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 THE ‘CONTINUOUS EXPOSITION’ AND THE CONCEPT OF SUBORDINATE  
 THEME
 

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The remarkable flourishing of research into the theory of musical form witnessed in the last several decades has resulted in the propagation of many new concepts and their attendant terminology. The Sonata Theory of James Hepokoski and Warren Darcy (2006), in particular, has brought forth a wealth of ideas for the analysis of Classical form. Just how these compare to traditional and current approaches is still being evaluated by scholars, mostly in connection with published reviews of their treatise,<sup>1</sup> but also in the form of more direct confrontations, such as the recent monograph *Musical Form, Forms & Formenlehre*.<sup>2</sup>

This essay examines one of Hepokoski and Darcy’s key concepts: the fundamental distinction that they draw between *two-part* and *continuous* sonata expositions.<sup>3</sup> Considering this distinction is useful not only to probe its general efficacy for formal analysis, but also because it permits us to evaluate a number of other key ideas associated with their theory, especially the *medial caesura* – their theoretical ‘trademark’, as William Drabkin (2007, p. 90) has characterised it – and their notion of *secondary-theme zone*. For they ground the distinction between exposition types largely in terms of these two concepts: a two-part exposition contains both a medial caesura and a secondary-theme zone, whereas a continuous exposition contains neither.

Our own understanding of sonata expositions does not subscribe to this binary view. And our position is well summarised by the following statement from the *Formenlehre* book: ‘If it can be demonstrated [...] that continuous expositions bring either a complete subordinate theme or sufficient functional elements of such a theme [...], we can recognise that all expositions employ the same basic formal syntax’ (Caplin, Hepokoski and Webster 2009, p. 61). What follows is our attempt to justify this claim. Since the idea of a two-part exposition is widely understood and accepted by theorists, we focus largely on the notion of continuous exposition.

But first, some historical background to the idea of a continuous exposition. Reacting to the difficulties of analysing expositions by Haydn that seemed to lack a second subject, some scholars, beginning with Jens Peter Larsen, viewed such expositions as organised in three parts: the first part, a main theme in the home key; the second part, a modulatory *expansion section* (*Entwicklungspartie*); and the third, a closing group in the new key (Larsen 1963, pp. 226–7).<sup>4</sup> That this scheme recognised no subordinate theme was entirely reasonable in light of how

such themes were normally construed, namely as a characteristic tune, usually soft and lyrical – a melody that substantially contrasted with the more dynamic and forceful main theme. But not only do such three-part expositions lack a subordinate theme, they also avoid a decisive break in texture midway through the exposition, so that dividing it into two main parts seemed implausible.

Building on this constellation of ideas, Hepokoski and Darcy elevate to central theoretical importance the textural break just mentioned. Indeed, they recognise this medial caesura (MC) as the crucial element in defining two fundamentally different ways of organizing a sonata exposition. The presence of an MC becomes the necessary prerequisite for identifying a secondary-theme zone (S), and the absence of an MC disallows the possibility of an S. The former situation – MC plus S – produces a two-part exposition; the latter – no MC, thus no S – yields a continuous exposition.<sup>5</sup> Put this way, Hepokoski and Darcy seem to define the continuous exposition more by what it lacks than by what it includes. They do, however, give some general indications of how the central expansion section might be organised: 'the continuous exposition [. . .] usually fills up most of the expositional space with the relentless ongoing, expansive spinning-out [. . .] of an initial idea or its immediate consequences' (Hepokoski and Darcy 2006, p. 51). They acknowledge that the expansion section may sometimes contain modules that 'might impress us in passing as thematic' (p. 52), thus creating 'more a thematic chain than *Fortspinnung* proper' (p. 53). These suggestions of thematic organisation notwithstanding, they caution that 'none of these modules should be considered to be S, since there has been no medial caesura' (p. 58). Indeed, they emphatically proclaim that in a continuous exposition, 'one should not try to determine where the secondary theme is located: there is none, since that concept pertains only to the two-part exposition. [. . .] *If there is no medial caesura, there is no secondary theme*' (p. 52; italics in original).

To illustrate these ideas, let us consider their *locus classicus* of the continuous exposition, the finale of Haydn's String Quartet in B minor, Op. 33 No. 1 (Ex. 1).<sup>6</sup> Following the end of the main theme in bar 12, transition-like material brings a modulation to the new key in bars 23–27. No medial caesura follows, however, and the music moves past the point where we might expect a new, contrasting melody of a soft, lyrical character to articulate the beginning of an S-zone. Instead, the transition is converted into an ongoing *Fortspinnung* process, which eventually leads at bar 51 to a confirmatory perfect authentic cadence (PAC) – Hepokoski and Darcy's *essential expositional close* (EEC). The material that follows has an evident closing character. Note that what makes this exposition continuous is the absence of a medial caesura and secondary theme. And the uniformity of rhythm and texture within the expansion section further characterises this expositional type (Hepokoski and Darcy 2006, p. 54).

With this all-too-brief introduction to continuous expositions as conceived by Hepokoski and Darcy, we consider how a theory of formal functions would treat expositions of this sort. But first we must quickly sketch our approach to expositions that are clearly two-part in design.<sup>7</sup> In those cases, we first encounter

Ex. 1 Haydn, String Quartet in B minor, Op. 33 No. 1, iv, bars 8–57

[P-zone] Trans. ⇒ Fortspinnung  
(expansion section)

[Main Theme] Trans./Sub. Theme  
presentation  
basic idea

**Presto**

b: I I

PAC

presentation(%)

continuation model sequence

I seq. D: { IV II

seq. seq.

V I

a relatively *tight-knit* main theme that closes with a cadence in the home key. Then comes a transition that modulates to the new key, ending with a half cadence (HC), which is often reinforced with a post-cadential *standing on the dominant*. One or more *loosely organised* subordinate themes then appear, each confirming

Ex. 1 *Continued.*

(continuation) cadential (abandoned) ⇒ continuation

29 29 31 32

VII<sup>6</sup> V<sub>5</sub><sup>♭</sup> I I<sup>6</sup><sub>ECP</sub> IV

35

I<sup>6</sup> V<sup>7</sup>/V V<sub>3</sub><sup>♭</sup>

41 43

cadential

I <sup>6</sup><sub>ECP</sub> IV V(<sup>♭</sup>) (?)

47 51

cadential (Z)

I PAC I PAC "EEC"

C-zone cl. sec.

*p*

52

*f* *p* *f*

Detailed description: The image shows a musical score for piano, consisting of five systems of two staves each (treble and bass). The key signature has two sharps (F# and C#). The score is annotated with various musical terms and chord symbols. System 1 (measures 29-32) is labeled '(continuation)' and 'cadential (abandoned) ⇒ continuation'. It features a treble staff with eighth-note patterns and a bass staff with a steady eighth-note accompaniment. Chord symbols VII<sup>6</sup>, V<sub>5</sub><sup>♭</sup>, I, I<sup>6</sup><sub>ECP</sub>, and IV are placed below the bass staff. System 2 (measures 35-38) continues the patterns with chord symbols I<sup>6</sup>, V<sup>7</sup>/V, and V<sub>3</sub><sup>♭</sup>. System 3 (measures 41-43) includes a 'cadential' annotation above the treble staff and chord symbols I, <sup>6</sup><sub>ECP</sub>, IV, V(<sup>♭</sup>), and (?). System 4 (measures 47-51) features a 'cadential (Z)' annotation, a 'C-zone cl. sec.' annotation, and two boxed 'PAC' labels. It also includes a trill 'tr' and a dynamic marking '*p*'. System 5 (measures 52-55) shows a dynamic shift from '*f*' to '*p*' and back to '*f*', with a boxed 'EEC' label. The score concludes with a double bar line.

