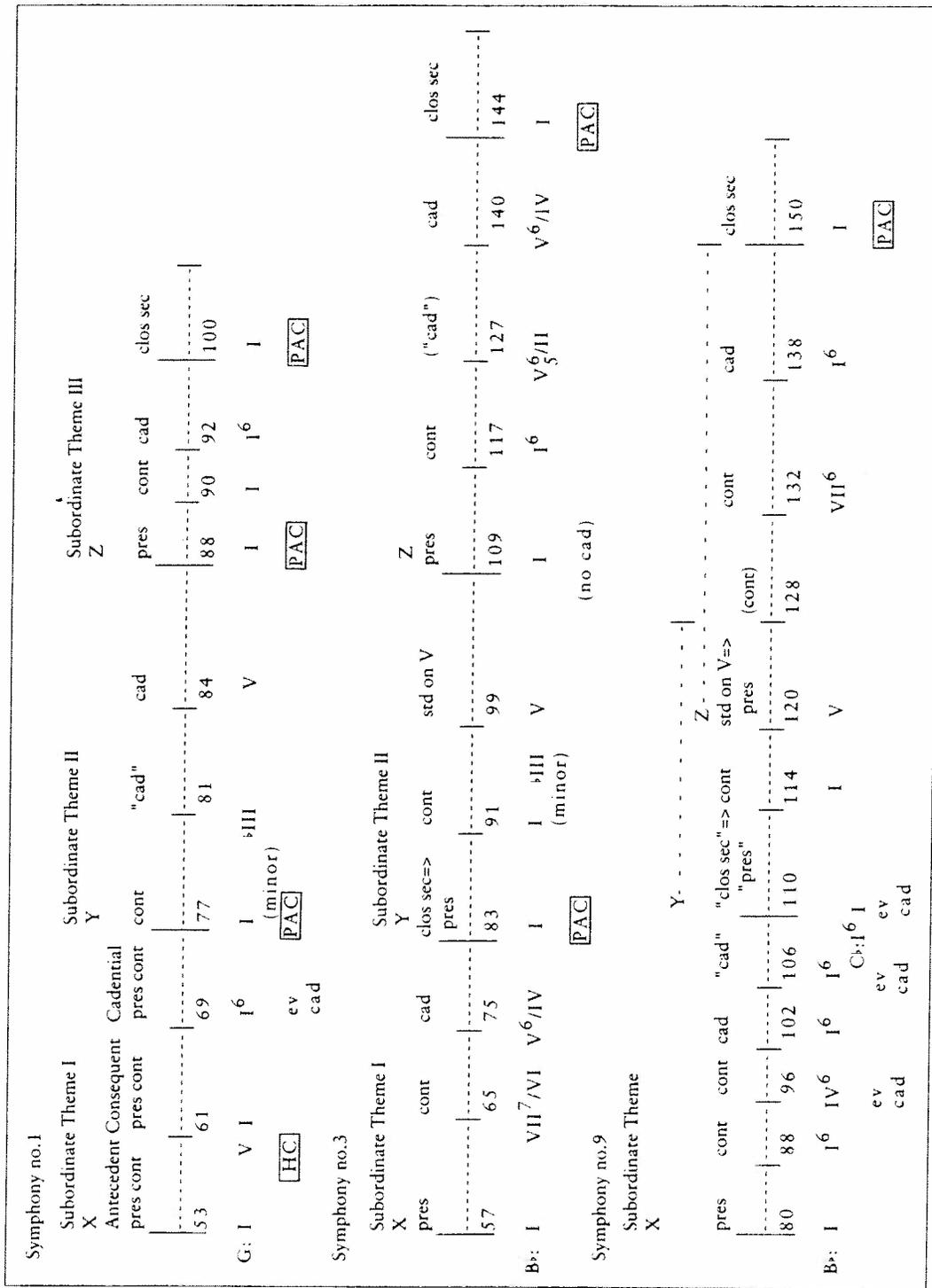


Figure 5.1

Figure 5.1

In the Third Symphony, part X is also a self-contained theme. But part Y, which features modal and tonal contrasts similar to the First Symphony, lacks cadential function, ending instead with a standing on the dominant; part Y is thus totally dependent on part Z, and the two unite into a single subordinate theme, one that expresses a greater sense of formal expansion than if they had been constructed as independent themes. Even further expansion is created when an implied cadential area of part Z (m. 127) is understood retrospectively as belonging to the continuation.

