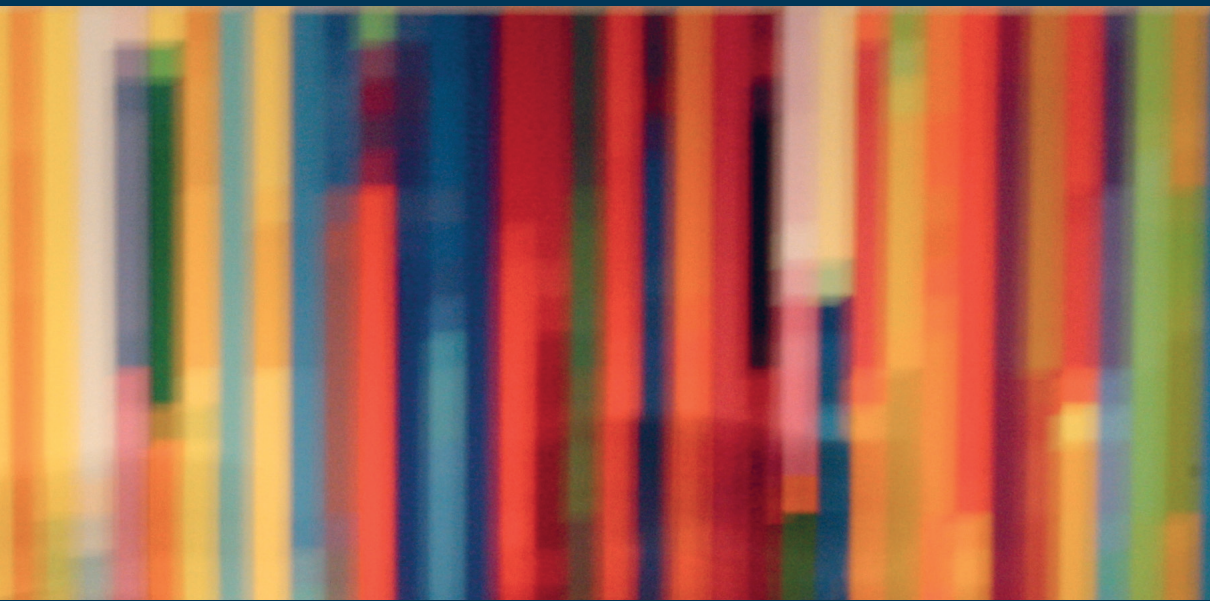


# WHAT IS A CADENCE?

*Theoretical and Analytical Perspectives  
on Cadences in the Classical Repertoire*



*Markus Neuwirth  
Pieter Bergé (eds)*

WHAT IS A CADENCE?  
THEORETICAL AND ANALYTICAL PERSPECTIVES  
ON CADENCES IN THE CLASSICAL REPERTOIRE



# What Is a Cadence?

*Theoretical and Analytical Perspectives  
on Cadences in the Classical Repertoire*

Markus Neuwirth and Pieter Bergé (eds)

LEUVEN UNIVERSITY PRESS

© 2015 by Leuven University Press / Presses Universitaires de Louvain / Universitaire Pers Leuven. Minderbroedersstraat 4, B-3000 Leuven (Belgium)

All rights reserved. Except in those cases expressly determined by law, no part of this publication may be multiplied, saved in an automated datafile or made public in any way whatsoever without the express prior written consent of the publishers.

ISBN 9789462700154

D / 2015 / 1869 / 19

NUR: 664

Cover and layout: Jurgen Leemans

Cover illustration: 'Cadence #1 (a short span of time), Robert Owen, 2003', CC-BY-NC-ND Matthew Perkins 2009.



# CONTENTS

<b>INTRODUCTION: WHAT IS A CADENCE?</b>	7
<i>Nine Perspectives</i>	
Markus NEUWIRTH and Pieter BERGÉ	
<b>HARMONY AND CADENCE IN GJERDINGEN’S “PRINNER”</b>	17
William E. CAPLIN	
<b>BEYOND ‘HARMONY’</b>	59
<i>The Cadence in the Partitura Tradition</i>	
Felix DIERGARTEN	
<b>THE HALF CADENCE AND RELATED ANALYTIC FICTIONS</b>	85
Poundie BURSTEIN	
<b>FUGGIR LA CADENZA, OR THE ART OF AVOIDING CADENTIAL CLOSURE</b>	117
<i>Physiognomy and Functions of Deceptive Cadences in the Classical Repertoire</i>	
Markus NEUWIRTH	
<b>THE MYSTERY OF THE CADENTIAL SIX-FOUR</b>	157
Danuta MIRKA	

<b>THE MOZARTEAN HALF CADENCE</b>	185
<i>Nathan John MARTIN and Julie PEDNEAULT-DESLAURIERS</i>	
<b>“HAUPTRUHEPUNCTE DES GEISTES”</b>	215
<i>Punctuation Schemas and the Late-Eighteenth-Century Sonata</i>	
<i>Vasili BYROS</i>	
<b>THE PERCEPTION OF CADENTIAL CLOSURE</b>	253
<i>David SEARS</i>	
<b>TOWARDS A SYNTAX OF THE CLASSICAL CADENCE</b>	287
<i>Martin ROHRMEIER and Markus NEUWIRTH</i>	
<b>LIST OF CONTRIBUTORS</b>	339
<b>INDEX</b>	343

# HARMONY AND CADENCE IN GJERDINGEN'S "PRINNER"\*

William E. Caplin

Robert Gjerdingen's theory of musical schemata has by now thoroughly proven itself as a major tool for the analysis of eighteenth-century music.<sup>1</sup> Among the many schemata defined by Gjerdingen, the melodic-contrapuntal pattern that he has termed the *Prinner* is perhaps his most important theoretical discovery.<sup>2</sup> Once our attention has been drawn to it, we quickly find the *Prinner* employed in a multitude of compositional contexts throughout the eighteenth century, most especially in its middle third—the galant era.<sup>3</sup> In his treatise, Gjerdingen describes many of the ways in which the *Prinner* is used, with a special emphasis on how it relates to other schemata. Yet despite his many fine observations, considerable work remains to be done on this ubiquitous galant schema. This essay builds upon Gjerdingen's groundbreaking study by probing deeper into the specific ways in which the *Prinner* can be realized harmonically, focusing in particular on the possibility of the *Prinner* acquiring a uniquely cadential role.<sup>4</sup>

The prototypical *Prinner*, shown in Example 1, consists of a two-voice framework, in which each voice contains a scalar tetrachord: the soprano voice descends stepwise from scale degree six (6̂) to three (3̂); the bass voice, from four (4̂) to one (1̂).<sup>5</sup> The resulting counterpoint yields descending parallel motion by thirds (or tenths). In addition to labeling the individual scale-degree functions of the pitches, it is often

---

\* Financial support for this research has been generously provided by the Social Sciences and Humanities Research Council of Canada and the Canada Council for the Arts (Killam Research Fellowship Program).

1. Gjerdingen, *Music in the Galant Style* (2007).
2. *Ibid.*, chap. 3. Indeed, Ludwig Holtmeier characterizes the *Prinner* as “the schema in Gjerdingen’s theory” (“Review” [2011], 313). Like many of his schemata, Gjerdingen’s label honors an earlier music theorist, in this case the seventeenth-century pedagogue Johann Jacob Prinner.
3. The *Prinner* continues to find its occasional use in nineteenth-century repertoires, as discussed at the end of this essay.
4. As a general rule, Gjerdingen eschews detailed harmonic descriptions of the various galant schemata, focusing his attention instead on the scale-degree functions expressed by the melodic strands of a given schema. He also does not normally speak of the *Prinner* as effecting cadential closure, though early in his discussion (46), he associates the *Prinner* with the “*clausula vera*,” a type of (weak) closure that he develops in chap. 11.
5. Following the practice initiated by Giorgio Sanguinetti, *Partimento* (2012), I use an Arabic numeral topped by a caret for scale degrees in the soprano voice and an Arabic numeral enclosed in a circle (after Gjerdingen) for scale degrees in the bass.



useful to specify four *stages* of the Prinner schema, corresponding to each pair of pitches in the two voices.<sup>6</sup>

6
5
4
3

3

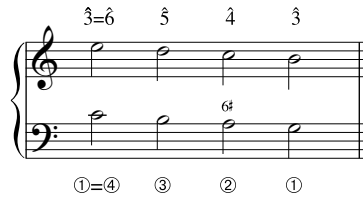
④
③
②
①

Stages: 1      2      3      4

Example 1: Prinner prototype

As for its generalized form-functional expression, Gjerdingen repeatedly refers to the Prinner as a “riposte,” a conventional rejoinder to some immediately prior statement. He thus implies that the schema occupies a “second” position, one that follows directly upon a formal “first,” which fulfills an *initiating* function of some kind.<sup>7</sup> If this second position is the final one of the phrase, then the Prinner will often result in a cadence (as discussed in greater detail below), thus expressing a functional *ending*. If the schema itself is followed in the phrase by another event, the Prinner then assumes a *medial* function, and the subsequent event usually brings a cadence. The prototypical Prinner shown in Example 1 does not normally occupy an *initiating* formal position in a theme, largely because the scale degrees of stage one (6̂ and ④) cannot project tonic, the harmonic function most suitable for a formal opening. In certain situations, however, a *modulating* version of the Prinner (see Example 2) can be used to begin a formal unit (such as the transition of a sonata exposition), because the pitches of stage one can express tonic before being reinterpreted as a new set of scale degrees in the key to which the schema modulates—the dominant region.<sup>8</sup>

