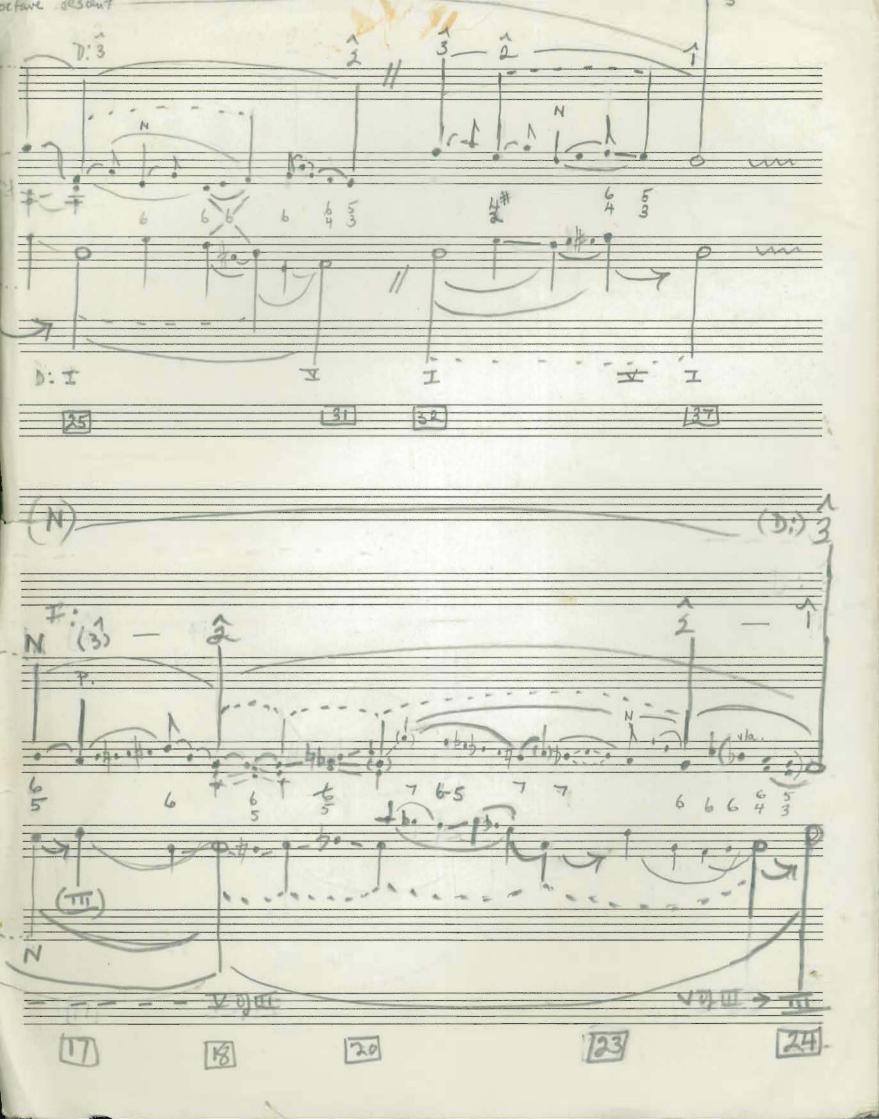
E: Hartshorne's comparisons of two sonata form expositions by Mozart: K.387 & K.421

Comparison of two sounda form expositions
by Mozart: K. 387, mv.+, I and K, +21, mv+. I
Robert Hartshorne
MAY 1977
Mky 1977
MAY 1917
May 1977
MAY 1917
May 1979
May 1977
MAY 1977
May 1979
MAY 1977
MAY 1979
May 1917
May 1977









The following discussion will attempt a comparison of the expositions of two string quartet movements by Mozart: K. 387, movement I (G major) and K. 421, movement I (D minor). The comparison will tend to be general in scope, treating, successively procedures within the three main subsections of the two expositions: first thematic group, bridge, second thematic group (including closing material). Reference will be made as frequently as possible to the musical detail of the two expositions, but prose description of this detail will be avoided whenever possible, and the reader will instead be referred to the two graphic analyses which accompany the prose text. Unfortunately, many issues are raised by the graphic analyses, with respect to fascinating and highly significant aspects of one or the other exposition, which cannot be adequately treated here either because of their complexity or because - while interesting in themselves - they are not directly relevant to the present comparative discussion.

