NORMATIVE WIT: HAYDN'S PERSONAL SONATA FORM

by

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A THESIS

Presented to the School of Music and Dance
and the Graduate School of the University of Oregon
in partial fulfillment of the requirements
for the degree of
Master of Arts

June 2015

THESIS APPROVAL PAGE

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Title: Normative Wit: Haydn's Personal Sonata Form

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Degree awarded June 2015

THESIS ABSTRACT

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Master of Arts

School of Music and Dance

June 2015

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This thesis approaches Haydn’s sonata-form procedures from the perspective of the eighteenth-century listener, asking, if a moment is allegedly “witty” according to modern analysts, would Haydn's contemporary audience have heard it as such? Eighteenth-century wit has two sides: wit involves an aspect of surprise or deception, a breaking of understood norms; however, wit must also involve an unsuspected congruity, a broader connection created only by breaking the aforementioned norm. Taking this as my starting point, I explore false recapitulations in the Haydn’s music, concluding that this device cannot be considered witty because it did not break an understood convention. I then provide detailed analyses of the first movements of Haydn’s “Military” Symphony no. 100 and String Quartet in D major, op. 33 no. 6, arguing that they are witty not solely because they are disruptive, but because this disruption binds the sonata together in an unexpected way.

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PUBLICATIONS:

Mastic, Timothy R. 2015. "Normative Wit: Haydn's Recomposed Recapitulations." *Music Theory Online* 21/2 (June, Forthcoming).

ACKNOWLEDGMENTS

I would like to express my utmost appreciation to Dr. Stephen Rodgers for his guidance with both this manuscript and my educational career. I could not have done any of this without you. In addition, I owe my dearest gratitude to Matthew Ferrandino for the time and energy he spent this year poring over this project, providing a fresh perspective, and challenging me to express my thoughts completely—all while busy with his own thesis and coursework. Special thanks are also due to each person who took the time to read and edit part or all of this lengthy thesis and provide their thoughts: Jack Boss, Kelsey Coy, Matt Ferrandino, Stephanie George, Roger Grant, Wing Lau, Dave Mastic, Laurie Mastic, Kathleen Murphy-Geiss, Chelsea Oden, Joon Park, Mark Rockwood, Steve Rodgers, Richard Siler, and Marc Vanscheeuwijck. And finally, thank you to all of my friends, family, and colleagues for your encouragement and support.

This work is dedicated to my family. Mom and Dad: your support of me is unwavering, and your confidence in me never ceases to raise me up. Cara: you are my night and day, and I would not be here if it were not for you. Grandpa Siler: you are my hero, you are my inspiration, and you are the reason I do what I do. I love you all dearly.

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CHAPTER I

INTRODUCTION

> We reject any normalizing principle that explains away an obviously nonconforming situation. Since a piece's essence resides in its individualized dialogue with socially established norms, any deviation from those norms—especially recapitulatory deviations—are of utmost interest. They need to be highlighted and problematized, not swept away with a slogan. (Hepokoski and Darcy 2006, 244)

In the discipline of music theory today, there is arguably no more powerful tool for analyzing works in sonata form than James Hepokoski and Warren Darcy's Sonata Theory. *Elements of Sonata Theory* (2006) offers robust terminology that allows theorists to analyze and meaningfully describe virtually any conceivable musical event that may appear in an eighteenth-century sonata. Hepokoski and Darcy's method involves measuring pieces against a hierarchy of norms and deviations for this specific repertoire—yet their goals are not strictly analytical; in their words, "all analysis should be directed toward the larger goal of a hermeneutic understanding of music as a communicative system, a cultural discourse implicated in issues of humanness, worldview, and ideology, widely construed" (603). When composers deviate from established norms,[1] Hepokoski and Darcy suggest, they necessarily enter into this cultural discourse.

The music of Haydn appears to lend itself particularly well to the deformation-based approach of Hepokoski and Darcy's Sonata Theory (2006) because his compositional practices were so idiosyncratic. Hepokoski and Darcy highlight these idiosyncrasies and offer vivid readings of some of his sonata forms—often relying on the

[1] Unless stated otherwise, when I use the term "norm," I am referring to general compositional practices—habits and customs—rather than established global conventions. These are a product of modern analysis, not conventions that historical composers necessarily would have explicitly known.

concept of wit.[2] For example, in their description of the so-called $C^{pre\text{-}EEC}$ in Symphony no. 97 (a C-like theme that appears before the moment of EEC), Hepokoski and Darcy write, "The witty effect is that of C stepping onto the stage, blissfully 'unaware' of any past difficulties ('All right! Here I am!')—as if it had been looking only at its 'expositional pocket-watch' and waiting for its pre-assigned moment of arrival" (60, n. 12). They single out Haydn as being particularly witty when they write about his use of closing material to begin the String Quartet in G major, op. 33 no. 5:

> Such an obvious displacement of typical function must have had witty or other clever resonances that were especially appealing to connoisseurs… As might be expected, this technique is characteristic of Haydn, one strand of whose *Witz* featured modular dislocations—ideas in "wrong places"—and surprises of different kinds. One obvious example is… his Quartet in G, op. 33 no. 5… There can be little doubt that—"cadence" or not—Haydn expected his listeners to understand the opening here as a witty "closing formula" that has been transferred to the apparently "wrong" spot of the piece. (66–67)

Later, writing about the false recapitulation (a topic to which I will return below), they argue that "it is counterintuitive to suggest that at least some sort of intended wit or deception was not involved in the tonic-return of P" (223).

While these descriptions are certainly lively and evocative, by emphasizing the deformational and disruptive aspects of wit, Hepokoski and Darcy run the risk of downplaying the cohesion and coherence of some of these pieces. The danger, in short, of

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[2] To briefly define some of the terminology and abbreviations used in Hepokoski and Darcy's Sonata Theory: the primary-theme zone (P) is the material in the tonic key before the onset of the transition (TR). In a two-part sonata exposition, the transition leads to the medial caesura (MC), "a marked rhetorical break or pause (usually at a half cadence) that closes the transition and opens the secondary thematic area" (Monahan 2011, 3). This secondary-theme zone (S) is material in a subordinate key, which normally returns transposed to the tonic key during the recapitulation. The goal of the secondary-theme zone is the essential expositional closure (EEC), the first satisfactory PAC that occurs within S and that proceeds onwards to differing material. The closing zone (C) within the exposition is the musical material following the EEC. While the labels "P," "TR," "S," and "C" refer to these respective thematic zones in their entirety, these same labels are often used less-accurately as shorthand for specific themes within each of these respective zones.

using such vivid language to describe these events is that is makes them appear stranger than they really are. This is particularly true of those pieces that feature recapitulatory deviations—the very deviations that Hepokoski and Darcy argue should be "highlighted and problematized, not swept away with a slogan" (244).[3] In this article, I strive to maintain specificity when describing sonata procedures by using modern terminology, yet at the same time I refrain from judging pieces as "normative" and "deformative" based on anachronistic comparisons to music that Haydn's listeners could not have known (see 2.7 below). Instead, I rely on historical context to determine how Haydn's music may have been perceived by his contemporaneous listeners, and offer an historical approach to interpreting wit in the music of Haydn.[4] As I will demonstrate, eighteenth-century wit is a two-sided coin: wit does involve an aspect of surprise or deception, a breaking of understood norms; however, wit must also involve an unsuspected congruity, a larger-scale connection created only by breaking the aforementioned norm. Moments that are not surprising or do not break established norms cannot be considered witty; nor can moments that, while breaking a norm, fail to create an unexpected similarity that contributes to the larger cohesion of the piece in question. In the music of Haydn, wit must involve both sides of this coin.

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[3] Many of the examples above are descriptions of events occurring in the exposition—a result of Hepokoski and Darcy's using chapters on the exposition to discuss themes, important cadences, etc.—but the problem still presents itself, because this viewpoint encourages the reader to describe recapitulatory events with the same flamboyant language.

[4] The topic of wit in the music of Haydn is addressed in part by Baker (2003), Beghin (2007), Bonds (1991), Burstein (2011), Green (1979), Haimo (1988), Hoyt (1999), Ludwig (2012), Neuwirth (2011), Paul (1981), Ratner (1980), Wheelock (1992), and Wingfield (2008).

My project thus draws upon Sonata Theory but also expands upon it, by offering a more historically grounded perspective on Haydn's so-called "witty" procedures, and also by attempting to contextualize his works more within the individualized norms of his style than within the broader norms of eighteenth-century sonata form. I first explore eighteenth-century notions of wit, and then use this understanding to address Hepokoski and Darcy's analyses of allegedly deformational moments in the first movements of Haydn's "Joke" Quartet (op. 33 no. 2) and "The Hen" Symphony (no. 83). Next, I present a "negative" example of wit—pieces that might be described as "witty" in the conventional, modern use of the term, but that nonetheless do not accord with the eighteenth-century conceptions of the term. Specifically, I discuss so-called "false recapitulations," concluding that because Haydn's use of this device did not break any of his own, personal sonata-form norms, it cannot be considered an example of wit. Finally, I look more carefully at two positive examples of wit—pieces that can indeed be considered witty in the eighteenth-century sense because they provide unexpected congruity at the expense of broken norms. These two pieces—the respective first movements of the "Military" Symphony no. 100 and the String Quartet in E-flat major, op. 33 no. 6—feature recapitulatory deformations. I argue that while these works are in some sense deformational with respect to *global* sonata norms, they are far more normative with respect to Haydn's *individual* norms.[5]

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[5] In a later project, I hope to conduct just such a systematic examination (via corpus study) of sonata-form movements in Haydn's symphonies and string quartets. A similarly comprehensive study of Haydn's recapitulatory strategies was completed by Ethan Haimo in his *Haydn's Symphonic Forms: Essays in Compositional Logic* (1995). My project differs from Haimo's because I am reformulating the system used in Hepokoski and Darcy's *Elements of Sonata Theory* and am also including Haydn's string quartets. Nevertheless, Haimo's study serves as an inspiration and provides a precedent for analyzing Haydn's sonata-form techniques on their own terms rather than taking a more global approach.

CHAPTER II

A DISCUSSION OF WIT

Wit in the Eighteenth Century

> Wit is a start of imagination in the speaker, that strikes the imagination of the hearer with an idea of beauty common to both; and the immediate result of the comparison is the flash of joy that attends it; it stands in the same regard to sense, or wisdom, as lightning to the sun—suddenly kindled and as suddenly gone… The great use and advantage of wit, is to render the owner agreeable, by making him instrumental to the happiness of others… Wit, so used, is an instrument of sweet music in the hands of an artist, commanding, soothing, and modulating the passion into harmony and peace. ("Of Wit," 1732)

The eighteenth-century conception of wit was far different from our modern-day conception of the term. The above description, written in 1732 and reproduced well into the nineteenth century, can be taken as representative of the eighteenth-century view. In it, an anonymous author argued that the purpose of wit is to make others happy by soothing their passions and promoting peaceful and harmonious feelings. Wit is not deceptive or malevolent, nor is it a cheap trick designed to produce hearty laughter; rather, it strikes the hearer with "an idea of beauty." Furthermore, the apparatus of wit is not direct shock at a sudden incongruity or disruption, but instead a "flash of joy" at an unexpected comparison. The German writer and composer Friedrich August Weber (1800) described these same ideals in his essay "Über komische Characteristik," focusing specifically on musical wit:[6]

> Just as poetic and pictorial wit inheres in the discovery of similarities one would not have thought to find, and just as a skilled joining of two such similarities is required in order that an idea become a witty one, so too musical wit depends on

[6] This quote by Weber (along with other quotes on this topic by Locke, Richardson, Sulzer, Meier, and Trusler) appears in Wheelock (1992, 199, 22, 24, 28, 29, and 26, respectively).

> the discovery of unexpected similarities between two musical ideas, and on the surprise of their facile and appropriate combination. (cols. 139–40)

Weber's idea that musical wit involves the "discovery of unexpected similarities" found after joining two musical ideas parallels the anonymous author's idea that wit is "the immediate result of [a] comparison."

These two features of eighteenth-century wit—that it involves the discovery of unexpected similarities, and that its purpose is to please, rather than to deceive, the listener—stand directly opposed to modern uses of the term in interpretations of Haydn's music.[7] In this section, I further elaborate on eighteenth-century views of wit and humor in both literature and music—first in England, then in Germany—and describe the contemporaneous reception of Haydn and his music. Chapter II concludes with a consideration of modern conceptions of wit. In the following chapters, I use these historical perspectives on wit to inform analyses of Haydn's work that contrast with those found in Hepokoski and Darcy's *Elements of Sonata Theory*.

Since much of Haydn's widespread popularity began in London, my discussion of wit will begin by tracing the English portion of the conversation. The origin of the English word "wit" comes from the Anglo-Saxon *witan*—to know—and throughout the eighteenth century its meaning remained associated with the inventions of the mind. For example, the English philosopher John Locke (1690, 2.9.2) stressed that wit entailed putting ideas together in such a way that one might find similarities between them: wit, he wrote, consists of the "assemblage of ideas, and putting those together with quickness

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[7] The modern usage of wit tends to overemphasize the aspects of surprise, deception, and disruption, while de-emphasizing the aspects of coherence, connection, and continuity. My discussion of this topic may be found in the following section, below.

and variety, wherein can be found any resemblance or congruity." Similarly, William Richardson (1789, 55) wrote that the "connection, invented or displayed unexpectedly between incongruous and dissonant objects" became a requirement of wit. In a modern summary of the English perspective, Gretchen Wheelock (1992, 23) describes the conditions for appreciating wit's ingenuity: the stability of familiar conventions, surprise at those conventions being broken, and "insight in the recognition that a seemingly incongruous combination disguises an unsuspected congruity of relationship."

Closer to Haydn's home in Austria, German thinkers were having their own conversation about *Witz*. In his *Allgemeine Theorie der schönen Künste*, Georg Sulzer described wit in a way that is strikingly similar to Locke, calling it "a particular gift of the mind which consists principally in the facility for quickly seeing and vividly feeling the various connections and relationships of one subject compared with another" (1771; translated in Wheelock 1992, 28). Thus, nearly a century after Locke described wit, his view was still being perpetuated around Europe. Philosopher and aesthetician Georg Friedrich Meier offered a view of wit slightly expanded from Sulzer's and Locke's, noting that, "it appears at first sight absurd that objects, differing greatly and palpably, should yet mutually coincide or agree in many particulars; and hence, by the discovery of such a variety of coincidences, we are agreeably surprised" (1744, 39). Again, the surprise is not in the incongruity, but rather in the finding of connections. Furthermore, Meier introduces our second principle of wit: *agreeable* surprise.

In sum, then, for these English and German writers, wit involved the surprising connection, coincidental agreement, and unsuspected congruity of outwardly different

ideas. The notion of surprise has not only been included in these descriptions, but is a crucial part of both the creation and appreciation of wit. Just because something is surprising, however, does not mean that it is witty. John Trusler, an English priest and literary compiler, identified wit's defining feature as its demand on the intellect, stating that "humour is chiefly relished by the vulgar, whilst intellectual excellence is requisite to comprehend wit" (1783, 7). It is in this light that connections to the music of Haydn begin to become clear. Because wit must engage the mind (at least according to these authors), it would be a mistake to label something "witty" if it is merely surprising but not intellectually demanding.

To gain further insight into our second principle of wit—that it is for the pleasure (not the deception) of the listener—I will offer evidence based on Haydn's personality. Albert Christoph Dies, an early biographer of Haydn, wrote: "woven into Haydn's character is a genial, witty, teasing strain, but always of a childlike innocence. His musical output attests to this (as several critics have already remarked), and now still in old age, his behavior in company often gives rise to the above observation" (Gotwals 1963, 145). Haydn's reply to an address from a musical society in Bergen provides a glimpse into one facet of his compositional motivation:

> You give me the pleasing conviction (which cannot fail to be the most fruitful consolation of my declining years) that I am often the enviable source from which you, and so many families susceptible of true feeling, derive pleasure and enjoyment in domestic life. What happiness this thought causes me! Often, when contending with obstacles of every sort opposed to my works—often when my powers both of body and mind failed, and I felt it a hard matter to persevere in the course I had entered on—a secret feeling within me whispered, 'There are but a few contented and happy men here below, everywhere grief and care prevail: perhaps your labors may one day be the source whence the weary and worn, or

> the man burdened with cares, may derive a few moments' rest and refreshment.' What a powerful motive to press onwards! (Haydn 1959, 208–9)

Haydn represents his chief concern as the enjoyment of his listeners, and asserts that the thought of their listening pleasure was what got him through his hardest times. Examples like these help to reinforce the idea that even in his wittiest and most surprising compositional moments, Haydn was often aiming to please, not to deceive. He was concerned with providing but "a few moments' rest and refreshment" to his audience. This harks back to our opening description of wit as being "an instrument of sweet music in the hands of an artist… modulating the passion into *harmony and peace*" ("Of Wit" 1732, emphasis mine).

Modern Conceptions of Musical Wit

In his article "Hepokoski and Darcy's Haydn," Alexander Ludwig argues that the authors' marginalization of Haydn is due in large part to the statistical nature of their analytical approach: "Hepokoski and Darcy plot the various outcomes and solutions of each sonata along a series of default options that are commensurate with their frequency of usage. Frequency is a key component of their theory" (2012, 2). The analytical power of such a widespread, statistical study is substantial, yet it is not without its weaknesses. As much insight as this frequency-based approach provides about the place of a given piece within the universal "Late-Eighteenth Century" described by their title, as a result it pays little attention to the straight-line chronology through which life is experienced. Hepokoski and Darcy hint at the importance of chronology when they state that sonatas

"enter into a dialogue with an intricate web of interrelated norms *as an ongoing action in time*" (2006, 10, emphasis mine). Ludwig paraphrases this description when he writes, "Thus each sonata is both a reaction to what came before and a potential catalyst for what comes after" (2012, 2). The weakness of Hepokoski and Darcy's statistical approach, however, is that it has a tendency to draw anachronistic comparisons, such as relating Haydn's music to norms largely established by the works of Mozart and Beethoven. It is illogical, for example, to judge the extent to which Haydn's early sonata forms adhere to the normative compositional behavior of pieces composed at a later date.[8]

If eighteenth-century listeners would likely have heard "witty" Haydnesque moments in terms of pleasing, unexpected similarities, twenty-first-century analysts such as Hepokoski and Darcy often characterize these moments as being far more deceptive and disruptive.[9] For example, consider the graphic language with which they describe the first movement of the "Joke" quartet (**Figure 1**): "Op. 33 no. 2 illustrates the procedure that we call the *bait-and-switch tactic*: Haydn baits us into anticipating an imminent medial caesura, the hallmark of the two-part exposition, then swerves away from the caesura-point and switches to a continuous exposition" (55, their emphasis). What could be more deceptive than a "bait-and-switch," a form of fraud often used in retail sales?