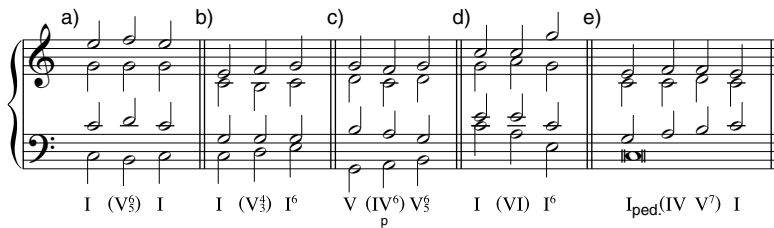
- 
6. Gjerdingen refers to these constituents of the schema as *events*. He then uses *stage* to refer to “the longer utterance into which the *event* is embedded” (21f.). I prefer to speak of stages exclusively, thus allowing me to use the term *event* as an informal reference to a given musical idea in general, one that does not necessarily constitute the stage of a schema (e.g., “following stage four of the schema, the next event creates a half cadence”).
  7. Gjerdingen notes that the Romanesca (3̂–2̂–1̂–7̂, supported by ①–⑤–⑥–③) typically appears as an initiating schema before the Prinner, and we will observe instances of the Romanesca–Prinner combination in the course of this paper (see ahead, Examples 7b, 17, 18, 22b, and 32). If the Romanesca melody is supported in the bass by the variant pattern ①–⑦–⑥–⑤, then each voice of the Romanesca–Prinner combination projects a complete octave descent in parallel thirds, as discussed ahead in connection with Example 34.
  8. See Gjerdingen, *Music in the Galant Style* (2007), 52f., for more information on the modulating Prinner. This version of the schema appears only sporadically in the examples of this essay (see ahead, Example 29, mm. 5–7, Example 32, mm. 11–14, Example 37, mm. 1–4).



Example 2: Modulating Prinner

Largely missing from Gjerdingen's presentation of the Prinner is any substantial discussion of the manifold ways in which its constituent scale degrees operate within a broader harmonic context. In order to contextualize my discussion of how an individual Prinner can receive its specific harmonization, I need first to review a fundamental principle, one that I have invoked repeatedly in my writings on classical harmony and form; namely, the categorical distinction among harmonic progressions that are *prolongational*, *sequential*, or *cadential*.<sup>9</sup>

1. *Prolongational* progressions sustain in time an individual harmony (the *prolonged harmony*) through various voice-leading techniques (e.g., voice-exchange) that yield intervening chords (*subordinate harmonies*), such as neighboring, passing, and substitute harmonies; the harmonic technique of pedal point also serves to prolong a given harmony, one whose root is placed in the bass voice throughout the entire progression (see Example 3).



Example 3: Prolongational progressions

2. *Sequential* progressions destabilize the harmonic environment by projecting a consistent pattern of voice-leading and root motion; such progressions can be classified into six types based on the size and direction of the interval between the roots of the individual harmonies of the sequence. Example 4 shows four of these types: (a) descending fifth, (b) ascending fifth, (c) descending third, and (d) ascending second.

9. See Caplin, *Classical Form* (1998), chap. 2; see also, Caplin, "Classical Cadence" (2004), 69–72.

a) descending fifth  
 I<sub>seq.</sub>(IV VII III VI II V) I

b) ascending fifth  
 I<sub>seq.</sub>(V II VI IV I<sup>6</sup>)

c) descending third  
 I<sub>seq.</sub>(V<sup>6</sup> VI III<sup>6</sup> IV) I<sup>6</sup>

d) ascending second  
 I<sub>seq.</sub>(VI<sup>6</sup> II VII<sup>6</sup> III I<sup>6</sup> IV II<sup>6</sup>) V

Example 4: Sequential progressions

3. Cadential progressions serve to confirm a tonal region as a genuine “key” by bringing its basic harmonic functions in the following order: an initial tonic (typically I<sup>6</sup>), a pre-dominant (usually II<sup>6</sup>, sometimes IV), a dominant (in root position, often embellished by the “cadential six-four”), and a final tonic (also in root position) (see Example 5a–c). This complete set of harmonic functions results in an authentic cadential progression;<sup>10</sup> a half-cadential progression arises if the dominant harmony represents the goal of the progression (see Example 5d–e), and a deceptive cadential progression substitutes a different chord (typically VI, but sometimes I<sup>6</sup> or VII<sup>6</sup>/V) for the final tonic (see Example 5f).<sup>11</sup>

Most of Gjerdingen’s schemata are associated with one of these types of harmonic progression. The *Meyer*, the *Fenaroli*, the *Do-Re-Mi*, and the *Quiescenza*, for example, normally effect a prolongation of tonic harmony; the *Ponte*, a prolongation of dominant harmony. The *Fonte* and *Monte* are built as sequential progressions (descending and ascending second, respectively),<sup>12</sup> and the *Clausulae perfectissimae*, the *Indugio*, and the *Deceptive* bring cadential progressions. Depending on its specific harmonization, a schema may be categorized by two different progression types. Thus the *Romanesca* is typically tonic prolongational, but it may acquire a strongly sequential quality if its final stage is harmonized by a five-three chord (thus creating the progression

10. An incomplete authentic cadential progression omits one or both of the first two of these harmonic functions; see Caplin, *Classical Form* (1998), 27.

11. In order to highlight cadential progressions (as distinct from prolongational or sequential ones), I indicate the harmonies of the progression within a horizontal bracket placed below the Roman numerals.

12. The *Fonte* also often expresses a local descending-fifth progression, which, at the next higher level reveals a broader stepwise descent.

I-V-VI-III, a variant of the descending-third sequence), as found at the opening of Pachelbel's famous "Canon." The Mi-Re-Do melodic pattern is especially ambiguous, since its standard harmonization, I-V-I, can be either tonic prolongational or authentic cadential.

a) authentic                      b)                      c)

d) half                      e)                      f) deceptive

Chord symbols for a) and b): I<sup>6</sup>, II<sup>6</sup>, V, <sup>7</sup>, I<sub>1</sub>; I<sup>6</sup>, IV, V, I<sub>1</sub>

Chord symbols for c): I<sup>6</sup>, II<sup>6</sup>, V(<sup>♯</sup> <sup>7</sup>), I<sub>1</sub>

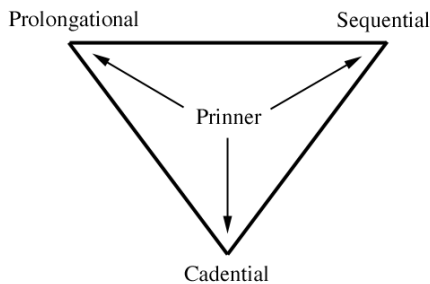
Chord symbols for d): I<sup>6</sup>, II<sup>6</sup>, V<sub>1</sub>

Chord symbols for e): I, V<sub>1</sub>

Chord symbols for f): I<sup>6</sup>, II<sup>6</sup>, V, <sup>7</sup>, VI<sub>1</sub>

Examples 5: Cadential progressions

What is especially remarkable about the Prinner, and what explains its incredible compositional flexibility, is that, unlike any other schema, it can be harmonized in such a way as to yield any one of the three progression types. We could think of the unharmonized, prototypical Prinner as occupying a central position within a triangular scheme, such as that shown in Example 6. In an actual harmonic realization, the Prinner can be thought to move, to a greater or lesser extent, toward one corner of this triangle, thus projecting a prolongational, sequential, or cadential expression. I will quickly survey the ways in which the Prinner can take on prolongational and sequential aspects respectively, and then turn in greater detail to the cadential potential of the Prinner, identifying two different cadence types associated with the schema.



Example 6: Prinner triangle

## PROLONGATIONAL PRINNER

The standard harmonization of the prolongational Prinner retaining both the prototypical soprano and bass melodies is shown in Example 7a. Here, the opening IV harmony is an incomplete upper-neighbor chord to the first-inversion tonic, which is further prolonged by a passing dominant (usually VII<sup>6</sup>, sometimes V<sub>3</sub><sup>4</sup>) to achieve a root-position tonic at the end of the schema. Example 7b shows a typical use of a prolongational Prinner, one that first follows upon a Romanesca, and then leads to a half cadence (HC) to close the opening phrase of a movement (or section thereof).<sup>13</sup> In such cases, the final harmony of the Prinner serves as the first harmony of the simple half-cadential progression (I–V), as shown by the horizontal bracket below the Roman numerals.

6 5 4 3̇

④ ③ ② ①

IV I<sup>6</sup> VII<sup>6</sup> I  
(V<sub>3</sub><sup>4</sup>)

Example 7a: Prolongational Prinner—standard harmonization

ROMANESCA PRINNER

5 1̇ 5 6 5 4 3 2̇

① ⑤ ⑥ ③ ④ ③ ② ① ⑤

D: I V VI I<sup>6</sup> IV I<sup>6</sup> VII<sup>6</sup> I V  
HC

Example 7b: Galuppi, *La diavolessa*, mm. 1–4 (G23.1)

Keeping the Prinner melody intact, variations to the schema can be effected by embellishing or altering the bass line, thus conveying an even stronger prolongational impression. (We could think of these variations as pushing the prototype ever closer

13. Many of the examples used in this study are drawn from Gjerdingen's treatise; in such cases, the original example number is identified in the caption (e.g., G23.1). For most of his examples, I have added harmonic and cadential analyses and have sometimes modified the labels of the schemata, eliminating ones that might obscure the central point being made.

toward the prolongational corner of the Prinner triangle). Example 8a shows how the bass of stage three can be embellished by a leap to the leading-tone, thus imparting a stronger articulation of the final tonic. Note that in Example 8b, the Prinner schema ends the opening phrase; yet the closure thus achieved must be understood to be non-cadential, since the penultimate dominant harmony is inverted. This distinction between a concluding *prolongational* Prinner and a *cadential* Prinner, which (as will be discussed below) brings an actual cadential progression, is crucial for understanding formal articulations in eighteenth-century music.<sup>14</sup>

Example 8a: ④–③–② (⑦)–①

Example 8b: Graun, Trio Sonata, mm. 1–2 (G9.5)

In the variant shown in Example 9, the bass of stage three sees ⑦ fully replace ②, thus entirely breaking the stepwise motion of the bass. Indeed, the bass line now replicates that of the Fenaroli, itself a highly prolongational schema.<sup>15</sup> Note that in the Haydn passage of Example 9b, the melody rises stepwise from ⑥ to ⑧ before leaping down eventually to ⑤, a standard melodic embellishment associated with the Prinner schema.<sup>16</sup>

14. For more discussion of my view that genuine cadential closure requires dominant harmony to appear in root position exclusively, see Caplin, "Teaching Classical Form" (2013).  
 15. In fact, Gjerdingen specifically identifies a Fenaroli schema that is practically congruent with the Prinner, as shown in the example.  
 16. This conventional melodic embellishment often makes up part of what Gjerdingen refers to as the "la-to-sol flourish" (114) typically found with the Prinner.

