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RECAPITULATION PREPARATION IN SELECTED SONATA FORM MOVEMENTS BY BEETHOVEN

The Ohio State University

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RECAPITULATION PREPARATION IN SELECTED
SONATA FORM MOVEMENTS BY BEETHOVEN

DISSERTATION

Presented in Partial Fulfillment of the Requirements
for the Degree Doctor of Philosophy in the
Graduate School of The Ohio State University

By

Daniel Frank Bakos, B.M., M.M.

*****

The Ohio State University
1981

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   Burdette Green
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ACKNOWLEDGEMENTS

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CHAPTER ONE

INTRODUCTION

Compositional techniques used in the single movement sonata form development sections have provided an interesting analytical challenge to analysts since the late eighteenth century. In treatises, articles, and textbooks, scholars have delineated various methods by which composers have constructed developments. Of particular importance is the portion of the development that leads to the restatement of theme I in the recapitulation, listed in certain sources as the dominant preparation and dominant prolongation. The function of this segment is to terminate the tonally active development and simultaneously to prepare for the entrance of the more tonally stable recapitulation. Since preparation of the recapitulation is the purpose of that segment, in this study it is called the recapitulation preparation subsection.

A survey of selected literature containing information about sonata form movements reveals only two commonly described methods of recapitulation preparation, both based on harmony and tonality: (1) the use of a long statement of main key dominant harmony and (2) a transition-like passage consisting of two parts, the second of which attains main key dominant harmony while the first prepares for that harmony. The treatment of the harmonic and tonal construction of the recapitulation preparation by these sources has revealed the need for a more precise manner of describing it.

The hypothesis in this study is that a more precise and comprehensive way exists for categorizing the recapitulation preparation subsection based on harmony and tonality. The study will collect harmonic and tonal data about the recapitulation preparation from selected theorists' writings on musical form from the Beethoven and modern eras. A selected sample of sonata form compositions by a representative composer, Beethoven, will be analyzed to reveal his methods of preparation construction. Categories of recapitulation preparation will be formulated based on the collected information and the music. Other possible categories of preparation based on those found in the study will be hypothesized.
The purpose of this dissertation, therefore, is to categorize the various methods of recapitulation preparation based on harmony and tonality.

Writings from the Beethoven and the modern eras have been chosen for review. The literature selected from Beethoven's era are \textit{Versuch einer Anleitung zur composition} by Heinrich C. Koch (1793), \textit{Elementi teorico-practici di musica} by Francseco Galeazzi (1796), \textit{An Essay on Practical Musical Composition} by Augustus Frederic Kollmann (1799), \textit{Traité de haute composition musicale} by Anton Reicha (1824), \textit{School of Practical Composition} by Carl Czerny, and \textit{Die Lehre von der Musikalischen Komposition} by Adolf Bernhard Marx (1851). Those works from the modern era selected for review are \textit{The Larger Forms of Musical Composition} by Percy Goetschius (1915), "Harmonic Aspects of Classic Form" by Leonard Ratner (1947), \textit{Musical Form} by Hugo Leichtentritt (1951), \textit{Musical Structure and Design} by Cedric Thorpe Davie (1953), \textit{Form in Tonal Music} by Douglass Green (1965), \textit{Form in Music} by Wallace Berry, \textit{Musical Form} by Ellis Kohs (1976), and \textit{Form and Content in Instrumental Music} by Gail de Stwolinski (1977).

The first movements of forty-nine sonata form compositions by Beethoven have been chosen for analysis. They include his piano sonatas, string quartets, and
symphonies. Much of Beethoven's work is based on sonata form thus providing an ample number of compositions to use in analysis. His works represent a mid-point in the history of sonata form composition, being preceded by the early symphonists of the Mannheim courts, Wolfgang Amadeus Mozart, and Franz Josef Haydn and followed by Robert Schumann, Johannes Brahms, Anton Bruckner, and Gustav Mahler.

Beethoven came on the scene at a favorable moment in history. He inherited from Haydn and Mozart a style and certain musical forms which were well developed but still capable of further growth. . . . Historically, Beethoven's work is built on the achievements of the Classical period. Through external circumstances and the force of his own genius he transformed this heritage and became the source of music that was characteristic of the Romantic period. 3

Of the fifty-seven compositions in the keyboard sonata, string quartet, and symphonic output of Beethoven, forty-nine contain first movements in sonata form and all of these incorporate a development section with a recapitulation preparation. The eight remaining compositions do not have a first movement in sonata form and are not included in this study: the Piano Sonatas #12

in A-flat major, #13 in E-flat major, #14 in C-sharp minor, #20 in G major, #22 in F major, #31 in A-flat major, and the String Quartets #13 in B-flat major and #14 in C-sharp minor. The compositions which are included and their dates of composition are listed in Table 1 on the following page.
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<td>1809-1810</td>
</tr>
<tr>
<td>#27 in E minor</td>
<td>Opus 90</td>
<td>1814</td>
</tr>
<tr>
<td>#28 in A major</td>
<td>Opus 101</td>
<td>1816</td>
</tr>
<tr>
<td>#29 in B-flat major</td>
<td>Opus 106</td>
<td>1817-1818</td>
</tr>
<tr>
<td>#30 in E major</td>
<td>Opus 109</td>
<td>1820</td>
</tr>
<tr>
<td>#32 in C minor</td>
<td>Opus 111</td>
<td>1821-1822</td>
</tr>
</tbody>
</table>

**String Quartets**

| #1 in F major | Opus 18-no. 1 | 1798-1800 |
| #2 in G major | Opus 18-no. 2 | |
| #3 in D major | Opus 18-no. 3 | |
| #4 in C minor | Opus 18-no. 4 | |
| #5 in A major | Opus 18-no. 5 | |
| #6 in B-flat major | Opus 18-no. 6 | |
| #7 in A major | Opus 59-no. 1 | 1805-1806 |
| #8 in E minor | Opus 59-no. 2 | |
| #9 in C major | Opus 59-no. 3 | |
| #10 in E-flat major | Opus 74 | 1809 |
| #11 in F minor | Opus 95 | 1810 |
| #12 in E-flat major | Opus 127 | 1822-1823 |
| #13 in A minor | Opus 132 | 1825 |
| #16 in F major | Opus 135 | 1826 |

**Symphonies**

| #1 in C major | Opus 21 | 1799 |
| #2 in D major | Opus 36 | 1801-1802 |
| #3 in E-flat major | Opus 55 | 1803 |
| #4 in E-flat major | Opus 60 | 1806 |
| #6 in F major | Opus 67 | 1804-1808 |
| #7 in A major | Opus 92 | 1811-1812 |
| #8 in F major | Opus 93 | 1811-1812 |
| #9 in D minor | Opus 125 | 1822-1823 |

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Symbols of Harmonic Analysis

The symbols of harmonic analysis used in this dissertation are taken from Paul O. Harder's *Harmonic Materials in Tonal Music*, two volumes, the fourth edition. The symbols will be used in all tables, charts, examples, and analyses. Various systems of harmonic analysis are available. Harder's system was chosen since it shows all the qualities and altered roots of the triads within the key, plus the two kinds of diminished-seventh harmony.

A symbol used for analysis of tonal tertian harmony is the Roman numeral. Roman numerals are used to locate the different harmonies that appear on the seven degrees of a scale. In this dissertation each harmony of a scale degree receives a Roman numeral in relation to the tonic of the scale. All diatonic major triads are symbolized by an upper case Roman numeral, while all diatonic minor triads are symbolized by a lower case Roman numeral.

Roman numerals suffice for all major and minor triads, but the symbols for diminished or augmented triads need additional signs to describe their respective qualities. The diminished triad is symbolized by a lower case Roman numeral.

case Roman numeral with the sign 0 appearing to the right of the numeral. An augmented triad receives an upper case Roman numeral with the sign + appearing to the right of the numeral.

Example 1. Chord symbols of the major scale, pure minor scale, harmonic minor scale, and melodic minor scale.

Several of the harmonies of the minor scale need additional symbols for description. One appears on the sixth scale degree of the melodic minor scale. The root of this triad can be raised a chromatic semitone. In the key of C minor, for example, a natural sign appears
before the Roman numeral of this triad to indicate that the root tone is raised a chromatic semitone, $A_b$ to $A^#$.

In other minor scales the altered root of this submediant triad can use a sharp sign. For example, in the key of A minor the raised submediant triad is symbolized as $\{\#}\text{vi}^\text{o}$, triad root $F#^1$ to $F#^2$.

Example 2. The normal submediant and raised submediant triad in the keys of C minor and A minor.

Another chord of the minor scale that may need an accidental sign is the subtonic triad. A flat sign may appear before the chord symbol. In the scale of C pure minor the root of this triad appears a semitone lower than in C harmonic minor. It is symbolized as $b\text{VII}$ to indicate that the root of the triad is a chromatic semitone lower than that of the leading-tone triad, $\text{vii}^\text{o}$. A natural sign may also appear before the chord symbol in keys where a sharp appears on the leading-tone triad, as in A minor.
Example 3. Symbols for the subtonic and leading-tone triads in C minor and A minor.

The use of an accidental before a chord symbol will always indicate that the root is so altered.

Example 4. Use of the sharp, flat, and natural signs in the analysis symbols of selected harmonies.

One other symbol needs explanation before the set of analysis symbols is complete: that for the diminished triad with added seventh. The diminished-seventh chord can have a tone the interval of either a minor seventh or diminished seventh above the root. The diminished-minor seventh is symbolized as vii°7, as on the leading-tone
degree in a major scale. The vii° triad of the harmonic
and melodic minor scales, however, has a tone the inter-
val of a diminished seventh above the root. This harmony
is symbolized as viid7.

Example 5. The two symbols for the diminished
triad with added seventh.