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[8] Markus Neuwirth, in his excellent review of *Elements of Sonata Theory*, also takes umbrage at their treatment of Haydn (2011). He objects to their view of Haydn as an ever-witty composer who constantly deviates from formal norms, arguing that this paints a somewhat misleading picture of both the composer and the compositional and formal practices of the late eighteenth century. His main point, similar to Ludwig's, is that Hepokoski and Darcy's notion of "formal wit" implies that Haydn is playing with firmly-established norms that in reality did not yet exist.

[9] Other modern scholars who tend to characterize wit in terms of deception include Beghin (2007), Bonds (1991), Green (1979), Paul (1981), and Ratner (1980). Like Hepokoski and Darcy, these authors offer nuanced and insightful discussions of Haydn's music, yet they generally emphasize disruption more than I believe is appropriate. Other modern scholars who treat Haydn's wit as non-disruptive include Baker (2003), Burstein (2011), Haimo (1988), Hoyt (1999), and Wheelock (1992).

And yet this point of conversion from a two-part to a continuous exposition flows more naturally than Hepokoski and Darcy suggest, thanks to a new *Fortspinnung* idea starting in the cello and viola (shown with green boxes). If the material in m. 18 had been played at a *piano* dynamic and then, at the moment when the medial caesura (MC) was supposed to occur (shown as a red box), leaped away with an accented *forte*, I would agree that this passage "swerves away." As it stands, however, Hepokoski and Darcy's description suggests a far more significant disturbance to the texture than is actually present because the rhythmic and motivic continuity of this passage eases our ear away from the expectation of a medial caesura set up by the preceding dominant pedal in mm. 15–18.

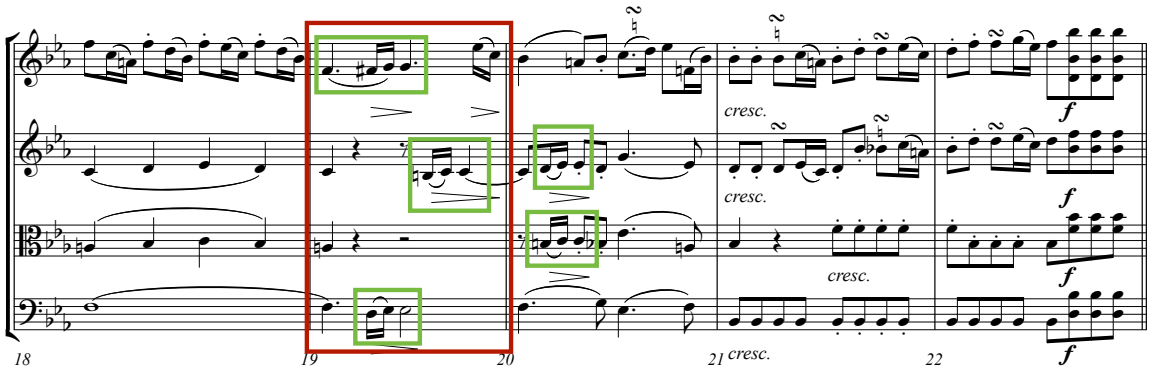

Figure 1. String Quartet op. 33 no. 2, "The Joke," I, measures 18–22

When introducing the deformation that they label a "blocked medial caesura," Hepokoski and Darcy (2006, 47) give an equally dramatic description:

> In these cases the energetic TR proceeds normatively… to what would appear to promise to be a standard MC gesture. Shortly before the expected articulation of the MC chord, however, the *forte* music seems to run into a dynamic blockage (like the hitting of a wall)… Thus the drive to the normal MC completion is prematurely shattered in mid-phrase.

Describing this phenomenon as "hitting a wall" and using a very active word like "shattered" makes this musical moment sound as disruptive as a violent car crash.

In reality, their first example of this phenomenon, Haydn's Symphony no. 83, movement I, m. 41 (**Figure 2**), sounds much more normative than their description leads one to believe. Granted, in the score it may *look* as though the TR hits a wall on the downbeat of m. 41, landing on a cadential 6/4 (shown in green) but breaking apart with the loss of accompaniment (shown in red) before achieving the MC. However, *listening* to this passage suggests that the texture behaves precisely as expected; the only non-normative feature of this passage is that instead of landing on the local dominant to create a V:HC MC on the downbeat of m. 41, it lands on a cadential 6/4 whose resolution (shown in blue) occurs after what seems to be three measures of caesura-fill. To be sure, the difference between a cadential 6/4 chord and a root-position dominant chord is noticeable, but the difference is certainly not shattering.

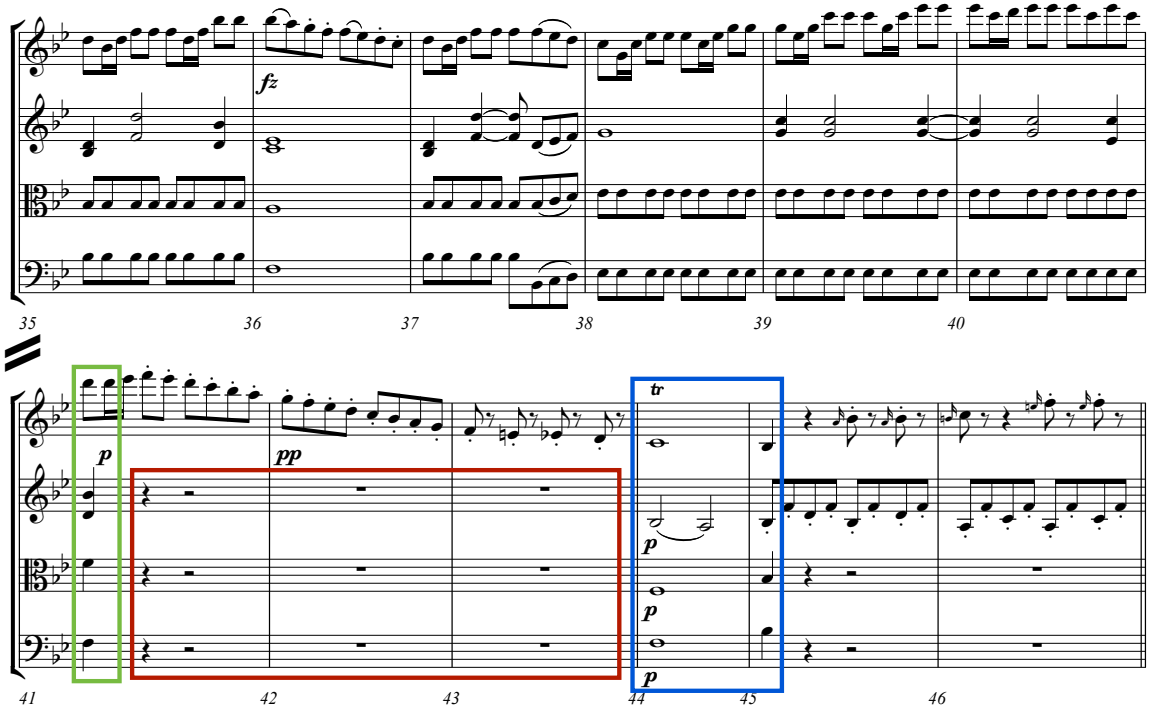

Figure 2. Symphony no. 83, "The Hen," I, measures 35–46

In his article "Voice-Leading Procedures in Galant Expositions," L. Poundie Burstein (2015) bases his entire approach to the analysis of Haydn's sonata-form procedures on the writings of Heinrich Christoph Koch, using Koch's terminology and definitions rather than creating his own. This historical approach yields a far more accurate view of how Haydn's sonata-form procedures might have been understood in their time. Burstein believes that using modern terminology can actually hinder the understanding of these works: "for a number of other expositions from this era, however, applying the modern formal analytic model creates needless complications. Considering them in light of analytic models proposed during the eighteenth-century can help better contextualize such expositions, as well as clarify crucial features of both their form and their voice-leading that might otherwise be overlooked" (2015, 1). By using Koch's flexible model, Burstein is able to explain how otherwise unusual formal features do not in fact break any norms, as they would have been construed in Haydn's day. Consider Hepokoski and Darcy's trimodular block[10] with a combined TM^1-TM^2. This procedure (P—TR—MC^2—TM^1-TM^2—PMC—TM^3—EEC) is loaded with many labels seen only in the context of this specific device and is therefore judged to be deformational; however, this procedure is described by Burstein as the unproblematic progression of *Grundabsatz*—*Quintabsatz*—*Quintabsatz* in V—*Schlußsatz* with breaks following the *Quintabsatz*

[10] According to Hepokoski and Darcy (2006, 171), a "trimodular block" occurs when an additional MC is encountered before the EEC. It includes three elements: "the first new theme after the first caesura [TM^1]; its dissolution and the setting up of the second caesura [TM^2 setting up the post medial caesura, or PMC]; and the onset of a differing S-theme [TM^3], starting its own, renewed journey toward the EEC." In the instance of a combined TM^1-TM^2, there is no clear boundary between the proposed first new theme and its subsequent dissolution.

and *Quintabsatz* in V.[11] From the perspective of Koch's writings on form, this progression of musical events is rather straightforward, yet because Koch's analytical system is simpler than that of Hepokoski and Darcy, it doesn't necessarily provide the level of detail achieved by *Elements of Sonata Theory*, which can contribute to an understanding of the complexity and beauty of this form.

While expositional deviations from established conventions are significant, recapitulatory alterations are arguably even more important to sonata procedure (see the Introduction's epigraph, above). In an historically-informed analysis of structures that Hepokoski and Darcy would likely describe as deformational, Ethan Haimo argues that when Haydn substantially recomposes his recapitulations, it is in fact a reflection of his "efforts to achieve large-scale coherence" (1988, 336). This perspective clearly differs from that of Hepokoski and Darcy, who regard recapitulatory alterations as deviations that should be "highlighted and problematized" (2006, 244). For Haimo, while these recapitulations may not be congruent with the pieces' respective expositions, they refer to material outside of the exposition, and in doing so promote rather than diminish greater coherence. In the following analyses of the first movements of Haydn's Symphony no. 100 and String Quartet op. 33 no. 6, I adopt Haimo's perspective, as well as the idea that eighteenth-century wit aimed to please the listener with unexpected similarities. Taking my cue from Haimo, Wheelock, and the eighteenth-century sources discussed above, I

[11] According to Burstein (2015, 2): a *Periode* is a large section that ends with a PAC and that comprises multiple *Sätze*; a *Satz* is a complete passage with at least two contrasting ideas that leads to a resting point (as well as that resting point itself); more specifically, an *Absatz* is a *Satz* that concludes in the middle of a *Periode* (i.e., every *Satz* except the last one); even more specifically, a *Grundabsatz* is an *Absatz* that ends on I, and a *Quintabsatz* is an *Absatz* that ends on V; finally, a *Schlußsatz* is the *Satz* that concludes with a PAC at the end of a *Periode*. These formal distinctions are only concerned with tonal areas and cadences; thematic content holds little bearing and thus does not complicate analysis.

argue that far from creating the kind of dramatic disturbance suggested by the vivid language of Hepokoski and Darcy, the witty musical moments in the recapitulations of these works actually contribute to their cohesion. As I will show in Sections 3 and 4, Haydn uses surprising and inventive recapitulatory techniques to refer to previous material, to set up a witty reference in a later movement, or simply to draw the audience's attention to a moment that is crucial to the coherence of the work as a whole.

CHAPTER III

FALSE RECAPITULATIONS

Introduction

In *Elements of Sonata Theory*, Hepokoski and Darcy make numerous claims about Haydn's "witty" deformations of the normative sonata-form practices, in particular about his use of false recapitulation: "it is counterintuitive to suggest that at least some sort of intended wit or deception was not involved in the tonic-return of P" (2006, 223). As I show, this view is in many ways anachronistic, since it implies listener expectations simply not developed at the time. The present discussion of false recapitulations provides a negative example of wit, one in which the device in question does not break established conventions and is thus ineligible to be described as "witty." I first analyze the form and structure of sonata-form movements with false recapitulations, which were written before the establishment of concrete guidelines concerning sonata form. Next, I use the discussions of treatises by Johann Georg Sulzer (1771–1774), Heinrich Christoph Koch (1782–1793), and Francesco Galeazzi (1796) to construct a historical perspective on the normative features of sonata form at the end of the eighteenth century. Finally, I consult modern scholarship by Mark Evan Bonds and Peter A. Hoyt on both Koch and false recapitulations. While I cannot determine the intent of these false recapitulations beyond the shadow of a doubt, I posit that the intent is certainly not a witty play on listeners' expectations. I am then able to extrapolate that many "witty" deformations in Haydn's later sonata-form movements could be seen simply as instances in which Haydn draws on

his *own* techniques—techniques that were in fact far more normative than they would seem from the vantage point of our modern, cumulative conception of sonata form.

Analysis

Haydn composed seven sonata-form movements that contain a so-called "false recapitulation" before the first part of Sulzer's treatise was published in 1771.[12] Consideration of the formal and structural similarities among these movements yields insight into the possible function of the false recapitulation. The following is a list of the traits shared by these movements:

1. The exposition contains a dependent or semi-dependent transition,[13] the latter containing P-material but not identical to the opening P-theme.[14]
2. The development section "ends" with a half cadence, most often in the tonic.[15]
3. Textural disturbance (equivalent to the medial caesura) immediately precedes the false recapitulation. This includes either a literal caesura,

[12] Symphony nos. 11, 22, 36, 38, 41, 43, and 48.

[13] Dependent transitions start the same as one of the P-themes and proceed to spin out with more transitional material. Semi-dependent transitions use P-material but may not start with the beginning of a P-theme.

[14] Symphony nos. 38, 41, and 48 have a dependent transition; nos. 11, 36, and 43 have a semi-dependent transition; no. 22 has an independent transition.

[15] This is in reference to the section before the false recapitulation. Symphony nos. 11, 36, 38, 41, and 48 have a half cadence in the tonic; no. 22 has a half cadence in the dominant; no. 43 has a half cadence in the parallel minor (to which it will modulate after the false recapitulation).

caesura-fill by a single part, caesura-fill by unison, or a reduction of texture.[16]

4. The material to open the development section emphasizes the dominant.[17]
5. The material directly following the restatement of P in tonic is TR material leading to S material.[18]

The similarities listed above create the general impression that the false recapitulation could be functioning like a dependent transition in these movements. This would somewhat support Hepokoski and Darcy's idea that sonata forms are ternary, and that each large section contains the smaller areas of P, TR, and S (2011, 206). According to their prescribed norm, however, the development section should start with P material. That is not always the case with these symphonies; in fact, only two of them begin the development with P material.[19] It is reasonable to infer that Haydn does not often start these developments with P material because of the close proximity to the false recapitulation's tonic statement of P. As evidence for the close relationship between the expositional dependent transition and the false recapitulation, I have provided the following structural analyses of Symphony no. 38 (**Figures 3 and 4**).

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[16] Symphony nos. 36 and 48 have a literal caesura; nos. 22, 38, and 43 have caesura-fill by a single part; no. 41 has caesura-fill by unison; no. 11 has a reduced texture to two parts.

[17] Traits 2 and 4 function like the retransition and thus reinforce the idea that the "false recapitulation" is similar to the "real" recapitulation.

[18] Symphony no. 11 has more P-material than the expositional TR; the exposition of no. 43 presents an ambiguity between S and C, in the false recapitulation it uses material from the third of four S themes; no. 41 uses C material.

[19] Symphony nos. 36 and 38.

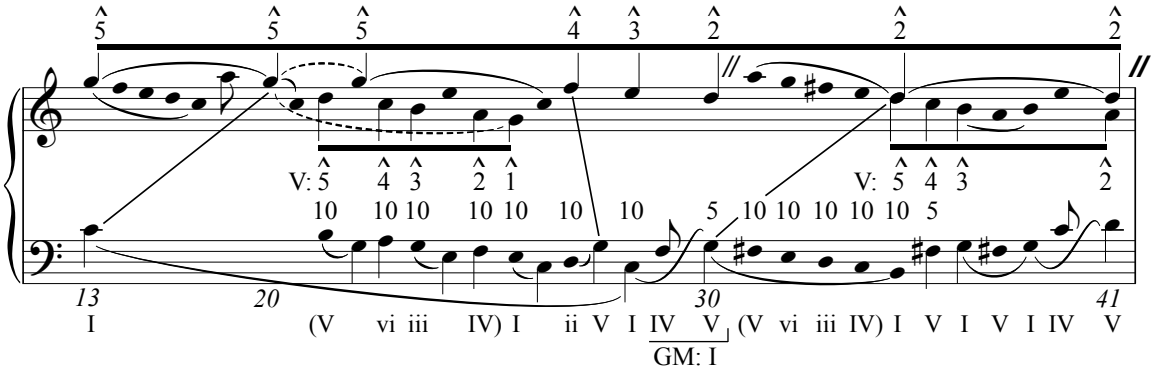

Figure 3. Symphony no. 38, IV, Expositional TR (13–41)

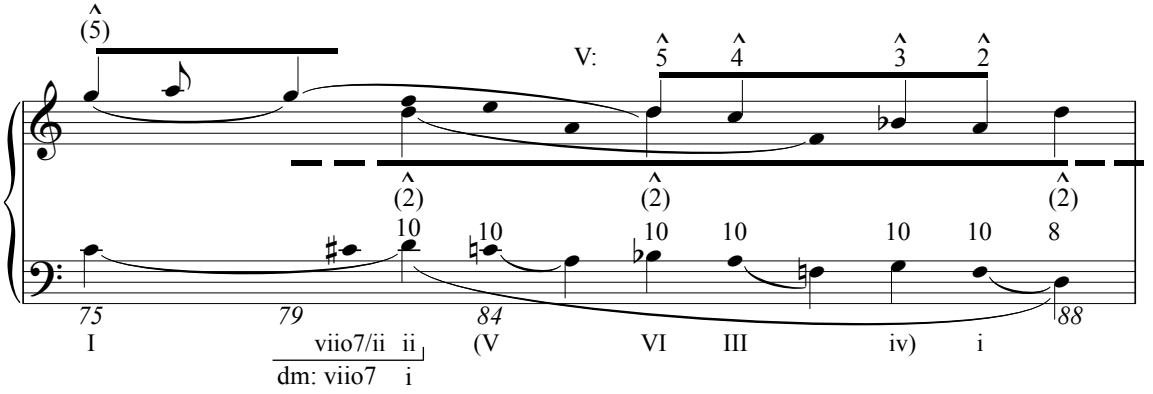

Figure 4. Symphony no. 38, IV, False Recapitulation (75–88)

The structure of the false recapitulation is nearly identical to the expositional transition, albeit transposed. There is a 10-10 LIP[20] that encompasses a descent in G over the wrong chords (not tonic/dominant), like measures 22–26. This LIP begins with a stepwise descent from above the Kopfton of the middleground descent (here from G leading down to the Kopfton D), like measures 31–34 (from A down to D). However, the most important structural feature of the false recapitulation is the complete lack of any unusual structural features. LIPs are most often stepwise, so finding an embedded descent within the wrong chords is commonplace. The opening theme continues to prolong the

[20] A Linear Intervallic Progression (LIP) is a voice-leading design made up of successive recurrent pairs of intervals formed between the outer voices (Forte and Gilbert 1982, 83). It is generally found in sequences, although not exclusively so. A 10-10 LIP is when this interval is a third, tenth, or larger compound interval that reduces down to a third.