A word must be said in advance concerning a particular aspect of the analysis of K. 421, I - namely, the neighbor motion A-Bb, m9-16 (see graph). The A is established in the upper voice in m9-14; the Bb is prolonged by m14-16. As will be argued presently, the A is an upper third to the F (3), the prolonged tone of the exposition, and the Bb neighbor prolongs this A. The upper third creates space within which a descent to the F may be carried out. As the graph indicates.

'third descent' in F major during the bridge are not quite correct since the A which follows the Bb of ml5-16 is, according to my analysis, only a passing tone from Bb to G; Bb is, thus, really an incomplete upper neighbor to the A of m9-14 (first thematic group). Nonetheless, a descent to F is indeed effected during the bridge, and the principle of space created above a prolonged tone appears relevant despite the absence of A in ml7,ff.

M1-10 constitute the first thematic group of K. 387, I.

The ten measures are divided into two balanced four-measure
phrases (antecedent and consequent), which lead to the deceptive
cadence of m9, following which a two-measure extension leads to
a full tonic cadence in m10. As the graph indicates, this first
theme expecutes a preliminary melodic descent from 5 (the initial
structural tone) to 1. The fifth descent consists of two halves
which correspond to the two halves of the musical phrase. The
descent 5-4-3 occurs during m1-4 which clearly prolong G major;
the lower half of the descent occurs in m5-10: 2 is prolonged
throughout m5-9 and finally descends, in m10, to 1.

Although this opening thematic group is quite complex in its detail, its overall harmonic and contrapuntal shape, and its role within the sonata form exposition may be perceived with little difficulty: in terms of design, the initial - and predominant - thematic idea of the movement (vln. 1, ml-4) is

introduced; harmonically, the tonic key is established through a large scale I-V-I progression (see graph); melodically, the structural tone 5 is prolonged by the preliminary descent to 1 (5 is immediately reestablished in mll. see graph). Because it ends with a full cadence on the tonic, accompanied by a descent to 1 in the upper voice, this first thematic group may be described as closed.

The first them atic group of K. 421, I is longer than that of K. 387, I extending from ml to ml4. Unlike the G major example it consists of two thematic ideas which mark off the two main phrases of the first group: ml-8 and m9-14. Ml-8 consist of a classically balanced antecedent-consequent phrase (4 + 4). As the graph shows, this classical balance is reflected structurally in the presence of interruption technique (I-V, I-V-I with 3-2, 3-2-1 in the upper voice). A full tonic cadence is reached in m8 and, therefore, the first portion of the thematic group might be regarded as closed, although the immediate appearance of the 8th-note A and the subsequent descent to V in the 'cello (m8-9) prevent any strong feeling of closure. The subsequent portion of the first thematic group (m9-14) is clearly open. Motivically, the 16th-note figure of m12-14 creates an uninterrupted flow from the first group into the bridge (ml4,ff.); harmonically, a V is prolonged which never returns to I; melodically, repeated descents from A (5) to E (2) create an expectation of a complete 5th descent to 1 which, of course doesn't occur: the E becomes an inner voice tone functioning as the leading tone to F within V of III, while the A is led to its upper neighbor Bb (see graph).

This opening thematic group functions quite differently within the exposition than does the first group in K. 387, I. The latter first group represents a closed unit, harmonically and melodically, within the overall structure. In the first group of K. 421, I, the processes begun in the second phrase are not completed, but are carried through into the bridge, as will be seen presently.