Ex. 2 Haydn, Piano Sonata in E $\flat$  major, Hob.XVI:52, i, bars 12–27

[Transition]  
[continuation]

**Allegro**

standing on the dominant

B: VII $\flat$  (V)

V  
HC

**Subordinate Theme 1**  
basic idea (fr. main theme)

6

17

*p*

*f*

18

(extension)

continuation  
fragmentation

10

tr tr tr tr

20

the new key with a PAC.<sup>8</sup> The final subordinate theme of the exposition ends with a *closing section* made up of *codettas*.

Ex. 2, taken from the first movement of Haydn's Piano Sonata in E $\flat$ , Hob. XVI:52, illustrates some of these points. The transition concludes at bar 14 with

Ex. 2 *Continued.*

The musical score for Ex. 2 Continued is presented in three systems. The first system (measures 21-22) shows a treble clef with a melodic line and a bass clef with a harmonic accompaniment. Measure 21 has a *p* dynamic, and measure 22 has a *fz* dynamic. Harmonic analysis below the bass staff indicates (HC) in measure 22 and IV<sup>6</sup> seq. in measure 23. The second system (measures 23-24) is labeled 'cadential' and features a *fz* dynamic. The bass staff shows an expanded cadential progression (ECP) with chords III<sup>6</sup>, II<sup>6</sup> (I), I<sup>6</sup>, (V<sup>2</sup>), I<sup>6</sup>, (V<sup>2</sup>), and I<sup>6</sup>. The third system (measures 25-26) shows a treble clef with a melodic line and a bass clef with a harmonic accompaniment. Measure 25 has a (V<sup>2</sup>) chord, and measure 26 has an IV chord. The fourth system (measures 26-27) is labeled 'Subordinate Theme 2' and features a *p* dynamic. The bass staff shows chords (II<sup>6</sup>), V<sup>2</sup> (7), and I, with a PAC box under the I chord in measure 27.

an HC in the subordinate key of B $\flat$  major, followed by two additional bars of standing on the dominant. The first of two subordinate themes begins at bar 17 with a restatement of the main theme's opening basic idea, a typical Haydnesque procedure. After the idea is extended by a bar, the music leads at bar 20 into a passage of *continuation* function, marked at first by fragmentation into half-bar units and then extended by the descending-stepwise sequence from the upbeat of bar 23 through to the end of that bar. The I<sup>6</sup> harmony, prolonged conventionally by its neighbouring V<sup>2</sup>, serves to initiate an *expanded cadential progression* (ECP), which stretches to the closing PAC at bar 27.

Though at first this analysis of a two-part exposition seems compatible with that of Hepokoski and Darcy, it is grounded in fundamentally different theoretical premises.<sup>9</sup> To begin with, we do not recognise the necessity for a medial caesura to open up space for the entry of a subordinate theme.<sup>10</sup> Rather, our view emphasises the ending function of the transition associated with its half-cadential articulation, achieved in bar 14. Similarly, we see the subordinate theme as structured by internal formal functions that articulate a clear beginning, middle and end. Characteristically, these functions are here much more loosely expressed than they would appear in a tight-knit main theme: the continuation function is extended by sequential activity, and the cadential function is lengthened by an expanded cadential progression – this last a particular hallmark of subordinate themes in the Classical style (see Caplin 1987 and 2000).

Another subordinate theme from a two-part exposition, found in the opening movement of Beethoven's Piano Sonata in F, Op. 10 No. 2 (Ex. 3), illustrates an additional idea that will prove important for our discussion of continuous expositions. Beethoven begins this subordinate theme directly in the new key with a lyrical melody that forms itself into a *compound presentation*, a standard initiating function of the compound-sentence theme type.<sup>11</sup> The presentation seems to be repeated at bar 27 but quickly becomes continuational, leading to an HC at bar 30 followed by seven bars of standing on the dominant. Such a concluding function is too weak to end a subordinate theme, which requires a closing PAC to fully confirm the subordinate key.<sup>12</sup> Therefore the theme is extended at bar 38 with a new continuation and a variety of cadential diversions until an expanded cadential progression finally achieves the requisite PAC at bar 55.<sup>13</sup>

With this last example, we want especially to highlight the *internal half cadence* (and standing on the dominant) of bars 30–37, a device that appears in many subordinate themes (Caplin 1998, pp. 115–17). Because an internal half cadence cannot represent the end of the theme, we typically see, as here, the appearance of new *continuational* material following the standing on the dominant. Another option has the internal dominant yielding directly to a new *cadential* phrase, such as that in the finale of Mozart's Piano Sonata in C minor, K. 457 (Ex. 4). Here the dominant pedal breaks down to a low G at bar 68 (see the arrow), marking the initiating I<sup>6</sup> harmony of an expanded cadential progression, which eventually closes the subordinate theme at bar 74.<sup>14</sup>

Let us now observe how some expositions that Hepokoski and Darcy deem continuous can be understood in form-functional terms. We will frame the discussion in relation to three ways in which the boundary between the transition and the subordinate theme can become blurred (Fig. 1).<sup>15</sup> In the first category of blurred boundaries, the transition lacks a functional ending, but the subordinate theme still brings an initiating function of some kind. In the second category, the transition ends normally, but the subordinate theme lacks a clear beginning. In the third category, the transition lacks an ending and the subordinate theme lacks a beginning.

## Ex. 3 Beethoven, Piano Sonata in F major, Op. 10 No. 2, i, bars 18–55

Subordinate Theme  
Presentation  
compound basic idea  
basic idea

contrasting idea

**Allegro**

C: I

c.b.i.(%)

Continuation

Standing on the Dominant

V  
HC  
(internal)

The first category is well illustrated by Ex. 5a, from the first movement of Haydn's Symphony No. 45 in F# minor ('Farewell'). In this exposition, Hepokoski and Darcy identify the sudden shift to A minor at bar 38 and the return to the opening idea of the main theme as that point where, 'lacking any preceding MC-effect, the continuous [...] nature of the exposition declares itself' (2006, p. 316).<sup>16</sup> We would argue, on the contrary, that a full-fledged subordinate theme begins in precisely this place.<sup>17</sup> But let us back up to the transition at bar 17,



Ex. 3 Continued.

The musical score consists of five systems of piano and bass staves. The first system (measures 35-38) features a treble staff with a melodic line and a bass staff with accompaniment. Annotations include 'Continuation' above measures 37-38 and 'sf' in the bass staff. The second system (measures 40-43) has 'Continuation (%)' above and 'I IAC' below measure 41, with 'sf' in the bass staff. The third system (measures 43-48) includes 'Continuation (new)' above, 'VI (dec. cad.)' below measure 46, 'pp' and 'cresc.' in the treble staff, and 'Cadenital' above measure 47. The fourth system (measures 48-51) has 'II<sup>6</sup> ECP' below measure 49. The fifth system (measures 52-55) is labeled 'Closing Section' above, with 'V' below measure 53, 'I PAC' below measure 54, and 'sf' and 'f' in the bass staff.

which also starts with the main theme’s basic idea. With the repeat of the idea in bars 21–24, the music modulates to A major, the expected subordinate key. A continuation, eliding with the end of the presentation in bars 23–24,<sup>18</sup> then leads to a prolonged I<sup>6</sup> in bars 29–33, which signals an expanded cadential progression,

## Ex. 4 Mozart, Piano Sonata in C minor, K. 457, iii, bars 46–75

**Subordinate Theme 1**  
presentation

**Allegro assai**  
(intro.)

Subordinate Theme 1 presentation

basic idea

51

Ek: I

52 continuation

57 standing on the dominant

V

HC (internal)

63

cadential

68

69 Sub. Theme 2 continuation

74

II<sup>6</sup> V I

f p f p f p

one that could have led to an HC to close the transition, as reconstructed in Ex. 5b. Instead, the cadential progression is *abandoned*, and a new stepwise ascending sequence leads to the surprising A minor at bar 38.<sup>19</sup> Thus, not only is there no medial caesura here, but because of the abandoned cadential progression, the transition lacks its structural end.