Kopfton G, which will be prolonged until the final descent. D minor is a closely-related key to the tonic C major, and the modulation to D minor serves to prolong scale degree 2. One of the only structural norms for the development section of the sonata is that it prolongs the scale degree 2 that is often introduced as the Kopfton of the dominant key area (as is the case in Symphony no. 38) and will serve as the structural interruption at the end of the development.

The final movement of Symphony no. 36 also contains a false recapitulation, but the exposition provides a different context from the previous example. Symphony no. 36 has a semi-dependent transition, meaning that while P material is used to begin the transition, it is not a restatement of the opening theme. **Figures 5 and 6** show the middleground structure of each section.

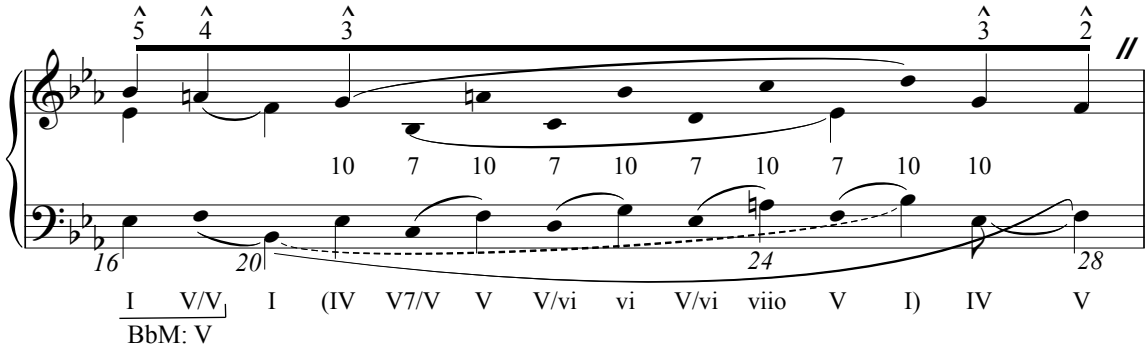

Figure 5. Symphony no. 36, IV, Expositional TR (16–28)

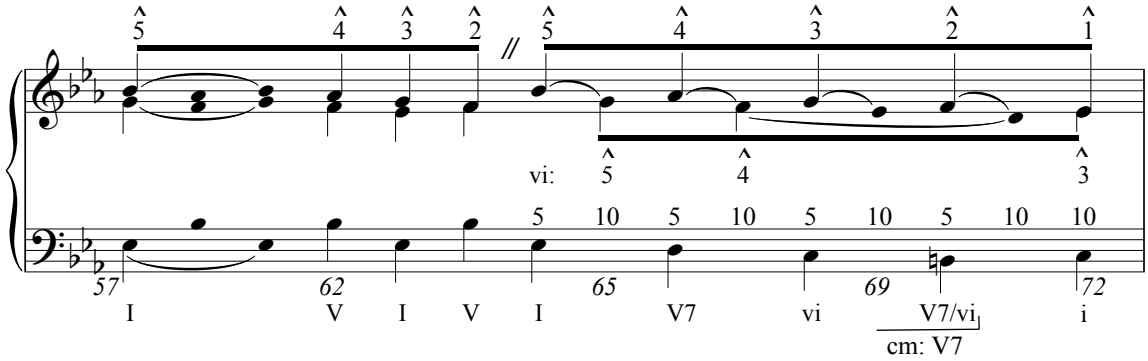

Figure 6. Symphony no. 36, IV, False Recapitulation (57–72)

The absence of a dependent transition means that the respective structures of the transition and false recapitulation are not as similar as was the case with Symphony no. 38. However, they do share many things in common other than structure. Each section contains a 10-10 LIP that is expanded when an alto voice is taken into consideration. The transition does not complete its descent over the expected tonic and dominant harmonies of Eb major, but instead the tonic, dominant, and predominant harmonies complete the descent in Bb major. In the false recapitulation, we find an interruption not present in the transition. This is because it actually begins with material from the opening theme. The most interesting feature of this section is the overlap of structural descents (measures 65–72). At first glance, it appears that the descent occurs over the wrong chords, ending by tonicizing the submediant. Closer inspection, however, reveals an alto voice that also contains an LIP. This 10-10 LIP is quite necessary, because it interrupts what would otherwise be a long string of parallel fifths. This descent will conclude at the end of the following section in C minor.

Figures 7-9 demonstrate yet another way the false recapitulation can behave at a more structural level. At the more immediate level (**Figure 8**), the false recapitulation functions exactly like the dependent transition: the opening theme is stated, leading to an interruption, and a secondary dominant helps modulate to a new key (G major in the transition, D minor in the false recapitulation). There is then a descent in the new key over an LIP that helps ease into the newly modulated key. Unlike the symphonies in **Figures 4-6**, I have included the remainder of the development section, because there is not a true PAC in D minor at the end of the descent (measures 95–96). Within the larger

context of the development, the modulation to D minor is only temporary. The 10-10 parallel motion between bass and soprano continues until we finally land on a root position D minor triad (measure 105) before cadencing on F. Here again is a complete descent (in F major). The entire 10-10 LIP serves to prolong the predominant chords ii and IV, providing complete descents in each key and an auxiliary PAC in F major.

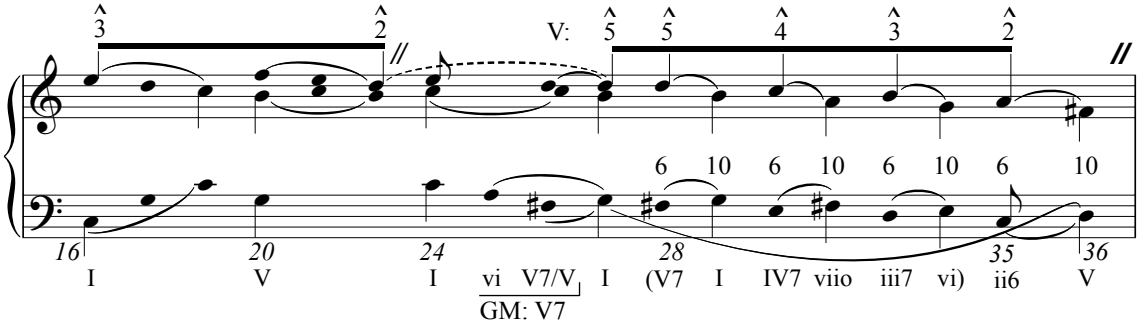

Figure 7. Symphony no. 48, IV, Expositional TR (16–36)

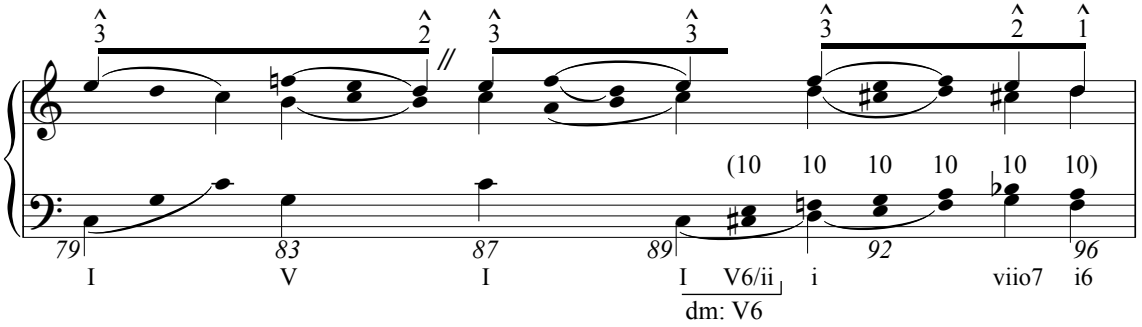

Figure 8. Symphony no. 48, IV, False Recapitulation (79–96)

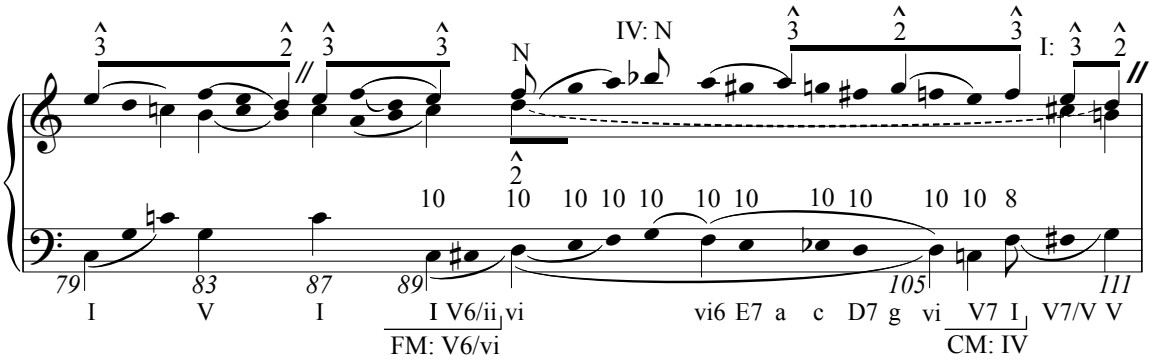

Figure 9. Symphony no. 48, IV, False Recapitulation and Development (79–111)

Structurally—and therefore harmonically—nothing unexpected or unusual occurs during these false recapitulations, such as a descent supported solely by the incorrect harmonies, a lack of descent at all, or a secondary descent that does not fit in with the tonic descent. While the structural comparison between transitions and false recapitulations shows some similarities between the two sections, there is not enough evidence to support the idea that the sole purpose of these sections was to function as a dependent transition. When taken out of the context of sonata form, these sections do not present anything particularly remarkable compared to the contrapuntal devices seen at modulation points. Thus, the *only* unusual feature of these false recapitulations is that Haydn gives us the opening theme in the tonic—also known as the double return. A look to treatises of the past may help better determine this feature's origins.

Historical Theory

The question must now be posed to listeners in the middle of the eighteenth century: exactly *how* unusual was it to be presented with the opening theme in tonic during the development? The best windows through which to view these expectations are the music treatises of the time.[21] We will see that Haydn's contemporaries wrote their treatises empirically, based on observations about the music of their time—they did not

[21] I focus here on the treatises by Johann Georg Sulzer (1771), Heinrich Christoph Koch (1782), and Francesco Galeazzi (1796) because they were written during Haydn's lifetime. The treatise that coined the term "sonata form"—*Die Lehre von der musikalischen Komposition, praktisch-theoretisch* by Adolph Bernhard Marx (1841)—was not only written over three decades after Haydn's death, but was also conceptualized largely based upon the works of Beethoven. This treatise will be addressed in the following section, "Modern Scholarship."

present a rigid or prescriptive model of form because contemporary composers did not observe such a model.

One of the first descriptions of the symphonic first movement was by Johann Scheibe in 1739, here discussing treatment of the second section (italicized, followed by Baker's commentary):

> *Then one begins the second section with the main idea again…*[then after developing that idea, return] *again to the tonic…and with that can end the second section.* Scheibe thus elaborates on Mattheson's binary form, outlining its harmonic plan and locating the main ideas of this structure. There is no hint of the future concept of recapitulation in his description since the main (primary) ideas never are restated in the tonic. Instead, the second section seems to be a harmonic inverse of the first—albeit with greater modulatory freedom—while maintaining its basic ordering of ideas.[22] (Baker 1975, 256–57)

To put it in simpler terms, the form that Scheibe described is a binary form whose thematic plan is AB AB but whose harmonic plan is I-V X-I (**Figure 10**).

||: A—B :||: A—B :||

||: I—V :||: V—I :||

Figure 10. Simple Binary Form

Johann Georg Sulzer wrote his *Allgemeine Theorie der schönen Künste* between 1771 and 1774. Sulzer was primarily concerned with aesthetics and did not delve very deeply into musical specifics, particularly concerning sonata form. He was interested in sonatas and symphonies, however, because they were the fastest-growing genres of the time. He discussed chamber symphonies,[23] and described their Allegro movements as

[22] The second section refers to the development and recapitulation, as the form was more accurately labeled as binary before Beethoven expanded the development section.

[23] Referring to those composed as stand-alone works, rather than those performed before operas, oratorios, etc.

containing “an apparent disorder in the melody and harmony” (Baker 1995, 106). This comment seems to reference the “sonata principle,” namely, the idea that thematic material originally in the dominant reappears later in the tonic (Cone 1968, 76–77)—but Sulzer did not elaborate further on this idea.

Sulzer’s treatise had a large impact on Heinrich Christoph Koch, who wrote his three-volume treatise *Versuch Einer Anleitung Zur Composition* between 1782 and 1793. The groundbreaking element of Koch’s treatise is that he discussed form (including symphony/sonata form) for the first time, rather than adopting the prevailing emphasis on the bass and harmonies (Baker 1975, 12). Since Koch was describing form in an effort to teach composition, one might expect him to have laid out the “standard” form. Baker, however, ascribes to him a more realistic view:

> He has abstracted rules from [these] works and presents them as a possible treatment of the form, not as models to be followed. Familiar as he is with contemporary practice, Koch realizes that the options and deviations from them are innumerable and that flexibility is the only firm rule. He only wishes to show what is usual. (15)

The form previously described by Scheibe (a binary form whose thematic plan is AB AB but whose harmonic plan is I-V X-I) is similar to what Koch elaborated half a century later:

> In his first type of treatment (of the development section), the theme or some other element from the plan (exposition) is stated in the dominant, with or without variation. Another melodic segment then leads the modulation back to the tonic, from whence it goes to vi, ii, or iii. (271)

It is important to our inquiry about false recapitulations that Koch described a modulation from the dominant to the tonic to begin the larger development section.

Furthermore, this treatment of the development is the *first* that he described, not an exception reserved for an afterthought. Koch described the form of the symphony with an almost excessive amount of flexibility, which is understandable considering that he was codifying something that had never been codified before. It is difficult to imagine a technique that Koch might have deemed "incorrect," given that even the most basic of concepts had such a wide scope of acceptability. We can see the vast flexibility Koch displayed in regard to thematic treatment during the development and recapitulation:

> Neither in his general descriptions of form in Volume II nor in the two more specific elaborations in Volume III does Koch require the return of the theme in the third main period (recapitulation). It is, indeed, usual, but definitely not prescribed. In addition, two of the (three) possible treatments described for the second period (development) may begin with the theme. In short, the theme may still permeate the entire second section, or it may not even begin the last period. (Baker 1975, 274)

Koch remarks that while some developments began with the theme, others didn't even include it during the recapitulation. This wide variance, this compete lack of precision in describing form, is not a fault of Koch's, and he was not alone in his standard-less description of form. According to Baker, the theorists of the time noted general harmonic schemes but avoided melodic considerations as well as strict formal models. Furthermore, Koch's method was simply to observe the works of his time and describe them. "[Koch's] descriptions of form are empirically obtained through examination of contemporary music. He presents no rigid formal mold for the simple reason that composers of the time followed no such model" (Baker 1975, 300).

Another contemporaneous theorist of import is Francesco Galeazzi. The second volume of his 1796 treatise *Elementi teoretico-pratici di musica* (Churgin 1968, 184)

includes a discussion of sonata-form practice that is perhaps more specific than that of either Sulzer or Koch. Churgin notes that Galeazzi "esteems Joseph Haydn above all composers," a sentiment that can perhaps be seen in Galeazzi's description. Similar to our understanding of wit in Haydn's music (above),

> The fundamental rule for the conduct [of the composition] consists of the *unity of ideas*. The Motive, then, is nothing but the principal idea of the melody,[24] the subject… of the musical discourse, and the whole composition must revolve upon it. (191, emphasis Galeazzi)

He was also one of the first to characterize the secondary theme as contrasting to the initial theme:

> The Characteristic Passage or Intermediate Passage is a new idea, which is introduced, for the sake of greater beauty, toward the middle of the first part. This must be gentle, expressive, and tender in almost all kinds of compositions, and must be presented in the same key to which the modulation was made.[25] (193)

Although Galeazzi states that in almost every instance the Characteristic Passage (our secondary theme) *must* be contrasting and cantabile, the corresponding passage in the sonata he himself composed as an exemplary melody (his Example I, 197) is surprisingly similar to the Principal Motive (our primary theme). Perhaps this is indicative of his esteem for Haydn, given Haydn's proclivity for monothematicism.

Galeazzi describes the recapitulation with some freedom, allowing for the recapitulation to begin with the secondary theme (entirely omitting the primary theme and transition), for the transition to be presented in the subdominant, for the closing

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[24] For Galeazzi, the terms "melody" (*Melodìa*) and "motive" (*Motivo*) are different than our modern understanding: the "melody" is that of the entire sonata-form movement, and the "motive" is what we would call a theme. By stating that the motive is the principal idea of the melody, Galeazzi is describing the P-theme.

[25] In a 1779 article in his *Betrachtungen der Mannheimer Tonschule*, Abbé Georg Joseph Vogler is perhaps the first to describe a contrasting second theme in symphonic form (Stevens 1983).

theme to be varied, and for the codetta to be completely changed or even omitted (196). The line he draws in the sand, however, concerns the last three periods (our secondary zone, closing zone, and codetta):

> Repetition of the last three periods of the first part is made transposing them to the principal key, and *writing them after each other*, in the same order they had in the first part. The Characteristic Passage must be the same as that of the first part (only the key being changed). (196, emphasis mine)

Here, Galeazzi ventures away from the land of Haydn, declaring that material from the secondary theme until the end of the movement must not only be presented in the same order as in the exposition, but also presented one after another (*l'un dopo l'altro*). As will be seen in Chapters IV and V, Haydn breaks away from this convention, reordering some elements and interjecting others in his recapitulations.