6 5 4 3

FENAROLI

④ ③ ⑦ ①  
IV I<sup>6</sup> V<sup>7</sup> I

Example 9a: ④–③–⑦–①

PRINNER  
FENAROLI

6 (7 8) 5 4 3

④ ③ ② ①  
G: IV V<sup>7</sup> I<sup>6</sup> V<sup>7</sup> I

Example 9b: Haydn, String Quartet op. 20 No. 3/iii, mm. 1–4 (G27.7)

The Prinner can acquire a stronger prolongational expression when stage two brings the tonic in root position, as shown in Example 10a. Note that the specific prolongational Prinner used in the Vanhal quartet (Example 10b) is unsuitable for creating formal closure,<sup>17</sup> so the composer then brings an Indugio, which eventually leads to an HC (in m. 20, not shown) to close the ongoing formal process.

6 5 4 3

④ ① ⑦ ①  
IV I V<sup>7</sup> I

Example 10a: ④–①–⑦–①

17. As will be discussed later in the chapter (in connection with Example 31), the uniformity of melodic-motivic material throughout this Prinner inhibits a sense of closure. As well, of course, the prolongational progression underlying this Prinner cannot produce a genuine cadence.

The image shows two staves of music. The top staff is labeled 'PRINNER' and has a bracket above it with figures 6̂, 5̂, 4̂, and 3̂. The bottom staff has figured bass notation: ④, ①, ⑦, ①. Below the staff are the Roman numerals: E: IV, I, V<sup>6</sup>, I. The second staff is labeled 'INDUGIO' and has a bracket above it with figure 2̂. The bottom staff has figured bass notation: ②. Below the staff is the Roman numeral: II...

Example 10b: Vanhal, Quartet in A, i, mm. 16–18 (G20.8)

The variant given in Example 11a, which sees all of the harmonies standing in root position, is also normally prolongational, though the final V–I progression also has the potential of articulating a cadence given an appropriate formal context. In the Aubert symphony (Example 11b), the Prinner beginning at m. 5 is entirely prolongational, thus leading directly to an HC.<sup>18</sup>

The image shows a single staff of music with a Prinner progression. Above the staff are figures 6̂, 5̂, 4̂, and 3̂. Below the staff are figured bass notations: ④, ①, ⑤, ①. Below these are the Roman numerals: IV, I, V<sup>7</sup>, I.

Example 11a: ④–①–⑤–①

18. The imperfect authentic cadence (IAC) that arises with the Prinner in mm. 3–4 will be discussed later.



Example 11b: Musical score for Aubert, Symphony in G, op. 2 No. 2/i, mm. 1-8. The score consists of two systems. The first system shows a treble clef staff with notes and a bass clef staff with a figured bass line. The second system also shows a treble clef staff with notes and a bass clef staff with a figured bass line. The figured bass notation includes Roman numerals and circled numbers indicating fingerings.

Example 11b: Aubert, Symphony in G, op. 2 No. 2/i, mm. 1-8

The Prinner can be pushed almost all of the way into the prolongational corner when stage one brings the opening subdominant in second inversion, as shown in Example 12a.<sup>19</sup> In C. P. E. Bach's theme (Example 12b), which takes the form of an eight-measure sentence, an initiating presentation phrase, bringing a Meyer schema, is followed by a continuation phrase that begins with a prolongational Prinner and ends with an HC.<sup>20</sup>

Example 12a: Musical score for C. P. E. Bach's theme. The score consists of a single system with a treble clef staff and a bass clef staff. The treble clef staff has notes with fingerings 6, 5, 4, 3. The bass clef staff has notes with fingerings 1, 1, 7, 1.

Example 12a: ①-①-⑦-①

19. The most extreme form of a prolongational Prinner would see a pedal ① supporting the entire schema.
20. On the sentence theme-type and its constituent presentation and continuation phrases, see Caplin, *Classical Form* (1998), chap. 3. Note how the Prinner brings a further acceleration in harmonic rhythm in m. 7 (in accord with its continuation function) and that the HC follows directly as a final descent of the melody 3̂-2̂.

presentation continuation

8 b.i. 7 4 3 tr 6

G: I V I (IV<sup>6</sup>) I

5 4 3 2

I V<sup>5</sup> I V<sup>1</sup>

HC

Example 12b: C. P. E. Bach, Piano Sonata in G, W. 65/22, mm. 1–8

## SEQUENTIAL PRINNER

The Prinner in its prototypical form is fundamentally “sequential” due to the complete parallel motion of its two voices.<sup>21</sup> But a straight-forward harmonization of the schema using a single harmony per stage proves problematic in a texture that features more than two voices. If each stage is supported by five-three chords, as shown in Example 13a, then parallel fifths will arise between the bass and some inner voice. If each stage is supported by six-three chords, and if the Prinner melody is to be kept in the soprano voice (where it can thus project the schema most prominently), then parallel fifths will arise between one of the inner voices and the upper voice (Example 13b). Moreover, with a succession of first-inversion triads, the final harmony would emerge as VI<sup>6</sup>, one that is rarely used to end a descending six-three sequential progression.<sup>22</sup>

- 
21. Indeed, the more we push the Prinner into becoming prolongational, the more independent the bass becomes in relation to the descending melodic line.
  22. If this final VI<sup>6</sup> were replaced by I, then the progression would appear more prolongational (of tonic) than genuinely sequential.

Example 13a: Descending 5/3 chords

Example 13b: Descending 6/3 chords

For these reasons, the sequential Prinner normally features the use of passing harmonies between the fundamental degrees of the sequence. One version, which embellishes the basic five-three pattern yields a complete descending-fifth (“circle-of-fifths”) sequence (Example 14a). The use of *model-sequence* technique at m. 14 of the Gaviniés sonata (Example 14b) fully realizes the sequential nature of the Prinner; moreover, the appearance of the prototypical melody and bass pitches at the very start of the model and its sequences further helps to project the underlying schema. A second version of the sequential Prinner (Examples 15a and 15b), one that embellishes the basic six-three pattern, also results in a descending-fifth sequence, but one that begins at a different place within the circle (with a tonicization of II<sup>6</sup>). Note that the final VI<sup>6</sup> has been replaced by I, which (as discussed in n. 22) renders the progression tonic prolongational at its end; nonetheless, the opening two stages project a sufficiently clear sequential pattern, such that we would not want to say that the entire schema is thereby prolongational.<sup>23</sup>

23. The sequential Prinner warrants considerably greater attention than is possible in this study; see Holtmeier, “Review” (2011), 313–320, for more discussion on the complications associated with sequences and Primmers.

Example 14a: Descending-fifth sequential Prinner (5/3 embellishment)

Example 14b: Gaviniés, Sonata in A, op. 3 No. 1/i, mm. 10-16

Example 15a: Descending-fifth sequential Prinner (6/3 embellishment)

Example 15b: Ferrari, Sonata in A, op. 1, No. 3/i, mm. 13–18

## CADENTIAL PRINNER

The Prinner schema can be pushed into the “cadential corner” by adding a bass ⑤ following ② within stage three. A similar kind of bass embellishment has already been seen in connection with Example 8, but there, the addition of ⑦ permitted the progression to remain prolongational. With an additional bass ⑤, combined with the harmonization of the preceding ② as a pre-dominant  $II^{(7)}$ , the conditions obtain for us to recognize the presence of a cadential progression.<sup>24</sup> In connection with the added ⑤, it can be useful to distinguish cases where this bass creates a *metrical extension* of stage three (see Example 16a) from those in which ⑤ appears as a *submetrical insertion* within that stage (Example 16b). In an appropriate formal context (that is, one where we can expect cadential closure to occur),<sup>25</sup> the use of such a cadential progression

24. The opening IV of stage one does not belong, technically, to the cadential progression, but rather prolongs the initial  $I^6$  of that progression. For that reason, the cadential bracket in the examples will normally begin with the  $I^6$ . That the pre-dominant appears as  $II^{(7)}$  in root position, rather than as the more typical  $II^6$  (or IV), will be discussed in due course.