Dominant Harmony

Dominant harmony performs an important role in
tonal music. According to Berry the importance of this
harmony is a result of two factors:

Just as particular chord forms function as
tonics (tonic forms: major and minor
triads), so particular chord forms function
as dominants. Dominant forms are those in
which the two chief factors of dominant
action and potential relation are in
evidence or clearly implied: (1) the leading-
tone and (2) potential for root relation a
5th above the affiliate tonic form.⁶

⁶. Wallace Berry, Structural Functions in Music
The expected function of the leading-tone in tonal harmony is resolution to the keynote. The resolution is obvious when the leading-tone is in the highest voice of the texture. It is more apparent to the listener in this position, and consequently, its resolution upward by a diatonic semitone defines the keynote. Second, resolution of dominant harmony is generally to tonic harmony resulting in a strong and often-used way of establishing or re-establishing a key.

Dominant harmony exists in a variety of chord forms, as the following example shows. These chords express dominant harmony when they are located in a key on the indicated levels.

Example 6. The common forms of dominant harmony.

\[
\begin{align*}
\text{CM: } & V \quad V^7 \quad I^b \quad I^b7 \quad I^b9 \quad I^b11 \quad I^b13 \quad I^6 \quad i^6
\end{align*}
\]

The tonic second-inversion chord, $I^6$ and $i^6$, can be used in a dominant harmony passage. It may be placed among dominant chords over a dominant pedal point. The root and third of the tonic triad may be considered as nonharmonic in this kind of passage. In this dissertation the tonic second-inversion chord will be considered dominant harmony.
Example 7. The tonic second-inversion chord in a dominant harmony passage.

Harmonic Cycling

A recurring pattern of chords can be used in tonal harmony. Many times the recurring pattern is used around a central dominant harmony. A dominant harmony is stated and a chord succession is used around it. The chord succession begins with the dominant harmony and when the succession returns to that dominant harmony a cycle is completed. For example, in the recapitulation preparation from the Piano Sonata #8 in C minor a cycle consists of four chords: V, vii°/ii, ii°, and VI°. At the completion of this cycle it begins again using the same chord succession. The pattern of repeated chords has been named harmonic cycling.

7. Ratner discusses the technique of changing harmonies over a sustained dominant tone in the bass. The cycle of changing harmonies is based on this technique. Ratner, op. cit., 29.
Harmonic Alternation

Harmonic alternation is another technique that can employ dominant harmony. A dominant harmony is stated in alternation with a single other chord. The alternating chord is usually one that effectively prepares the dominant harmony, many times a secondary dominant of the dominant. The following example reveals the use of harmonic alternation in a passage.

Example 9. An example of harmonic alternation.

Beethoven: Piano Sonata #8 in C minor, Opus 13, the first movement

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8. The term harmonic alternation is from Ratner, op. cit., 29.
Subsections of the Exposition

During this study reference will be made to the various formal subsections of the exposition section. Theme I\(^9\) refers to the first theme stated in the exposition; it is in the main key of the movement. If the movement uses an introductory subsection, theme I appears after this subsection.

The transition subsection refers to the modulatory passage appearing after theme I. Theme II, then, is the second thematic subsection and it appears in the new key after the transition.

The closing measures of the exposition can exist in two formats. If a distinct theme appears in a new key and different from themes I and II, then it is called theme III. If the closing contains thematic ideas composed of motives and ideas from theme I, theme II, or both themes, it is considered a closing group.\(^10\)

The Delineation Point

A consideration important to this study is determining the location of the beginning of the recapitulation

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preparation subsection. The term delineation point is used to describe the place where one subsection ends and the following one begins. The following example shows a delineation point between a recapitulation preparation and the preceding subsection.

Example 10. A delineation point between the recapitulation preparation and its preceding subsection in Beethoven's Piano Sonata #3 in C major, Opus 2-no. 3.

Factors that Determine Subsection Delineation Points

Many of the sources, Reicha, Goetschius, Ratner, Leichtentritt, Davie, Berry, Kohs,

11. The term delineation point is from de Stwolinski, op. cit., 442.
17. Berry, Form in Music, 190.
18. Kohs, op. cit., 266.
and de Stwolinski,\textsuperscript{19} state that a portion of the development section prepares for the recapitulation; the others supply examples that contain this kind of passage. Three of those sources also state factors that can determine the location. The factors are:

There may be a change in the thematic material source between the subsections. (Goetschius,\textsuperscript{20} Kohs,\textsuperscript{21} and de Stwolinski\textsuperscript{22})

There may be a different way or technique of presenting the thematic material(s). (Kohs\textsuperscript{23} and de Stwolinski\textsuperscript{24})

There may be changes in:
(1) rhythmic activity
(2) texture
(3) timbre
(4) intensity. (de Stwolinski\textsuperscript{25})

The above changes serve to delineate the place where one subsection ends and the following one begins. Some change should occur between them. One change can serve to mark the delineation point, however, two changes leaves little doubt as to the place. The delineation point between the two subsections, therefore, usually shows two changes in the above factors.

\begin{itemize}
\item \textsuperscript{19} de Stwolinski, \textit{op. cit.}, 442.
\item \textsuperscript{20} Goetschius, \textit{op. cit.}, 168.
\item \textsuperscript{21} Kohs, \textit{op. cit.}, 265-266.
\item \textsuperscript{22} de Stwolinski, \textit{op. cit.}, 441.
\item \textsuperscript{23} Kohs, \textit{op. cit.}, 265-266.
\item \textsuperscript{24} de Stwolinski, \textit{op. cit.}, 441.
\item \textsuperscript{25} Ibid.
\end{itemize}
Clarification of the Elided Delineation Point

Gail de Stwolinski states that "the delineation point [between subsections] is often elided to avoid any lessening of musical energy."26 Berry defines the term elision in connection with harmonic cadences.

A cadence is said to be elided when it marks, at the same time, the end of one structural unit and the beginning of another.27

He supplied the following example of an elided harmonic cadence.

Example 11. An elided harmonic cadence from Berry, Form in Music.

Mozart: Sonata in F major, K. 280, first movement

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26. de Stwolinski, op. cit., 441.
27. Berry, Form in Music, 12.
28. Ibid.
Many times elision occurs between subsections in the development. Berry's definition of elision in connection with harmonic cadences can be applied to subsection delineation points. A subsection delineation point will be elided, then, when "it marks, at the same time, the end of one structural unit and the beginning of another." The following example is a subsection delineation point in the development of Beethoven's Piano Sonata #15 in D major, Opus 28.

Example 12. A subsection delineation point taken from Beethoven's Piano Sonata #15 in D major, Opus 28.

29. de Stwolinski, op. cit., 439.
de Stwolinski explains this subsection delineation point as follows:

The phrase is repeated with an embellishing figure derived from the transition [measures 178 to 183 in Example 12], but before the embellished repetition ends, the bass suddenly increases in rhythmic motion at measure 183 to begin a second section of the development. Such elision of sections is common within a development . . .30

The practice of elision as defined and demonstrated by Berry and de Stwolinski is used to describe subsection delineation in this study.

Plan of the Dissertation

Chapter One is the introduction chapter. It explains the terms to be used throughout the dissertation and presents the scope of the study.

Chapter Two presents a review of selected literature containing information about sonata form movements, in particular about development sections. Literature from two eras are used: the Beethoven era and the modern era. This chapter collects data about the recapitulation preparation and summarizes it.

Chapter Three defines the recapitulation preparation subsections used in this study and shows where they are located in the development sections.

30. de Stwolinski, op. cit., 428.
Chapter Four illustrates those recapitulation preparations based on the prolongation of a harmony. Five types are treated.

Chapter Five illustrates the retransition types of recapitulation preparation. Three types are treated.

Chapter Six summarizes the findings and presents possible topics for further research in this area.
CHAPTER TWO

TEXTBOOK DESCRIPTIONS OF THE RECAPITULATION

PREPARATION SUBSECTION

Introduction

Observations and analyses of sonata form movements by theorists of Beethoven's era and the modern era are important to this study. Information in these sources provides a collection of techniques used in the recapitulation preparation subsection and different ways of constructing the passage. The writings reveal what these theorists believed to be characteristic of this part of the development.

Selected Sources

Fourteen sources were selected for review from the two eras. Six treatises are by Beethoven era theorists. They are Versuch einer Anleitung zur Composition by Heinrich C. Koch1 (1793), Elementi teorico-practici di musica

by Francesco Galeazzi\(^2\) (1796), *An Essay on Practical Musical Composition* by Augustus Frederic Kollmann\(^3\) (1799), *Traité de haute composition musicale* by Anton Reicha\(^4\) (1824), *School of Practical Composition* by Carl Czerny\(^5\) (1844), and *Die Lehre von der musikalischen Komposition* by Adolf Bernhard Marx\(^6\) (1868).

These sources were chosen for several reasons. The works contain information that contributes to an understanding of the formal structure of the sonata form movement, the purpose and content of the development section, and information regarding the recapitulation preparation subsection. These writers are representative theorists of their time and, except for the Galeazzi treatise, all

of the works are available in the original version, in a reprint of the original version, or, as in the case of the Czerny treatise, as an English translation of the original.

Form-and-analysis textbooks and theorists' writings on musical form provide the information about development sections in sonata form movements from the modern era.

The eight sources selected for inclusion are:

These sources have been chosen for several reasons. They cover a broad period in this century and represent a collection of scholarship by theorists about formal processes in tonal music. Many of these sources, which are readily available, have been or are presently being used as textbooks in the instruction of musical form and, therefore, are influential in present-day teaching. They also contain significant information about sonata form development sections.

Beethoven-era Descriptions of the Recapitulation Preparation Subsection

The Beethoven-era theorists treat the key and modulatory practice of the development section in detail. Indeed, due to the thoroughness of these discussions, one can deduce that the key and modulatory practice is considered an important feature of the section. Their discussions concern three points: (1) how to begin the development, (2) what keys to use or not to use, and (3) how to end the section. Of concern in this study is the final point, how to end the section, and the following discussion will be limited to that topic.