Fig. 1 Expository structures

Clear boundaries ('two-part exposition') (Exs 2–4)

a. simple subordinate theme (Ex. 2)



b. subordinate theme with internal half cadence (Exs 3 and 4)



Blurred boundaries 1: transition lacks an ending function (Ex. 5)



Blurred boundaries 2: subordinate theme lacks a beginning function (Exs 6 and 7)

a. presentation replaced by standing on the dominant (Ex. 6)



b. end of transition ⇒ internal half cadence of subordinate theme (Ex. 7)



Blurred boundaries 3: transition lacks ending; subordinate theme lacks beginning (Exs 1, 8, 10 and 11)



Ex. 5 (a) Haydn, Symphony No. 45 in F# minor ('Farewell'), i, bars 14–72; (b) reconstruction of bars 29–39

(a) [Main Theme] Transition  
presentation  
basic idea (fr. MT)

17 *p*

18  $f\sharp: I$   $I$   
PAC

21

22 continuation 23 24 fragmentation

$I$   $V^6$   $VII^6$   $V$

27 cadential (abandoned)

29  $I^6$  ECP (V)

32 continuation mod. seq. seq. (etc.)

33  $I^6$  seq.  $II^6$   $III^6$   $IV^6$

Ex. 5 *Continued.*

**Subordinate Theme**  
basic idea (fr. main theme)

37 38 41 43 44 45 50

V<sup>6</sup> I (modal shift) continuation mod. seq. seq. frag. etc. cad.

(IV VII<sup>7</sup> III VI<sup>7</sup> II V<sup>7</sup> I II<sup>6</sup> V)

As already noted, the return to main-theme material at bar 38 marks the onset of the subordinate theme. And the root-position tonic prolongation in bars 38–43, combined with a newly enlarged grouping structure, provides the requisite stability to express the functional initiation of a new thematic process.<sup>20</sup> Bar 44 brings an ascending sequential pattern, one that effects another modulation – this time to what emerges as the real subordinate key, C# minor. Fragmentation at bar 50, with a new circle-of-fifths sequence, further extends the continuation function, which yields eventually to a deceptive cadence at bar 55. What follows

Ex. 5 *Continued.*

cadential

55 VI (dec. cad.) (V<sup>7</sup>) ECP I<sup>6</sup> (V<sup>7</sup>) I<sup>6</sup> (VII<sup>6</sup>)

61 65 closing section I<sup>6</sup> II<sup>6</sup> V<sup>7</sup> I PAC

(b) [Transition] cadential

29 33 I<sup>6</sup> ECP (V) I<sup>6</sup> II<sup>6</sup>

35 standing on the dominant Subordinate Theme (V<sup>7</sup>) V HC

– one of the creepiest expanded cadential progressions in the literature – eventually brings a PAC at bar 65 to conclude this modulating subordinate theme. (Additional examples conforming to the first category of blurred boundaries are listed in the Appendix.)

In our second category, the transition is structurally closed, but the subordinate theme does not have a normal initiating function. As a result, the transition moves smoothly into the subordinate theme in a way that obscures the boundaries, thus giving rise to what Hepokoski and Darcy would view as a continuous exposition. Consider Ex. 6, which shows at bar 36 the HC and the lengthy standing on the dominant that closes the transition in the first movement of Mozart's String Quartet in B $\flat$  ('Hunt'), K. 458. According to them, this exposition is continuous because it lacks both medial caesura and S theme. To be sure, they acknowledge the HC and 'dominant-lock' (their term for standing on the dominant), but the potential medial caesura 'erodes away with motivic repetition [. . .], and the music gives the impression of changing its mind, unfreezing the dominant-lock, and plunging [. . .] toward an early [. . .] PAC in m. 54. What follows is not S [. . .], because the music consists entirely of varied repetitions of the cadence that we have just heard' (Hepokoski and Darcy 2006, p. 61).

We understand the situation quite differently, seeing the HC and standing on the dominant through bar 46 as fully closing the transition.<sup>21</sup> And at bar 47 we hear the two-bar idea, which is immediately repeated, projecting the start of a new thematic unit.<sup>22</sup> But this passage is better understood not as a standard initiating function (such as a presentation), but rather as a second standing on the dominant, which belongs to the subordinate theme, not to the preceding transition, whose formal processes have been fully played out by the end of bar 46. The music proceeds with a continuation phrase in bars 51–54, and a final PAC brings closure to this sentential subordinate theme, whose formal loosening is accomplished by the standing on the dominant, which replaces a normal presentation. What follows is a second subordinate theme, whose elaboration brings a significantly looser organisation, as shown in the analysis. (See the Appendix, Category 2a, for additional examples of subordinate themes beginning with a standing on the dominant.)

Another example from our second category of blurred boundaries shows a more complex situation; see Ex. 7, taken from Haydn's String Quartet in E $\flat$  ('The Joke'), Op. 33 No. 2. According to Hepokoski and Darcy (2006, p. 55), bars 15–18 set the stage for a medial caesura, but at bar 19, 'a renewed thematic idea emerges and pushes through the expected MC-moment [. . .], cancelling the local MC implications with a new burst of *Fortspinnung* [. . . and] merging smoothly into a cadential module beginning on the new tonic in bar 21.' Though they acknowledge that bar 21 brings a weak cadential effect, 'this PAC is probably better understood not as concluding anything [. . .] but as marking the tonic-chord onset of a thematically profiled cadential module, a common feature of the conclusion of Haydn's expansion sections.'

Ex. 6 Mozart, String Quartet in B $\flat$  major ('Hunt'), K. 458, i, bars 34–78

[Transition] standing on the dominant  
fragmentation

36 37

F: V  
HC

38 39 40 41 42

*fp* *fp* *fp* *fp* *p*

V V *p*

43 46

**Subordinate Theme 1**  
standing on the dominant

47

*f* *fp*

V continuation

51 54

*p* *f* *p*

**Sub. Theme 2**  
continuation

I  
PAC



Ex. 6 *Continued.*

55 *fp* *fp* *fp* *fp* *fp* *fp*

Subordinate Theme 2 (% and exp.)  
continuation

59 *p* *fp* *fp* *fp* *fp* *fp*

I  
PAC

64 *fp* *fp* *p* *f*

continuation

I  
(ev. cad.)

68 continuation (% and ext.)

I  
(ev. cad.)