The bridge of K. 387, I extends from mll to m24. Its thematic material is clearly derived from that of the first group: mll-14 represent a varied (albeit a significantly varied) restatement of ml-5; subsequent thematic elements in m15-24 have their origin in m1-10. However, although this bridge introduces no significant design elements of its own, it contrasts sharply with the precleding material in terms of its underlying structure. The phrasing, for example, which was so balanced in the first thematic group (4 + 4 + 2) becomes considerably less clear in ml1-20, largely because of the presence, in these measures, of imitation and, hence, multiple possibilities of grouping implied by the various imitative parts. Although composite groupings may be inferred (mH-14, m15-16, m17-18, m19-21, m22-25) no clear divisions exist because of the continuous motion of the voices across subdivisions. A further complication of phrasing is introduced in m22 where the loth-notes in the first violin imply, temporarily, grouping by half-measures (m22-24). The lack of clear divisions between phrase groupings and the lack of symmetry among the groupings (i.e., 4 + 2 + 2 + 1 + 3) create a feeling of imbalance, or instability, which is in accordance with the transitional role of the bridge. It is not surprising that with the arrival of the second thematic group in m25 the phrase groupings - as will be discussed presently - restore the balanced phrasing which was characteristic of m1-10.

Unlike the bridge of K. 387, I, that of K. 421, I introduces, from its outset, considerable contrast, in terms of design, to the preceding music. The 'V⁶₅ of III' stated "f" in all parts (ml4) causes a sharp interruption of the succesive l6th-note patterns of ml2-14. The material which follows in ml5, ff. bears certain resemblances to that of the first thematic group: the dotted eight-note figure which begins the bridge - \lambda \lambda

One might even hear a connection between the figure

 In fact the design of m19-20 - c.f., the trill figure introduced in vol. and vla. is entirely new.

The bridge of K. 421, I resembles that of K. 387, I in that its phrasing departs suddenly from the symmetry which characterized the first thematic group. The successive sixteenth-note figures of ml2-14 have already suggested groupings consisting of half-measure units. The inclusion of a fourth sixteenth-note pattern (vol.) causes the strongly accented ${}^{\circ}V_{5}^{\circ}$ of III to fall in the middle of measure 14, thus shifting the downbeat from beat 1 to beat 3. Subsequently, the third beats of measure 15, 16, and 18-20 are given more stress than the first beats of these measures, and, hence, these third beats begin points of articulation within the larger phrase. The units of phrasing in these measures appear to consist of half-measures rather than measures. The groupings formed by these half-measure units are quite irregular. To my ear, ml4, second half - ml5, second half represent a group of 3 (half-measure units); M16 contains a group of 2; m17-18, a group of 4; ml9 and m20, each a group of two.

In m21-23 (first half) the presence of 4 -part imitation renders the phrasing ambiguous just as it did in the bridge of k. 387, I: the imitative parts imply conflicting subdivisions of the phrase and the continuous motion of these parts obscures whatever composite groupings one may infer.

The third beat of the measure remains the point of rhythmic emphasis through the final measure of the bridge: The third beat of m23 is stressed as the aforementioned imitation is interrupted, and the third beat of m24 represents the final downbeat (as well as the point of melodic and harmonic completion) of the bridge.

Again, the irregularity of phrasing, the lack of symmetry, in the bridge - appropriate to a transitional section - is counteracted, in K. 421, I, as in K. 387, I, by an immediate return to balanced phrasing in the second thematic group (m25, ff.).