The source containing the most specific information concerning recapitulation preparation is Koch, who cites and describes two ways. His first one, hereafter labeled as Koch I, resembles a retransition passage leading to the main key of the movement and then to the recapitulation.
It employs a short theme or motive generally taken from the exposition. During this progression of the melodic idea to the recapitulation, this idea may be presented as it originally appeared with no changes except for possible pitch level, inverted, in imitation, or changed by other ways not specifically mentioned.\textsuperscript{15} The modulatory passage progresses to the main key of the movement as the melodic material progresses to the restatement of theme I. According to Koch, "the modulation returns to the main key in which the last main section \[the recapitulation\] begins."\textsuperscript{16} This final portion of the development prepares for the return to theme I by directing the modulatory scheme back to the main key.

The recapitulation preparation does not necessarily begin in the main key, although Koch does not state this in his discussion. He states that the modulation returns to the main key for the preparation of the recapitulation.\textsuperscript{17} He does not reveal whether the modulation is before the passage or during it. The modulation to the main key, possibly, can occur during the statement of the melodic material. This first type of recapitulation preparation, therefore, can begin in a

\textsuperscript{15} Koch, \textit{op. cit.}, Volume III, 309.  
\textsuperscript{16} Translated from Koch, \textit{Ibid.}, 310.  
\textsuperscript{17} Koch, \textit{Ibid.}, 309.
key different from the main key and modulate to the main key during the subsection.

Koch describes a second kind of return to theme I. It is the attainment of the dominant key of the movement, hereafter labeled as Koch II. He states that the final key of the development is that of the Quinte (the dominant). The melodic elements presented in this recapitulation preparation are from theme I in the exposition section.

Koch describes two ways of preparing for the recapitulation. The other five Beethoven-era theorists either describe one way of preparation, provide a contrived example, or cite examples from specific literature in their discussions.

Reicha describes the kind that attains dominant harmony as preparation for the recapitulation. Reicha adds that a dominant pedal point can be used.

Also included in Reicha's discussion about the sonata form, which he calls la grand coupe binaire, is an outline of the formal structure of this kind of movement. This formal outline, shown in Example 13, is important since it summarizes the sonata form movement and shows the emphasis he places on the attainment of

main key dominant harmony as a means of recapitulation preparation. The two subsections in the development shown by Reicha are the principal part of the section and the attainment of the main key dominant.

Example 13. Reicha's outline of a sonata form movement in his *Traité de haute composition musicale*.20

First part, or the exposition of the ideas

- motif or "(mère) idea"
- bridge or passage from idea in the first main
- second main idea in the one idea to another
- accessory ideas new key of the first

First section of the second part

- principal development stop (arrêt) on the main dominant
- modulating without stopping

Second section

- initial motif in the main key
- some passing modulations with ideas from the bridge
- transposition of the second idea to the main key with modifications

Galeazzi does not state how the recapitulation preparation is accomplished. The example of a sonata form movement provided by Galeazzi implies dominant harmony of the main key as shown in Example 14 below. The subsection is two measures long approached from the key of A minor. The modulation to main key C major occurs during the initial measure of the subsection. This recapitulation preparation begins in a key different from the main one and modulates to it during the subsection. It, therefore, can be considered similar to Koch I.


21. Galeazzi's contrived sonata form movement presents only the melody. He gives no indication of harmony, but it can be inferred from the melodic line.
Kollmann, like Galeazzi, provides an example of a development section in a sonata form movement as shown in Example 15 below. Kollmann writes nothing within the text of his treatise about this recapitulation preparation. Kollmann's subsection is similar to Koch II which attains main key dominant harmony. A difference, however, is that Kollmann's subsection begins in the parallel minor mode and attains the main key within the passage.

Example 15. Kollmann's example of a recapitulation preparation in a sonata form movement. 23

Czerny does not mention any manner of recapitulation preparation in his discussion. He does provide an example of a sonata form movement from which the recapitulation preparation can be studied. Czerny cites a sonata by Mozart which he states belongs rather to the class of sonatinas than sonatas. It contains, however, all the essential parts of a complete sonata.24 Using the Mozart work as a model, Czerny then provides a contrived sonata.25 Czerny's example of a sonata contains a five measure recapitulation preparation as shown in Example 16.

Example 16. The model sonata in Czerny's School of Practical Composition.26

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25. Ibid., 42.
26. Ibid., 44.
This example of a recapitulation preparation attains main key dominant harmony. Czerny uses dominant and tonic chords in the subsection.

Marx discusses several first movements from the sonata literature which he considers models of the form. Although he does not discuss specifically the manner of ending the development section as a topic, it can be deduced from his discussion of two sonata form movements. These two movements are Beethoven's Piano Sonata #15 in D major, Opus 28, and Piano Sonata #23 in F minor, Opus 57.

Marx, in his discussion of the Piano Sonata #15 in D major, treats key use when he explains the closing of the development. He states that Beethoven, after a fugato, writes tonic and dominant chords over a dominant pedal point in B minor. 27 This tonic to dominant alternation is the beginning of the recapitulation preparation. After this tonic to dominant passage, Marx states that the closing theme enters in B major, is repeated in B minor, and proceeds to the recapitulation by repeating the final part of this closing theme on the dominant harmony of D major, the main key. 28

28. Ibid.
Example 17. The recapitulation preparation from Beethoven's Piano Sonata #15 in D major as discussed by Marx in *Die Lehre von der musikalischen Komposition.*
This recapitulation preparation begins in a different key from the main one. The subsection eventually attains main key dominant harmony before the recapitulation enters. It is similar to Koch I.

In Marx's discussion of the Piano Sonata #23 in F minor, he states that the development "leads to the last motif," which is the beginning of the recapitulation preparation. It is in main key dominant harmony. The passage proceeds in free arpeggios to a dominant pedal point, at which the recapitulation enters. The preparation attains main key dominant harmony similar to Koch II.

The two kinds of recapitulation preparation found in Marx's discussion are (1) the subsection that begins in a different key and attains main key dominant harmony before the recapitulation and (2) attainment of main key dominant harmony.

**Summary of the Beethoven-era Theorists**

Treatment of the content of the recapitulation preparation by these six theorists is by three approaches: (1) discussion of specific kinds of preparation subsections (Koch and Reicha), (2) examples of preparation

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subsections in a contrived sonata form movement but no statements within the treatise text (Galeazzi, Kollmann, and Czerny), and (3) examples of preparation subsections in sample sonata form movements with explanation in the text (Marx).

Koch's treatise contains the most information of these studied here. He claims that two ways of recapitulation preparation are available. One uses a melodic element that progresses to the recapitulation. Although not specifically stated by Koch, this preparation can begin in a key different from the main one. Both the Galeazzi and Marx treatises contain this kind of recapitulation preparation. They, unlike Koch, provide examples of the preparation in the treatise.

Koch's second kind of recapitulation preparation attains main key dominant harmony. The recapitulation follows the main key dominant harmony statement. Reicha and Marx also state that a dominant pedal point can be used.

Kollmann's example of a recapitulation preparation begins in the parallel minor mode. The main key is then attained before the recapitulation enters. The harmony in the subsection is all dominant harmony (dominant and tonic second-inversion chords).
The categories of recapitulation preparations discussed by the Beethoven-era theorists are given below.

(1) Main key dominant harmony is attained possibly accompanied by a dominant pedal point.

(2) Dominant harmony is attained by beginning in the parallel minor mode, the main key is attained during the subsection.

(3) The subsection begins in a different key and progresses to the main key before the recapitulation enters.

Modern Descriptions

The selected modern theorists treat the recapitulation preparation as a distinct, common passage in the development section. The following extract represents this attitude:

Although classic development sections are not held to any set formula for length, sequence of keys, or material used, one function appears in every development section; that is the preparation for the beginning of the recapitulation.31

The manner of returning to the main key can be accomplished as follows, according to de Stwolinski:

In some manner the last section of the development will anticipate the recapitulation. Often this is done tonally through a long dominant chord, possibly reinforced by a pedal.32

32. de Stwolinski, op. cit., 442.
Use of dominant harmony is the most discussed way, assert contemporary theorists, to prepare for the recapitulation. Leichtentritt\textsuperscript{33} and Kohs\textsuperscript{34} corroborate de Stwolski in asserting that dominant harmony possibly accompanied by a pedal point is a common way of preparing the recapitulation.

Other modern theorists emphasize the role that a passage of dominant harmony performs in tonal music. Berry describes the role as follows:

\begin{quote}
The prolongation of dominant harmony \ldots is one of the most basic tension-producing devices in tonal music. It sets up an air of expectancy which is fulfilled by the reprise of the materials of the exposition. Because the tonic key is not likely to occur during the course of active development, its appearance very frequently heralds the end of the development and the preparation for the recapitulation.\textsuperscript{35}
\end{quote}

Goetschius,\textsuperscript{36} Leichtentritt,\textsuperscript{37} Davie,\textsuperscript{38} and Green\textsuperscript{39} also stress the importance of dominant harmony or dominant prolongations in tonal music. Ratner supplies three ways of constructing the prolongation.

\begin{itemize}
\item[33.] Leichtentritt, \textit{op. cit.}, 135.
\item[34.] Kohs, \textit{op. cit.}, 266.
\item[35.] Berry, \textit{op. cit.}, 193.
\item[36.] Goetschius, \textit{op. cit.}, 169.
\item[37.] Leichtentritt, \textit{op. cit.}, 135.
\item[38.] Davie, \textit{op. cit.}, 79.
\item[39.] Green, \textit{op. cit.}, 204.
\end{itemize}
Such prolongations may consist simply of extensions of the dominant chord or of dominant pedal-points, in which changing harmonies occur over a sustained dominant tone in the bass; they may also consist of patterns of harmonic alternation around a fundamental dominant harmony. The common factor is a strong emphasis on the dominant, not as a key center, but as a chord requiring resolution.40

The long statement of dominant harmony as a chord requiring resolution, therefore, serves effectively the purpose of a recapitulation preparation. This passage of dominant harmony in the recapitulation preparation slows down the tonally active development and, at the same time, establishes an expectancy for the resolution of that harmony to tonic in the recapitulation.