In the Ninth Symphony, Beethoven combines all three parts into one theme of gigantic dimensions; part X now loses its thematic independence when it abandons genuine cadential closure by suddenly shifting up a half step into the Neapolitan region. This move to flat II represents tonal contrast analogous to the change of mode and tonality seen in the previous two movements. In addition, Beethoven surpasses the *Eroica* in assimilating parts Y and Z into the overall thematic structure: he blurs their boundaries by combining the standing on the dominant ending part Y and the presentation beginning part Z into a single section (m. 120). Here, we see Beethoven at the height of his powers of creating monumental expansions of form. I know of no other single subordinate theme in the entire classical repertoire, with the possible exception of the *Hammcklavier* Sonata,¹³ that displays such richness of hierarchical relations and integration of formal functions.

Finally, a brief closing word on the theoretical approach adopted in this study. Traditional modes of formal analysis generally focus on motivic organization and thus would recognize in this last example at least ten different melodic ideas strung together as a group of "second subjects." On the contrary, I have been emphasizing harmonic progression, cadence, and phrase-structural processes such as repetition and fragmentation to reveal how each of these melodic ideas acquires a distinct formal function within the structure of a single subordinate theme. I believe that this change in orientation away from the idiosyncrasies of motivic content to the conventionalities of formal function promises to yield a more secure understanding of classical form than has been offered by theorists and historians to date.

NOTES

1. See, e.g., Charles Rosen, *Sonata Forms* (New York: Norton, 1980), 222-49. Most of Rosen's discussion of the fundamental opposition between tonic and dominant keys within a sonata exposition concerns issues of harmony and tonality, with

relatively little attention paid to the phrase-structural organization of the subordinate group itself.

2. Arnold Schönberg, *Fundamentals of Musical Composition*, ed. Gerald Strang and Leonard Stein (London: Faber, 1967); Erwin Ratz, *Einführung in die musikalische Formenlehre*, 3d enlarged ed. (Vienna: Universal, 1973). A more detailed introduction to my own analytical approach can be found in "Funktionale Komponenten im achttaktigen Satz," *Musiktheorie* 1, no. 3 (1986): 239–60, and "The 'Expanded Cadential Progression': A Category for the Analysis of Classical Form," *Journal of Musicological Research* 7, nos. 2–3 (1987): 215–57.

3. The dominant harmony is frequently embellished with the so-called cadential six-four chord (erroneously considered a "tonic" six-four); in order not to confuse the six-four embellishment of a root-position dominant with a genuine second-inversion dominant (a chord rarely used in this style), the "6" and its resolution to "5," "7," or "4" will be placed in parentheses following the Roman numeral V.

4. Ratz, *Einführung*, 30–31; Schönberg, *Fundamentals*, 204.

5. It might seem odd, at first glance, to locate the beginning of the cadential function at m.98, inasmuch as the obvious change in the melodic-motivic materials at the upbeat to m.96 clearly demarcates the beginning of a new "phrase" at that point. To be sure, the constituent formal functions of a theme are usually congruent with its internal phrase structure, but not in all cases; here, the continuation function still finds expression within the new phrase, and the sense of cadence is not truly indicated until a specifically cadential progression appears.

6. For a more detailed discussion of the formal structure of this first subordinate theme, see my "Expanded Cadential Progression."

7. Critics disagree on where to locate the onset of the second-key area. The great majority identify the passage beginning in m.83 as the "second subject," thus continuing the tradition of seeking a lyrical melody on which to pin their formal label. But the music is securely in the dominant key of B-flat major at least as early as m.45. Thus, Tovey, more sensitive to the form-defining role of harmony and tonality, sees the second group beginning at m.57 (Donald Francis Tovey, *Essays in Musical Analysis*, 6 vols. [London: Oxford University Press, 1935] 1:30); curiously, he contradicts this view in his "Sonata Forms" (in *The Forms of Music* [New York: Meridian, 1956], 222) and finds the start of the second group later, at m.65. (One would like to think this a misplacement of the label!)

8. The arrows above the music at this point in the score stand for "becomes" and indicate a reinterpretation of formal function.

9. "Stehen auf der Dominante" (Ratz, *Einführung*, 25).

10. The sketches are found in the *Ernica* Sketchbook, Landsberg 6, and are transcribed by Gustav Nottebohm in *Ein Skizzenbuch von Beethoven aus dem Jahre 1803* (Leipzig: Breitkopf & Härtel, 1880), 12–27.

11. After Nottebohm, *ibid.*, 26–27; I have added the implied harmonic analysis to clarify the contents of the sketch.

12. I want to thank Barry Cooper, who, following my reading of this paper at the International Beethoven Symposium, drew my attention to this relation between the sketch and the final version.

13. For an analysis of this subordinate theme, see my "Expanded Cadential Progression," 237–42.