25. As discussed in Caplin, “Classical Cadence” (2004), not all formal contexts can produce actual cadences by virtue of there being a cadential progression. In other words, a cadential progression is a necessary, but not sufficient, condition for cadence. The use of a cadential progression as the basis of an opening idea of a theme, for example, will not create a sense of thematic closure, since there is nothing yet “to close.”

can give rise to a particular form of the imperfect authentic cadence (IAC), one that I will term the *Prinner cadence (PrC)*.<sup>26</sup>

6 5 4 3

④ ③ ② ⑤ ①  
IV I<sup>6</sup> II<sup>7</sup> V<sup>7</sup> I<sub>J</sub>

PrC

Example 16a: Cadential Prinner, metrical extension

6 5 4 3

④ ③ ② ⑤ ①  
IV I<sup>6</sup> II<sup>7</sup> V<sup>7</sup> I<sub>J</sub>

PrC

Example 16b: Submetrical insertion

Prinner cadences tend to be used within main themes of a movement, either as the terminal articulation of a complete theme or as an internal articulation (ending an antecedent phrase) within a periodic thematic structure. A Prinner cadence cannot be used to end a subordinate theme of sonata form (or any allied form of the sonata), since such thematic units require closure by means of a perfect authentic cadence (PAC);<sup>27</sup> indeed, the Prinner cadence is rarely, if ever, used as an internal articulation in the context of subordinate themes (though other forms of the IAC may be found there). On occasion, a Prinner cadence is used in connection with the opening of a transition, whereby a modulating Prinner type (see again Example 2) leads to an internal Prinner cadence, after which a subsequent HC closes the transition as a whole.

26. Such a specific Prinner cadence has not yet been identified as such in the theoretical literature. Gjerdingen never defines a Prinner cadence per se, though he discusses how the Prinner is intimately related to the *clausula vera* (46), a type of *clausulae tenorians* (“closes characteristic of a tenor,” 164); see also Holtmeier, “Review” (2011), 320f. Manfred Hermann Schmid’s exhaustive catalogue of “falling third cadences” (“Terzkadenz” [2004]), includes cases that I would identify as Prinner cadences; however, many others are either cadences of a different type (including an IAC variant that I will define later in this essay) or are noncadential, in my terms.

27. See Caplin, *Classical Form* (1998), 97; James Hepokoski and Warren Darcy advocate a similar requirement, when they define the “essential expositional close” (EEC) as a perfect authentic cadence (*Elements* [2006], 120).

A typical case of a Prinner cadence with a metrically extended ⑤ is seen in Example 17 (a passage made especially famous by Stravinsky's adaptation in his *Pulcinella* ballet). The opening *basic idea*, built as a Romanesca, is followed by a *contrasting idea*, a Prinner *poste*, that creates a palpable sense of closure, aided by the “cadential” trill on  $\hat{4}$ .<sup>28</sup>

Example 17: Gallo, Trio in G, i, mm. 1–2 (G3.9)

A similar Prinner cadence arises in Example 18, though here the situation is somewhat more complex. Note that following a Romanesca basic idea, the contrasting idea beginning with the upbeat to m. 2 sees  $I^6$  moving to IV on the downbeat of the measure. Such harmonic motion ( $I^6-IV$ ) suggests that a standard cadential progression were in the making, and we might expect a cadential dominant (in root position) to follow. Instead, the IV initiates the Prinner, which forces the bass downwards, thus “abandoning” the first cadential progression, though leading immediately to a second progression that creates the Prinner cadence.<sup>29</sup> While we clearly hear IV as signaling the start of the Prinner proper, this harmony also seems to function as a neighboring chord that embellishes the  $I^6$  introduced on beat four of the first measure. We will return to this example shortly and discuss how in some other cases, the initial cadential progression that is here abandoned actually becomes realized.<sup>30</sup>

28. For definitions of basic idea and contrasting idea, see Caplin, *Classical Form* (1998), 9, 12. Note that each of these ideas normally lasts two measures. In Example 17b, the notation reflects what eighteenth-century theorists referred to as “compound meter,” whereby each notated compound measure contains two simple measures; for this reason, we can speak in this example of one-measure basic and contrasting ideas.

29. A cadential progression can be deemed “abandoned” if it fails to bring a cadential dominant in root position or if the dominant becomes inverted before resolving to tonic (see *ibid.*, 106f.).

30. Some listeners may hear the  $I^6$  on the second eighth-note of m. 2 as merely passing and thus give greater structural importance to the IV chord on the downbeat of that measure. The resulting analysis would thus recognize a conventional cadential progression  $I^6-IV (II)-V^7-I$  supporting the Prinner melodic descent. Likewise, a similarly oriented analysis of Example 17 could see the cadential predominant beginning with the  $IV^6$  in the middle of m. 1 and then being prolonged until the final  $V^7-I$  motion. Though there is nothing “wrong” with either of these two analyses, I find them to be overly reductive in the context of the current discussion, since they effectively obscure the concept of the cadential Prinner developed here, as well as the more specific observation of cadential abandonment for Example 18. I would argue that we must focus our attention on the very foreground harmonic

Example 18: Marcello, Sonata in F, op. 1 No. 1/i, mm. 1–2 (G3.4)

Example 19 shows a Prinner cadence at m. 7 featuring a submetrical insertion of ⑤. This theme (a sentence) actually contains two Pringers, the first of which (mm. 4–5) is highly prolongational due to the emphasized ① and the inverted dominant ( $V_3^4$ ) in the first half of m. 5. Thus following a presentation (mm. 1–3), the continuation phrase achieves noncadential closure by means of the first Prinner. When the continuation begins to be repeated at m. 6, a second Prinner, one whose bass line now conforms more to the prototype, brings cadential closure to the theme via a Prinner cadence. Note, by the way, that this cadence type, by definition, achieves only incomplete melodic closure on  $\hat{3}$ . It is therefore interesting to observe how following the PrC, Galuppi adds a brief codetta that might be seen to compensate for this lack of full melodic closure by emphasizing the tonic scale degree ( $\hat{1}$ ).

An important caveat must be raised at this point: in order to speak of a genuine cadential Prinner, the bass ② must first support a pre-dominant harmony (II or  $II^7$ ). If the arrival on ② already brings dominant harmony (in the form of  $V_3^4$  or  $VII^6$ ), as seen in Example 20a, then the added ⑤ will have lost its cadential potential. We cannot speak of a cadential function when the dominant initially appears inverted, for in such cases, the subsequent “root-position” V gives the impression of being an embellishment of the inverted dominant. The resulting progression is thus rendered prolongational, not cadential. Example 20b provides a concrete illustration of this situation. Here, the appearance of  $VII^6$  at the beginning of stage three (second half of m. 31) renders the Prinner prolongational, and thus a genuine HC immediately follows to conclude the phrase.

---

activity in order to recognize the particular ways in which the galant schemata are harmonized. Indeed, it is perhaps not a coincidence that Gjerdingen, who effectively discovered the Prinner, is a theorist of profoundly “anti-reductionist” proclivities.



presentation

b.i. interpolation

**Larghetto**

continuation

cont. (rep.)

codetta

PrC

Example 19: Galuppi, Sonata No. 40 in B $\flat$ , I. 40/i, mm. 1–8

With this caveat in mind, it must be recognized that in the case of a passage with a two-voice texture, such as Examples 17 and 18, it is not always clear just what the implied harmony of stage three really is, especially in the absence of a figured bass that might give some clues as to the complete harmonic texture. But even when the figured bass is present, the situation can remain somewhat ambiguous. Most typically, we find the figures “7–7” associated with the ②–⑤ bass, which, when realized, creates a 7–6 motion in an inner, third voice (i.e., alto). In such cases, it would be possible to understand the first 7 (over ②) in one of two ways: either as an “essential seventh” (to speak with Kirnberger) within a pre-dominant harmony (II<sup>7</sup>) that resolves to dominant (over ⑤); or, as a “nonessential seventh,” a suspension seventh, within a single dominant harmony that embraces both ② and ⑤. The former case can

Example 20a: Prolongational Prinner with added ⑤

Example 20b: Johann Stamitz, Flute Concerto in D, i, mm. 29–32

be construed as cadential, but the latter cannot, since the dominant would initially appear inverted. It is more likely, however, that we would hear the first interpretation, namely, that of a cadential Prinner, since, as Kirnberger observes, the progression of the bass by a descending fifth (more literally, an ascending fourth) is usually indicative of a resolving essential seventh, not a suspension seventh.<sup>31</sup> Nonetheless, a certain harmonic ambiguity remains, which contributes, to some extent, to a general uncertainty about the cadential status of the Prinner configuration.

In textures of three or more voices, a clear pre-dominant harmony associated with the beginning of stage three may be discerned more readily, as in the two passages by Mozart shown in Example 21. In both cases, an inner voice completes the sonority, thus providing the chordal “fifth” that unambiguously projects a supertonic harmony with the appearance of ②. Note, by the way, that like the Galuppi sonata seen

31. “It can be taken as a general rule that every essential seventh is followed by a bass progression by ascending fourth or descending fifth to a triad, unless an inversion of this chord is used” (Kirnberger, *Musical Composition* [1982], 82).

in Example 19, the “Prague” symphony theme (Example 21b) follows the cadential arrival on  $\hat{3}$  with a codetta that emphasizes  $\hat{1}$ .

6 5 4 3

④ ③ ② ⑤ ①

C: IV I<sup>6</sup> II V<sup>7</sup> I

PrC

Example 21a: Mozart, Theme for Variations (incomplete), K. anh. 38, mm. 1–6

*Allegro vivace*

④ ③ ② ⑤ ①

D: IV I<sup>6</sup> II V<sup>7</sup> I

PrC

V I

Example 21b: Mozart, Symphony No. 38 in D (“Prague”), K. 504/i, mm. 37–45

The Prinner cadence, as defined and exemplified above, is not the only cadential articulation associated with the Prinner schema. Look again at Example 18 and recall how the move from  $I^6$  to IV had the potential of becoming a standard cadential progression (by continuing on to V). There, this progression ended up being abandoned, leading instead to a second progression that brought a Prinner cadence. The possibility of realizing this opening cadential progression is shown in Example 22.

Here, the use of a standard cadential bass line to support the Prinner melody yields an unequivocal imperfect authentic cadence.<sup>32</sup> In order to distinguish this cadence from the Prinner cadence proper, I use the abbreviation IAC (Pr), which stands for *imperfect authentic cadence (Prinner type)*. Another example of this cadence type can be found near the opening of Example 11b, mm. 3–4. In this case, the cadential progression begins directly with the pre-dominant II<sub>5</sub><sup>6</sup> (the preceding root-position tonic obviously belongs to the initiating unit of the phrase), whose immediate move to V and then I creates the IAC (Pr).