Goetschius discusses a slightly different kind of recapitulation preparation. He calls this kind of subsection the retransition to the restatement of the main key and theme I:

The ultimate aim of the Development is to regain the original key and prepare for the Recapitulation. Therefore, its final section (possibly more than one) is equivalent to the usual retransition, or to the "second act" of that process.41

According to Goetschius a retransition differs slightly from a transition. A transition prepares for

41. Goetschius, op. cit., 152.
the entrance of a new theme, usually for the first time in the movement, while the retransition prepares for the re-entrance of theme I.

The term Re-transition is applied by the author to the passage back into the previous Prin.[sic] Theme, in distinction to the Transition into a new Theme. The process is practically the same in both cases, though a difference in treatment may assert itself, in consequence of the difference in location and aim. The retransition is often longer and more elaborate than the Transition, and not infrequently separates into two or more sections.42

The acts of the retransition to which Geotschius refers are explained in his description of a transition.

The primary object of a transition is to approach the key in which the following Theme is to appear. Its aim is, therefore, usually the dominant harmony of the coming key, since that is the legitimate and most convenient medium through which a tonic may be reached.

The process as a whole is generally divided into two, sometimes very distinct, successive stages or moves (or, as they might aptly be called, "acts"): The first state, or act, consists in leading the harmonies to the desired position,—as stated, usually to the prospective dominant; either the dominant triad, or dom.-7th chord, with root in bass; or the dominant note, in bass, without reference to the chords involved.

The second stage, or act, consists in establishing this dominant, by dwelling upon (or near) it for a few beats or measures, until the most appropriate of effective moment arrives for its resolution into the first melodic member of the new Theme.\textsuperscript{43}

According to Geotschius, there can be two possible types of recapitulation preparation. One employs only dominant harmony\textsuperscript{44} using the second act of the retransition. The other is the retransition itself, consisting of two or more acts; the first act prepares the dominant harmony which is the second act. The second act precedes the restatement of theme I.

**Summary of the Modern Theorists**

The modern theorists discuss two types of recapitulation preparation subsections. One attains main key dominant harmony in one of the following ways:

(1) Only dominant harmony is used in a prolonged statement. (Goetschius, Ratner, Leichtentritt, Davie, Berry, Green, Kohs, and de Stwolinski) The dominant harmony possibly can be accompanied by a dominant pedal point. (Ratner, Kohs, and de Stwolinski)

(2) Changing harmonies are used over a dominant pedal point. (Ratner)

(3) Alternating harmonies are used around a fundamental dominant harmony. (Ratner)

\textsuperscript{43} Goetschius, \textit{op. cit.}, 96.
\textsuperscript{44} \textit{Ibid.}, 169.
A second type is the retransition consisting of two acts. The first act prepares for the main key dominant harmony in the second act. Although not specifically stated by Goetschius, the first act could begin in a different key and modulate to the main key in the second act.

Summary

The categories of recapitulation preparation described by the sources of the two eras are similar. Treatment of the topic, however, is quite different. The modern sources consider the passage more distinctly as a subsection of the development. Several Beethoven-era sources, Galeazzi, Kollmann, and Czerny, do not discuss the subsection. Marx, also, does not specifically treat the topic as a distinct unit, but only as part of the developmental key scheme.

The various categories of recapitulation preparation discussed by the sources can be grouped as follows:

Prolongation of main key dominant harmony:
(1) Only dominant harmony is used (possibly accompanied by a dominant pedal point). (Beethoven era and modern)
(2) Alternating harmonies are used around a fundamental dominant harmony. (modern)
(3) Changing harmonies are used over a dominant pedal point. (modern)
(4) The subsection begins in the parallel minor mode with the main key being attained during the subsection. (Beethoven era)
Retransition:
(1) Those that begin in a different key and modulate to the main key. (Beethoven era and modern)
(2) Those that consist of two acts, the first of which prepares for main key dominant harmony in the second act. (modern)
CHAPTER THREE
IDENTIFICATION OF THE RECAPITULATION
PREPARATION SUBSECTION

Introduction
Identification of the recapitulation preparation subsection beginning is important. The location of the beginning could affect the harmonic and tonal content of the preparation and, eventually, its placement into a category. It is, therefore, vital to the outcome of this study to identify the delineation point as precisely as possible.

Review of the Factors that Determine Subsection Delineation Points
It would be advantageous to review the factors that help determine subsection location. They are as follows:

There may be a change in the thematic material between the subsections.

There may be a different way of presenting the thematic material(s).

There may be changes in:
(1) rhythmic activity
(2) texture
(3) timbre
(4) intensity.

43
Recapitulation Preparation Subsection
Identification Procedure

The forty-nine recapitulation preparation subsections of the sonata form movements used in this study follow in numerical order by genre: the piano sonatas, the string quartets, and the symphonies. Each musical example shows the delineation point of the recapitulation preparation, several measures of the previous subsection, and several measures of the preparation. The number of the beginning measure of the recapitulation preparation is given in a circle at the top of the score. If needed, measure numbers in five-far increments, based on 0-5-10, are given thereafter.

Factors of importance to the identification of the subsection are given below the musical example. The measure number of the preparation beginning is given together with the cadence, whether elided or non-elided, appearing between the subsections. Factors that determine subsection delineation follow in the order below:

(1) a change in the source of thematic material
(2) a change in the presentation of the thematic material
(3) a change in the rhythmic activity
(4) a change in texture
(5) a change in timbre
(6) a change in intensity.
These six factors are cited only if they are applicable to the particular subsection as shown in Example 18 of a preparation identification. The remaining forty-eight subsection identifications follow Example 18 using this approach.

Example 18. The delineation point identification of Beethoven's Piano Sonata #1 in F minor, Opus 2-no. 1.

The subsection begins in measure 93 with the elided cadence: vii⁰/V to V.

Factors that determine subsection beginning are:

1. a change in the source of thematic material to motive "a" and the rhythm of theme I (in brackets)

2. a change in the rhythmic activity from

3. a change in the texture from homophony to a unison dominant pitch.
Example 19. Piano Sonata #2 in A major, Opus 2-no. 2.

The subsection begins in measure 203 with the elided cadence: viid_{5}/V to V.

Factors that determine subsection beginning are:
1. a change in thematic material
2. a change in the rhythmic activity from

Example 20. Piano Sonata #3 in C major, Opus 2-no. 3.

The subsection begins in measure 129 with the elided cadence: augmented sixth chord to V.

Factors that determine subsection beginning are:
1. a change in the source of thematic material
2. a change in the rhythmic activity from

(3) a change in texture from homophony to imitation
(4) a change in intensity from \textbf{forte} chordal syncopation to \textit{piano} imitation.
Example 21. Piano Sonata #4 in E-flat major, Opus 7.

The subsection begins in measure 169 with the elided cadence: viid7/V to i2\(\rightarrow\) V7.

Factors that determine subsection beginning are:

1. a change in the thematic material (closing group to theme I motive "a").
2. a change in rhythmic activity from \(\frac{3}{4}\) to \(\frac{4}{4}\)
Example 22. Piano Sonata #5 in C minor, Opus 10-no. 1.

The subsection begins in measure 158 with the elided cadence: viid7/V to V.

Factors that determine subsection beginning are:
(1) a change in the thematic material (theme II to the "themeless dominant preparation."
(2) a change in the presentation of thematic material from quarter note chord and scale passages to the syncopated dominant pedal point
(3) a change in intensity from fortissimo chord and scale passages to the piano dominant pedal point and right hand descending chords.

Example 23. Piano Sonata #6 in F major, Opus 10-no. 2.

The subsection begins in measure 113 with the elided cadence: augmented sixth to chord to V.

The factor that determines subsection beginning is a change in the presentation of the thematic material (extension of motive "a").

1. Donald Francis Tovey, A Companion to Beethoven's Pianoforte Sonatas (London: Associated Board of R.A.M. & R.C.M., 1931), 50.
Example 24. Piano Sonata #7 in D major, Opus 10—no. 3.

The subsection begins in measure 167 with the elided cadence: augmented sixth chord to V.
Factors that determine subsection beginning are:
(1) a change in the thematic material (motive "a" to ascending scale passages in the bass register)
(2) a change in rhythmic activity from

Example 25. Piano Sonata #8 in C minor, Opus 13.

The subsection begins in measure 167 with the elided cadence: V⁸/V to V.
Factors that determine subsection beginning are:
(1) a change in thematic material (octave scale figures to arpeggiation at "a")
(2) a change in rhythmic activity from
Example 26. Piano Sonata #9 in E major, Opus 14-no. 1.

The subsection begins in measure 81 with the elided cadence: viid/7/V to V.

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the presentation of the thematic material (positioning of the melody from treble to bass register)
(3) a change in rhythmic activity from

Example 27. Piano Sonata #10 in G major, Opus 14-no. 2.

The subsection begins in measure 107 with the elided cadence: augmented sixth chord to V.

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the presentation of thematic material (positioning of the melody from the treble to bass register)
(3) a change in rhythmic activity from
Example 28. Piano Sonata #11 in B-flat major, Opus 22.

The subsection begins in measure 116 with the elided cadence: vii\textsuperscript{7} to V\textsuperscript{7}.

Factors that determine subsection beginning are:

(1) a change in the presentation of the thematic material (augmentation of "a" in measures 115 and 116)

(2) a change in the rhythmic activity from

\begin{music}
\begin{align*}
\begin{align*}
\end{align*}
\end{align*}
\end{music}
Example 29. Piano Sonata #15 in D major, Opus 28.

The subsection begins in measure 219 with the elided cadence: augmented sixth chord to V.

Factors that determine subsection beginning are:
1. a change in the presentation of the thematic material (motive "a" moves to the bass register)
2. a change in the rhythmic activity from \( \frac{4}{4} \) to \( \frac{3}{4} \)
3. a change in texture from homophony to inner voice imitation in inversion.

Example 30. Piano Sonata #16 in G major, Opus 31-no. 1.

The subsection begins in measure 158 with the elided cadence: viio/V to V.

Factors that determine subsection beginning are:
1. a change in the thematic material presentation (scale passages to arpeggiation)
2. a change in intensity from forte scale passages to fortissimo repetition of the one-measure long arpeggio figures ("c").
Example 31. Piano Sonata #17 in D minor, Opus 31-no. 2.