71 *fp* *f*

cadential closing section

I  
PAC

I<sup>6</sup> VII<sup>6</sup> V  
ECP

Ex. 7 Haydn, String Quartet in E $\flat$  major ('The Joke'), Op. 33 No. 2, i, bars 9–32

**Allegro moderato** [Main Theme]

**Transition/Subordinate Theme 1** standing on the dominant

B $\flat$ : V (V) [HC] => "internal"

*ten.* *mf* *cresc.* *f* *p*

**Subordinate Theme 2** continuation

I<sup>6</sup> IV V VI II<sup>6</sup> (dec.) V

PAC

A form-functional perspective, however, leads again to different interpretations. To be sure, a sense of 'bait and switch', as Hepokoski and Darcy put it (2006, p. 55), aptly describes the failure to realise the expected medial caesura. But what happens at bars 19ff. also resembles the case where, following

Ex. 7 *Continued.*

cadential (abandoned)

24 25 26 27 28 29 30

$f$   $tr$  *mezza voce*  $p$

II<sup>6</sup><sub>ECP</sub> VII<sup>6</sup> V cadential

(VII<sup>6</sup>)<sub>6</sub> V<sup>6</sup><sub>6</sub> I I<sup>6</sup><sub>ECP</sub>

IV (II<sup>6</sup>) V<sup>6</sup> 7) I  
PAC

an internal half cadence and standing on the dominant within a subordinate theme, a new continuation or cadential phrase brings the music to authentic cadential closure (as discussed in connection with Exs 3 and 4). In other words, the HC and standing on the dominant of bars 15–18, which initially is heard as ending the transition, is *reinterpreted retrospectively* as occurring *internal to* a subordinate theme.<sup>23</sup> As a result of this formal compression, the transition and subordinate theme *fuse* into a single thematic unit, which ends with the PAC of bar 21. What follows is a second subordinate theme, one which begins

directly with continuation function, thus bypassing any functional initiation, and which brings many of the loosening devices associated with subordinate-theme function, especially the dramatic abandoned cadence within bar 26 and the renewed expanded cadential progression that closes the theme. (For additional examples of subordinate themes that feature an HC that functions both as the end of the transition and as internal to the subordinate theme, see the Appendix, Category 2b.)

We turn now to our third and final category of a blurred boundary between the transition and subordinate theme. Here, the former lacks an end and the latter lacks a beginning, thus effecting a complete fusion of these two expositional functions into a single thematic unit. We illustrate this technique using the exposition of Mozart's String Quintet in G minor, K. 516 (see Ex. 8), which Hepokoski and Darcy regard as two-part, but which Joel Galand, in his review of their book (2013, pp. 397–8), instead proposes as being continuous.<sup>24</sup>

Following the end of the main theme's closing section at bar 29, the transition sets in with a four-bar initiating phrase, a *compound basic idea* (Caplin 2013, pp. 107–8). A repetition of this phrase steers around to the subordinate key of B<sup>b</sup> major, which is emphasised by a two-bar extension (bars 37–38). The harmonic context of bars 40–42 suggests an HC, but that implication is undermined by various rhythmic and phrase-structural factors. Rhythmically, the inner-voice accompaniment continues across this ostensible cadential articulation, and, from the point of view of phrase structure, the three-bar half-cadential progression seems far too short to balance the extended unit that initiated the transition. When, moreover, the first violin begins to repeat the section's principal motive in bar 43, any sense of a half-cadential ending is definitively overwritten, and we feel that we are still in the midst of the transition.

But only one bar later (bar 44) the passage's rhythmic impetus abruptly breaks down: the lower voices drop out, and the first violin works its way down from the high D to the low A over an accompanimental void. In bars 45–46, the conclusion of this descent overlaps with its sequential repetition in the cello. This strange passage is difficult to parse into its form-functional constituents. Once we come out the other side in bar 49, however, it again becomes clear where we are. Beginning in that bar, the harmonies are sequential, and the form-functional sense is clearly continuational, with the music driving towards a PAC projected for bar 56. That cadence, however, is evaded, and the ensuing repetition leads to an ECP that closes at bar 64. The entire span from bar 49 to bar 64 has thus brought the continuation and cadential functions of a subordinate theme. Note the characteristic features of that function: the tonal focus on the subordinate key, the sequential extensions, the evaded cadence and the expanded cadential progression. If we now look back to bar 30 and consider the excerpt as a whole, we can recognise in it a further instance of transition/subordinate-theme fusion, thanks to the strange form-functional joint in bars 43–48. As a whole, the passage begins as a transition but emerges as the concluding half of a subordinate theme, and we perceive neither a clear ending for the former nor any real beginning to

## Ex. 8 Mozart, String Quintet in G minor, K. 516, i, bars 23–66

[Main Theme]  
[closing section]

*f* *p* *p* *mfp* *mfp* *mfp*

g: VI

Transition/Sub. Theme 1  
Presentation  
compound basic idea

VII<sup>7</sup> V(<sup>6</sup>) I PAC c.b.i. (extended)

Bb: V<sup>7</sup> I

Cadential?

VII<sup>6</sup>

Ex. 8 *Continued.*

mod.

42 43 44 45 46

*mf* *mf* *mf* *p*

$\frac{V}{(HC?)}$   $V^7$   $V^7$

47 48 49

seq. Continuation

*mf*  $I^6$  ECP  $V^7$

51 52 53 54

II  $V^7$  IV I

Continuation ("one more time")

55 56 57 58

$II^6$  V  $I^6$ ... (ev. cad.)

the latter. (For additional cases of complete transition/subordinate-theme fusion, see Table 1, Category 3.)

It is understandable that the idea of fusing a transition with a subordinate theme such that the boundaries between these two thematic functions are virtually obliterated may pose both theoretical and analytical challenges. So it proves useful to examine the topic in a different, but related, formal context,

Ex. 8 *Continued.*

The musical score consists of three systems of piano music. The first system, starting at measure 59, is labeled "Cadential" and features a treble clef with a melodic line and a bass clef with a rhythmic accompaniment. Below the staff, Roman numerals "IV<sup>+</sup> ECP" and "VII<sup>7</sup>" are indicated. The second system, starting at measure 62, is labeled "Subordinate Theme 2" and includes a forte dynamic marking (*f*), a trill (*tr*), and a repeat sign. Below the staff, Roman numerals "V(♯)" and "7)" are shown, along with a boxed "I..." and "PAC" marking. The third system, starting at measure 65, continues the melodic and rhythmic patterns.

one in which such fusion is arguably the norm. We are referring here to *minuet form*, whose homology with sonata form has been noted since the eighteenth century.<sup>25</sup> Individual chapters in Caplin's *Classical Form* and *Analyzing Classical Form* discuss at length the importance of identifying in the minuet the thematic functions of main theme, transition, subordinate theme and developmental core, noting especially that the establishment and confirmation of a subordinate key, which often takes place in the minuet's A section, is the process that allows us to recognise the appearance of subordinate-theme function within this form.<sup>26</sup> In what follows, we propose a graduated series of three examples that move from the baseline case of a clearly articulated and syntactically complete subordinate-theme function through to progressively more blurred boundaries.