The tonal structure of the two bridges under consideration is closely related to the nature of their design. As has been observed, the bridge of K. 387, I makes virtually no break with the first thematic group in terms of design; in fact it begins with a restatement of the movements opening measures. The bridge of K. 421, I, on the other hand, is set off sharply from the preceding music by the "f" 5 chord of ml4, and subsequently employs material which is distinct from (although not unrelated to) that of the first thematic group. Similarly we find that the bridge of K. 387, I effects a gradual tonal transition from I to V while that of K. 421, I shifts immediately and abruptly, by means of the aforementioned "f" 5 chord, from the opening I into the area of III. (The definitive arrival of III is delayed until m24.) As the graph shows, ml1-14 of K. 387, I - in spite of some

significant transformations - reiterate the harmonic progression of ml-4: I-II-V-I. The base tone G is subsequently prolonged throughout m15-19 while the inner voice tone D moves to E in a 5-6 motion (c.f., vla., ml8-19) which prepares the arrival of the base tone A (V of V) in measure 20. Thus the move away from I is carried out subtly (almost imperceptibly) through the simple contrapuntal technique 5-6 over the tonic bass tone G. The bridge of K. 421, I contains, on the other hand, virtually no transition from I to V of III; rather, the V of m9-14 proceeds directly to V_5^6 of F. The principle means of coherence between the two sonorities is the common tone E which is transformed from 2 of I to 7 of III. Thus, while more than half of the bridge in K. 387, I is devoted to transition from I to V of V, that transition (from I to V of III) is effected by thevery first chord of the bridge in K. 421, I. The rest of this latter bridge is devoted to the prolongation of V of III (see graph).

In terms of linear motion (as well as harmonic motion and thematic design)mll-14 in K. 387, I repeat the third descent 5-3 found in ml-4 (see graph). In its second appearance, this descent is altered only slightly through the insertion of the chromatic passing tone C# between D (5) and C (4). Only after this initial third descent is reiterated does the top line depart from the course followed in the first thematic group.

In K. 421, I, the opening measures of the bridge are, in terms of the structural upper voice (as well as of the harmonic progression)

and thematic design) unrelated to the first half of the first the matic group. The linear motion of the bridge is in fact linked to that of the first thematic group not - as in K. 387, I through repetition of a particular melodic span, but, rather, through its continuation of a process initiated in the second half of the first thematic group (m9-14). As was noted earlier, the first thematic group in K. 421, I is open since it ends with V, and since no cadence is reached. As the graph attempts to show, the open or 'incomplete' nature of the first thematic group is reflected in the motion of the structural top voice. In m9, after the initial motion 3-2-1 has been completed (above I-V-I), the bass begins the prolongation of A (V) while the top voice reiterates a descent over the fourth A-E (5-2). There may be some question as to which tone is prolonged in these measures: 5 or 2. It seems likely that the 2 - ultimately a neighbor to 3, which is restored in m24 is prolonged but is shifted to an inner voice as the Bb, an upper neighbor to the A is projected to the top. It appears that, as is suggested by the graph, the A - Bb neighbor is, in the large, an inner voice projected to the top for the purpose of creating space above the tone F (3) which is the prolonged structural tone of the exposition (see example on next page). While the F-E-F neighbor is of overriding significance on the background level, the A-Bb- (A) which prepares the 'third descent' in F major is crucial to the prolongation of F (3). The establishment of the A in the uppermost register takes place in



the second half of the first thematic group; the registral connection A-Bb links the first thematic group to the bridge.

It is hoped that the graph shows the structural melodic progression of the two bridges in question clearly enough to obviate a discussion of each progression in prose. Clearly the two upper lines represent two very different procedures, since the larger structures within which they function are very different. As has been implied already, the overall linear process of the exposition in K. 421, I is the prolongation of the F(3) (at least this is my contention). F(3) descends to D(1) in the first thematic group; it is restored in m24 after a 3-2-1 descent in F major. The function of the bridge in the overall prolongation is the establishment of A(3 of F) through its upper neighbor Bb thereby creating space through which it executes its third descent to F.

The overall linear process of the exposition of K. 387, I is the prolongation of D (5). As has been observed, the first thematic group contains a preliminary descent from D to G (1). The D is immediately restored at the outset of the bridge and the initial third of the fifth descent of ml-10 is heard in mll-14. The remainder of the bridge continues this descent to G, but the G is no longer a point of arrival as it was in ml0. During the 5-6 motion of ml7-19 (discussed above) the G is transformed from a consonant tone - 1 of G major - to a dissonant tone - 4 of D major passing from A (5) to F# (3). The second thematic group, m25, ff. carries out the descent from F# to D which has thus, over the space of the exposition, been prolonged by octave descent. The role of the bridge within this descent has been to fill the downward 6th D-F#.