The subsection begins in measure 121 with the elided cadence: augmented sixth chord to V.

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from

Example 32. Piano Sonata #18 in E-flat major, Opus 31-no. 3.

The subsection begins in measure 128 with the elided cadence: V7/IV to IV.

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from
Example 33. Piano Sonata #19 in G minor, Opus 49-
no. 1.

The subsection begins in measure 54 with the elided
cadence: augmented sixth chord to V.
Factors that determine subsection beginning are:
(1) a change in thematic material (theme II to motive
"a")
(2) a change in the rhythmic activity from

Example 34. Piano Sonata #21 in C major, Opus 53.

The subsection begins in measure 136 with the elided
cadence: $V_7^6/V$ to $V$.
Factors that determine subsection beginning are:
(1) a change in thematic material presentation
(2) a change in the rhythmic activity from
Example 35. Piano Sonata #23 in F minor, Opus 57.

The subsection begins in measure 123 with the non-elided cadence: V to viid7.
Factors that determine subsection beginning are:
(1) a change in the thematic material (from a theme to use of arpeggiation)
(2) a change in the rhythmic activity from

Example 36. Piano Sonata #24 in F-sharp major, Opus 78.

The subsection begins in measure 52 with the non-elided cadence: I to I.
Factors that determine subsection beginning are:
(1) a change in thematic material presentation (from motive "a" to motive "b")
(2) a change in the rhythmic activity from

(3) a change in texture from chordal homophony to homophony consisting of scale passages.
Example 37. Piano Sonata #25 in G major, Opus 79.

The subsection begins in measure 111 with the elided cadence: augmented sixth chord to V.
Factors that determine subsection beginning are:
(1) a change in thematic material (from scale passages to chords)
(2) a change in the rhythmic activity from

Example 38. Piano Sonata #26 in E-flat major, Opus 81a.

The subsection begins in measure 94 with the elided cadence: I to V₆.
Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from


Example 39. Piano Sonata #27 in E minor, Opus 90.

The subsection begins in measure 132 with the elided cadence: i₄ to i₆.
Factors that determine subsection beginning are:
(1) a change in the thematic material (from chords to motive "a")
(2) a change in the rhythmic activity from
(3) a change in texture from homophony to canonic imitation of motive "a".

Example 40. Piano Sonata #28 in A major, Opus 101.

The subsection begins in measure 52 with the non-elided cadence: V₅ to V₃.
Factors that determine subsection beginning are:
(1) a change in the thematic material
(2) a change in the rhythmic activity from
Example 41. Piano Sonata #29 in B-flat major, Opus 106.

The subsection begins in measure 213 with the elided cadence: $V^6$ to $V^6$.

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from

\[ \begin{array}{ccc}
\text{\textit{p}} & \text{\textit{p}} & \text{\textit{p}} \\
\text{\textit{f}} & \text{\textit{f}} & \text{\textit{f}} \\
\text{\textit{r}} & \text{\textit{r}} & \text{\textit{r}}
\end{array} \]

(3) a change in texture from homophony to imitation.

Example 42. Piano Sonata #30 in E major, Opus 109.

The subsection begins in measure 36 with the elided cadence: $V/V$ to $V$.

The factor that determines the subsection beginning is solely the attainment of main key dominant harmony.
Example 43. Piano Sonata #32 in C minor, Opus 111.

The subsection begins in measure 86 with the elided cadence: vii\(^{10}\)\(^7\)/V to V.

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from

Example 44. String Quartet #1 in F major, Opus 18-
no. 1.

The subsection begins in measure 167 with the elided cadence: augmented sixth chord to V.

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from
Example 45. String Quartet #2 in G major, Opus 18-no. 2.

The subsection begins in measure 141 with the elided cadence: vii$^0$ to V.
Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from
    \[\begin{align*}
    \text{Example 46. String Quartet #3 in D major, Opus 18-no. 3.}
    
    \text{The subsection begins in measure 150 with the elided cadence: augmented sixth chord to V.}
\end{align*}\]

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from

Example 47. String Quartet #4 in C minor, Opus 18-no. 4.

The subsection begins in measure 128 with the elided cadence: augmented sixth chord to V.
Factors that determine subsection beginning are:
1. a change in the thematic material (from scale passages to arpeggiation)
2. a change in the rhythmic activity from
3. a change in texture from imitation to homophony.

Example 48. String Quartet #5 in A major, Opus 18-no. 5.

The subsection begins in measure 127 with the non-elided cadence: i to V.
Factors that determine subsection beginning are:
1. a change in the source of thematic material
2. a change in the rhythmic activity from
3. a change in texture from homophony to imitation.
Example 49. String Quartet #6 in B-flat major, Opus 18-no. 6.

The subsection begins in measure 151 with the elided cadence: $V_5^6/V$ to $V$.

Factors that determine subsection beginning are:
(1) a change in the rhythmic activity from

(2) a change in texture from homophony to paired imitation.

Example 50. String Quartet #7 in F major, Opus 59-no. 1.

The subsection begins in measure 243 with the non-elided cadence: $I^6$ to $IV$.

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from
Example 51. String Quartet #8 in E minor, Opus 59-no. 2.

The subsection begins in measure 133 with the elided cadence: $V_6^5$ to $i$.

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from

Example 52. String Quartet #9 in C major, Opus 59-no. 3.

The subsection begins in measure 144 with the elided cadence: $V_3^2$ to $V_3^3$.

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from
Example 53. String Quartet #10 in E-flat major, Opus 74.

The subsection begins in measure 101 with the non-elided cadence: V to V.
Factors that determine subsection beginning are:
(1) a change in thematic material (from motive "a" to arpeggiation)
(2) a change in the rhythmic activity from \( \frac{3}{4} \) to \( \frac{2}{4} \)

Example 54. String Quartet #11 in F minor, Opus 95.

The subsection begins in measure 77 with the elided cadence: i6 to V.
Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from...
Example 55. String Quartet #12 in E-flat major, Opus 127.

The subsection begins in measure 147 with the elided cadence: viio to I.

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from

Example 56. String Quartet #15 in A minor, Opus 132.

The subsection begins in measure 111 with the elided cadence: V7 to viid⁴.

The factor that determines the subsection beginning is a change in the rhythmic activity from
Example 57. String Quartet #16 in F major, Opus 135.

The subsection begins in measure 95 with the non-elided cadence: I to I. Factors that determine subsection beginning are:
(1) a change in the rhythmic activity from \( \text{mm} \) to \( \text{mm} \),
(2) an increase in intensity (shown by the arrow and brackets).

Example 58. Symphony #1 in C major, Opus 21.

The subsection begins in measure 171 with the non-elided cadence: V to V. Factors that determine subsection beginning are:
(1) a change in thematic material
(2) a change in the presentation of thematic material from chordal homophony to homophony using only octaves
(3) a change in the rhythmic activity from \( \text{mm} \) to \( \text{mm} \).
The subsection begins in measure 198 with the elided cadence: viid7/V to V.
Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from
(3) a change in intensity from repeated eight-notes to moving scale passages.
Example 60. Symphony #3 in E-flat major, Opus 55.

The subsection begins in measure 338 with the elided cadence: i to V.
Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from
(3) a change in timbre from strings to strings/woodwinds.

Example 61. Symphony #4 in B-flat major, Opus 60.

The subsection begins in measure 307 with the elided cadence: augmented sixth chord to I\textsuperscript{6}.
Factors that determine subsection beginning are:
(1) a change in the presentation of thematic material (from arpeggiation to sustained tones)
(2) a change in the rhythmic activity from to
Example 62. Symphony #5 in C minor, Opus 67.

The subsection begins in measure 240 with the elided cadence: viid\(7\) to viid\(7\).

Factors that determine subsection beginning are:

(1) a change in the source of thematic material
(2) a change in the rhythmic activity from

\[
\begin{array}{c}
\text{Example 63. Symphony #6 in F major, Opus 68.}
\end{array}
\]

The subsection begins in measure 275 with the elided cadence: \(V_6\) to IV.

Factors that determine subsection beginning are:

(1) a change in the source of thematic material to motive "a"
(2) a change in the rhythmic activity from

\[
\begin{array}{c}
\end{array}
\]

(3) a change in timbre from strings/woodwinds to only strings.
Example 64. Symphony #7 in A major, Opus 92.

The subsection begins in measure 268 with the elided cadence: $\text{vi}i^{\text{II}_4}$ to $\text{vii}^0$.  

Factors that determine subsection beginning are:
(1) a change in the presentation of thematic material from imitation between the strings/woodwinds to the stating of the motives in octaves
(2) a change in timbre from woodwinds/strings to only strings.

Example 65. Symphony #8 in F major, Opus 93.

The subsection begins in measure 184 with the elided cadence: $\text{vi}i^{\text{II}_4}/V$ to $\text{vii}^{\text{III}_4}/V$.  

The factor that determines subsection beginning is only a change in the rhythmic activity from
Example 66. Symphony #9 in D minor, Opus 125.

The subsection begins in measure 301 with the elided cadence: V to I♭.

Factors that determine subsection beginning are:
(1) a change in the source of thematic material
(2) a change in the rhythmic activity from ⬃ to ⬃
Summary

The delineation points of the forty-nine subsections are predominantly elided. Forty-two subsections show elision while seven do not.

The most used chord succession between subsections is the secondary dominant harmony of the dominant to the dominant (12) and an augmented sixth chord followed by a form of dominant harmony (12). Eight of the secondary dominant of the dominant chords are vii\(^X\)/V forms while the remaining four are V\(^X\)/V. Fifteen delineation points do not use any change in harmony.

Eleven of these involve dominant harmony retention.

Table 2 shows the entrances used by Beethoven.

Table 2. Chord successions used by Beethoven leading to the recapitulation preparation.