Modern Scholarship

As detailed above, we enter the nineteenth century with a very flexible notion of form. Adolph Bernhard Marx's (1841) well-known treatise *Die Lehre von der musikalischen Komposition* is credited with standardizing the concept of "sonata form." Marx was the first theorist to truly advocate for *form* in name, prescribing formal techniques for composers rather than merely reporting his observations of the music written by his peers—how music *should* be written, as opposed to how it *already* had been written. Without the "quality control" of employers, per se—and without a suitable foundation in form—Marx saw a downward trend in compositional ability:

> Do we not regularly observe around us those wretched mediocrities—who nowhere so badly off as they are in art—carrying around forms that they picked

> up here or there, like so many cocoons from which the butterfly, Spirit, has flown? They trouble themselves in vain to fill the fragile husk with new life; thus affixed to the dead, they lose even that feeble remnant of immediacy and individual life that some evil-minded demon poisoned them with in order to lure them into the career of an artist. (Marx 1856, 58)

Jumping ahead to the twentieth and twenty-first centuries, we will now look at how modern scholarship has treated both sonata form and more specifically the false recapitulation. The lack of a single formal model in the eighteenth century is also the impetus behind modern texts such as *Sonata Forms* by Charles Rosen (1988) and *Elements of Sonata Theory* by Hepokoski and Darcy (2011). Rosen details the multifaceted evolution of what become known as the sonata form:

> In the eighteenth century, consequently, there was no notion of an isolated sonata form as such: all that existed was a gradually evolving conception of the composition of instrumental music… It is significant that eighteenth-century accounts of sonata form are all descriptions of instrumental composition *in general* (Rosen 1988, 14–15, his emphasis).

Hepokoski and Darcy take a different approach, deciding instead to form a single, normative sonata form with an endless number of deformations organized hierarchically according to their prevalence. This vast array of compositional options is similar to Koch, but the subsequent inference of a central, standard form is contrary to his contemporaneous account.[26] The problem with their method is that they risk conceding some amount of context in exchange for universality. This leads to their remarks on the

[26] I claim only that Hepokoski and Darcy *infer* a central, standard sonata form: they project the idea that there is one purely "normative" sonata form, but never claim that it exists or that it is exemplified by a certain piece of music. It is not even considered an ideal, because to write such a piece would be to bypass entirely the cultural discourse afforded by breaking away from established conventions, and thus be bereft of significant meaning.

deceptiveness of the false recapitulation that are contrary to scholarship of the previous twenty years.[27]

Koch and his eighteenth-century contemporaries supposed no universal form, rather the simplest of harmonic structures and an array of equally viable options for nearly every other aspect of the work. In response, theorists of the nineteenth century—like A.B. Marx—contrived a single model that is still taught today. The twentieth century brought theorists like Rosen who proposed the existence of a multitude of distinct forms based on the multifaceted development of the sonata. Hepokoski and Darcy simply complete yet another rotation of the cycle in the twenty-first century by again considering a single sonata form from which every variant piece derives.

In the context of our present discussion of wit, it is important to note that while there are perhaps few examples of modern scholarship describing the false recapitulation as specifically "witty," there are certainly important instances of the device being described as "deceptive." In his "Sonata form" entry in *The New Grove Dictionary of Music and Musicians* (1980, 502), James Webster describes the false recapitulation as follows:

> After the opening sentence, the development usually avoids repetition of material in the same key in which it originally appeared. An exception is Haydn's "false recapitulation," i.e. a seemingly misleading statement of the main theme in the tonic as if the return were at hand, followed by further development and, eventually, the true return (Haydn, String Quartet op.17 no.1, bars 62, 76); in later years, the false recapitulation may appear in a foreign key (Haydn, Symphony no. 102, bar 185).

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[27] "It is counterintuitive to suggest that at least some sort of intended wit or deception was not involved in the tonic-return of P" (Hepokoski and Darcy 2011, 223).

Another important description of the false recapitulation is in Donald Jay Grout's *A History of Western Music* (1973, 485):

> One of Haydn's favorite "effects" makes its appearance in the first movement of Op. 20, no. 1: the opening theme pops up, in the tonic key, in the midst of the development section, as though the recapitulation had already begun—but this is a deception, for the theme is only a starting point for further development and the real recapitulation comes later. This device, sometimes called a *fausse reprise* or false recapitulation, may be regarded historically as a vestige of the Baroque concerto form.

Grout's description endows the false recapitulation with a certain playfulness in its deception; he could have more objectively referred to the false recapitulation as a "typical procedure" where the opening theme "appears" in the tonic key, rather than as a "favorite effect" that "pops up." This tone of playful deception is a hallmark of the endearing Haydn character of the late twentieth century who entertains us with "gotcha" moments, the character largely considered to be witty. These modern descriptions of deception in Haydn's music, paired with Hepokoski and Darcy's frequent combination of the terms "witty" and "deceptive," lead me to consider the terms somewhat synonymously when it comes to modern scholarship.

In the following two sections, I will describe the scholarship and views of Mark Evan Bonds and Peter A. Hoyt in their respective dissertations about the false recapitulation. They represent a modern view—with which I agree—that in the music of Haydn the "false recapitulation" should perhaps not be regarded as such, given that it did not break listener expectations for a variety of reasons. And as previously stated, if this device does not break listener expectations, it cannot be considered witty by eighteenth-century standards.

Mark Evan Bonds

Recent scholarship specifically concerned with the false recapitulation yields expanded possibilities for the interpretation of these early Haydn movements. In his 1988 dissertation, Mark Evan Bonds presents a further distinction between false recapitulations, providing a way to filter out those that are not deceptive by proposing two additional types of recapitulations. They are the precursory recapitulation (**Figure 11**), the disjunct recapitulation (**Figure 12**), and the "actual" false recapitulation (**Figure 13**). I have provided his diagrams (Bonds 1988, 221, 225, 231) in immediate succession for the greatest clarity of differences between the three types of recapitulation.

	Exposition			Development			Recapitulation		
|: P	TR /	S	:|:	(P)	/P	/[any theme]	/P	S	:|
I	mod.	V		V	I	non-tonic	I	I	

Figure 11. Precursory Recapitulation

	Exposition			Development			Recapitulation		
|: P	TR /	S	:|:	(P)	/Pa	/[any theme]	/Pb	S	:|
I	mod.	V		V	I	non-tonic	I	I	

Figure 12. Disjunct Recapitulation

	Exposition			Development			Recapitulation		
|: P	TR /	S	:|:	[any theme]	P	[any theme]	/P	S	:|
I	mod.	V		non-tonic	I	non-tonic	I	I	

Figure 13. False Recapitulation

The precursory and disjunct recapitulations are very closely related. Both begin the development with a short passage in the dominant, often with P-material. After the P-theme is presented in the tonic, there is a more extended development that avoids the tonic. The defining characteristic of the disjunct recapitulation is that the tonic (partial)

restatement of P at the beginning of the development is omitted from the restatement of P to begin the recapitulation section, rather than the complete restatement of P that follows the precursory recapitulation. Bonds (1988, 221) describes the convention of the precursory recapitulation:

> This technique is so common in instrumental music of the mid-eighteenth century that it is difficult to speak of any real element of "surprise" on the part of the listener, for the pattern is almost invariably the same, and the tonic returns far too early within the course of the movement's second half to create any real sense of development.
>
> What then defines the false recapitulation? The fact that it actually deceives.

Bonds (1988, 221) provides a checklist of requirements concerning the material before and after the false recapitulation before a passage can be labeled as such. For listeners to be successfully deceived into believing the initial return of tonic is the recapitulation, the non-tonic material presented beforehand must do the following: 1) be of sufficient length to function as a stand-alone development section, 2) traverse more than a single key harmonically, and 3) introduce some amount of thematic development

The material following the initial return must fulfill the same requirements in order to demand the re-establishment of tonic at the "real" recapitulation. More useful to our purpose, the addition of a few negatives actually provides a list of criteria for discounting a passage as being a false recapitulation. This is to account for the easily-imaginable development with a short passage in a single non-dominant key that leads to the initial return of the tonic and progresses to only a single key, fulfilling none of the above requirements of a false recapitulation.

Where does this leave Haydn? *Every single one* of the pre-Sulzer symphony movements is an example of a precursory recapitulation. Symphony no. 11/ii has an eight-measure phrase in the tonic before providing P in the dominant and then the initial return to the tonic. It then proceeds only to the relative minor before returning to the tonic before the "real" recapitulation. Symphony no. 22/ii has only six measures before the tonic return of P, during which we remain in tonic except for some brief mode mixture (starts with a minor v chord). Symphony no. 36/iv has six measures that modulate from the dominant to the tonic. It also proceeds from the precursory recapitulation solely to the relative minor. Symphony no. 38/iv has twelve measures that fluctuate between being in the key of the dominant and emphasizing the dominant while in the key of the tonic. This is essentially a monothematic movement, so the development does begin with the opening theme (in the dominant). Other than being at the beginning of the development, it is a textbook example of a retransition before the recapitulation. It also modulates only to the supertonic before returning to the tonic. Symphony no. 41/i has seventeen measures that are not (clearly) derived from P, but despite some added tonicizations it remains in the tonic key while emphasizing the dominant. It does follow the initial return to tonic in proportion to the beginning of the development with a much-expanded "real" development based mostly on C material. Symphony no. 43/i has fourteen measures that modulate from the dominant to the parallel minor before the initial return to the tonic. It modulates only to the relative minor before a more deceptive return to the P theme at the subdominant (not an uncommon practice at the time). Symphony no. 48/iv has thirteen

measures that, while somewhat chromatic, serve only to emphasize the dominant. It later modulates only to the supertonic.

With regards to the early works of Haydn, Bonds' (1988, 221) remark that the precursory recapitulation was "so common in instrumental music of the mid-eighteenth century that it is difficult to speak of any real element of 'surprise' on the part of the listener" rings true. As we have previously established, the lack of the listener's surprise disqualifies the precursory recapitulation as a device of wit.

Peter A. Hoyt

The precursory recapitulation and its relationship to the false recapitulation is a central topic of Peter A. Hoyt's dissertation. Hoyt (1999, 43) refers to this musical device (with the stipulation of pairing dominant and tonic statements of the main theme) as the "premature reprise." He provides an exhaustive account of both contemporaneous and modern theorists' accounts of the false recapitulation and the rhetoric of sonata form.[28]

In his second chapter, Hoyt traces the origins and history of understanding the false recapitulation.[29] He states that "scholars trace the 'false recapitulation' to a now-obscure procedure that was extremely common in eighteenth-century binary forms" (Hoyt 1999, 41), and accepts this as truth. The issue he has is with how modern scholars have explained the transition between the premature reprise—viewed as "a

[28] This the topic for the remainder of this section, and all accounts and quotations therein originate from Hoyt. I will provide the original source information as found in his dissertation.

[29] Hoyt assigns the label "medial double return" to any appearance of the theme in tonic during the development section, and the label "medial return" to well-articulated returns to the tonic without the theme.

primitive understanding of the structural significance of the double return"[30]—and the false recapitulation, which "achieved its effect by playing upon precisely that significance" (50). Charles Rosen (1988, 156), adopting a somewhat presentist position, says the following about the premature reprise: "clearly, Haydn and his contemporaries did not understand the function of a development section as well as we do today." It is not that the development section was poorly understood in the middle of the eighteenth century; rather, it is that medial double returns were so common that no one would have been deceived. They also did not carry the connotations of recapitulation, instead simply marking the center of the piece (Hoyt 1999, 43). I refer back to the aforementioned remarks by Baker on Scheibe (above, page 24). The medial double return was so common because it was valued. Joseph Riepel (1755, 67) included examples of it in his treatise, reinforcing his general recommendation that "the tonic recur frequently so as to never be lost from view." The difference between Rosen and Riepel is a matter of aesthetics: Rosen represents our modern value of the tension built by withholding the theme in tonic until the moment of recapitulation.

Hoyt explains how modern scholarship has tried to differentiate between premature reprise and false recapitulation, and describes the ensuing confusion due to the fact that the techniques are intermingled temporally. The premature reprise has no connotation of recapitulatory function, while the false recapitulation is a witty trick whose deceptive nature relies on the expectation of the listener that the double return signals the beginning of the recapitulation. It stands to reason that educated listeners

[30] A double return is the moment in the sonata—after the exposition and development (if present)—when P-material is presented in the tonic.

could not form the expectations associated with the false recapitulation while the premature reprise was still widely used, because they would still know that the double return did not function *solely* to mark the beginning of the recapitulation. Because of this, there has to be some break between the use of premature reprises and false recapitulations (Hoyt 1999, 54). Scholars have placed this break around 1770 because in 1766 Haydn became Kapellmeister and Prince Esterhazy moved to his isolated palace in Hungary where in his own words, Haydn "had to be original" (Gotwals 1963, 17). Musically, the change in function would be seen as a shift from the precursory recapitulation to the false recapitulation, as described by Bonds. The problem in making this assertion is that Haydn is supposedly playing on the new expectations of his listeners that hinge "on the association of the double return and recapitulation in the same set of works that supposedly *establish* this convention" (Hoyt 1999, 55, his emphasis). Additionally, the continued circulation of Haydn's published works played a huge role in sustaining the convention of premature reprise. The "Stabat Mater" (composed in 1767) is a clear example of Haydn using the premature reprise. It circulated in Dresden beginning in 1772, it was performed in Paris in 1781 with positive reviews, and additional arrangements of the work were created in 1789 (56). It is therefore difficult to call the premature reprise archaic as of 1770, as this is only one of many examples.

Hoyt continues his argument that the premature reprise was still conventional after 1770 by delving into Koch's treatise. As described previously, Koch lays out precisely the form that Hoyt labeled as premature reprise: the theme is stated in the dominant, repeated in the tonic, and then the development proceeds. Koch goes on to

describe modifications to this basic form, and two of them in particular catch Hoyt's interest in disputing the supposedly narrow conventions of the premature reprise:

> Instead of being limited to two statements of the primary theme, first in the dominant and then in the tonic, a number of tonal areas may precede the tonic. Moreover, the phrase preceding the tonic may be extended, treated developmentally, and introduce new material. Koch's example makes it clear that the passage in the tonic need not recall prior thematic material. (Hoyt 1999, 65)

The train of logic Hoyt deploys at this point is a long but rewarding one. Symphony no. 42, cited as one of the first symphonies with a false recapitulation and the connotations that entails, was published in 1771. Its procedures also closely resemble those of the String Quartet in E-flat op. 20 no. 1 (1771), Symphony no. 43 (1772), no. 46 (1772), no. 65 (1769–78), no. 71 (1778–80), no. 70 (1778–79), and the String Quartet in E major op. 54 no. 3 (1788). Due to their similarities in procedures, these works can be considered representative of a single basic practice exhibited by Haydn between 1770 and 1790. Now Hoyt (1999, 86) brings his argument to fruition:

> It is obvious that unless the passages in works such as Symphony no. 42 and the E-flat String Quartet of Opus 20 are considered deceptive, Haydn's continued use of similar procedures would make it difficult to assert a moment when such a deceptive significance could have arisen. That is, if the double return was not associated exclusively with large-scale formal resolution by the 1770s, the convention could not have been established by the 1790s, and it therefore becomes impossible to assert that the mature sonata forms of Haydn, or any of Mozart's compositions, were created according to modern ideals. It also becomes impossible to explain the numerous medial returns in nineteenth-century works as "plays" upon a Classical model.

Hoyt has just raised the stakes to immense heights, necessitating the proof that the transformation from premature reprise to false recapitulation—and therefore the transformation from defining form harmonically to defining it thematically—occurred no

later than 1771. As he has already shown, this is not the case, therefore we must reconstruct our entire historic view of the sonata and how it was perceived, along with throwing out the idea of false recapitulation in Haydn's music.

Hoyt's discussion provides additional evidence disqualifying these musical moments as being witty due to the absence of a double-return convention being broken. My reconstruction of how the sonata is perceived—measuring the musical events within sonata form works within individual hierarchies of norms rather than a single universal one—allows for our characterization of Mozart as witty when he toys with listeners' recapitulatory expectations of the double return[31] despite the fact we are unable to consider Haydn's use of similar techniques as false recapitulations (let alone moments of wit) and the fact that these two men overlapped chronologically. The historical discrepancy of formal expectations encountered when approaching the works of Haydn and Mozart from a global perspective is interesting and should be explored further; however, by considering the individual listeners—the historical listeners—of these individual composers, we find a compelling reconciliation of this apparent discrepancy.

Conclusion

It should be more than clear by this point that there is no magic bullet when it comes to Haydn's false recapitulations. Formal and structural analysis introduces the idea of reinterpreting these passages as dependent transitions, part of the developmental

[31] This refers to several of Mozart's techniques as described by Hepokoski and Darcy (2006), including: "off-tonic" false-recapitulation effects (226–28), recapitulations beginning in the parallel mode (259), false starts of the recapitulation in nontonic keys (260–62), and recapitulations that begin in IV (262–67), and recapitulations that begin in keys other than I, IV, VI, and V (279).

rotation of themes. Contemporaneous theorists like Koch refrain from restricting the composer by any strict adherence to form, simply noting harmonic structures and allowing for the opening theme in tonic to begin the second half of the movement. Nineteenth-century theorists like Marx initiated the concept of a single conventional "sonata form," and soon followed the problematic idea of the "false recapitulation," a problem that modern theorists are trying to solve: Bonds narrows the definition of false recapitulations by further detailing how its context contributes to the deception. Hoyt—through deduction and extending a line of thought to absurdity—brings the argument to a climax by proving how the placement of the necessary (and nonexistent) break between premature reprise and false recapitulation around 1770 is a requirement for asserting that the mature sonata forms of Haydn or any of Mozart's compositions were created according to the convention of the double return.

Beyond the historical issue of when the double return began to conventionally signal the onset of the recapitulation, I would argue that when considering even the late works of Haydn, one should not immediately assume that this convention is in place. The issue here is one of composer intent: if we consider the double return normative in 1800, and Haydn supposedly "breaks" that convention, who can say for certain what his intention was in that musical moment? He could equally have been breaking the convention of the double return as he could have simply been referencing a personal technique from his earlier years (namely the premature reprise) that—in its time—was perfectly conventional. For this reason and those outlined above, I do not believe that any

of the supposed “false recapitulations” in the music of Haydn are examples of wit because no listener expectations were broken.