Example 22a: Imperfect authentic cadence (Prinner type)

Example 22b: Castrucci, Sonata in F, op. 2 No. 4/i, mm. 1–2 (G3-5)

The essential difference between the two cadence types associated with the Prinner involves the motion of the bass: in a PrC, ⑤ is immediately preceded by ②, which itself is either approached from ③ above, or occasionally, as a variant, from ① below; in an IAC (Pr), ⑤ ensues directly from ④. I consider this distinction to be both conceptually and perceptually significant. The imperfect authentic cadence (Prinner type) is a standard variant of the genuine IAC; its bass line is fully differentiated from its melodic line. The Prinner cadence, on the contrary, always brings with it vestiges of a schema prototype that has strong sequential and prolongational implications, since

32. Note that Gjerdingen adds the label “Cadence” to the bass line of Example 22b, thus explicitly recognizing that such a bass differs markedly from the Prinner bass of Examples 17 and 18.

its bass line derives from a situation of parallel motion and is thus not as differentiated from the melody as a standard cadential bass. The Prinner cadence brings, of course, a cadential dominant exclusively in root position (if it did not, we could not speak of a cadence), yet this ⑤ still carries with it the implication of being an embellishment of a more prototypical ②. This implication is especially strong when the added ⑤ takes the form of a submetrical insertion. In other words, the Prinner cadence seems to occupy a middle position between the purely prolongational Prinner, which can, in certain formal contexts, bring about a kind of noncadential ending (as in Example 8b), and the imperfect authentic cadence (Prinner type), which effects an entirely cadential mode of closure.

## DEGREES OF CADENTIAL STRENGTH

The preceding discussion suggests that we can identify three types of formal closure associated with the Prinner schema—(1) the noncadential prolongational Prinner, (2) the Prinner cadence, and (3) the imperfect authentic cadence (Prinner type). It also suggests that these three types may exhibit varying *degrees* of formal closure—from weaker to stronger—a concept that we often associate with the idea of the syntactical strength (or weight) of cadences.<sup>33</sup> Assessing a scale of cadential strength is difficult, but two approaches present themselves: one examines actual compositional practice for hints about cadential strength; the other precedes from perceptual experimentation.<sup>34</sup> Up to now, the latter has not provided any conclusive results,<sup>35</sup> so we can look to certain formal contexts where cadential differentiation would seem to play a crucial role. One such context involves main themes that seem to be organized in a *periodic* manner, such that we sense that an initial phrase brings a relatively weak degree of closure, one that is matched by a subsequent phrase that brings a stronger sense of ending. The following examples, mostly taken from early Haydn piano sonatas, suggest that the above hypothesized weighting of the three Prinner modes of formal

---

33. See Caplin, “Classical Cadence” (2004), 106–112, for the distinction between *syntactical* and *rhetorical* strength of cadences: the former concept engages the notion of formal closure, the latter evaluates the role that parameters such as dynamics, texture, and metrical placement play in projecting a wide diversity of “strength” and “weakness” that is not directly connected to formal closure. The present discussion concerns syntactical strength exclusively. The standard, textbook theory of cadences suggests that the PAC creates the greatest degree of formal closure and thus is syntactically the “strongest” of the cadence types. The HC is the weakest, and the IAC occupies a middle position between these two extremes.

34. See the chapter by Sears in this volume.

35. The experiment discussed by Sears (*ibid.*) included only two cases of a PrC (Mozart, K. 282/i, and K. 309/ii), and they were perceived to be equally strong as the regular IACs.

closure—prolongational Prinner, PrC, and IAC (Pr)—may have some validity, at least provisionally.<sup>36</sup> In addition to these three modes of closure, the HC has also been thrown into the mix.

Allegro moderato

④ ③ ② ⑦ ①  
 D: IV I<sup>6</sup> VII<sup>6</sup> I  
 (no cad.)

④ ③ ② ① ⑤  
 IV I<sup>6</sup> VII<sup>6</sup> I V<sub>J</sub>  
 HC

Example 23: Haydn, Piano Sonata in D, Hob. XVI:14/i, mm. 1–8

The first three examples all feature cases where an opening phrase closes noncadentially with a prolonged Prinner. In Example 23, such an opening phrase is followed by an HC, thus suggesting that the half cadence, a traditionally weak cadential articulation, nonetheless creates a stronger sense of formal closure than a prior phrase that ends without any cadence. Example 24 presents a similar situation, except that this time, a clearly prolonged Prinner closing the opening phrase is matched by a genuine Prinner cadence to close the theme (at m. 8). Finally, Example 25 shows how an opening phrase ending noncadentially leads to thematic closure via an imperfect authentic cadence (Prinner type). These examples support my theoretical contention that any of the *cadence* types (HC, PrC, and IAC [Pr]) are syntactically stronger than the prolonged Prinner, which I consider to be *noncadential*. Indeed, the fact that this prolonged mode of closure is never used, to the best of my knowledge, to end a thematic unit is the principle reason why I exclude such prolonged formations from having a genuinely cadential expression. In other words, I recognize that a certain degree of *subthematic* closure (that is, closure internal to the thematic unit proper) can be achieved by prolonged progressions, yet I want to exclude

36. The following results are based on an informal, limited survey of the repertory; the topic deserves considerably more research (one that exceeds the scope of the present study) into a broader range of compositions from the galant and early classical eras.

such progressions from the concept of cadence, since they are incapable of effecting genuine thematic closure.<sup>37</sup>

*Presto*

Ab: IV I<sup>6</sup> VII<sup>6</sup> I (no cad.)

IV I<sup>6</sup> II V<sup>7</sup> I<sub>1</sub>

PrC

Example 24: Haydn, Piano Sonata in Ab, Hob. XVI:46/iii, mm. 1–11

*Allegro moderato*

Bb: IV I<sup>6</sup> VII<sup>6</sup> I (no cad.)

V<sup>7</sup> I<sup>6</sup> V(4) I

IAC (Pr)

Example 25: Haydn, Piano Sonata in Bb, Hob. XVI:18/ii, mm. 1–8

37. See Caplin, “Teaching Classical Form” (2013), 120–126. Of course, a genuine cadence type can also function to create subthematic closure, such as when an HC or IAC is used to end the antecedent phrase of periodic themes.

How, then, do the three actual cadence types relate among themselves as regards syntactical strength? The following two examples suggest a possible ranking. In Example 26 we can witness a thematic unit (which itself serves as first part of a small binary theme-type) whose initial phrase closes with a PrC, but whose final phrase ends with an HC. Insofar as the Prinner cadence would seem to be a special variant of the IAC, we would ordinarily think that an authentic cadence of any type would be stronger than an HC. As a result, the cadential pairing found here might seem anomalous. Yet insofar as the PrC at m. 4 only achieves melodic closure on  $\hat{3}$ , the HC cadence leading to  $\hat{2}$  seems to represent a next step—a stronger step—in the melodic descent that will eventually lead to  $\hat{1}$  (as occurs at the end of the second part of the overall binary form, not shown). Indeed, the idea of a broader  $\hat{3}$ – $\hat{2}$  melodic progression from m. 4 to m. 8 is replicated on the local level when the second phrase brings another Prinner, this one entirely prolongational, whose final  $\hat{3}$  (end of m. 7) moves directly to  $\hat{2}$  for the HC.

The image shows a musical score for a piano sonata in D major, 2/4 time. It consists of two systems of music. The first system, labeled 'Thema', covers measures 1 through 4. The melody starts with a quarter note D4, followed by eighth notes E4, F4, G4, and A4. The bass line starts with a quarter rest, followed by eighth notes G3, F3, E3, and D3. Above the melody, pitch classes are indicated as  $\hat{6}$ ,  $\hat{5}$ ,  $\hat{4}$ , and  $\hat{3}$ . A trill is marked above the  $\hat{4}$ . Below the bass line, harmonic analysis shows chords: D: IV (measure 1),  $\text{I}^6$  (measure 2), II V<sup>7</sup> (measure 3), and  $\text{I}_1$  (measure 4). A box labeled 'PrC' is placed under the final chord. The second system covers measures 5 through 8. The melody continues with quarter notes G4, F4, E4, and D4. The bass line has a quarter rest, followed by eighth notes G3, F3, E3, and D3. Above the melody, pitch classes are indicated as  $\hat{6}$ ,  $\hat{5}$ ,  $\hat{4}$ ,  $\hat{3}$ , and  $\hat{2}$ . Below the bass line, harmonic analysis shows chords: IV (measure 5),  $\text{I}^6$  (measure 6), VII<sup>6</sup> (measure 7), and  $\text{I}_1$  V<sub>1</sub> (measure 8). A box labeled 'HC' is placed under the final chord.