It should be noted that, in the large the two expositions are not as dissimilar in terms of melodic motion as might be thought. Both seek to prolong a single structural tone; both complete the prolongation of that tone through a descent from its upper third. In K. 421, I, the top line ascends to that upper third as described above; in K. 381 the top line also progresses, during the bridge, to that upper third, but enlarges the space involved from an upward third to a downward sixth. In K. 421, I the establishment of the upper third (A) to the prolonged tone (F) occurs in the first thematic group and extends into the bridge; the bridge carries out the descent from the upper third to the prolonged tone. In K. 387, I,

the upper third (F#) to the prolonged tone (D) arrives only at the beginning of the second thematic group which subsequently carries out the descent to the prolonged tone.

The second thematic group of K. 387, I (m25, ff.) and K. 421, I (m25, ff.) are alike in that both combine balanced phrasing with a feeling of melodic and harmonic arrival. M25-39 in K. 387, I contain two balanced (antecedent and consequent) six-measure phrases followed by two measures of extension. Interruption tech nique is clearly in operation (see graph). No interruption is present in the second thematic group of K. 421, I, but m25-32 consist of a balanced four-measure phrase (2 + 2) followed by a varied repeat. In both second thematic groups there is an unequivocal feeling of harmonic arrival which is sustained through the remainder of the exposition. It has been, in both cases, the task of the bridge to effect the transition from I to the new key; the second thematic group, in both cases, prolongs this new key. A significant difference exists, however, between the two second groups with respect to structural melodic motion. The sense of arrival in K. 421, I is - to my ear - far greater at the outset of the second group than at the corresponding soot in K. 387, I. This is undoubtedly due in large part to the fact that in K. 421, I the upper line has already descended from 2 to 1 by m25, creating, at the arrival of the second group, a feeling of melodic completion as well as harmonic arrival. In K. 387, I it is the upper third (F#) to the prolonged tone (D) which arrives in m25;

thus any feeling of melodic completion is delayed until m39 where the descent from F# to D is completed. It might be said, then, that K. 421, I contains a design' second group whereas the second group of K. 387, I is both a 'design' and a 'structural' second group.

It is wo rth noting, in light of what has just been observed, that the amount of closing material which follows the second thematic group is significantly less in K. 421, I than in K. 387, I (9 measures as opposed to 17 measures). This may be due to the fact that in K. 421, I the second theme has, itself, the quality of closing material since the descent to F has already been achieved; thus less subsequent closing material - that is, material which extends the tonic harmony and prolongs the goal tone of the upper line - is needed than in K. 387, I where the arrival on D is achieved at the end of the second thematic group.

The material which follows the arrival of the main structural tone in each exposition (m25, ff. in K. 421, I and m40, ff. in K. 387, I) is omitted from the graph, not because it is insignificant, but because it has no relevance to the large scale melodic or harmonic structure - that is, it is 'design' rather than 'structural' in nature. In terms of phrasing, however, an interesting process is observed in the closing measures of both expositions: emphasis is placed on the third beat of the measure as it was in both bridges and groups of half-

measure units are suggested which upset slightly (much less conspicuously than in the bridge) the balanced phrasing introduced by the second thematic group. Both second groups end with a feminine cadence (c.f., K. 387, I, m39 and K. 421, I, m32); emphasis is thus given already to the third beat. On the third beat of m32 of K. 421, I, the syncopated figure (vd.), etc. is introduced; the music which immediately follows is clearly divided, interms of

Three of these units occur before the syncopated figure is repeated. In m32-35, we hear two overlapping groups of four

(vel.) P st P (vel.)