CHAPTER IV

"MILITARY" SYMPHONY NO. 100

Introduction

The recomposed recapitulation in the first movement of Haydn's "Military" Symphony no. 100 provides a case study for the eighteenth-century concept of wit: it breaks the convention of providing a recapitulation that correlates closely to the exposition, but in doing so, it provides an unexpected congruity with other parts of the movement and with the symphony as a whole. I have chosen this movement in part because it is featured in Ethan Haimo's discussion of Haydn's recomposed recapitulations (1988, 341–46). Hepokoski and Darcy also discuss this movement, but they largely regard it as normative (2006, 26, 41, 95, 215–16, and 303). Haimo argues that by reorganizing thematic ideas in the recapitulation, Haydn is able to establish a harmonic relationship with the movement's introduction: the extended emphasis on bVI in mm. 239–52 (unparalleled in the exposition; shown in **Figure 14**) relates back to the use of bVI in the introduction (mm. 14–18, **Figure 15**). Haimo concludes, "it is on the largest scale that the lack of congruence between the exposition and the recapitulation reveals the subtle harmonic connection with the introduction and thus permits us to relate the disparate sections of the movement to one another in a musically meaningful way" (1988, 343–45). The appearance of bVI in the recapitulation may be surprising, in other words, especially in comparison with the exposition, but it actually creates an unexpected connection with another part of the movement. However, the harmonic reference to the introduction is hardly the only the only unexpected similarity in the first movement. The

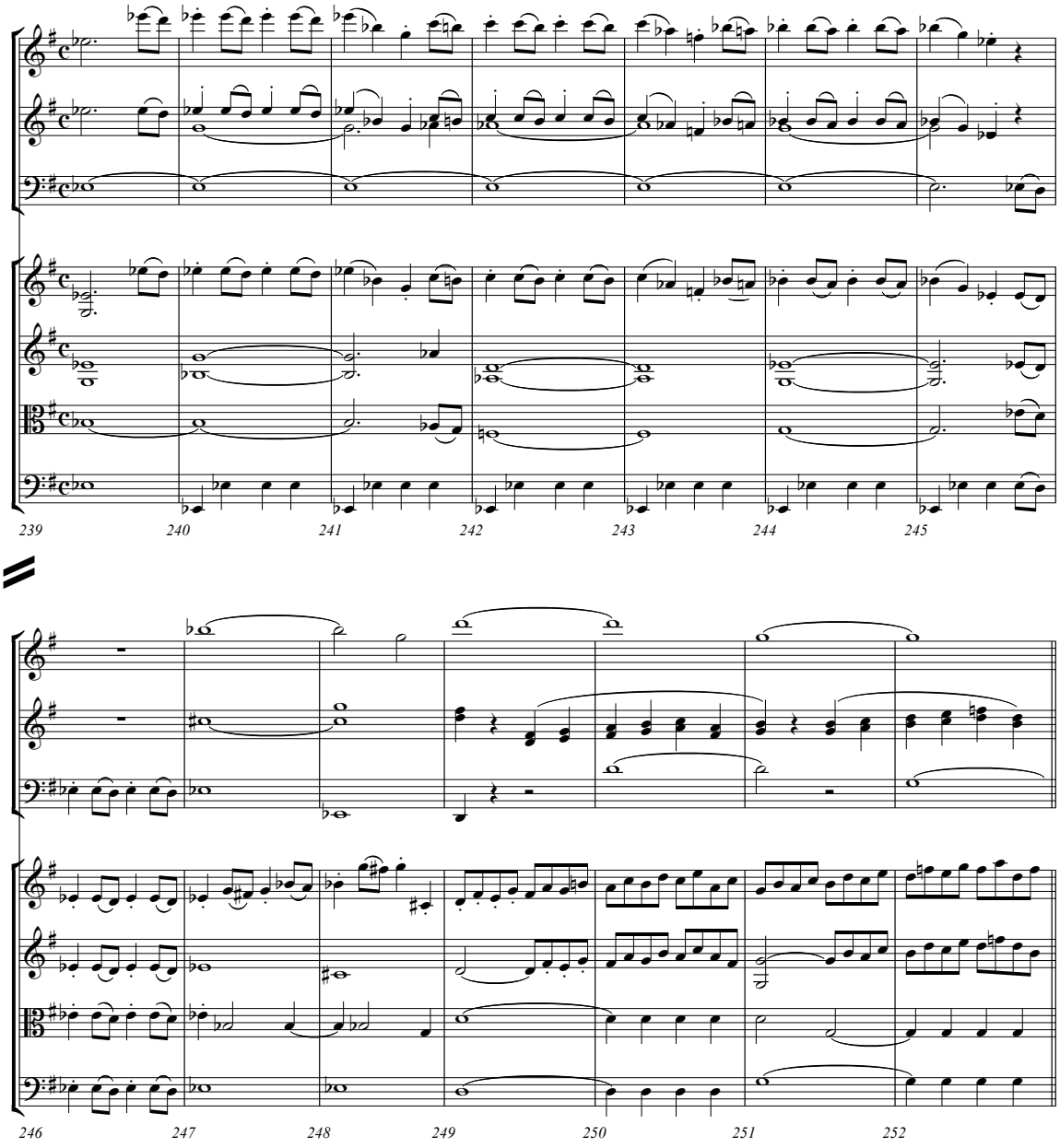

Figure 14. Symphony no. 100, "Military," I, measures 239–52

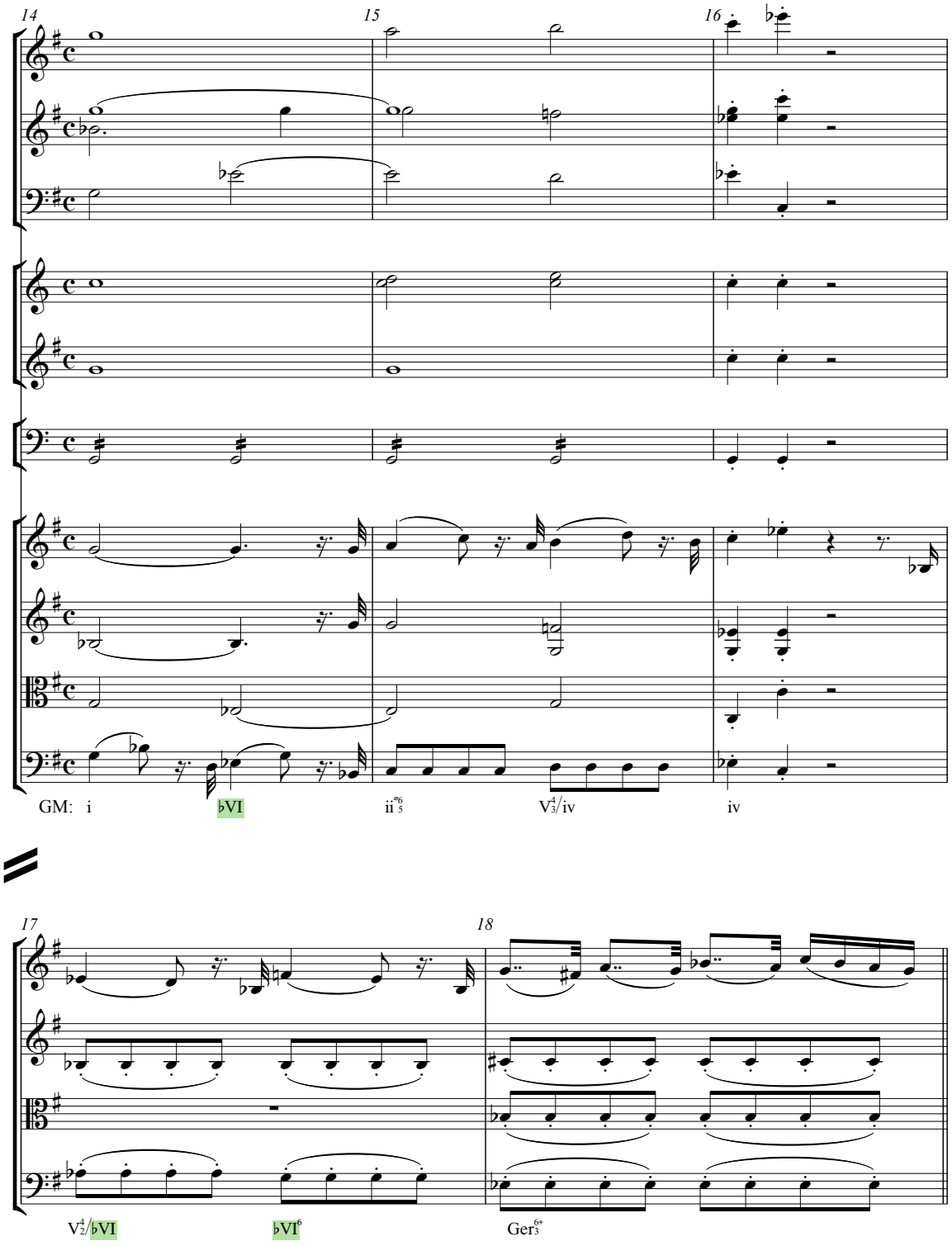

Figure 15. Symphony no. 100, “Military,” I, measures 14–18

witty recapitulatory appearance of bVI seems even less disruptive once we realize how often it recurs, and how it in fact gives the listener something to hold onto in the midst of Haydn's swirling, otherwise unconventional form.[32]

Analysis of the Exposition

As Haimo observes (1988, 341), in the recapitulation Haydn has reorganized, added, and omitted various sections of the exposition. He provides a wonderful diagram to show correlating measures between the exposition and recapitulation (Ex. 2, 342), over which I have laid my own formal analysis (**Figure 16**). The correlating colors between the exposition and recapitulation demonstrate Haimo's point that Haydn shifts around different parts of the exposition's "trimodular block" (shown in yellow and green) and transition material (shown in orange) in the recapitulation, while keeping in place the P-zone (shown in red) and C-zone (shown in blue) material that bookends the section. The blocks in my formal diagram refer to main phrases and also to subphrases. I have segmented the form into smaller units than the main zones of a sonata exposition (P, TR, S, and C) in order to accurately depict the measures in the exposition that are rearranged in the recapitulation.[33] For example, the exposition's TR does not include five separate

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[32] James Webster has noted that Haydn seems to have a predilection for introducing bVI in the recapitulations of works in G major (1991, 172). This key-dependent harmonic association may be why Haydn chose to highlight this particular chord in this symphony; however, this tendency does not undermine my argument that Haydn provides this alternate sonority as a lighthouse beacon in the fog of this form. In fact, Haydn's predilection for this key-relation further supports my overall position that Haydn was working within his own set of personal norms. In addition, British music critic and theorist Sir Donald Francis Tovey coined his analytical term "purple patch" for the first time when describing the modulation to bVI in Haydn's String Quartet in C major, op. 20 no. 2 (1929, 41–42).

[33] The segments included in my diagram are the "lowest common denominator" between Haimo's analysis and my own formal analysis. For example, Haimo includes only two segments to begin the exposition (measures 24–36 and 37–48) because the first appears again in the recapitulation while the second does not. I have split each of these further in order to properly define the placement of thematic zones.

Exposition			Recapitulation	
Thematic Zones and Cadences	Measures		Measures	Thematic Zones and Cadences
P (antecedent)	24–31		202–209	P (antecedent)
P (consequent) (I:PAC)	32–36		210–214	TR[1] (dependent) MC (I:HC)
	37–38		215–216	
TR (independent) MC[1] (V:HC)	39–48		217–219	
	49–51		220–225	
	52–55			
	56–69		226–238	S[1.1] (I:deceptive elided)
	70–74		239–252	S[1.2] (bVI)
TM[1] (P-based) V:~IAC	75–79			
	80–81		253–255	S[1.3] (TR[2], independent)
TM[2] PMC (V:IAC elided)	82–84		256–269	
	85–94		270–272	
TM[3] (“real” S)	95–107			
C, EEC m. 108 (V:PAC elided)	108–109		273–274	C, ESC m. 273 (I:PAC elided)
	110–117		275–281	
	118–123		283–287	

Figure 16. Formal Analysis of Symphony no. 100, I

phrases; rather, it contains four segments of musical content, only two of which are later found in the recapitulation. The main feature my analysis reveals is that the reshuffling of musical material between the exposition and recapitulation not only drastically changes the form—as would be expected—but also alters the function of specific musical material.

One aspect of this movement that is essential to appreciating the “witty” function of bVI is that the formal structure of both the exposition and the recapitulation do not

conform to the universal norms described by Hepokoski and Darcy.[34] The exposition seems as though it is going to be monothematic (**Figure 17**): after a transition and very clear V:HC MC in m. 73 (shown in red), the P-theme is presented again (TM^1, shown in green), not only in the dominant but also at a softer dynamic and with a reduced texture (as one might expect of a P-based S-theme). However, this theme loses energy in m. 80 (shown in blue) and dissolves into motivic repetitions characteristic of TM^2 (shown in purple). Haydn then launches into a second, even more vigorous transition (**Figure 18**), hinting at bVI in m. 87 (shown in green), before arriving at another MC in m. 93 (a non-normative V:IAC, shown in red) and another, more satisfactory S-theme in m. 95 (TM^3, **Figure 19**). The plot of this exposition differs to some extent from a conventional trimodular block.[35] Typically, TM^1 "appears with acceptable S-rhetoric, characteristic, lyrical, or *cantabile*, in the expected new key… [but] proves in some way unsatisfactory, unable to secure the EEC" (Hepokoski and Darcy 2006, 172). This trimodular block not only declines one S-theme for another, but carries the additional weight of transforming

[34] This is not to say that these formal structures are unusual in Haydn's compositional practice. Even in his clearly monothematic sonata forms, Haydn often begins the secondary area with only the head of the primary theme, so this technique does not always signal an abandonment of monothematicism in favor of something else. In the "Military" Symphony, however, the P-based S-theme slows to a complete halt, with exactly half of the beats in mm. 80–82 completely silent.

[35] To be sure, the form of the exposition is complex and can be analyzed in many different ways. For example, Hepokoski and Darcy begin the transition in m. 39, place the V:HC MC in m. 62 (the arrival on the dominant, A major, which is prolonged through m. 74), and begin S in m. 75 (95, 26, and 41, respectively). Haimo, on the other hand, continues the principal theme all the way through m. 48, and labels mm. 80–107 as "preparation and second theme." My interpretation differs from these, in large part because an important goal of my analysis is to highlight what seems to be Haydn's change of mind from using a P-based S-theme to using a more contrasting S-theme.

the exposition away from monothematicism.[36]

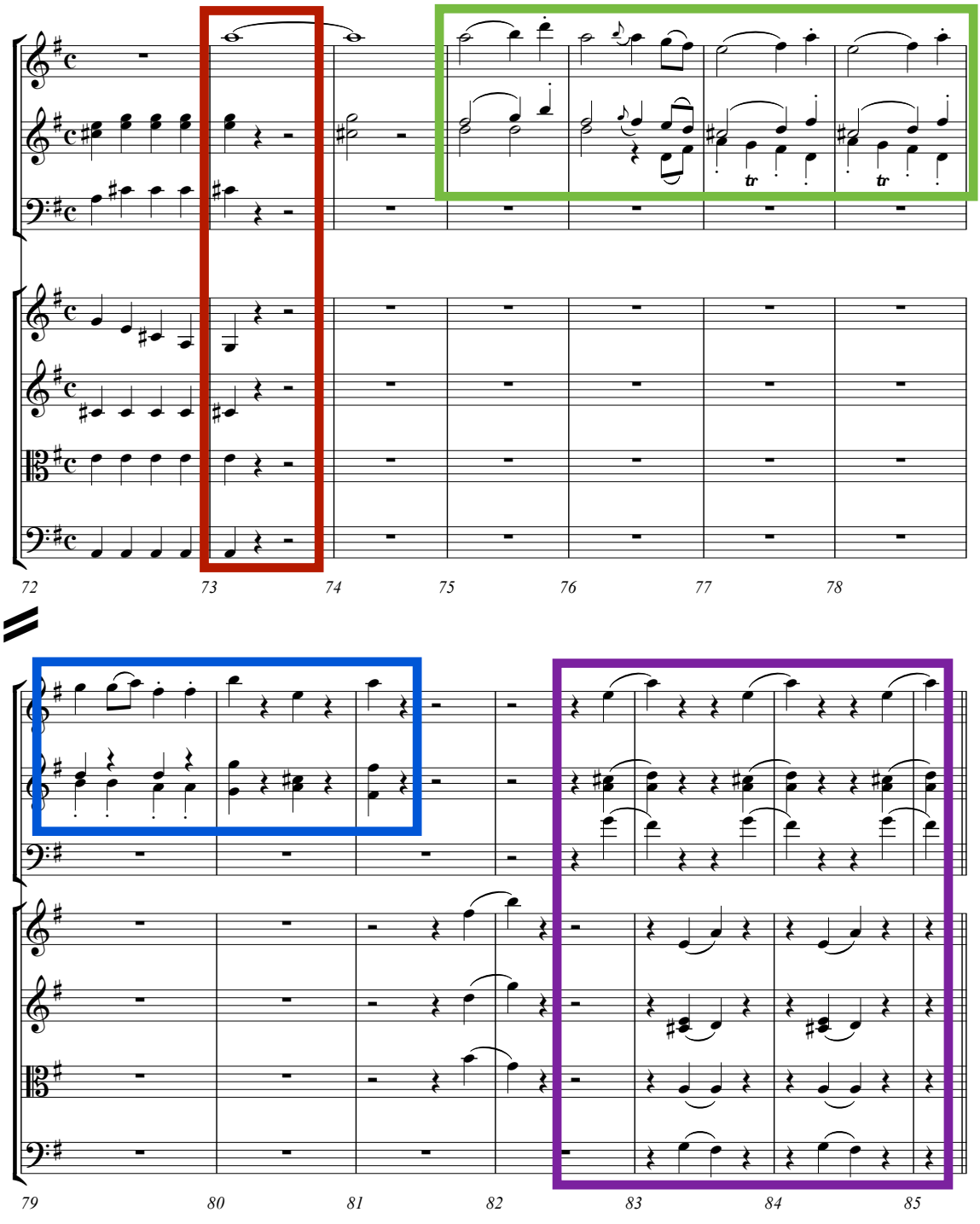

Figure 17. Symphony no. 100, "Military," I, measures 72–85

[36] My claim here is that the formal features of this movement are particularly unusual with regards to the norms set forth by Hepokoski and Darcy. Scholars such as Eugene Wolf (1966, 72) have long asserted that the appearance of both a P-based S-theme and a more contrasting S-theme is a fairly standard practice not only in the works of Haydn but also those of his predecessors and early contemporaries.