Example 26: Haydn, Piano Sonata in D, Hob. XVII:D1/i, mm. 1–8

If we now compare the PrC to the IAC (Pr), as shown in Example 27, it is not surprising that the former, closing the initial phrase, appears weaker than the latter, closing the final phrase. Note that the PrC here features a submetrical insertion of  $\textcircled{5}$ , thus giving the effect all the more that this bass functions somewhat as an embellishment of the prior  $\textcircled{2}$ . In the final cadence, on the contrary, stage three of the Prinner consists exclusively of the cadential dominant.<sup>38</sup>

38. A pre-dominant, in fact, is missing from this particular cadential progression.



**Allegro**

④ ③ ② ⑤  
C: IV I<sup>6</sup> II<sup>7</sup> V<sup>7</sup>

① ① ⑤ ①  
I (IV<sup>6</sup>) I V<sup>7</sup> I<sub>1</sub>

PrC IAC (Pr)

Example 27: C. P. E. Bach, Trio Sonata in C, Wq 147/i, mm. 1–9

Given the evidence from these limited number of examples, we can conclude provisionally that, as hypothesized earlier, the three modes of formal closure associated with the Prinner present a graded range of syntactical weights: from weak to strong, they are the noncadential prolongational Prinner, the Prinner cadence, and the imperfect authentic cadence (Prinner type). Just where the half cadence fits within this scheme is more difficult to say: as shown in Example 23, it is stronger than the prolongational Prinner; and in Example 26, it would seem to be stronger than the Prinner cadence. Unfortunately, we cannot speak with any certainty of the relation of the HC to the IAC (Pr), since I have yet to find a case in the repertoire where these two cadence types are matched within a periodic formation, a fact that points to the need for considerably more empirical research on this topic.<sup>39</sup>

39. To be sure, Example 11b brings this succession of cadences, but the formal context is not periodic; moreover, the first phrase seems to fulfill the formal function of “main theme,” while the second phrase seems to function as a “transition.”

## UNDERMINING THE PRINNER CADENCE

As just discussed, the Prinner cadence emerges as the syntactically weakest of the genuine cadential types employed by eighteenth-century composers. Indeed, the relative weakness of the Prinner cadence is also manifest in some situations where it seems to be *undermined* as a genuine cadence by the music that immediately follows the schema.<sup>40</sup> Consider Example 28. Here, the main theme of the movement begins with a four-measure initiating phrase supported entirely by a root-position tonic. A second phrase begins with a Prinner that ends with a PrC in the middle of m. 6. But this moment of closure seems to come too early, and we are not surprised when Haydn pushes the music further into another cadential articulation, the HC of m. 8, which leads the melodic line down stepwise from  $\hat{3}$  (at the end of the Prinner) to  $\hat{7}$ , recalling a similar continuation of the melodic descent seen earlier in connection with Example 26. The effect is one where the HC seems to undermine the potential of the Prinner cadence to bring genuine cadential closure.

Allegro

5  $\hat{6}$   $\hat{5}$   $\hat{4}$   $\hat{3}$   $\hat{2}$   $\hat{1}$   $\hat{7}$

6 tr

④ G: IV      ③ I<sup>6</sup>      ② II      ⑤ V<sup>7</sup>      ① I<sub>1</sub>      II<sup>6</sup>      (V<sup>6</sup>)      V<sub>1</sub>

(cad?)      HC

Example 28: Haydn, Piano Sonata in G, Hob. XVI:8/i, mm. 1–8

Something similar occurs in Example 29, a rounded binary theme whose A and A' sections contain a number of cadential Prinner. Following the opening basic idea (a Do-Re-Mi schema), a Prinner riposte concludes the 5-m. phrase with a PrC.<sup>41</sup> The next

40. Other cadence types can occasionally be undermined, but such situations seem to be more rare than cases of undermining the Prinner cadence.
41. As discussed in connection with Examples 17 and 18, the two-voice texture in mm. 3–5 of Example 29 might raise uncertainties as to whether the Prinner is genuinely cadential; some listeners might want to hear  $\hat{2}$  supporting an inverted dominant, rather than II, especially as the immediately preceding harmony is tonic in root position. My reading, one that responds to the highly conventionalized configuration, identifies a cadential Prinner here (and later again in m. 21), though I acknowledge the harmonic ambiguity that the reduced texture presents.

phrase begins with a modulating Prinner that directs the music into the dominant region of G major. This is also a cadential Prinner, but there is little sense of a genuine cadence arising after only two bars into the phrase; as well, the continuous eighth-note motion permits this potential PrC (at m. 7) to move directly on to a second, prolongational Prinner, whose completion on the downbeat of m. 9 moves immediately into the PAC that concludes the A section. Note that in a context of continuous sixteenth-note motion, this PAC continues the melodic descent  $\hat{2}-\hat{1}$ , following the  $\hat{3}$  achieved by the PrC at m. 7 and, more immediately, the  $\hat{3}$  occurring again at m. 9 at the end of the prolongational Prinner. The return of the Do-Re-Mi at m. 17 signals

**Allegro moderato** A

Do-Re-Mi

6 5 4 3=6 5 4

④ ③ ② ⑤ ① ④ ③ ② ⑤  
C: IV I<sup>6</sup> II V<sup>7</sup> I<sub>1</sub> G: IV I<sup>6</sup> II V<sup>7</sup>

PrC

3 6 5 4 3 2 tr 1

① ④ ③ ② ⑤ ① ③ ④ ⑤ ①  
(cad?) IV I<sup>6</sup> VII6 (V<sup>7</sup>) I II<sup>6</sup> V I<sub>1</sub>

PAC

12

A'

Do-Re-Mi

6 5 4 3 2 1

④ ③ ② ⑤ ① ③ ④ ③ ④ ⑤ ①  
C: IV I<sup>6</sup> II V<sup>7</sup> I<sub>1</sub> I<sup>6</sup> II<sup>6</sup> V I<sub>1</sub>

(cad?) PAC

Example 29: Haydn, Piano Sonata in C, Hob. XVI:7/i

the start of the A' section, after which the opening home-key Prinner cadence comes back at the upbeat to m. 20, bringing once more the cadential trill on scale-degree 4 to help reinforce the idea that this is a genuine cadence. Once again, however, the PrC is undermined when the music continues directly on with a PAC to close the entire form. Except for the very first PrC at m. 4, none of the other cadential Priners bring about genuine cadential closure.

Example 30 shows that a potential Prinner cadence can be undermined by the appearance of new material that deflects the music away from a real sense of closure. The opening 4-m. phrase of this theme concludes in an entirely non-cadential manner (due to the inversions of the harmonies). Like Example 28, the PrC that appears in mm. 5–6 seems "too early" to effect a clear sense of closure. Note, as well, that this Prinner, with its emphasis on root-position tonic in stages one and two, very much suggests that it will be prolongational, not cadential (despite the use of the cadential trill). Thus when Haydn begins to repeat the Prinner at the upbeat to m. 7, we think that perhaps this second time will be more effective in bringing the phrase to an end. Instead, this second Prinner is abandoned, and entirely new music brings about a modulation to the key of the dominant, as confirmed by a PAC at m. 11.

Allegro

2̂ 1̂ tr 2̂ 1̂ tr 5 6 5

F: (IV<sup>4</sup>) 1

6 4 tr 3 7 6 5...

2̂ 5̂ 1̂ (IV<sup>4</sup>) 1... (cad?)

10 tr 11

C: 1 PAC

Example 30: Haydn, Piano Sonata in F, Hob. XVI:9/i, mm. 1–11

The three preceding examples show how easy it is to undermine the Prinner cadence with either an immediately following cadence that seems considerably stronger in effect (the HC in Example 28, the PAC in Example 29), or the appearance of entirely new music (Example 30). The effect of a potential Prinner cadence can be undermined in another way, namely, by retaining the same grouping structure and musical material for each stage of the schema. Example 31 illustrates this situation well. Following an initiating presentation phrase in the subordinate key of G major (mm. 18–21), the Prinner at m. 22 brings fragmentation with a series of one-bar units containing identical rhythmic patterns and pitch contour; each unit is supported by the prototypical bass, except for stage three, which sees a submetrical insertion of ⑤. As a result, the potential for speaking of a Prinner cadence arises at the downbeat of m. 25. Yet due to the retention of the same grouping structure and motivic material for each stage of the Prinner, the effect of cadence is particularly weak: as a general rule, a genuine cadence (especially in the galant style) brings a conventionalized melodic formula that differs from what precedes it and helps to articulate the sense of “here is the cadence.” So even though the purely harmonic and formal conditions for a cadence arise at the downbeat of m. 25, the lack of such a conventionalized cadential formula preceding this moment (and continuing as well through most of m. 25), casts some doubt on whether we should hear this moment as bringing thematic closure. Indeed, what follows at the upbeat of m. 26 initiates a more decisive cadential progression (I<sup>6</sup>–IV–V), one that is ultimately abandoned in m. 27. Eventually, however, real cadential closure appears in mm. 28–29 with entirely new, but fully conventional, melodic and harmonic material in a manner wholly typical of a galant cadence.<sup>42</sup>

A situation similar to the sonata just discussed occurs in a sonata by Perotti (see Example 32), though the consequences are quite different. The four-measure opening phrase closes with a clear Prinner cadence.<sup>43</sup> The cadential idea is then immediately repeated an octave lower. The following passage brings another Prinner in a way that resembles the previous example—the first three stages fragment the grouping into one-bar units, each containing a repetition of the same basic melodic-motivic material (the rising and falling scales). As well, the submetrical insertion of ⑤ creates the conditions for another PrC. But unlike the Ferrari sonata, a more obvious

42. In light of the issues being addressed with this example, it is interesting to return to the cadential situation in mm. 8–9 of Example 29 and notice that a motivic idea starting in the first half of m. 8 is immediately repeated in the second half; we thus see a retention of material such that a stereotypical melodic configuration associated with a cadence appears only in connection with the PAC, not the PrC.