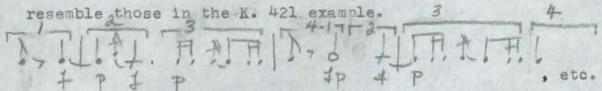
That the unit of phrasing is the half-measure is indicated by the fact that the initial syncopated figure occurs first on

beat three (m32) and then on beat 1 (m35).

half-measure units:

Following the feminine cadence of the second theme in K. 387, I, (m39), a four-measure phrase occurs which subtly suggests the half-measure as the unit of phrasing. This phrase closes with a feminine cadence in m43. The third beat of m43 is clearly the downbeat of a new phrase; from this point phrases are consistently begun and ended at the half-measure: m43, third beat - m45, third beat; m45, third beat - m48, third beat; m48, third beat - m48, third

m50, a grouping by half-measure units occurs which is very similar to that of K. 421, I, m32-33. It is begun with a syncopated figure which occurs first on a third beat and then on a first beat. Even the dynamic effects (the use of 'fp')



This series of overlapping half-measure units (4 + 4) is followed by an extension of two half-measureunits (m50) following which a clear downbeat is provided on the first beat of m55 and rhythmic clarity is restored just long enough for a two-measure closing motive to be heard in m55-56.

The subtlety with which Mozart achieves the highly complicated rhythmic shifts is truly remarkable. What is also quite remarkable is the similarity between the employment of such rhythmic shifts in the two expositions under consideration.

relationing of design to marking

af Thumbie

b) brokepation.

depart on their in regard to total

open of accellants.)

Sparied dimin which

ctury

moline factors

and dummations

lemen ententz en sem foregroud

Jones Townel Cupontin Oble arfect. closed. mur anter furt of Recognity begun Locallehoon sy busin & transferachat. ecter ion dudy. Houture suffering I. ambjuty musture " continuely from un un voice? organicana of register. guerd barmonic Glass. de per hus puccessing Ih ho milian on to and felling orting filling mighter motion. extension & transformand geneltunte (The whent is The exceptable how approached prohongother 1 benelomate Munting hator.

THE RESERVE OF THE PARTY OF Themes | Sono the A Major K331 1st most.
Variotion | Beethover Op. 26 1st most. Ber Moren op 2 \$1/2 mit. 61-8. Op 2 1 20/3 mit 1-8. Op. 10 #3/2md (Longs) 1-9.

op 1/4 1-16 The finisher in in making in the prince of the prince of the prince of the same.

FW 133.

De Miller Blenn (89)

6.1-21.

Commet on 1-6 or an introduction.

Notice 16-21 to the wantie.

2 onthe variety. Endich expropriet

nelosie (int. - soo break function.

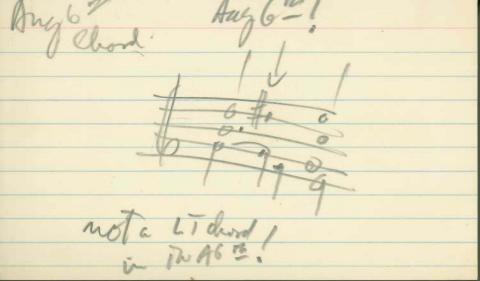
Sports.

Stanton: - roping: port.

Montrol clamb.

Montrol clamb.

PAR.



MAZIMIZAS. op. 10 #2 Analys opening Therme.

the typhinic & motives.