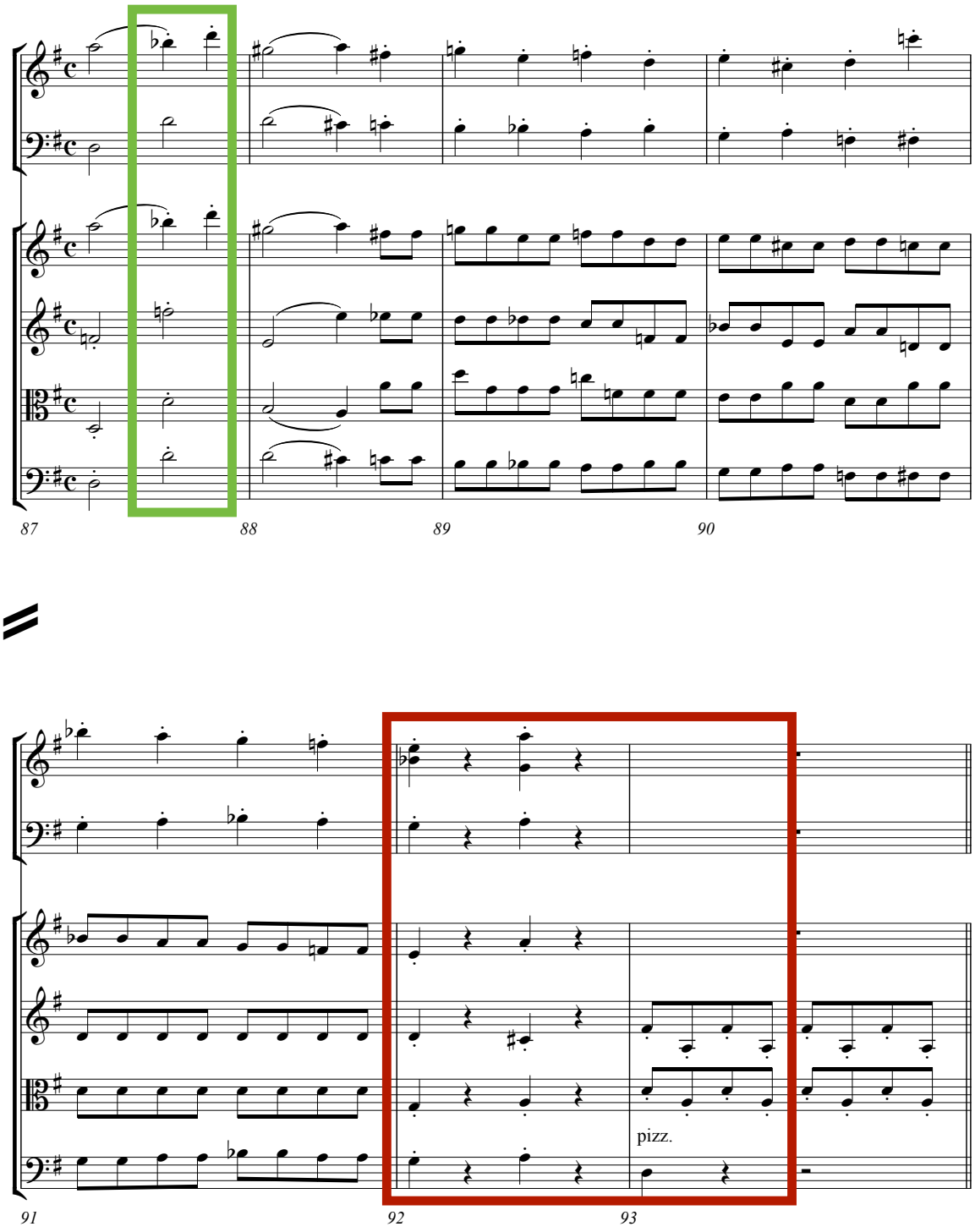

Figure 18. Symphony no. 100, “Military,” I, measures 87–93

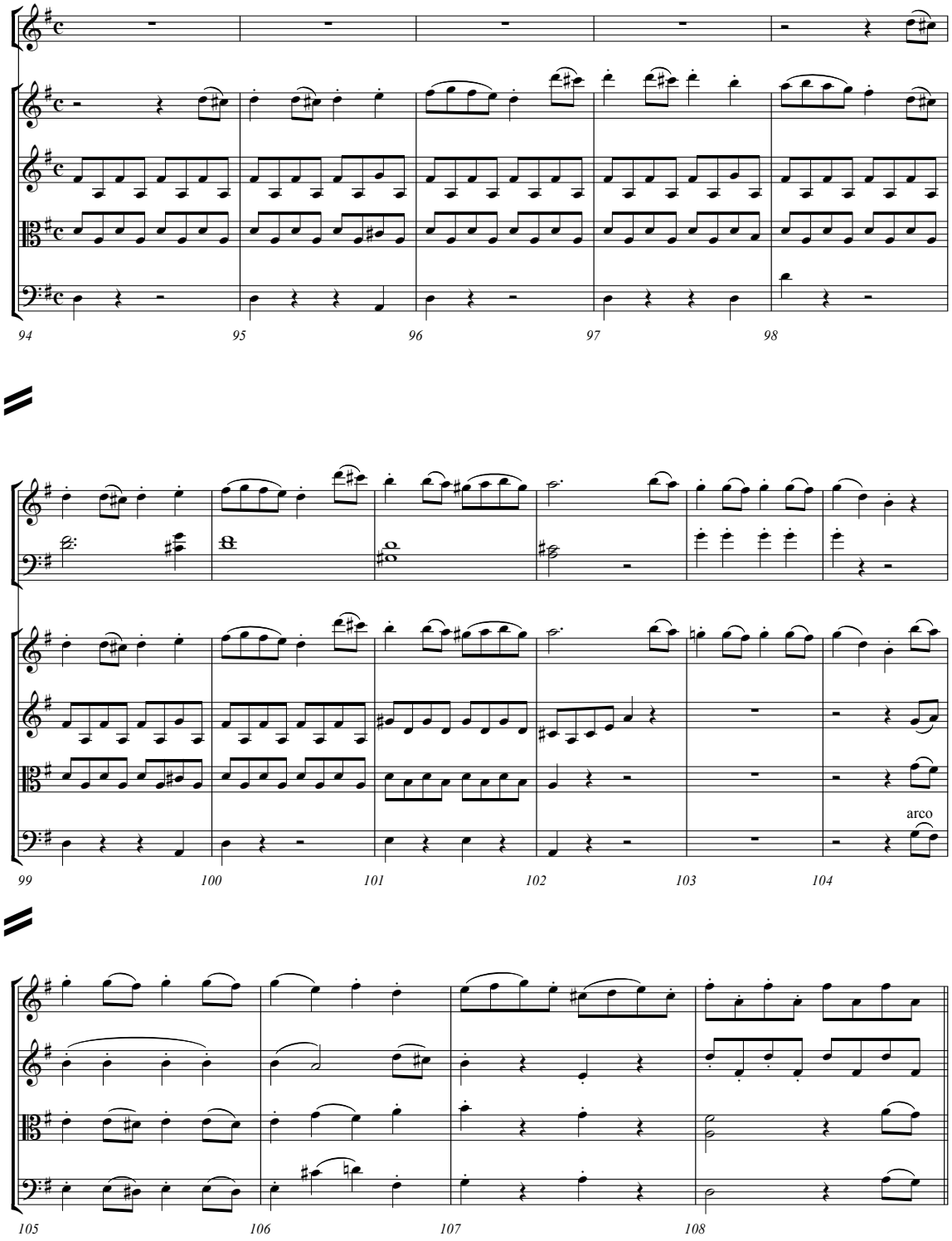

Figure 19. Symphony no. 100, "Military," I, measures 94–108

Analysis of the Recapitulation

While neither trimodular blocks nor monothematic expositions are particularly unusual in Haydn's output, the combination of these techniques with the drastically restructured recapitulation sets this movement apart. The recapitulation does not include the trimodular block (providing only a single MC), seemingly because it does not need to reopen the question of whether this movement is monothematic—the exposition has already provided the answer. Instead, Haydn shuffles the various components of the exposition, presenting them in a new context, which changes their functions. The material in mm. 210–14 (**Figure 20**), orchestrated differently but essentially the same as mm. 32–36 (**Figure 21**), is no longer part of the recapitulation's P-zone but is now the beginning of a dependent transition that also includes material from TM^1 and TM^2. The following S-theme (formerly TM^3) completes what could be interpreted as an abbreviation of the expositional trimodular block. However, this S-theme is not permitted to provide the ESC,[37] as would be expected from the expositional prototype (measures 95–108, **Figure 19**).

Because mm. 210–14 have been reorchestrated, one could argue that they also correspond to mm. 75–79, a kind of dual correspondence resulting from the use of a P-based S-theme, similar to the "spot-weld" described by Larson (2003, 157). In the "spot-weld," a technique commonly used in Haydn's string quartets, the transition is removed and the tonic P-theme is immediately followed by the now-tonic S-theme. Such an

[37] The Essential Structural Closure (or ESC) within the recapitulation, is "usually the first satisfactory PAC that occurs within S and that proceeds onward to differing material… The ESC is normally the recapitulation's parallel point to the exposition's EEC, although exceptions do exist" (Hepokoski and Darcy 2006, xxvi).

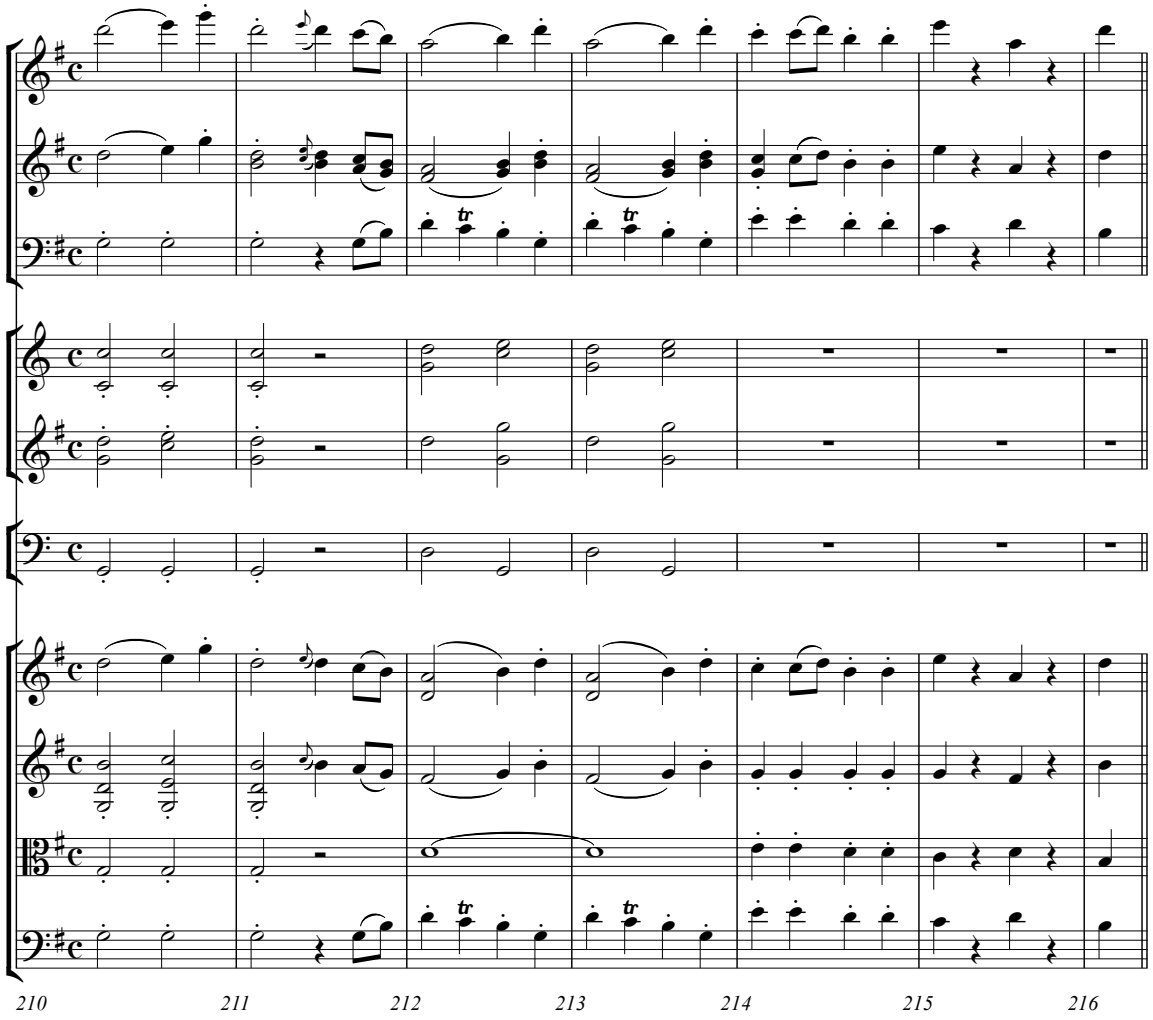

Figure 20. Symphony no. 100, "Military," I, measures 210–16

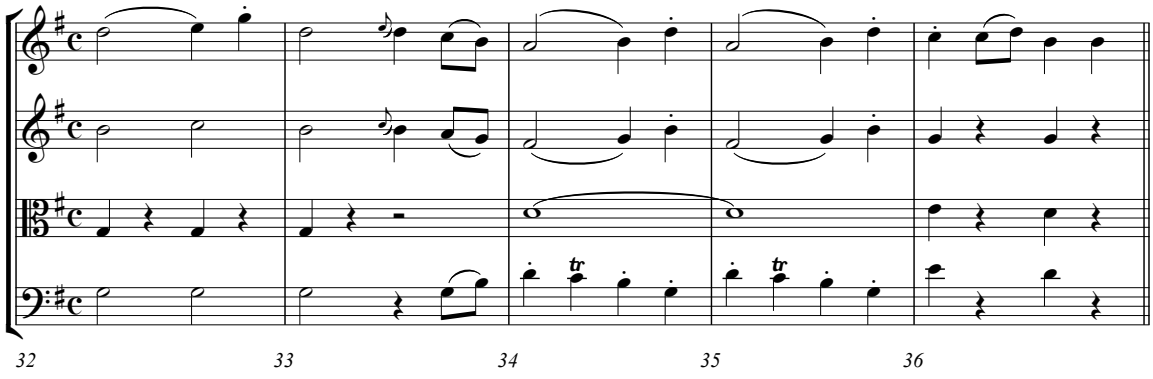

Figure 21. Symphony no. 100, "Military," I, measures 32–36

analysis further strengthens the interpretation of the recapitulation as abbreviating expositional procedures. This technique for recomposing the recapitulation—including the decision to omit the modulating transition—is not uncommon in the works of Haydn, so it is reasonable to infer that listeners might expect to hear the ESC at this point; in other words, the resulting brevity of the recapitulation would not have been perceived as uncharacteristic.

One of the more unusual features of this recapitulation is that material from the expositional TR reappears after the section in bVI as an additional S-module, $S^{1.3}$. It may seem that its inclusion serves only to further delay the impending ESC; however, it is the sole indicator that the recapitulation has been reordered as opposed to simply abbreviated. In this sense, it also "legitimizes" the bVI section: without this second appearance of the transition, the recapitulation would merely abbreviate the exposition, and the bVI section would simply prolong the dominant as a chromatic neighbor. Because this "TR^2" S-module is included, the bVI section seems to exist on its own as a separate entity, and the function of the recapitulation is threefold: it rearranges elements of the exposition, omits some of the previously heard material, and adds new material as well.

Instead of providing the ESC at the end of the S-theme—and thus merely abbreviating the exposition's formal processes—Haydn delivers an unexpected deceptive cadence, elided with the huge tutti section beginning in the key of bVI (mm. 239–52, **Example 3**). When this tonal area was subtly hinted at in the second transition of the exposition (m. 87 in the midst of TM^2, **Example 7,** in green), it preceded the S-zone, and also provided additional color to a section in the minor dominant, whose function was to

further delay the onset of the S-theme proper, TM[3]. In the recapitulation, bVI occurs in a different formal context: after the S-zone, where its function is to deny and delay the expected ESC. I would argue, however, that the main function of the surprising appearance of bVI in the recapitulation is to create a feeling of connection across different parts of the work—not just to the introduction, as Haimo points out, nor even just within the first movement itself.[38]

Uses of bVI

Flat submediants are found in many places throughout this movement. bVI is first introduced in mm. 14–18 of the introduction, as a sonority harmonizing the theme in the minor tonic (**Figure 15**). It appears again in mm. 87–92, the transitional TM[2] before the expositional S-theme of TM[3], this time during a passage in the minor dominant (**Figure 18**, shown in green). In both of these instances, bVI is used during a brief passage where the local tonic is suddenly presented in its parallel minor, essentially an example of mode mixture. Its next appearance, however, is more substantial. Hepokoski and Darcy note

[38] Eugene Wolf (1966) provides an alternate analysis of this symphony movement: he describes Haydn's proclivity for establishing the dominant by repeating a portion of the primary theme, and even cites this practice as evidence for the fundamentally tonal nature of eighteenth-century sonata form. My problem with this interpretation is that this theme does not establish the tonic. According to Hepokoski and Darcy as well as Caplin, a cadence is needed to establish any tonal area, particularly one so significant as S. At best, this theme trails off with an implied V:IAC, but taken literally it lands on F minor (iii in the dominant key). To make matters worse, this is followed by hints of the minor dominant in m. 87. So even in the exposition, it falls to the contrasting theme in m. 95 to properly establish the dominant, a task that is given to S alone, not C. All of this points to my central concern with Wolf's analysis: he does not allow the contrasting secondary theme of this movement to be elevated to the status of establishing the dominant. Because of this, he describes its recapitulatory partner as NS, or "newly employed as" S, when its function has only ever been S-material. I do not at all agree that this theme's S-function was ever ambiguous, and my own analysis only declines to label it as such because the TM-trajectory is an even more specific way to describe the events of this exposition. Furthermore, Wolf has no problem simply describing the abrupt bVI passage and following material as "development" of NS and TR and moving on to the next symphony on his list. No explanation is offered for the sole instance of recapitulatory development, which is the most blatant exception (among the movements analyzed here) to Wolf's claim that the "tonal plan of a recapitulation [is that] it *must* remain in the tonic rather than modulate" (81, emphasis mine).

that the first sound heard during the development is C-material in the key of B-flat major (bVI in the context of the end of the exposition in the key of the dominant, **Figure 22**):

> The development actually begins with two unexpected bars of silence (mm. 125–26), surely standing for the absence of P, which has missed its cue. As if to relieve the discomfort and fill the empty space, the "popular-style" C[1]… re-enters in m. 127 on B-flat (bIII, more immediately bVI of the preceding D) as pacifyingly bland, almost neutral material—an effect like begin placed "on hold" today. (Hepokoski and Darcy 2006, 215)