Ex. 9 Mozart, Piano Sonata in E $\flat$  major, K. 282, ii, Menuetto II, bars 1–16

**Menuetto** Main Theme presentation

continuation

Subordinate Theme presentation

continuation=cadential

Consider the A section of the trio of Mozart's Piano Sonata in E $\flat$ , K. 282, shown in Ex. 9. Bars 1–8 present a clear eight-bar sentence leading to a home-key HC. Having arrived *on* the dominant, the music then simply stays *in* the dominant, presenting a new sentence, one that ends in the subordinate key with a PAC at bar 16. The overall *phrase* organisation of this section might



suggest a compound period, and the first sentence could well be understood as an antecedent. The second sentence, however, does not qualify as a consequent, because it fails to bring back the basic idea of the antecedent and, moreover, begins in a completely different key. Therefore, the logic of the relationship of these two phrases is better understood at the level of *thematic* functionality, where we can recognise the opening sentence as a main theme and the second sentence a subordinate theme, and further understand that the ‘bifocal close’ (Winter 1989) ending the former renders any distinct transition function unnecessary.<sup>27</sup> As further support for reading a subordinate theme here, note the loosening effect created by its presentation phrase, which gives hypermetrical emphasis to dominant harmony in bars 9 and 11 (see the circled roman numerals); the main theme, on the contrary, has a tighter emphasis on tonic in its opening phrase.

Another minuet, from Haydn’s Symphony No. 101 in D (‘The Clock’) (Ex. 10), is in fact structured as a compound period, and here the second unit, beginning at bar 9, can be regarded as a modulating consequent, albeit one that is highly expanded. In addition to this phrase-functional interpretation, we can discern the three thematic functions of an exposition. Just as in the previous example, the opening sentence serves as a main theme. What follows, however, is not a subordinate theme, since the music still resides in the home key, but rather a modulating transition based on the main theme’s head motive, thus recalling A. B. Marx’s *Periode mit aufgelöstem Nachsatz* (period with dissolving consequent; Marx 1837–47, vol. 3, pp. 260–2). At some indeterminate point, however, transition function gives way to the latter half of a subordinate theme, as marked by the greatly, and characteristically, expanded cadential progression beginning at bar 14. The entire span from bars 9 to 20 thus stands as an instance of transition/subordinate-theme fusion. What follows at bar 21 is a closing section that reinforces the confirmation of the subordinate key.

Ex. 11, from Beethoven’s String Quartet in C minor, Op. 18 No. 4, illustrates an even more extreme instance of form-functional fusion, with the result that phrase and thematic functions are folded together. The entire passage constitutes a lightly expanded compound sentence: bars 1–9 bring a compound presentation, followed by a continuation that features fragmentation, *stretto* imitation, and a modulation to the new key, which is confirmed by the expanded cadential progression in bars 17–20. But supervening on this phrase-functional organisation, one can nonetheless recognise a familiar progression of incipient thematic functions. Though lacking cadential confirmation, bars 1–8 bring the strong tonic prolongation characteristic of a main theme’s opening. Bars 9–15 destabilise the home key and push the harmonies towards the subordinate key, much in the manner of a transition; indeed, we might even perceive the fermata in bar 15 as referencing a sonata-form medial caesura. Finally, the expanded cadential progression provides a characteristic expression of subordinate-theme function.

## Ex. 10 Haydn, Symphony No. 101 in D major ('The Clock'), iii, bars 1–28

**Main Theme antecedent presentation**  
**Allegretto**  
 basic idea continuation

D: I... V  
HC

**Transition/Subordinate Theme consequent**  
 basic idea continuation cadential

I... I<sup>6</sup> ECP (V<sup>2</sup>) I<sup>6</sup>...

**closing section**  
 codetta

II<sup>6</sup> V(3 7) I... PAC

I... I I I I

Our examination here of the thematic functions appearing in the first half of the Classical minuet has been aimed at helping to clarify two points. The first has to do with the nature and status of transition/subordinate-theme fusion. While comparatively rare in fully elaborated sonata expositions of the high Classical style, such fusion is particularly common in the compressed formal confines of a

## Ex. 11 Beethoven, String Quartet in C major, Op. 18 No. 4, iii, trio, bars 1–20

**Main Theme/  
presentation**

**Trio**

*p* 3 3 3

Ab: I V<sub>3</sub><sup>♯</sup>

**/Transition/  
continuation**

6 8 9

I  
Eb:IV

*cresc.*

V<sub>3</sub><sup>♯</sup>  
(dominant arrival)

8<sup>va</sup>

**(MC?)  
(8) 1**

**/Subordinate Theme  
cadential**

15 17 20

*sf* *p*

I<sup>6</sup> ECP II<sup>6</sup> V<sub>3</sub><sup>♯</sup> 7) I PAC

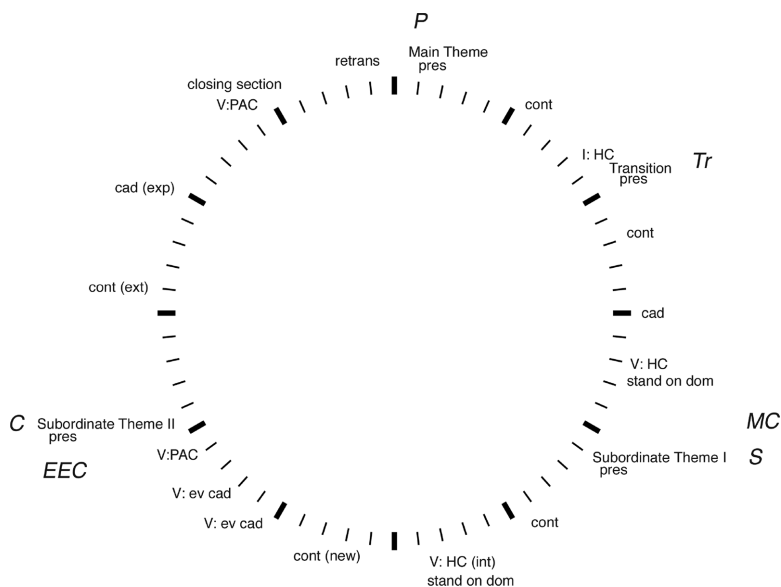
minuet. This formal type, in other words, often features continuous expositions. Thus, examining the behaviour of such sections in their native habitat, so to speak, throws some suggestive light on their workings in sonata expositions.

Secondly, considering minuets helps to clarify why form-functional theory axiomatically disallows transitions ending with PACs, as Sonata Theory accepts with its third- and fourth-level medial caesura defaults. This important topic warrants a fuller discussion than is possible here, but we can note that the idea of a third-level default medial caesura based on a V:PAC is sometimes tempting in a very small number of sonata movements, particularly when a quickly attained PAC is followed by a second, stereotypically lyrical subordinate theme (as, for example, in Mozart's Sonata for Two Pianos in D major, K. 448).<sup>28</sup> But such a notion is far less compelling in minuet form. Though on occasion the fusion of transition and subordinate theme in minuets is followed by a second subordinate theme, far more commonly such fusion leads either to a closing section, as in the Haydn symphony just discussed, or to nothing at all, as in the Beethoven quartet. In such cases, we will not be tempted to identify these passages as 'transitions ending with a medial caesura V: PAC', for such an analysis would invite the obvious retort, 'transition to what'? When we encounter something similar in a sonata-form exposition, we likewise do well to invoke the notion of transition/subordinate-theme fusion and understand that the full confirmation of the new key by a PAC brings the listener into the temporal world of the subordinate theme and well past the functional goals of a transition.