<table>
<thead>
<tr>
<th>Succession</th>
<th>Number of times used</th>
</tr>
</thead>
<tbody>
<tr>
<td>Same harmony retained between subsections</td>
<td>15</td>
</tr>
<tr>
<td>(dominant harmony to dominant harmony = 11,</td>
<td></td>
</tr>
<tr>
<td>tonic to tonic = 3, vii(^d7)/V to vii(^d7)/V = 1)</td>
<td></td>
</tr>
<tr>
<td>Secondary dominant of the dominant to the</td>
<td>12</td>
</tr>
<tr>
<td>dominant</td>
<td></td>
</tr>
<tr>
<td>(vii(^X)/V = 8, V(^X)/V = 4)</td>
<td></td>
</tr>
<tr>
<td>Augmented sixth chord to dominant harmony</td>
<td>12</td>
</tr>
<tr>
<td>Tonic to dominant harmony</td>
<td>4</td>
</tr>
<tr>
<td>(I to V = 3, I to V = 1)</td>
<td></td>
</tr>
<tr>
<td>Dominant harmony to tonic</td>
<td>2</td>
</tr>
<tr>
<td>(V to I = 1, V to I = 1)</td>
<td></td>
</tr>
<tr>
<td>V(^7)/IV to IV</td>
<td>1</td>
</tr>
<tr>
<td>I to IV</td>
<td>1</td>
</tr>
<tr>
<td>V to IV</td>
<td>1</td>
</tr>
<tr>
<td>vii(^0) to I</td>
<td>1</td>
</tr>
<tr>
<td>TOTAL</td>
<td>49</td>
</tr>
</tbody>
</table>
Thirty-nine (39) recapitulation preparations begin on dominant harmony. Those that do not either begin on a tonic (6), subdominant (3), or a secondary dominant of the dominant (viid7/v) harmony (1).

The most predominant change between subsections is in rhythmic activity (43). Thirty-six (36) change in thematic material while twelve (12) change in thematic material presentation. Eleven (11) change in texture, four (4) in intensity, and only three (3) in timbre.

Three (3) delineation points show only one change from the previous subsection. Two of these change in rhythmic activity (the String Quartet #15 and Symphony #8) while one changes in thematic material presentation (the Piano Sonata #6). One delineation point does not show any change (the Piano Sonata #30). In this case the arrival of main key dominant harmony was used to determine the beginning of the subsection.
CHAPTER FOUR

PROLONGATION PREPARATIONS

Introduction

Prolongation of main key dominant harmony is an often discussed manner of preparing for the recapitulation section. This recapitulation preparation reaches dominant harmony and a prolonged statement of that harmony follows. The prolongation recapitulation preparations discussed by the sources are reviewed below.

Prolongation of main key dominant harmony using:
(1) only dominant harmony (possibly accompanied by a dominant pedal point)
(2) alternating harmonies around a dominant harmony
(3) changing harmonies over a dominant pedal point
(4) a passage that begins in the parallel mode with the main key being attained during the subsection.

The characteristic feature of these preparations is the attainment and prolongation of main key dominant harmony.

Using this concept of dominant harmony prolongation as a basis, the selected sonata form movements were analyzed. Harmonically and tonally similar recapitulation
preparations were placed into categories. Five categories of recapitulation preparations based on harmony prolongation resulted. Three use main key dominant harmony prolongation. The other two use (1) dominant harmony prolongation on a different key level and (2) non-dominant harmony prolongation. The five categories of prolongations and the labels given are:

(1) main key dominant harmony prolongation
(2) embellished main key dominant harmony prolongation
(3) embellished main key dominant harmony prolongation with a change-of-mode (minor to major)
(4) embellished dominant harmony on a different key level
(5) non-dominant harmony prolongation.

**Main Key Dominant Harmony Prolongation**

A direct way to prepare for the recapitulation section is to use only main key dominant harmony. The plan of this category of preparation is to attain main key dominant harmony and use no other harmonies. Six preparations of this type are contained in these sonata form movements: two in the piano sonatas, three in the string quartets, and one in the symphonies.
Example 67. Harmonic plans of the main key dominant harmony prolongation preparations.
Example 67.

Piano Sonata #11 in B♭ major, Opus 22

Piano Sonata #23 in F minor, Opus 57

String Quartet #1 in F major, Opus 18-no. 1

String Quartet #4 in C minor, Opus 18-no. 4

String Quartet #10 in E♭ major, Opus 74

Symphony #5 in C minor, Opus 67
The subsections attain main key dominant harmony and a prolonged statement follows. The resolution of the dominant harmony is at the recapitulation where tonic enters.

**Embellished Main Key Dominant Harmony Prolongation**

The embellished main key dominant harmony prolongations also attain main key dominant harmony. Unlike the main key dominant harmony prolongation, this preparation uses other harmonies to embellish the dominant harmony. Both diatonic and chromatic harmony of the main key system are used. Sixteen preparations of this type are contained in these sonata form movements: ten in the piano sonatas, six in the string quartets, and none in the symphonies.
Example 68. Harmonic plans of half (8) the embellished main key dominant harmony prolongation preparations.
Example 69. Harmonic plans of the remaining eight (8) embellished main key dominant harmony prolongation preparations.
All of the preparations have a dominant chord as the first harmony. All but one, the Piano Sonata #17 in D minor, have dominant harmony as the final one.

**Those Preparations that Use Harmonic Alternation**

Four of these sixteen preparations use plans involving harmonic alternation. Secondary dominant harmony of the dominant is used in all four. The harmonic alternation also is used above a dominant pedal point in three of the preparations.

These four preparations that use harmonic alternation are considered a subcategory of the embellished main key dominant harmony prolongations. The harmonic content of the four belongs to this category. The harmonic structure, however, shows more organization as a result of the harmonic alternation. They have been placed into this subcategory because of the more organized content.
Example 70. Harmonic plans of the preparations using harmonic alternation.
Those Preparations that Use Harmonic Cycling

Several other of the embellished main key dominant harmony preparations use harmonic cycling. These subsections have passages that repeat a cycle of harmony. They do not consist entirely of harmonic cycling. Like the preparations that use harmonic alternation, these subsections belong to the embellished main key dominant harmony category. They, too, are considered a subcategory of those preparation subsections.
Example 71. The preparations using harmonic cycles.

Piano Sonata \#4 in E♭ major,
Opus 7

Piano Sonata \#15 in D major,
Opus 28

Piano Sonata \#28 in A major,
Opus 101

Piano Sonata \#29 in B♭ major,
Opus 106

String Quartet \#16 in F major,
Opus 135

Symphony \#1 in C major,
Opus 21

Symphony \#2 in D major,
Opus 36
Embellished Dominant Harmony Prolongation with a Change-of-mode (Minor to Major)

Main key dominant harmony prolongation in this preparation begins in the parallel minor mode. The main key is attained during the subsection. Seven recapitulation preparations are contained in these sonata form movements: five in the piano sonatas, none in the string quartets, and two in the symphonies.
Example 72. Harmonic plans of the embellished dominant harmony prolongations with a change-of-mode (minor to major).
Example 72.

Piano Sonata #2
in A major,
Opus 2-no. 2

Piano Sonata #7
in D major,
Opus 10-no. 3

Piano Sonata #9
in E major,
Opus 14-no. 1

Piano Sonata #16
in G major,
Opus 31-no. 1

Piano Sonata #21
in C major,
Opus 53

Symphony #3
in E major,
Opus 55

Symphony #7
in A major,
Opus 92
Embellished Dominant Harmony on a Different Key Level

Dominant harmony prolongation also is a characteristic of this recapitulation preparation. The dominant harmony attained, however, is on a different key level from the main key. The harmony is embellished throughout the subsection, or it modulates to another key where that dominant harmony is embellished. An abrupt shift to the main key appears at the beginning of the recapitulation section. Three preparations of this type are contained in these sonata form movements: one in the piano sonatas, two in the string quartets, and none in the symphonies.
Example 73. Harmonic and tonal plans of the preparations that embellish dominant harmony on a different key level.
Non-dominant Harmony Prolongation

This prolongation uses a statement of main key non-dominant harmony to prepare the recapitulation section. Little or no harmony change is used in these subsections. Five preparations of this type are contained in these sonata form movements: two in the piano sonatas, none in the string quartets, and three in the symphonies.
Example 74. Harmonic plans of the non-dominant harmony prolongation preparations.

Piano Sonata #18 in Eb major, Opus 31-no. 3

Piano Sonata #27 in E minor, Opus 90

Symphony #4 in Bb major, Opus 60

Symphony #6 in F major, Opus 68

Symphony #9 in D minor, Opus 125
**Summary**

Prolongation of a harmony is the characteristic feature of these recapitulation preparation subsections. The harmony reached at the beginning of the preparation is that which is prolonged. Five categories of prolongations are used by Beethoven in the sonata form movements. They are: (1) main key dominant harmony prolongation, (2) embellished main key dominant harmony prolongation, (3) embellished main key dominant harmony prolongation with a change-of-mode (minor to major), (4) embellished dominant harmony on a different key level, and (5) non-dominant harmony prolongation. Example 75 shows the representation of the harmonic and tonal features of these preparations.
Example 75. Graphic illustration of the five prolongation recapitulation preparations.

<table>
<thead>
<tr>
<th>Main key dominant harmony prolongation</th>
<th>main key: V harmony $\rightarrow$ V</th>
<th>Tonic harmony</th>
</tr>
</thead>
<tbody>
<tr>
<td>Embellished main key dominant harmony prolongation</td>
<td>main key: V harmony $\rightarrow$ V (with other main key harmonies, possible harmonic alternation, possible harmonic cycling, and possible dominant pedal points)</td>
<td>Tonic harmony</td>
</tr>
<tr>
<td>Embellished main key dominant harmony prolongation with a change-of-mode</td>
<td>parallel minor mode: V harmony $\rightarrow$ V change-of-mode (with other harmonies and possible dominant pedal point)</td>
<td>Tonic harmony</td>
</tr>
<tr>
<td>Embellished dominant harmony on a different key level</td>
<td>key other than the main key or parallel minor mode: V harmony $\rightarrow$</td>
<td>Shift to the main key (tonic harmony)</td>
</tr>
<tr>
<td>Non-dominant harmony prolongation</td>
<td>main key: I, ii, or IV harmony $\rightarrow$</td>
<td>Tonic or supertonic (ii) harmony</td>
</tr>
</tbody>
</table>
CHAPTER FIVE

RETRANSITION PREPARATIONS

Introduction

A retransition preparation subsection differs from a prolongation in one way. The prolongation preparation reaches a harmonic level at the subsection beginning and remains there until the recapitulation enters. A variant of this is the preparation that reaches a harmonic level in a key different from the recapitulation. There is an abrupt shift to the main key at the recapitulation entrance. The prolongation, therefore, attains a harmonic level at the beginning of the subsection and remains on that harmonic level.