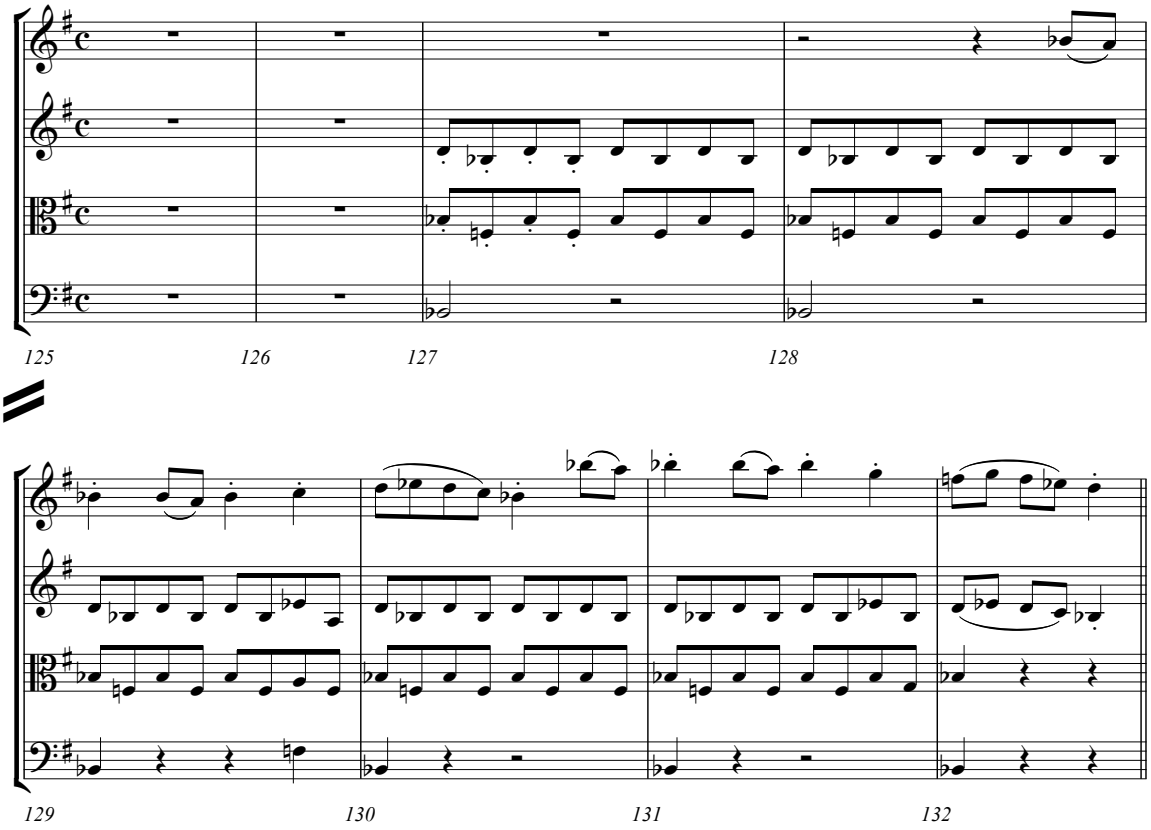

Figure 22. Symphony no. 100, "Military," I, measures 125–132

Their colorful description of this moment is, in this case, very much warranted. The beginning of this development is extremely striking—following the triple-hammer blow end of the exposition, the listener is arrested by seconds of silence. Out of this attention-grabbing grand pause comes the first appearance of the key of bVI (rather than

just the harmony), where we remain for roughly seven measures. By this point, bVI has been referenced often enough that when it arrives suddenly and in full force at m. 239, the listener will not be deceived and taken entirely off guard, but instead will have a revelation that connects these different moments—an epiphany that this sonority is important to the continuity of this movement.[39]

The references to bVI are not confined to the first movement. The second movement, Allegretto, features a sweet, pastoral melody in C major (**Figure 23**). However, Haydn cannot resist plummeting into E-flat major (the global bVI) in m. 61, remaining there for 10 measures (61–70, **Figure 24**, shown in green), and eschewing the global tonic for 35 measures (57–91). The most striking use of the bVI sonority, which parallels that of the first-movement recapitulation, comes at m. 161 (**Figure 25**). Haydn has just halted the piece entirely with a bugle call in C major (mm. 152–59, shown in green), when the entire ensemble enters on a *fortissimo* Ab-major chord that is held for six measures (shown in red). This brazen use of bVI could certainly compel the listener to remember the similar moment from minutes earlier in the first movement.

[39] The tonal contexts of these instances of bVI are varied: the bVI chords in the introduction and recapitulation are Eb-major chords in the key of G major, while the bVI chords in the exposition's S-zone are Bb-major chords in the key of D major, and Bb major at the onset of the development is a local tonic. These cases substantiate my claim that the *function* bVI is important to this symphony. The second movement also includes examples of Eb-major chords (the global bVI) that carry different, local functions. These are two entirely different ways that bVI is significant in this work: as a function (bVI in any key) and as a particular chord (as Eb major).

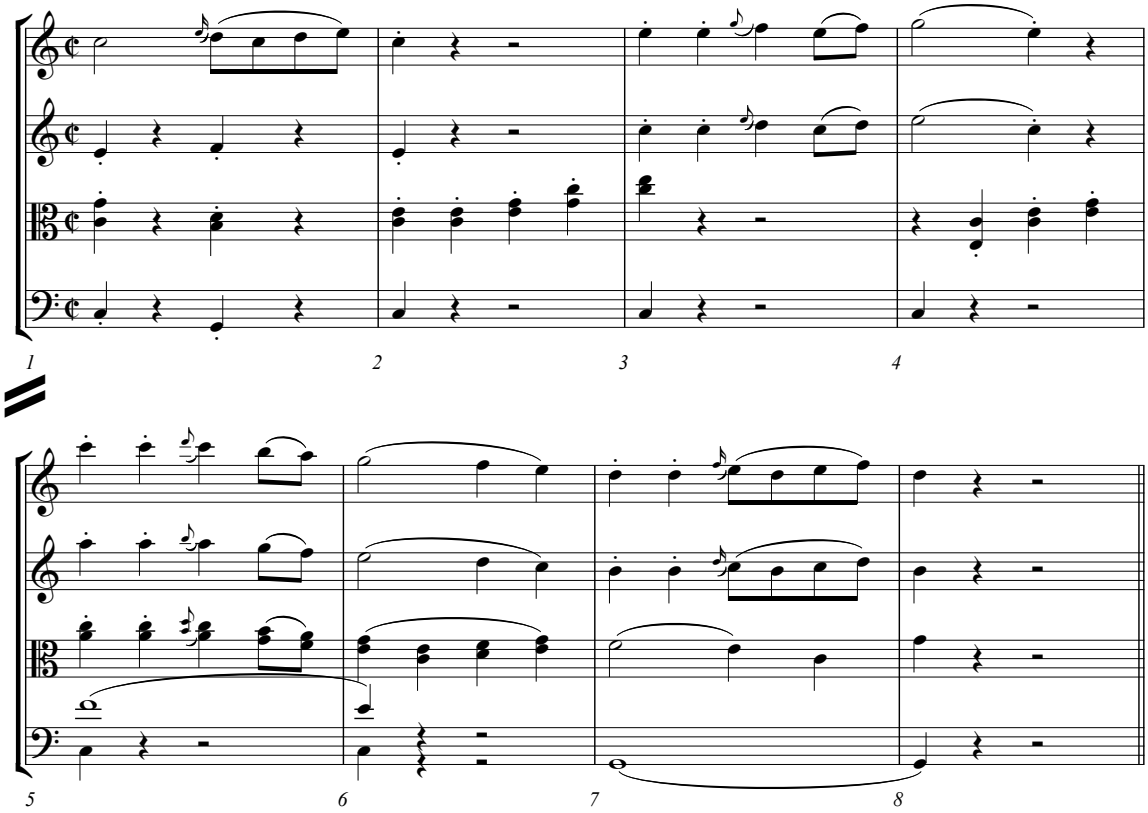

Figure 23. Symphony no. 100, "Military," II, measures 1–8

Conclusion

The flat submediant is the unexpected similarity that contributes to the work's sense of wit and coherence: Haydn uses these many surprising references to bVI as a kind of glue that holds the first movement together despite its other formal oddities. Far from disrupting the piece, then, the surprising appearances of bVI—and the recapitulatory appearance in the first movement above all—help unify it. We might fancifully imagine a compositional scenario like this: by creating a relatively non-normative form in the first movement's exposition and then a recapitulation that substantially differed from it,

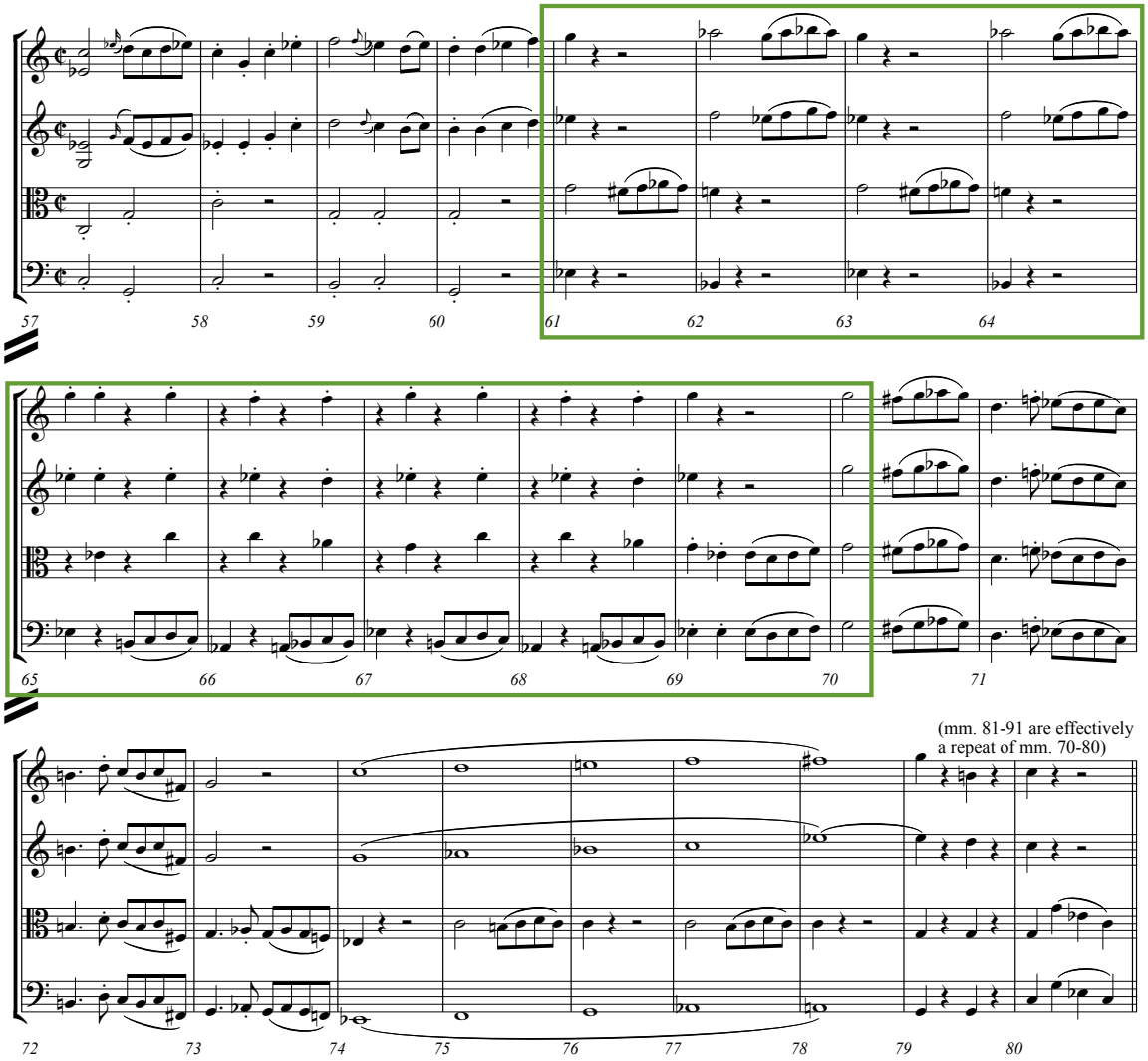

Figure 24. Symphony no. 100, "Military," II, measures 57–91 (string reduction)

Haydn ran the risk of disorienting his audience; therefore, his continued emphasis on bVI in the first movement could have potentially provided his audience with something firm to hold onto while the form swirled and changed around them. He then made references back to this sonority, particularly in the second movement, ensuring that listeners were reminded of the wild journey they had taken in the first movement.

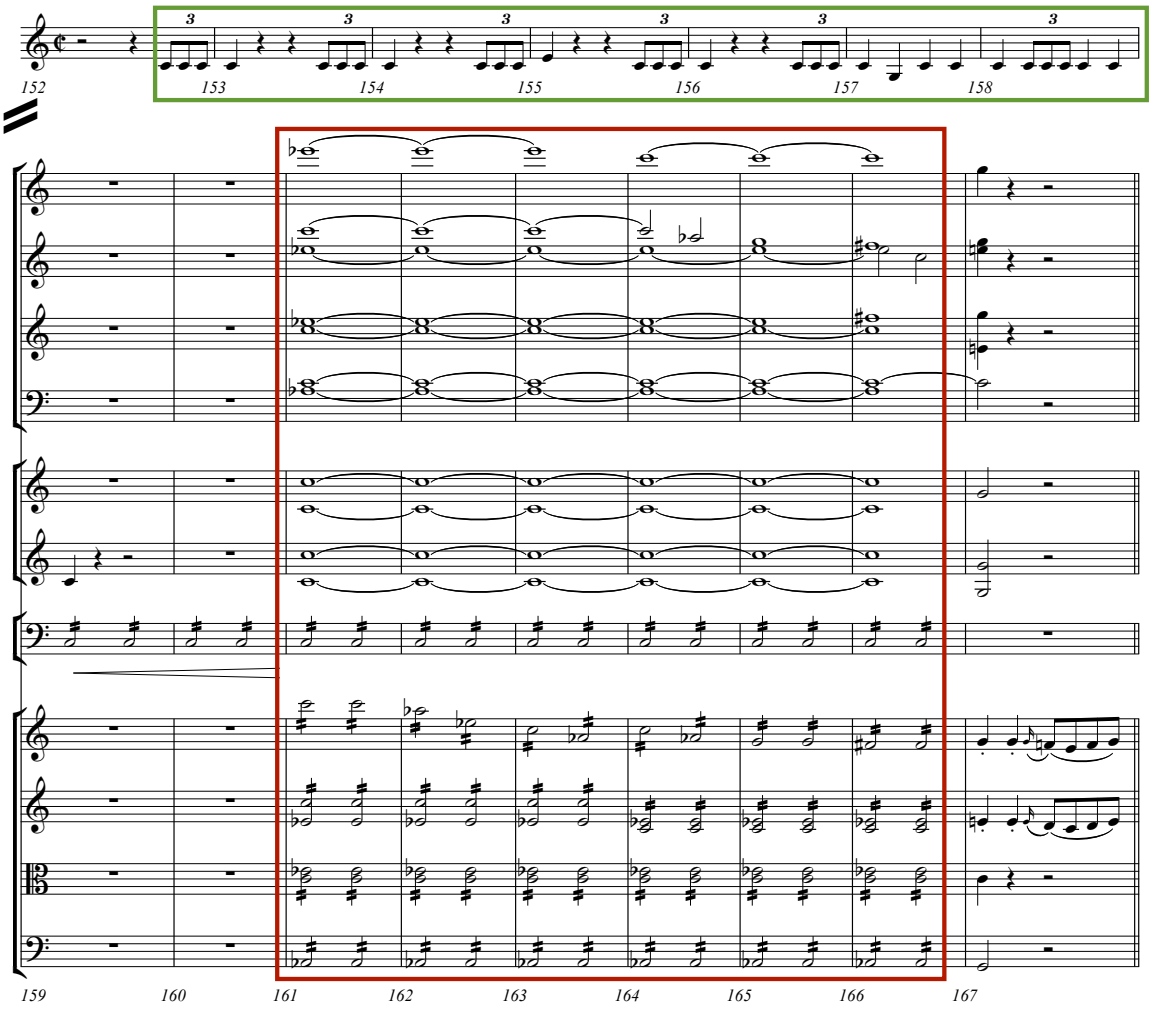

Figure 25. Symphony no. 100, "Military," II, measures 152–67

Haydn could very well have been aiming to surprise the audience with these flat-side harmonic and tonal motions, but his aims may have gone beyond mere shock. Do these musical moments involving bVI immediately draw the attention of the listener? Very much so. If Haydn had only included the single, bold use of bVI in the first movement's recapitulation, the effect might have been one of mere surprise. But this moment is both anticipated and followed by other moments that use this sonority. He thus employs a borrowed, chromatic chord to provide a kind of compass to his audience while the form fluctuates drastically, and then makes references back to this focal point in the

movements to come: there is no better way to describe this than as the surprising coherence characteristic of eighteenth-century wit.

CHAPTER V

STRING QUARTET IN D MAJOR, OP. 33 NO. 6

Introduction

According to Hepokoski and Darcy (2006, 276–77), the unusual feature of the recapitulation in the first movement of Haydn's String Quartet in D major, op. 33 no. 6 is that the P-theme enters verbatim, but in the key of the dominant rather than in the tonic (**Figure 26**). It had become acceptable by the late eighteenth century to begin the recapitulation in the key of the subdominant,[40] so that S sounds in the tonic, as expected, but the interval between the tonics of P and S in the exposition is retained.[41] However, Hepokoski and Darcy argue that beginning the recapitulation in the dominant is far more rare—and, in the case of op. 33 no. 6, a witty formal decision designed to make the form more ambiguous:

> This is an instance of a recapitulatory rotation that begins on V and shortly thereafter modulates to I… Yet there is no denying that in mm. 71–81 [the beginning of the recapitulation, **Figure 27**] Haydn was also *playing on the tradition* of presenting P in the dominant and in the tonic early on in a development… Haydn conflates two categories: Type 3 developmental and recapitulatory practice. It is imprudent to make a decision on behalf of only one of them, a decision that would overlook the *purposeful ambiguity* of the compositional situation. Further, if the most obviously developmental bars, mm.