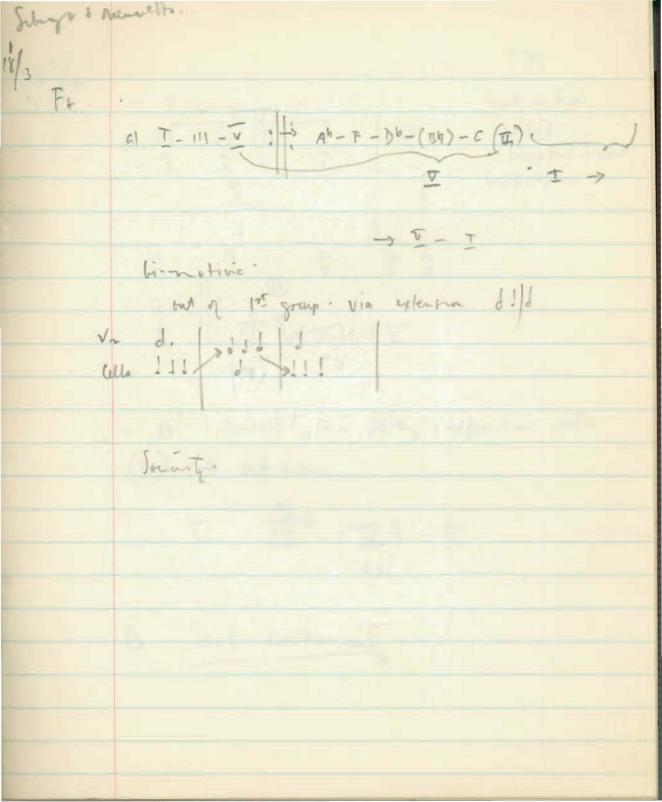
(out 1) maladic & motives. Op 10#1 6.1-31. Assymments in Book top line - If possible 3 21. Chopin Preliades: E-, A+ B-. BACH WTC AFTER MANNERS of 24.2 tro. 5,6. Chopin Prelude E rea Op. 2#1 Kenneth. 11, 21 autie

Name
Date
Subject and Section

Instructor

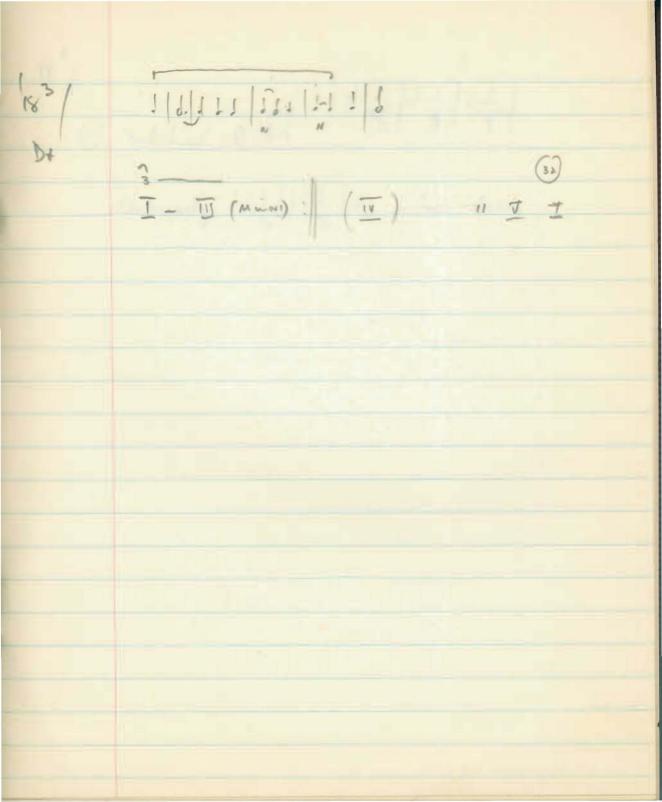
() Theme

QUEENS COLLEGE
of The City University of New York



TH hour mit ve 4 por durb m (4) tiberated from wit space. prorollel, Then delay + efformsion with * Suprize

182/3



6p.54/ Shayo. 11 74 21-27 Additive code to Theme my when when 9-12 exact refet. 13 - also exact of 5 min transform of for vary only - Bouth turney 1-2 Just in not referring. I'm maning , mpine! warm 上水流 Closed Pum. 1-29

591/1 Theme 95 1271

10 development / designs set to know order. a specific formet point o disched material quarties I land morement texture Persone Front

symmes / symme

I punda sono ponist.