The dominant harmony of the key being established is attained during the subsection in a retransition preparation. The retransition, as a result of this, consists of two acts. The first act prepares for the entrance of dominant harmony. The second act is the dominant harmony of the key being established. This

1. The term act is from Goetschius, The Larger Forms of Musical Composition (New York: G. Schirmer, 1915), 96.
dominant harmony may or may not be in the main key since some recapitulations do not begin there.

Three categories of retransition recapitulation preparations are found in these sonata form movements. They have been given the following labels: (1) dominant harmony attainment by the main key, (2) different key dominant harmony attainment by a change-of-mode, and (3) dominant harmony attainment by modulation(s).

Dominant Harmony Attainment by the Main Key

The preparation begins and remains in the main key. The first act is a chord succession in the main key leading to the dominant harmony attainment. The second act is that harmony. Four recapitulation preparations are contained in these sonata form movements: one in the piano sonatas, two in the string quartets, and one in the symphonies.
Example 76. Harmonic plans of the dominant harmony attainment by main key preparations.

Piano Sonata #24 in F# major, Opus 78

String Quartet #1 in F major, Opus 18-no. 1

String Quartet #8 in E minor, Opus 59-no. 2

Symphony #8 in F major, Opus 93
The chord succession in the first act may temporarily suspend the main key as in the String Quartet #7 in F major preparation. This is accomplished by a chain of diminished chords. Although the main key is suspended, there is no modulation to another key.

**Different Key Dominant Harmony Attainment by a Change-of-mode**

The recapitulation preparation does not use the main key or its dominant harmony. It begins in the parallel minor mode of the recapitulation. The first act in the parallel minor mode prepares for the entrance of second act dominant harmony. The change-of-mode is at the beginning of the recapitulation section. Only one preparation of this category is found throughout these sonata form movements: the Piano Sonata #6 in F major, Opus 10-no. 2.

Example 77. The different key dominant harmony attainment by a change-of-mode preparation in the Piano Sonata #6 in F major, Opus 10-no. 2.
Dominant Harmony Attainment
by Modulation(s)

The beginning key in the preparation is different from the ultimate one. Modulation can establish either another key or proceed to the main key. Modulation to the main key is confirmed by the recapitulation since the preparation usually only reaches dominant harmony. The first act is always in a different key or keys and prepares for modulation to the main key in the second act.

Seven recapitulation preparations of this category are contained in these sonata form movements: four in the piano sonatas, one in the string quartets, and two in the symphonies. Two of these, the Piano Sonata #4 in Eb major and the String Quartet #16 in F major, use two keys prior to the main key; the others use only one.

Five of the seven preparations reach main key dominant harmony in the second act. The preparation from the Piano Sonata #28 in A major reaches main key dominant harmony by the parallel minor mode. A change-of-mode is used in the recapitulation section to state the main key, A major.

The recapitulation preparation from the Piano Sonata #29 in Bb major does not reach main key dominant harmony. An enharmonic modulation is used to state the
root and fifth (a perfect fourth $F^\#$ to $B^b$) of a possible tonic chord in the final measure of the subsection. This interval can be considered a second-inversion tonic chord and, therefore, a form of dominant harmony (see Chapter One, page 12).
Example 78. Harmonic and tonal plans of the dominant harmony attainment by modulation(s) preparations.

Piano Sonata \#5 in C minor,
Opus 10-no. 1

Piano Sonata \#8 in C minor,
Opus 13

Piano Sonata \#10 in G major,
Opus 14-no. 2

Piano Sonata \#30 in E major,
Opus 109

Piano Sonata \#32 in C minor,
Opus 111

String Quartet \#11 in F minor,
Opus 35
Summary

The retransition recapitulation preparation does not initially attain dominant harmony. The subsection consists of two acts. The first act usually leads the subsection to dominant harmony; the second act is that harmony.

Three categories of retransition preparations are contained in Beethoven's sonata form movements. The dominant harmony attainment by the main key begins and remains in that key. A second, the different key dominant harmony attainment by a change-of-mode, begins in the parallel minor mode of the recapitulation key. Dominant harmony of that key is attained in the second act. A change-of-mode at the beginning of the recapitulation section attains the recapitulation key. A third category of retransitions, the dominant harmony attainment by modulation(s) preparation, uses at least two keys. It begins in a key different from the main key. Modulation either establishes another key or prepares main key dominant harmony in the second act.
Example 78. The graphic plans of the retransition recapitulation preparations.

<table>
<thead>
<tr>
<th>Preparation</th>
<th>Act I</th>
<th>Act II</th>
<th>Recapitulation</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dominant harmony attainment by the main key</td>
<td>main key progression</td>
<td>V harmony</td>
<td>Tonic</td>
</tr>
<tr>
<td>Different key dominant harmony attainment by a change-of-mode</td>
<td>parallel minor key to recapitulation key</td>
<td>V harmony of the recapitulation key</td>
<td>Tonic of the recapitulation key</td>
</tr>
<tr>
<td>Dominant harmony attainment by modulation(s)</td>
<td>key different from main key (modulation to another key or to)</td>
<td>the main key by usually V harmony</td>
<td>Tonic</td>
</tr>
</tbody>
</table>
CHAPTER SIX

SUMMARY AND CONCLUSIONS

The final subsection of the development terminates it and prepares for the recapitulation. This subsection ends the harmonic and tonal expansion characteristic of the development and prepares harmonically, tonally, and in other ways for the recapitulation. Since the subsection serves this purpose the name recapitulation preparation have been formulated for it.

Selected theoretical literature from two eras, specifically the Beethoven era (Koch, 1793, to Marx, 1851) and the modern era (Goetschius, 1915, to de Stwolinski, 1977), were reviewed to identify harmonic and tonal factors of the prototypical recapitulation preparation subsection. The review resulted in two basic categories of recapitulation preparations. One, the prolongation, attains main key dominant harmony with a prolonged statement of that harmony following. A second, the retransition, is a slight variation of the first and consists of two acts. The first act prepares for main key dominant harmony and the second act attains that harmony.
These two categories of recapitulation preparations show slightly varied discussion by the theorists. The description of these preparations are summarized below.

Prolongation of main key dominant harmony:
(1) Only dominant harmony is used (possibly accompanied by a dominant pedal point).
(2) Alternating harmonies are used around a central dominant harmony.
(3) Changing harmonies are used over a dominant pedal point.
(4) The subsection begins in the parallel minor mode; the main key is attained during the subsection.

Retransitions:
(1) Those that begin in a different key and modulate to the main key.
(2) Those that consist of two acts, the first prepares for main key dominant harmony, the second attains it.

Forty-nine sonata form movements by Beethoven were analyzed. Harmonically and tonally similar preparations were placed into categories using the above information as a basis. The two kinds of recapitulation preparations prolongations and retransitions, remained. Each of these, however, was categorized further resulting in five different types of prolongation categories and three retransition categories. The labels given them were based on harmonic and tonal characteristics and are:

Prolongations:
(1) main key dominant harmony prolongation
(2) embellished main key dominant harmony prolongation
(3) embellished main key dominant harmony with a change-of-mode
(4) embellished dominant harmony on a different key level, and
(5) non-dominant harmony prolongation.

Retransitions:
(1) dominant harmony attainment by the main key
(2) different key dominant harmony attainment by a change-of-mode, and
(3) dominant harmony attainment by modulation(s).

The basis of the categorizing system is use of harmony and tonality in the subsection. Dominant harmony use, an often discussed feature of this subsection, produced various categories of recapitulation preparation: (1) main key dominant harmony prolongation, (2) embellished main key dominant harmony prolongation, and (3) dominant harmony attainment by the main key (retransition). Other factors, non-dominant harmony, the parallel minor key, and different key use, produced the remaining subsection categories: (1) embellished main key dominant harmony prolongation with a change-of-mode, (2) embellished dominant harmony on a different key level, (3) non-dominant harmony prolongation, (4) different key dominant harmony attainment by a change-of-mode (retransition), (5) dominant harmony attainment by modulation(s) (retransition).

The categorizing system clarifies the harmonic and tonal content of the recapitulation preparation subsection in two ways. First, the various ways of using
main key dominant harmony are treated. Second, it reveals the use of harmonic and tonal features not generally considered characteristic of the subsection.

Use of main key dominant harmony occurs in both the prolongation and retransition categories of preparation. In the prolongations dominant harmony was used in three ways: (1) only main key dominant harmony, (2) embellished main key dominant harmony, and (3) embellished main key dominant harmony with a change-of-mode. Dominant harmony use in the retransitions is slightly different from the prolongations. The dominant harmony is attained during the second act of the subsection and can be prepared in the first act by the main key or a different key (or keys).

The use of a different key (or keys) to prepare main key dominant harmony reveals harmonic and tonal features generally not considered as characteristic of the subsection. These are the use of the other key(s) and non-dominant harmony. The other key(s) can prepare main key dominant harmony as stated previously or it can prepare the dominant harmony of the goal key of the preparation. The goal key also can be prepared by change-of-mode from its parallel minor.

Another feature generally not considered by the theorists is the exclusive use of a harmony other than
main key dominant harmony, specifically non-dominant harmony. This non-dominant harmony (subdominant, supertonic, or tonic harmony) may be used throughout the subsection.

This new system of categorizing recapitulation preparation subsections serves two primary functions. First, it is a category system that classifies the various ways of recapitulation preparation. Second, it reveals the various ways of using harmony and tonality in the subsection.