43. Note that ⑤ appears here as a metrical extension, thus imparting a somewhat stronger rhetorical weight to the cadential dominant compared to the many cases of ambiguous cadences we have just seen, where ⑤ usually arises as a submetrical insertion. The triplet descent from 3̣ to 1̣ is a melodic embellishment of the cadence that Koch identified as an *overhang* (Überhang); as such, the true melodic goal remains 3̣, and the achievement of 1̣ is actually post-cadential, somewhat akin to the added codettas we observed in Examples 19 and 21b.

sense of cadence emerges at m. 10 through the use of such rhetorical features as the cadential trill over  $\hat{4}$  and the complete stopping of melodic activity. What follows at m. 11 is a third Prinner, this one modulating to the new key. Here, the use of VII<sup>6</sup> already at ② (m. 13) completely undermines the potential for a cadential Prinner, even though Peroti cannot resist inserting a submetrical ⑤ at the very end of the bar. With this lack of cadential closure, a new phrase starting at m. 14 pushes the music toward the HC that closes the ongoing thematic unit (which here functions as the transition of the exposition). Of the various Pringers found within this passage, the first two (mm. 3–4, 5–6) create a clear sense of cadential close, the third (mm. 7–10) is somewhat suspect, and the fourth (mm. 11–14) emerges as entirely prolongational due to the inverted dominant.

presentation b.i.

continuation frag.

cad-

entential (abandoned) cad

③ I<sup>6</sup> ② II<sup>7</sup> ⑤ V<sup>7</sup> ① I I<sup>6</sup> (cad?)

IV V VI (aband.) V<sup>6</sup> I IV<sup>6</sup> V I PAC

Example 31: Ferrari, Sonata in C, op. 1 No. 4/i, mm. 17–31

Musical score for Example 32, showing a piano sonata in B-flat major by Perotti. The score is in 2/4 time and consists of five systems of music. The first system (measures 1-4) features a treble clef with trills and a bass clef with a steady eighth-note accompaniment. The second system (measures 5-8) continues the accompaniment with some melodic movement in the treble. The third system (measures 9-11) shows a change in the bass line and a trill in the treble. The fourth system (measures 12-13) features a more active bass line with sixteenth notes. The fifth system (measures 14-16) concludes with a final cadence. Roman numerals and figured bass notation are provided below the bass line, including PrC, PrC?, and HC.

Example 32: Perotti, Sonata in B $\flat$ , fr. *Racolta musicale* (1756), iii, mm. 1–16

Many music-lovers, of course, will quickly recognize that this Perotti sonata finds a powerful echo at the opening of Mozart's late Piano Sonata in C, K. 545 (Example 33). And we must thank Gjerdingen for pointing out the many similarities between these

passages.<sup>44</sup> Yet for all that they resemble each other, it is perhaps their differences that are even more telling. For unlike Peroti, Mozart carefully avoids any suggestion of a *cadential* Prinner throughout this passage.<sup>45</sup> Thus the initial Prinner is strongly prolongational (cf., Example 12a); indeed, the emphasis on ① throughout mm. 3–4 allows this idea to participate with the “opening gambit” as a fully initiating phrase (a *compound basic idea*),<sup>46</sup> whose continuation is supported by a second Prinner, one that is also entirely prolongational due to the harmonization of ② as VII<sup>6</sup>. An Indugio schema then leads to the closing HC, followed by a Ponte (what I term, after Ratz,

compound basic idea  
b.i. c.i.

Allegro

C: I (V<sup>3</sup>) I I<sup>(4)</sup> 3) V<sup>7</sup> I

continuation

IV I<sup>6</sup> VII<sup>6</sup>

cadential

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

standing on dominant

V  
HC

Example 33: Mozart, Sonata in C, K. 545/i, mm. 1–12 (G26.6)

44. Gjerdingen, *Music in the Galant Style* (2007), 359–368. Kaiser, *Die Notenbücher* (2007), 183f., also compares these two works.

45. For a different interpretation of this passage, see Diergarten in this volume.

46. A compound basic idea consists of a basic idea followed by a contrasting idea that does not bring cadential closure (see Caplin, *Classical Form* [1998], 61).



a standing on the dominant). Throughout the entire movement, in fact, there are no cadential Priners (neither are there any prolongational ones with an added ⑤), and this in a movement that Gjerdingen proposes to subtitle “The Art of the Prinner.” In other words, by this time in the high classical style, the cadential Prinner has largely died out as a standard device for suggesting, or even fully creating, thematic closure. Prolongational and sequential Priners, on the contrary, remain fully usable within this period, as exemplified by this very Mozart sonata.

## CLASSICAL DECLINE – ROMANTIC RECOLLECTION

Just why the cadential Prinner goes into rapid decline after such a powerful flourishing during the galant era is hardly certain, but several interrelated factors could be seen to play a role. In the case of a conventional pairing of a Prinner riposte with a Romanesca opening, for example, the bass line organization features a prominent *descending* motion; indeed (as earlier mentioned in n. 7), if the Romanesca appears with some inverted harmonies, the pairing of this schema with a subsequent cadential Prinner can bring a complete scalar descent in the bass voice, broken up only by the added ⑤ (see Example 34a). The opening of an early Mozart piano sonata (shown in Example 34b) illustrates this situation well.<sup>47</sup> Such a bass descent (supporting a parallel descent in the melody) flourished in the high baroque era,<sup>48</sup> and continued unabated into the galant style. But by the classical period this emphasis on descending bass lines begins to give way to basses that generally *ascend* melodically toward the dominant scale degree ⑤, at which point the dominant leaps back down to the tonic for an authentic cadence.<sup>49</sup> Within this pattern (see Example 35), the move from ① up to ③ normally supports prolongational progressions (e.g., I–VII<sup>6</sup>–I<sup>6</sup>), while the motion from ③ to ⑤ is cadential (I<sup>6</sup>–II<sup>6</sup>–V). Thus in classical themes, the bass largely ascends to support a melody that descends to the cadence. As a result, the classical cadence brings a marked differentiation between the outer voices. The “problem” with the Prinner cadence, of course, is that this functional differentiation of voices is considerably weakened, since the Prinner cadence emerges from a prototypical situation of descending parallel motion. To be sure, the cadential Prinner brings an added

47. Given the slow tempo and the possibility of compound meter, it might be possible to hear an HC on the downbeat of m. 2; if so, then we would find here a situation where an internal HC seems syntactically weaker than a terminal PrC. Note, however, that unlike the other pairing of these cadences discussed earlier (Example 26), where a PrC ending on 3̣ is followed by an HC on 2̣, the HC in the present example supports a melodic 7̣, which then descends further to 3̣ in the course of the theme.

48. See Lester, *Bach's Works* (1999), 27–33, esp. Exs. 2.3 and 2.5.

49. Caplin, “Schoenberg’s ‘Second Melody’” (2008), 162–165.

⑤ that at least restores harmonic functionality to the bass voice, as it leaps from ② to ⑤ to ①, but this motion seems often, especially in cases of a submetrical insertion of ⑤, to give the impression of being a mere embellishment of the ②, whose melodic function is to proceed on to the ①, in the sense of a prolongational Prinner.

Example 34a: Romanesca-Prinner combination prototype

Example 34b: Mozart, Piano Sonata in Eb, K. 282/i, mm. 1-4

Example 35: Classical thematic prototype

For all of the foregoing reasons, the true status of the Prinner cadence is thrown into doubt. In some cases, of course, its cadential role is secure, such as when it clearly functions to end a phrase or thematic unit (see again Examples 17, 19, and 34b). But in many other situations, the sense of genuine cadence is obscured or made vague by various compositional contexts in which the sense of genuine closure seems not to emerge (such as with the cases of undermining discussed in connection with Examples 28–32). Finally, we have seen that when ranking the Prinner cadence vis-à-vis more genuine cadence types (cadences that feature a standard, ascending bass line), it would appear to be the weakest of all, attaining a greater sense of structural strength only in comparison to the fully prolongational Prinner, which carries no cadential implications. It is therefore understandable that the Prinner cadence, with its latent structural ambiguities, loses ground in the high classical style, where the aesthetic of clear cadential goals reigns supreme.

Yet like most galant schemata, memory of their earlier ubiquity lingers long, and so we should not be surprised to find the occasional recollection of the Prinner cadence in later musical styles.<sup>50</sup> I close this essay with a brief examination of two cadential Pringers from the early Romantic period, showing not only how the schema references past practice but also how it becomes accommodated to a new stylistic environment. The main theme of Mendelssohn's String Quartet in E-flat, op. 12/i, begins with a four-bar phrase that ends with a Prinner cadence at m. 21 (Example 36). From a galant perspective, we see the parallel motion between the melody and the bass, broken only by ⑤ as a metrical extension of ②. Indeed, parallel motion between the outer voices obtains right from the very beginning in a manner that suggests stages three and four of the Romanesca schema (⑥–⑤ supporting 8–7; cf., Example 34a). That the PrC is a truly effective cadence (i.e., not undermined in any way) becomes clear by what follows: a new phrase that leads eventually to an HC at m. 25, in a manner that suggests the formation of a large-scale antecedent unit (mm. 18–25). Note that as regards the potential weighting of the cadences, the PrC would appear to be weaker than the subsequent HC, similar to what we saw in connection with Example 26. When the opening phrase returns in mm. 26–29, our suspicion that an overall periodic organization is in the making is eventually confirmed by a PAC at m. 36 (not shown).

---

50. On the historical trajectories of schemata, see Gjerdingen, *A Classic Turn of Phrase* (1988), Chapter 6; this study deals with only one schema (the changing note pattern that Gjerdingen later terms a "Meyer"), but its treatment of stylistic development and decline seems applicable to all schemata.