Let us return to the principal topic of the continuous exposition in sonata-form movements and take up once more Haydn's Op. 33 No. 1, the example that we earlier used to illustrate Hepokoski and Darcy's perspective, this time examining the same passage from a form-functional point of view (see again Ex. 1; form-functional annotations are indicated in roman). The repeated presentation of bars 13–20, which continues to express the home key of B minor, clearly belongs to the transition. A continuation at bar 21, marked by the circle-of-fifths sequence, brings the music into the subordinate key of D major. If this were to be a two-part exposition, we would soon be expecting an HC and standing on the dominant to end the transition. But these events do not occur. Rather, the tonic in bars 27–28 functions as both the last link of the sequence and the start of a new prolongation, which lasts until the shift to  $I^6$  at m. 32, a standard signal for the onset of an expanded cadential progression of the type we regularly encounter in subordinate themes. When the  $I^6$  moves to IV, the sense of impending cadence is even stronger, yet the music returns to  $I^6$  and pushes downwards in parallel thirds (see the circled notes) back to a root-position tonic at bar 43, thus abandoning the cadence. A new ECP strikes up to close the theme with a PAC at bar 47, whereupon the cadential phrase is immediately repeated.

In our way of hearing, all of the music from at least as far back as bar 32 entirely projects the temporal world of a subordinate theme. Likewise, the beginning of the passage through to the end of the sequence, which brings us to the new key, belongs clearly to the transition. The continuational passage in bars 29–31 is

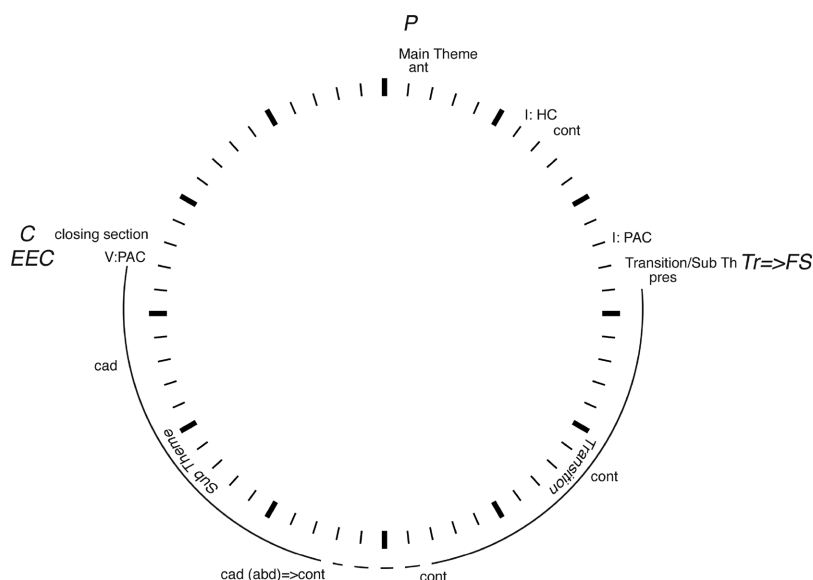
Fig. 2 Sonata clock for a generic two-part exposition



thus left without an unambiguous functional home. This music, in fact, seems to inhabit the domains of both functions, thus permitting the process of fusion to occur in a remarkably smooth manner.

We have twice spoken of the subordinate theme expressing its own temporal world. Let us extend this notion to the other thematic functions of a sonata exposition by invoking the metaphor, originally introduced by Hepokoski and Darcy, of a *sonata clock*.<sup>29</sup> What we find appealing about the image of a clock is that it makes quite graphic the essential temporal unfolding of a musical work. The metaphor also allows us to highlight some differences between the theory of formal functions and Sonata Theory. For with respect to a sonata exposition, the respective clocks have different hour markers and may even seem at times to run at different speeds. Fig. 2 shows a hypothetical sonata clock for a two-part exposition. The clock is largely orientated around a form-functional approach, one that marks the phrase functions and cadences of the three thematic functions: main theme, transition and subordinate theme. For comparison, we have also included the principal signposts of Sonata Theory on the outer edge of the clock. That the hour markers for the two theories are different is obvious enough. But the idea that the clock may sometimes run at different speeds can be seen in some cases of Hepokoski and Darcy's tri-modular block (see again note 13), whereby a 'satisfactory S' may not appear until much later than what we would regard as the start of a subordinate theme. Another case where a Sonata Theory clock would run considerably slower than a form-functional one is the contentious circumstance, mentioned earlier, of a possible third-level MC default

Fig. 3 Sonata clock for a continuous exposition: Haydn, Op. 33 No. 1, iv



built around a PAC in the new key. With that situation, our clock would already be within the temporal marker of subordinate-theme function, while theirs would only be approaching the end of the transition.<sup>30</sup>

In the case of a continuous exposition, the hour markers for Sonata Theory differ, for, as shown in Fig. 3, the MC and S indicators are no longer present. This clock is actually one designed specifically for the finale of Haydn's Op. 33 No. 1. Conveniently, the exposition contains about 60 bars, so that each minute on the clock roughly corresponds to one bar of music. In comparing the form-functional clock to the Sonata Theory clock, we see that the long stretch of time that the latter marks as  $Tr \Rightarrow FS$  engages temporalities that the former defines in relation to the same phrase and thematic functions as those of a two-part exposition. So, for example, when the clock indicates bar 20, the music is perceived as expressing the temporal world of the transition; at bar 30, the functional expression is ambiguous (as discussed earlier); and at bar 40, the world of the subordinate theme is clearly evoked. These functional distinctions are not specifically identified by Sonata Theory, for to do so would undermine its conviction that sonata expositions are organised in two entirely different ways.

By now, we hope to have cast doubt on this contention by showing that both two-part and continuous expositions can effectively be analysed using a common set of phrase and thematic functions. We conclude by highlighting some fundamental points of theory that account for these divergent views. A crucial difference concerns the respective concepts of subordinate theme. Put most simply, Hepokoski and Darcy regard the S theme as that portion of

music standing between a medial caesura and the PAC representing the essential expositional close. Their emphasis, as Michael Spitzer has pointed out (2007, pp. 152–3), is on the ‘punctuation’ points that define the boundaries of thematic zones.<sup>31</sup> Hepokoski and Darcy acknowledge, of course, that S has a formal structure consisting of various modules and that it must normally appear in the subordinate key. But throughout most of their text, they characterise S largely in terms of its opening melodic–motivic material, proposing an extensive list of normative beginnings: the lyrical S, the bustling S, the P-based S, the *forte* S, and so on (Hepokoski and Darcy 2006, pp. 131–9). Ultimately, however, for them the status of S depends, with only a handful of exceptions, on its being preceded by a medial caesura, no matter what the actual musical content of a presumed S may be. Even if the passage in question has the standard characteristics of an S – and here we mean more than just its opening ideas – it is not a real S unless it follows an MC.

But why should the existence of a formal unit be dependent upon what immediately precedes it? Cannot the unit itself project its own syntactical identity? Let us make an analogy to spoken language by considering the following two sentences:

1. ‘Today I spoke to John.’
2. ‘No, yesterday I spoke to John.’

Although their semantic contents are closely related, each sentence is a complete syntactical unit in its own right, consisting of a subject, a verb and a preposition and its object. When uttering these two sentences, we might pause between each so that their individuality would be highlighted. But let us say that in a rush, we run them together in one performative gesture:

‘Today I spoke to John; no, yesterday I spoke to John.’

Even without a break between them, the syntactical integrity of each sentence can still be comprehended. Now take the more extreme situation, where, even more frantic, we fail to complete the first sentence and jump immediately to the second:

‘Today I spoke to – no, *yesterday* I spoke to John.’