_Preparations Found in the Literature and the Preparations Generated from Analysis_

The review of the sources revealed six ways of recapitulation preparation. The eight categories formulated by analyzing the sonata form movements were based on the six found in the sources. Two of the new preparation categories, however, were not treated in these sources. The following table shows which of the eight recapitulation preparations were considered in these sources.
Table 3. The recapitulation preparations treated in the sources.

\[ x = \text{treatment} \]

<table>
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<tr>
<th>Preparation categories</th>
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</table>
Ratner's work discussed three ways of using dominant harmony. In this system two of these ways, alternating harmony over a dominant pedal point and changing harmonies around a central dominant harmony, are both part of the embellished main key dominant harmony prolongation while the third is the prolongation of main key dominant harmony.

Prolongation Recapitulation Preparations

The prolongation recapitulation preparation is characterized by a long statement of a particular harmony, many times main key dominant. The harmony is attained initially in the preparation and remains the central harmony throughout the subsection. There are five ways of prolonging a harmony in this category of preparations.

(1) **Main Key Dominant Harmony Prolongation**

This is, perhaps, the most direct and simple way of preparing for the recapitulation. The preparation begins on main key dominant harmony and no other harmonies are used in the subsection.

(2) **Embellished Main Key Dominant Harmony Prolongation**

Main key dominant harmony is also attained in this preparation. It is embellished, however, by other main key diatonic and chromatic harmonies. Many times
secondary dominant harmony of the dominant is used. Harmonic cycling and alternation also are used and usually occur over a dominant pedal point.

(3) Embellished Main Key Dominant Harmony Prolongation with a Change-of-mode

This preparation attains main key dominant harmony by beginning in the parallel minor mode. The shift to the main key occurs during the subsection so that the recapitulation always enters in that key.

(4) Embellished Dominant Harmony on a Different Key Level

The embellished dominant harmony of this preparation is not main key. The subsection attains the dominant harmony of a different key and a prolonged statement follows. The shift to the main key is at the recapitulation section.

(5) Non-dominant Harmony Prolongation

The harmony attained by this prolongation is not main key dominant, but subdominant, supertonic, or tonic harmony. A prolonged statement of the particular non-dominant harmony attained follows.
Retransition Recapitulation Preparations

The retransition recapitulation preparation also attains dominant harmony, but not initially in the subsection. The preparation consists of two acts. The first act prepares for the entrance of the dominant harmony in the second act. There are three categories of retransition recapitulation preparation subsections.

(1) **Dominant Harmony Attainment by the Main Key**

This retransition preparation is in the main key. The first act is a chord succession preparing for main key dominant harmony in the second act.

(2) **Dominant Harmony Attainment by a Change-of-mode**

The first act of the preparation begins in the parallel minor mode of the recapitulation key. The second act is the dominant harmony of that key. The change-of-mode to the recapitulation key is at the entrance of the section.

(3) **Dominant Harmony Attainment by Modulation(s)**

The beginning of the preparation is in a different key from main key. It then either modulates to another key or prepares for main key dominant harmony. The confirmation is in the recapitulation section.
Preparation Use

The majority of preparations are prolongations: thirty-seven (37) of the forty-nine (49) examples. The most used is the embellished main key dominant harmony prolongation, sixteen or nearly a third of the examples. The least used is a retransition type, the dominant harmony attainment by a change-of-mode, one example. Table 4 shows preparation use in the forty-nine sonata form movements considered.
Table 4. Preparation use.

<table>
<thead>
<tr>
<th>Preparation category</th>
<th>Sonatas</th>
<th>Quartets</th>
<th>Symphonies</th>
<th>Total</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Prolongations:</strong></td>
<td></td>
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</tr>
<tr>
<td>Main key dominant harmony</td>
<td>2</td>
<td>3</td>
<td>1</td>
<td>6</td>
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<td>Embellished main key dominant harmony</td>
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<td>Embellished dominant harmony on a different key level</td>
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<td>2</td>
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<td>Non-dominant harmony</td>
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<td>5</td>
</tr>
<tr>
<td><strong>PROLONGATION TOTALS</strong></td>
<td><strong>20</strong></td>
<td><strong>11</strong></td>
<td><strong>6</strong></td>
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<td><strong>Retransitions:</strong></td>
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<td>1</td>
<td>4</td>
</tr>
<tr>
<td>Dominant harmony attainment by a change-of-mode</td>
<td>1</td>
<td>0</td>
<td>0</td>
<td>1</td>
</tr>
<tr>
<td>Dominant harmony attainment by modulation(s)</td>
<td>4</td>
<td>1</td>
<td>2</td>
<td>7</td>
</tr>
<tr>
<td><strong>RETRANSITION TOTALS</strong></td>
<td><strong>6</strong></td>
<td><strong>3</strong></td>
<td><strong>3</strong></td>
<td><strong>12</strong></td>
</tr>
</tbody>
</table>
Hypothetical Recapitulation Preparations

Figure I below shows the harmonic and tonal features of the eight categories of recapitulation preparation subsections generated from the analysis of the sonata form movements. It shows the different ways they are used. The arrows represent those recapitulation preparations that combine two or more features. The numbers before the features correspond to the preparation that uses that particular harmonic or tonal feature.
Figure I. The harmony and tonality of the eight recapitulation preparations categorized by analysis

The following figure balances the various harmonic and tonal features between the preparations that end in the main key (above the broken line) and those that end in a different key (below the broken line). For each feature in the main key in the top half of the figure a similar feature in a different key is represented in the bottom half.
Figure II. The completed harmonic and tonal features.
Four new features were added in the bottom half of the figure: (1) non-dominant harmony in a different key, (2) use of a passage of harmony in a different key to attain the dominant harmony of that key, (3) use of a different key (or keys) to attain the dominant harmony of the goal key, and (4) the embellished dominant harmony of a different key by harmonies in its parallel minor mode.

The new features in the bottom half result in five new categories of possible recapitulation preparations. One of these new preparations already has its feature in a box, the dominant harmony in a different key. There is, however, no preparation in these sonata form movements that uses only this feature, thus resulting in the fifth preparation. The five hypothetical recapitulation preparations are:

(1) different key dominant harmony prolongation
(2) non-dominant harmony in a different key prolongation
(3) embellished different key dominant harmony with a change-of-mode prolongation
(4) different key dominant harmony attainment by a passage in that key retransition
(5) a different key dominant harmony attainment by modulation(s) retransition.

One box was added to the top half of the figure, use of the parallel minor mode to attain main key dominant harmony. This resulted in one new recapitulation preparation in the main key. It is a retransition category.
Indicates an hypothesized recapitulation preparation

(1) Main key dominant harmony prolongation
(2) Embellished main key dominant harmony prolongation
(3) Embellished main key dominant harmony with a change-of-mode prolongation
(4) Non-dominant harmony prolongation
(5)* Different key dominant harmony prolongation
(6) Embellished dominant harmony on a different key level prolongation
(7)* Embellished dominant harmony on a different key level with a change-of-mode prolongation
(8)* Non-dominant harmony on a different key level prolongation
(9) Dominant harmony attainment by the main key retransition
(10) Dominant harmony attainment by modulation(s) retransition
(11)* Dominant harmony attainment by a change-of-mode retransition
(12)* Different key dominant harmony attainment by a passage in that key retransition
(13)* Different key dominant harmony attainment by modulation(s) retransition
(14) Different key dominant harmony attainment by a change-of-mode retransition

Figure III. The completed harmonic and tonal features with hypothesized preparations.
The preceding hypothesized preparation subsections would balance the figure of harmonic and tonal features into an equal number of main key forms and different key forms. The six new possible preparations result in three prolongations and three retransitions.

The balancing of the figure is hypothetical. If it indeed can be balanced between the main key and different key categories, then these six hypothesized preparations may exist in other composers' works or even in other works by Beethoven not included in this study. There is reason to believe that further research will reveal uses of these hypothesized preparations.

The six hypothetical recapitulation preparations brings the total available, both found and hypothesized, to fourteen. They are:

Prolongations:
(1) main key dominant harmony
(2) embellished main key dominant harmony
(3) embellished main key dominant harmony with a change-of-mode
(4) non-dominant harmony
(5) different key dominant harmony
(6) embellished dominant harmony on a different key level
(7) embellished dominant harmony on a different key level with a change-of-mode
(8) non-dominant harmony on a different key level
Retransitions:
(1) dominant harmony attainment by the main key
(2) dominant harmony attainment by modulation(s)
(3) dominant harmony attainment by a change-of-mode
(4) different key dominant harmony attainment by a passage in that key
(5) different key dominant harmony attainment by modulation(s)
(6) different key dominant harmony attainment by a change-of-mode.

Conclusions

Beethoven's harmonic and tonal techniques for preparing for recapitulation as found in the first movements of his piano sonatas, string quartets, and symphonies have been identified, categorized, and arranged in a logical order. This order shows that his range of harmonic and tonal techniques were not accounted for in the representative theoretical literature.

The results of this study provide a basis for the study of techniques of recapitulation preparation in:

(1) Beethoven's other multi-movement works whose first movements are in sonata form;
(2) middle and final movements of his entire output of such compositions;
(3) his single-movement compositions in sonata form.

In multi-movement compositions the textures and tempos of middle and final movements in sonata form, for example, are typically different from those found
in the first movement. These and other differences may influence the kind of preparation used.

These extended studies of preparations in the entire range of Beethoven's music will provide, at once, more knowledge of Beethoven's compositional techniques and a test of this category system.

The results shown here and in these extended studies will provide a basis for the comparative study of recapitulation preparation techniques throughout the range of tonal compositions in sonata form by Beethoven's predecessors, contemporaries, and successors.

In this study, considerations of the source and treatment of material in these preparations was incidental. The study of such compositional techniques will add to our understanding of how developmental activity is changed in order to prepare for recapitulation.

It is apparent that there is no simple relation between the length of movements or of developments and the length of recapitulation preparations. Study of these relationships may be illuminating.

Finally, it is proposed that the approaches used here and proposed for further study of recapitulation preparation, can be used with profit to study other kinds of transitional passages found in tonal music.
LIST OF REFERENCES


Tovey, Donald Francis. *Beethoven*. New York: Oxford University Press, 1945.

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