**Antecedent**  
antecedent

basic idea                      contrasting idea

**Allegro non tardante**

E: I<sup>6</sup> VI V IV I<sup>6</sup> II V<sup>7</sup> I<sub>1</sub> PrC

continuation

V I<sup>6</sup> HC

**Consequent**

VI V I IV I<sup>6</sup> VI II V<sup>7</sup> I PrC

Example 36: Mendelssohn, String Quartet in Eb, op. 12/i, mm. 18–29

These galant characteristics notwithstanding, Mendelssohn refashions the cadential Prinner to aspects of his style that are more typical of early nineteenth-century practice than of the prior century. Thus unlike galant or classical norms, the theme already starts (with its upbeat) on an inverted tonic; moreover, except for this I<sup>6</sup> and the subsequent one in the second half of m. 19, all of the harmonies appear in root position, a standard characteristic of Romantic harmony. This emphasis on root-position chords, along with an even greater use of leaping motion in the bass, occurs in the embellished version of the phrase as it appears in mm. 26–29; indeed, the bass actually acquires a distinctly motivic quality (see brackets). Another somewhat unconventional use of the cadential Prinner concerns its relation to the formal organization of the phrase. As we have seen in many cases, the Prinner cadence typically arises out of a two-bar riposte (a contrasting idea, in my terminology) that follows upon a two-bar

initiating statement (a basic idea).<sup>51</sup> Mendelssohn's opening 4-m. phrase could also be seen to divide into a two-bar basic idea—framed by the I<sup>6</sup> harmony and  $\hat{5}$  in the melody—followed by a two-bar contrasting idea. Yet the Prinner itself already begins midway through the basic idea, thus straddling the grouping structure.

A set of cadential Primmers also appears at the opening of Schumann's *Faschingsschwank aus Wien* (Example 37). Here, each of the four-bar phrases brings a cadential Prinner. To be sure, the Prinner melody appears only in the alto voice (as shown in the analysis), but otherwise each Prinner largely conforms to one of the two basic Prinner prototypes: a modulating Prinner (cf., Example 2) for the first phrase; a standard Prinner for the second. Interestingly, when put together, these two Primmers result in a descending bass line that spans a full octave, thus recalling the galant Romanesca–Prinner configuration (Example 34). Indeed the opening three harmonies of a modulating Prinner (heard still in the home key) correspond to those of the Romanesca: only the final harmony distinguishes the two schemata (III<sup>6</sup> or I<sup>6</sup> for the Romanesca, V for the Prinner). From a galant perspective, of course, Schumann's linking the two Primmers raises a serious problem of voice leading, since he directly follows the root-position F-major harmony of m. 4 with the root-position E-flat harmony of m. 5, thus creating both consecutive octaves and fifths.

*Sehr lebhaft*

①=④  
Bb: I  
F: IV

③

I<sup>6</sup>

② ⑤ ① ④  
Bb: V I IV  
(PAC) [HC]  
(reinterpreted)

③

I<sup>6</sup>

② ⑤ ①  
II V<sup>7</sup> I  
[HC]

Example 37: Schumann, *Faschingsschwank aus Wien*, op. 26/i, mm. 1–8

51. See Example 21a, Example 26, mm. 1–4, and Example 29, mm. 1–4. Even Examples 17 and 18 see this balanced relation between the opening idea and the Prinner.

At least three other anomalies from galant (and classical) practice are worth mentioning. First, the chromatic passing chords that embellish the Prinner's second stage on the downbeats of mm. 3 and 7, present an obviously Romantic touch. Second, the formal organization of the passage, in which the second phrase is a complete sequential repetition of the first finds little precedent in eighteenth-century practice.<sup>52</sup> Finally, the placement of the Prinner melody in the alto voice means the resulting cadence is no longer a variant of an IAC, but rather of a PAC.<sup>53</sup> Moreover the relationship of the new melody to the bass creates a contour that differs both from the generally parallel descending motion of the galant Prinner cadence and the specific contrary motion of the classical authentic cadence: in fact, Schumann's cadences invert the classical relationship, in that the soprano now ascends against a largely descending bass. We see here, as well as in the Mendelssohn, how the Prinner cadence continues to find reverberation in later musical styles, yet the composers find their own manner of adapting this schema to their particular stylistic needs and constraints.<sup>54</sup>

## FUTURE RESEARCH

The foregoing account of the Prinner cadence represents only a small step in the much-needed, broader project of providing form-functional interpretations to the various eighteenth-century schemata identified by Gjerdingen.<sup>55</sup> With respect to the Prinner itself, the two other types identified above—the prolongational and sequential Prinner—demand their own detailed investigations of form-functional usage. Rarely, of course, will the standard Prinner project a sense of formal initiation, beginning as it does on subdominant harmony. Indeed as Gjerdingen notes, the Prinner is almost always a *riposte* to some prior opening statement (oftentimes based on a *Romanesca* schema). But the notion of *riposte* can include both medial and ending formal functions. The prolongational Prinner is especially adaptable in its formal usage. As seen in a number of the examples above, the prolongational Prinner can function as a formal middle, one that is followed by a cadence of some kind (as in

- 
52. But see the opening of the Scherzo movements from Beethoven's Piano Sonata in E-flat, op. 26, and Piano Sonata in C-sharp minor, op. 27 No. 2, as precursors, one or both of which Schumann may have had in mind; indeed, the beginning of the former especially may be the model for *Faschingsschwank*.
53. The sense of PAC at m. 4 occurs largely in relation to the "modulating" nature of the opening measures. But when the music immediately returns to the home key, ending there with another PAC at m. 8, we can recognized retrospectively that the cadence at m. 4 seems to function in the context of the entire theme as what I call a *reinterpreted half cadence* (see *Classical Form* [1998], 57).
54. An extraordinary set of variations on the Prinner schema is found as late as the finale of Brahms's Symphony No. 1, beginning of the subordinate theme (mm. 118–130).
55. The work of Vasili Byros, including the chapter in this volume, is beginning to address this pressing need.

Example 7b), or as a non-cadential end (Example 8b). Moreover, the prolongational Prinner may well cross over the boundaries of formal grouping structures, thus presenting a complicated interaction of formal function and schema.

Due to its relatively unstable harmonization, the sequential Prinner is most likely to be found in medial formal positions: these can range from simple continuation phrases of sentential theme-types to large-scale model-sequence patterns found in a development section of sonata form. One important question that needs further work is whether all complete circle-of-fifths sequences are best identified as Pringers. Though most such sequences can ultimately be assimilated to the Prinner, it would seem that the particular voice-leading pattern of a given case can sometimes obscure the Prinner-defining lines, especially the bass, and it might be that we sense a broader category of “circle-of-fifths sequence” as the primary schematic identification rather than the Prinner per se.

This last point relates to another issue left open in this study: the extent to which a given passage can actually be said to represent a given schema. As we saw in connection with the prolongational Prinner, the closer the passage moves to the corner of the Prinner triangle, the less it resembles the prototypical Prinner. In most cases, the melodic line ( $\hat{6}-\hat{5}-\hat{4}-\hat{3}$ ) is held intact while the bass departs from its normal counterpoint ( $\textcircled{4}-\textcircled{3}-\textcircled{2}-\textcircled{1}$ ). Should cases such as those shown in Examples 11b and 12b necessarily be subsumed to the Prinner category? And likewise, how appropriate is it to consider the last two bars of Example 9b as both a Prinner and a Fenaroli? Similarly, it could be asked whether the cadential type that I have identified as IAC (Pr) should be considered an actual Prinner? Throughout this study, I have generally followed Gjerdingen’s mode of schemata identification, which is highly inclusive. Future research will undoubtedly be devoted to clarifying the extent to which schemata labels can meaningfully be applied.

As regards the Prinner cadence—the primary topic of this study—the question of how this cadence type and its allied IAC (Pr) fit into a broad model of cadential strength requires extensive empirical research. Many more examples of how these Prinner cadence types are used in relation to other types (PAC, IAC, HC, deceptive, evaded) need to be gathered and analyzed before the hypotheses presented here can be substantiated. Additionally, experimental studies of the kind offered by Sears in his chapter to this volume, ones that include the Prinner cadence along with the IAC (Pr), would help to clarify just how these cadential articulations are to be positioned on a scale from strongest to weakest.

The last two decades have seen a remarkable flourishing of new theoretical models and analytical methodologies for music of the eighteenth century: contributions to *historische Satzlehre*, metrical theory, *partimento* theory, schema theory, and the revival of the traditional *Formenlehre* have provided many new tools for analysis and criticism.

It is thus timely to begin examining ways in which these various approaches can be integrated. A study of the Prinner cadence, bringing together schema theory and a theory of formal functions, represents one step in that direction.

## BIBLIOGRAPHY

- Caplin, William E. (1998), *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*, New York: Oxford University Press.
- (2004), "The Classical Cadence: Conceptions and Misconceptions," *Journal of the American Musicological Society* 57/1, 51–117.
- (2008), "Schoenberg's 'Second Melody,' Or, 'Meyer-ed' in the Bass," in: *Communication in Eighteenth-Century Music*, ed. Danuta Mirka and Kofi Agawu, Cambridge: Cambridge University Press.
- (2013), "Teaching Classical Form: Strict Categories vs. Flexible Analyses," *Dutch Journal of Music Theory* 18/3, 119–135.
- Gjerdingen, Robert O. (1988), *A Classic Turn of Phrase*, Philadelphia: University of Pennsylvania Press.
- (2007), *Music in the Galant Style*, New York: Oxford University Press.
- Hepokoski, James and Warren Darcy (2006), *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*, New York: Oxford University Press.
- Holtmeier, Ludwig (2011), "Review of *Music in the Galant Style*," *Eighteenth-Century Music* 8/2, 307–326.
- Kaiser, Ulrich (2007), *Die Notenbücher der Mozarts als Grundlage der Analyse von W. A. Mozarts Kompositionen 1761–1767*, Kassel: Bärenreiter.
- Kirnberger, Johann Philipp (1982), *The Art of Strict Musical Composition*, trans. David Beach and Jürgen Thym, New Haven: Yale University Press.
- Lester, Joel (1999), *Bach's Works for Solo Violin: Style, Structure, Performance*, New York: Oxford University Press.
- Sanguinetti, Giorgio (2012), *The Art of Partimento*, New York: Oxford University Press.
- Schmid, Manfred Hermann (2004), "Die 'Terzkadenz' als Zäsurformel im Werk Mozarts," *Mozart-Studien* 13, 87–176.