Here, the first sentence does not achieve its structural end – the prepositional object ‘John’ – yet despite this omission, the second sentence is fully understood as a complete syntactical structure; its status as a genuine sentence continues to be affirmed. We would argue that something similar holds for thematic units of Classical form. We can recognise that a subordinate theme is syntactically sound even if the prior transition lacks a formal end. And a subordinate theme’s identity is no less called into doubt if it fails to be preceded by a textural break, a medial caesura. In fact, the medial caesura has *no essential form-functional consequences*: it is neither responsible for ending the transition (that is the role of the HC), nor is

it a necessary condition for the existence of a subordinate theme (that is the role of the theme's constituent phrase functions).

To be sure, the medial caesura is a useful rhythmic and textural device, one which helps to reinforce other processes that are more genuinely responsible for articulating form, and attending to such caesuras and their various modes of articulation is clearly of analytical import. Likewise, the distinction between two-part and continuous expositions pertains essentially to the realms of rhythm and texture. It too is a useful idea so long as its limitations are fully recognised; indeed, we have no objection to speaking informally of expositions as two-part or continuous. But it is not, we insist, a distinction that reflects *foundational* differences in formal organisation. As we have tried to demonstrate throughout this study, Classical instrumental music is grounded in a unity and consistency of musical syntax, composed of formal functions at all levels in the structural hierarchy. And as discussed in connection with minuet form, these same formal functions are operative across a wide variety of formal types within the Classical literature, including rondos, arias, and concertos. These functions are the fundamental building blocks of Classical form. The logic of their succession confers formal coherence on the manifestly different melodic, rhythmic and textural materials contained within these functions. Indeed, perceiving the arrangement of formal functions within a work permits listeners to identify with great precision the multiplicity of ways in which musical form – in direct association with musical time – can be projected and manipulated for a wide variety of artistic and expressive purposes.

### **Appendix: Additional Examples of Blurred Boundaries**

#### *Category 1: No End to Transition*

Beethoven, Piano Sonata in A $\flat$ , Op. 110, i, bar 19

Beethoven, Piano Sonata in F minor ('Appassionata'), Op. 57, iii, bar 70 (see Caplin 1998, pp. 201–3)

Beethoven, Symphony No. 6 in F major ('Pastoral'), Op. 68, v, bar 41 (see Caplin, Hepokoski and Webster 2009, p. 35)

Haydn, String Quartet in G major, Op. 54 No. 1, i, bar 31

Haydn, Symphony No. 90 in C major, iv, bar 29 (see Caplin 1998, p. 135)

Haydn, Symphony No. 95 in C minor, iv, bar 53

Mozart, Piano Sonata in C minor, K. 457, i, bar 22 (see Caplin 1998, p. 135)

#### *Category 2a: Subordinate Theme Begins with Standing on the Dominant*

Beethoven, Piano Sonata in D minor ('Tempest'), Op. 31 No. 2, i, bar 42 (see Caplin, Hepokoski and Webster 2009, pp. 97–9, and Caplin 2010)

Beethoven, Piano Sonata in E $\flat$  major ('Lebewohl'), Op. 81a, iii, bar 37



- Beethoven, String Quartet in D major, Op. 18 No. 3, i, bar 51 (see Caplin 2013, pp. 394–5)  
 Beethoven, Symphony No. 7 in A major, Op. 92, i, bar 113  
 Haydn, String Quartet in D major, Op. 50 No. 6, i, bar 26  
 Haydn, String Quartet in G major, Op. 54 No. 1, ii, bar 27  
 Haydn, String Quartet in G major, Op. 76 No. 1, i, bar 43  
 Mozart, String Quartet in B $\flat$  major, K. 589, i, bar 27  
 Mozart, Symphony No. 39 in E $\flat$ , K. 543, ii, bar 39 (see Caplin 1998, p. 114)

*Category 2b: End of Transition  $\Rightarrow$  Internal HC of Subordinate Theme*

- Beethoven, Piano Concerto No. 3 in C minor, Op. 37, ii, bar 32  
 Beethoven, Piano Sonata in A $\flat$  major, Op. 26, iv, bar 32  
 Beethoven, Piano Sonata in F $\sharp$  major, Op. 78, i, bar 20  
 Beethoven, Piano Sonata in G major, Op. 79, i, bar 24  
 Beethoven, Piano Sonata in E $\flat$  major ('Lebewohl'), Op. 81a, i, bar 39  
 Beethoven, Piano Sonata in E major, Op. 109, ii, bar 33  
 Beethoven, Symphony No. 6 in F major ('Pastoral'), Op. 68, ii, bar 27  
 Haydn, String Quartet in E major, Op. 17 No. 1, i, bar 18 (possibly Category 2a at bar 22)  
 Haydn, String Quartet in G major, Op. 17 No. 5, i, bar 18  
 Haydn, String Quartet in E $\flat$  major, Op. 50 No. 3, iv, bar 40  
 Haydn, String Quartet in B minor, Op. 64 No. 2, i, bar 15 (see Caplin 2013, pp. 403–4)  
 Haydn, String Quartet in G minor, Op. 74 No. 3, i, bar 32  
 Haydn, Symphony No. 88 in G major, i, bar 51  
 Haydn, Symphony No. 93 in D major, i, bar 61 (see Caplin 1998, p. 203)  
 Mozart, String Quartet in D minor, K. 421, i, bar 18

*Category 3: Transition/Subordinate-Theme Fusion (Complete)*

- Beethoven, Piano Sonata in F minor, Op. 2 No. 1, ii, bars 17–27 (see Caplin 2001, p. 209)  
 Beethoven, Piano Sonata in D major, Op. 10 No. 3, ii, bars 9–17 (see Caplin 1998, pp. 209–11)  
 Beethoven, Piano Sonata in A major, Op. 101, i, bars 5–25  
 Haydn, Piano Trio in C major, H. 27, iii, bars 43–81  
 Mozart, Violin Sonata in E $\flat$  major, K. 380, i, bars 13–27 (see Caplin 2013, pp. 406–7)  
 Mozart, Violin Sonata in B $\flat$  major, K. 454, i, bars 22–29 (see Caplin 1998, p. 203)

## NOTES

1. See Hurwitz-Keefe (2006), Drabkin (2007), Hunt (2007), Spitzer (2007), Christiaens (2008), Hinrichsen (2008), Riley (2008), Wingfield (2008), Hust (2009), Whittall (2009), Richards (2010), Neuwirth (2011) and Galand (2013).
2. See Caplin, Hepokoski and Webster (2009); see also Bergé (2009), Caplin (2010) and Hepokoski (2010).
3. The distinction was first introduced in Darcy and Hepokoski (1997) and is further elaborated in Ch. 4 of Hepokoski and Darcy (2006). See also Suurpää (1999), Richards (2013) and Smith (2014).
4. Larsen's essay has been translated into English and published twice (Larsen 1988 and 2013). For additional commentary, see Martin (2014).
5. See Darcy and Hepokoski (1997), pp. 117–18, and Hepokoski and Darcy (2006), pp. 23 and 51–2.
6. The analytical annotations in italics on the example refer to a Sonata Theory interpretation; the remaining annotations refer to a form-functional analysis that will be discussed at the end of this study.
7. See Caplin (2013), Ch. 9, for a general summary of a form-functional approach to sonata form.
8. On the distinction between tight-knit and loose formal organisation, which is borrowed from Schoenberg (1995), pp. 176–9, and Ratz (1973), p. 21, see Caplin (1998), pp. 84–6 and 99–121.
9. In fact, Haydn's exposition seems to create some difficulties for Hepokoski and Darcy (2006, p. 49), since they cite the movement as an exceptional case of an S theme that manifestly bursts on the scene without being prepared by an appropriate medial caesura. From a form-functional perspective, this exposition is unproblematic.
10. 'The MC is the device that forcibly opens up S-space' (Hepokoski and Darcy 2006, p. 25).
11. For more on the compound sentence, see Caplin (2013), Ch. 6.
12. Like Sonata Theory, the theory of formal functions also recognises that a subordinate theme requires perfect authentic cadential closure. But whereas the former theory insists on a single EEC for an exposition, the latter recognises that each individual subordinate theme within an exposition closes with a PAC, thus yielding multiple PACs in the case of a 'group' of such themes: no one of these cadences is deemed as bearing the weight of expositional closure (see Caplin, Hepokoski and Webster 2009, p. 27).

13. Hepokoski and Darcy (2006), p. 175, recognise in this exposition an example of a *tri-modular block*, whereby the process of achieving the medial caesura is anticipated by an ‘apparent’ MC (here, bar 18), after which follows ‘an S-like theme [...] (as if triggered too early)’ that makes up the first block, a second block (bars 30–36, yielding the real MC), and a third block, ‘more the “real” S’. With the concept of tri-modular block, the question of just where the transition ends and the subordinate theme begins is effectively bypassed.
14. With the concept of internal half cadence now in hand as an analytic category, we can refine the analysis of Ex. 2 presented above and recognise a possible HC articulation in the middle of bar 22, after which follows more continuation, such as that seen in Ex. 3.
15. The first two schemes shown in Fig. 1 exemplify clear boundaries between the functions of transition and subordinate theme, as found in what Hepokoski and Darcy would consider a two-part exposition. The remaining four schemes show blurred boundaries between these functions. A less complete version of this categorisation of expositional structures is presented in Caplin (1998), pp. 201–3; see also Caplin (2001), and Caplin (2013), pp. 400–8.
16. Compare Webster (1991), pp. 29 and 34.
17. This is not to deny the *rhetorical* effect of an expansion section here. As one of us has argued elsewhere (see Martin 2014), the three-part exposition posited by Larsen (1963) typically arises when the boundary between the transition and subordinate theme is blurred in any of the ways shown schematically in our Fig. 1. In many cases, as in the first movement of Haydn’s ‘Farewell’ Symphony (Ex. 5a), that blurring gives rise to the kind of *Fortspinnung* effect that Hepokoski and Darcy so eloquently describe. Of course Haydn’s symphony, with its three-key expositional plan and minor-mode *Sturm und Drang* affect is a highly atypical piece (for another classic example having a comparable three-key plan, see the finale of Mozart’s Piano Sonata in A minor, K. 310). The relevant point, though, is that form-functional theory accommodates both normative and non-normative designs under a single set of analytical categories.
18. Whereas presentation and continuation functions rarely elide in a tight-knit main theme, they may do so in a transition or subordinate theme, such that the resulting asymmetry of the grouping structure helps project a loose formal organisation; see Caplin (2013), p. 361 (discussion of Ex. 12.14).
19. On abandoned cadential progressions, see Caplin (2013), pp. 143–4. The abandonment occurs at bar 35, where the pre-dominant II<sup>6</sup> fails to resolve

to a cadential dominant, yielding instead to III<sup>6</sup> to realise the ascending stepwise sequence.

20. See Caplin, Hepokoski and Webster (2009), pp. 34–6 (Ex. 1.2, Beethoven, Symphony No. 6 in F major ['Pastoral'], finale) for another case of a continuous exposition in which the subordinate theme signals its initiation by virtue of an enlarged grouping structure.
21. Here, the repeated cadential ideas at the start of the standing on the dominant pose somewhat of a problem for identifying just where the terminal half-cadence actually arrives. One might, in particular, be tempted by bar 42, where the passage's forward impetus finally concludes. If we instead privilege bar 36 in the annotations to our example, it is to acknowledge the transition's *syntactical* completeness at that point. We do not mean to deny that each repetition of the half-cadential progression (in bars 37–38, 39–40 and 41–42 respectively) has the *rhetorical* effect of undoing the preceding cadence and so prolonging the ear's attention until the last of these cadences arrives.
22. Note again how the enlarged grouping structure helps support an interpretation of formal initiation.
23. Such retrospective reinterpretation is indicated by the symbol  $\Rightarrow$ , as promoted by Schmalfeldt (2011), p. 9.
24. Hepokoski and Darcy's view of this exposition as two-part (2006, p. 29) is idiosyncratic, for they find a medial caesura projected by the home-key PAC at bar 29, after which they recognise the start of S – still in the home key – in the following bar. We believe, along with Galand, that many listeners would instead regard this exposition as continuous in the sense defined by Sonata Theory.
25. Koch (1793) first teaches aspiring composers how to write small forms such as the minuet and then shows how these can be elaborated into complete sonata forms (in our terms) by means of various expansion techniques.
26. See Caplin (1998), Ch. 15, and Caplin (2013), Ch. 18. Hepokoski and Darcy consider minuet form in a cursory fashion, though they do note some important formal correspondences with first-movement sonata form (see Hepokoski and Darcy 2006, pp. 329–33).
27. In this case, the minuet's A section contains no transition function. The main theme simply meets the subordinate theme in a butt joint at bars 8–9. For an example of an A section that presents all three inter-thematic functions – main theme, transition, and subordinate theme – see Mozart's

- String Quartet in A major, K. 464, analysed in detail in Caplin (1998), pp. 223–5, and Caplin (2013), pp. 620–1.
28. The opening movement of Mozart's Violin Sonata in B $\flat$  major, K. 454, brings a similarly compressed fusion of transition and subordinate-theme functions within the context of a modulating period (see bars 14–29).
  29. See Hepokoski and Darcy (2006), pp. 150, 157, 218, 512, 518–19 and 600.
  30. A rare case where Hepokoski and Darcy's clock runs considerably *faster* than ours occurs with their analysis of Mozart's G minor Quintet (see again Ex. 8 and n. 24).
  31. Hepokoski and Darcy's EEC is another such fundamental point of formal punctuation.

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**ABSTRACT**

James Hepokoski and Warren Darcy's Sonata Theory promotes a fundamental distinction between sonata expositions that are either *two-part* or *continuous*. We contend that this binary opposition misconstrues the commonality of formal procedures operative in Classical sonata form. Advocating a form-functional approach, we hold that all sonata expositions contain a subordinate theme (or at least sufficient functional elements of such a theme), even if the boundary between the transition and subordinate theme is obscured. We illustrate three categories of such a blurred boundary: (1) the transition lacks a functional ending but the subordinate theme still brings an initiating function of some kind; (2) the transition ends normally but the subordinate theme lacks a clear beginning; and (3) the transition lacks an ending and the subordinate theme lacks a beginning, thus effecting a complete *fusion* of these thematic functions. We extend these considerations to another formal type – minuet form – in order to place the technique of fusion as it arises in sonata-form expositions in a broader perspective. In further comparing a theory of formal functions to Sonata Theory, we invoke the 'sonata clock' metaphor, first introduced by Hepokoski and Darcy, and show that our respective clocks have different 'hour' markers and run at different speeds. We conclude by examining some of the main conceptual differences that account for the divergent views of expositional structures offered by Sonata Theory and a theory of formal functions, arguing against the former's claim that the *medial caesura* is a necessary condition for the appearance of a subordinate theme.