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[40] Examples of this technique are found in: Mozart K. 545/I; Beethoven op. 62, op. 81a/II, and op. 127/IV; Hummel op. 96/I (sometimes labeled op. 93); C.P.E. Bach Wq 182 (H. 657–62) nos. 1/I, 3/I, 5/I, and 6/I; and Muzio Clementi op. 5 no. 3/I, op. 10 nos. 2/II and 3/I, and op. 13 nos. 4/I and 5/III; see Hepokoski and Darcy, 262–68. Galeazzi allows for the subdominant not only to begin the recapitulation (Churgin 1968, 184 and 196), but also to be the secondary key entirely (193).

[41] This allows the composer to potentially keep the original TR material unchanged, or even literally repeat the entire exposition transposed up a perfect fourth or down a perfect fifth.

59–70, were not there at all, we would be looking at a Type 2 sonata[42] with early crux.[43] Thus Haydn provided his audience with a *witty* work *cleverly suspended* in the force fields of at least three formal categories without declaring definitively on behalf of any one of them. The structure is in dialogue with more than one hermeneutic structural type, *caught in a web* of differing interpretive possibilities. (277, emphasis mine)

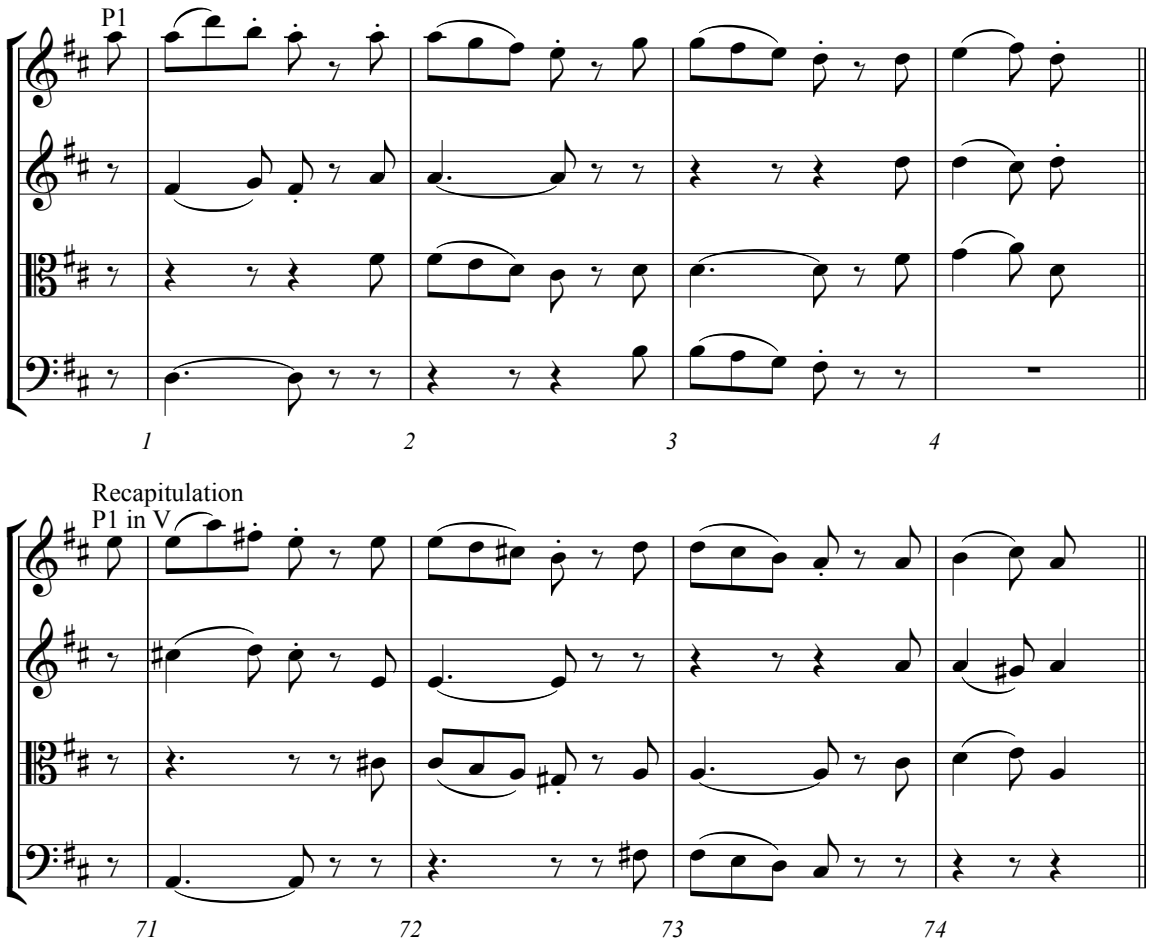

Figure 26. String Quartet op. 33 no. 6, I, measures 1–4, 71–74

[42] According to Hepokoski and Darcy (2011, 353), Type 2 sonatas are double-rotational: the first rotation (P–TR–S) comprises the exposition, and the second rotation comprises the development and recapitulation, where the development section reiterates P- and TR-material, and leads not to a full-fledged recapitulation of the P-theme, but to a "tonal resolution" that begins with S in the tonic.

[43] The crux is the point of the recapitulation where the music can begin to be repeated verbatim from the exposition (albeit transposed from the dominant). This occurs in the vicinity of the medial caesura, normatively before the onset of S (Hepokoski and Darcy 2011, 239–41).

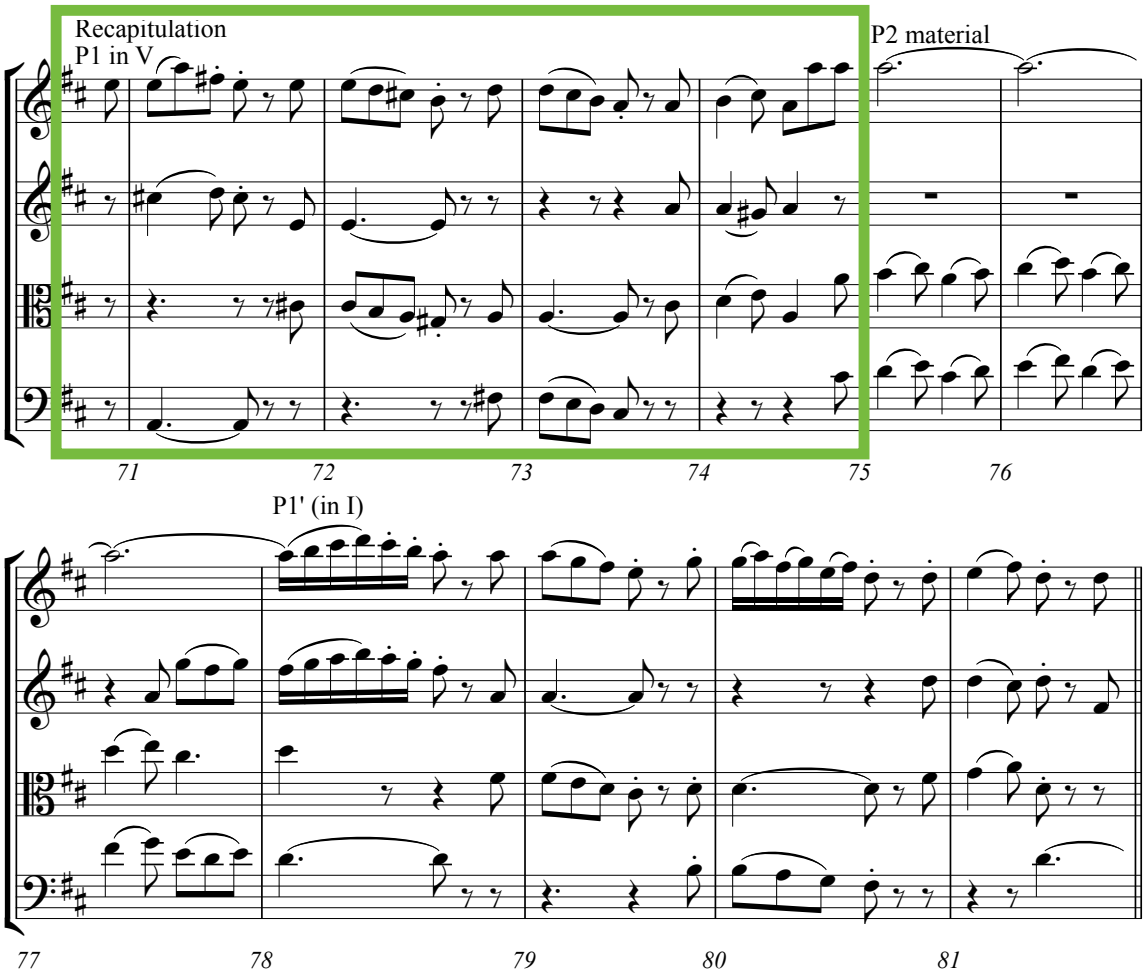

Figure 27. String Quartet op. 33 no. 6, I, measures 71–81

From an historical perspective, however, a recapitulation in the dominant seems much less "purposefully ambiguous" than Hepokoski and Darcy suggest. This phenomenon has a long history in binary forms. One of the precursors of sonata form was the simple binary form (or two-phrase form), common at the beginning of the eighteenth century (Rosen 1988, 22). In one version of this form, the melodic structure, beginning in the tonic and cadencing in the dominant, is presented a second time but with the tonalities exchanged (**Figure 10**, page 24 above). By the 1720s this form could be found in almost any Allemande by Bach or Handel, so it stands to reason that Haydn would have been

familiar with this structure. This binary reversal of tonic and dominant keys persisted throughout the eighteenth century, becoming one facet of two-reprise forms (Ratner 1980, 209). Two-reprise form normally has the tonal layout of I–V X–I, as is common in dance forms, while often maintaining the repetition of the A-B melodic structure. The minuet of Mozart's Quartet in G major, K. 387, is a perfect example of a two-reprise form that begins its second half in the dominant: its first reprise begins in G and switches to D, and its second reprise begins in D and returns to G. Scholars such as Charles Rosen and Leonard Ratner have shown that sonata form derives in part from simple binary and two-reprise forms, in which the second half generally begins in the dominant. It is not difficult to relate these precursor forms to Haydn's decision to begin the recapitulation of String Quartet in D major, op. 33 no. 6 in the dominant.[44]

False Recapitulations

However, there is not a consensus among scholars that a recapitulation beginning in the dominant is even possible. This debate is more specifically about the double return of the primary theme and the tonic. Because their Sonata Theory is largely theme-based, Hepokoski and Darcy allow a recapitulation to begin without a double return (i.e., with the primary theme in the subdominant or, in the present case, the dominant); however, to theorists who define sonata features in primarily tonal terms, the tonic must be present in

[44] This involves a different way of lining up the two-reprise form with sonata form; Ratner and Rosen tend to think of the second reprise's beginning as corresponding to the development. In the case of op. 33 no. 6, however, the brevity of the development section—twelve measures, less than 10% of the movement as a whole—strengthens my interpretation that the recapitulation of this movement corresponds to the beginning of the second reprise in two-reprise form.

order to open the recapitulatory zone. The necessity of a double return is highlighted in Peter Hoyt's discussion of false recapitulations.[45] Hoyt (1999, 41) describes the "premature reprise"—paired statements of the primary theme in the dominant and then the tonic that occur before any significant development—as an extremely common procedure in eighteenth-century binary forms. In the premature reprise, the double return does not signal the end of the development and beginning of the recapitulation to the listener, because it is also present before the development proper. Hoyt is concerned with the historical transition to the point in time when the double return does in fact signify the onset of the recapitulation, and thus can be effectively used to produce false recapitulations as well as other plays on listeners' recapitulatory expectations.

This discussion is important to my own analysis because it recognizes an earlier time when the double return did not have a recapitulatory connotation: just as its too-soon presence in the premature reprise would not confuse the listener, neither would its absence at the beginning of the recapitulation. Hoyt concludes that the line that marks the historical beginning of the double return's recapitulatory connotation is extremely blurred:

> It is obvious that unless the passages in works such as [Haydn's] Symphony No. 42 and the E-flat String Quartet of Opus 20 are considered deceptive, Haydn's continued use of similar procedures [namely, the premature reprise] would make it difficult to assert a moment when such a deceptive significance could have arisen. That is, if the double return was not associated exclusively with large-scale formal resolution by the 1770s, the convention could not have been established by the 1790s, and it therefore becomes impossible to assert that the mature sonata

[45] This aside serves as a reminder to the reader. For a more detailed discussion of false recapitulations, please refer back to Chapter III.

> forms of Haydn, or any of Mozart's compositions, were created according to modern ideals. (85–86)

According to Hoyt, this discrepancy has heavy implications for our formal understanding not just of Mozart, but of the numerous medial returns in nineteenth-century works that "play" upon a Classical model. From my own perspective of individual sonata practices, however, this overlap between Haydn and Mozart is a much smaller roadblock in logical understanding. To be sure, there is still a chronological discrepancy between Haydn's continued use of the premature reprise[46] and Mozart's play with listeners' recapitulatory expectations, because to ignore any overlap of listeners between the two composers would be historically inaccurate. But instead of focusing on the confusion over the fact that Haydn's premature reprises were still being performed and heard while Mozart was beginning to compose false recapitulations according to later expectations, a perspective focused on composers' particular formal and stylistic conventions allows for Mozart to establish the recapitulatory expectation of the double return and thus play on that expectation in his listeners, regardless of the fact that Haydn's music did not yet invoke that expectation. The idea of each composer having his own individual sonata form comes much closer to "solving" this apparent discrepancy. Because the double return did not necessarily hold recapitulatory connotations until more than a decade after the composition of the op. 33 string quartets, it is not unreasonable to consider that the

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[46] This chronological discrepancy is even present within Haydn's own compositional output: the fourth movement of the String Quartet in E major, op. 54 no. 3 (ca. 1788) contains a premature reprise, while the much earlier first movement of "The Schoolmaster" Symphony, no. 55 (1774) arguably contains a false recapitulation. The question here is whether Haydn's listeners would have been deceived by the apparent false recapitulation in Symphony no. 55, or if the development's (complete) second rotation would not have caught them unawares. One could certainly make a case that this symphony does in fact contain a false recapitulation.

recapitulation in op. 33 no. 6 did not begin with the apparent double return in m. 78, but rather with the dominant onset of the primary theme in m. 71.

Analysis

The most unusual feature of op. 33 no. 6 is not that the first-movement recapitulation begins in the dominant, but rather that the Adagio second movement is in the parallel tonic, D minor. Hepokoski and Darcy describe this effect with their typical flamboyance and flair:

> It is the unprepared switch of mode to the minor—the "lights-out" effect—that provides the initial impact: the sudden precipitation of an ominous antitype to the first movement's type… We refer to… the presentation of the slow movement in the tonic minor as the *prison-house effect*, as if one were shackled fast to an immovable tonic. Since the nontonic escape normally occurs, if at all, in the slow movement—and since it is not occurring here—we are led to expect that there will be no relief from this tonic in any of the movements. This sense of *no escape* is redoubled through the collapse of mode into minor. Metaphorically, when we hear the beginning of such a slow movement, the coldest of shadows passes over the tonic; the prison-house door closes and locks. (324–25, their emphasis)

The use of such a dark technique is particularly unusual for Haydn, so it stands to reason that Haydn might have wanted to use the first movement to prepare the listener for the "prison-house" effect of the minor-tonic second movement. Hepokoski and Darcy do not discuss the first two movements of op. 33 no. 6 in conjunction with one another, but by doing so we can come to a much different understanding of how the first movement's dominant recapitulation functions, and how disruptive it is (or is not) to the listener. In this analysis, I make the case that several of the most non-normative features of the first movement—including the dominant opening of the recapitulation—appear to be the direct result of Haydn's uncharacteristic decision to write the second movement in the

minor tonic, reflecting his efforts to establish large-scale continuity rather than to disrupt it.

Figure 28 provides my formal analysis of the first movement, which differs slightly from that of Hepokoski and Darcy.[47] Zooming in from the large-scale anomaly of the minor-tonic second movement, the most significant musical oddity of the first movement is the development's focus on F major (bIII), particularly considering the brevity of the development (mm. 59–70).

Section	Exposition											Development	
Zone	P^1	$P^{1'}$	P^2	TR^1	MC^1	TR^2	MC^2	S	EEC	C^1	C^2	N/A	N/A
Key	I	I	I	I	I:HC	V	V:HC	V	V:PAC	V	V-i	(FM)	(am)
measure	1	5	9	19	26	27	34	35	43	44	49	59	66

Section	Recapitulation											Coda
Zone	P^1	P^2 Bridge	$P^{1'}$	P^2=TR	(TR^1)	(TR^2)	MC	S	ESC	C^1	C^2	N/A
Key	V	I	I	I-bII-I	I	I	I:PAC	I	I:PAC	I	I-i	I
measure	71	75	78	82	105	116	125	126	134	135	144	150

Figure 28. Formal Analysis of String Quartet op. 33 no. 6, I

Tonal relations between the movements can be of use in explaining this oddity: the second movement is also in sonata form, and thus it juxtaposes a D-minor P-theme against an F-major S-theme—so, in a way, the development of the first movement foreshadows that tonal conflict by introducing F major. Another explanation for the use of the flat mediant has to do with structural tonal regions. In a major-key sonata movement, it is common to have the development center around the relative minor and conclude on a vi:HC, which produces a sweeping V–III–I downward tonic arpeggio between the end of

[47] Hepokoski and Darcy (2006, 276) analyze this exposition with a trimodular block in mm. 27–43, calling my C^1 an S-space extension and placing the EEC in m. 49.

the exposition, the development, and the recapitulation (Hepokoski and Darcy 2006, 198–201).[48] By the end of the eighteenth century, it was also fairly common for composers to conclude the development with a iii:PAC, creating the same major arpeggio across the form (203).[49] By centering this development around F major, however, Haydn creates a minor-tonic arpeggio across the larger formal sections, perhaps further preparing the listener for the minor-tonic second movement.

The development's focus on F major has significant implications for the expositional C-zone. The most normative major-key expositions end in the dominant, generally on a V:PAC. In this movement, the dominant is A major, which is not closely related to F major at all. Seemingly in order to prevent this disruptive tear of tonality, Haydn alters the end of the exposition. C^2 quickly begins to weaken the established dominant key (mm. 49–58, **Figure 29**). In m. 52 Haydn slips in a G-natural, transforming the local tonic A major back into a dominant (shown in red). This chromatic alteration alone is not deformational, insofar as it prepares the repeat of the exposition and a return to the global tonic. However, Haydn takes it a step further: when he changes the A tonic to an A dominant, he also resolves it momentarily to D minor. The first F-naturals appear in m. 53, shown in blue, and the D-minor chords effectively embellish the A chords that surround them. One might imagine that Haydn is cycling through keys and modes in the closing section until he is able to smoothly move to F major—the A^7 and D-minor chords,

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[48] This was originally David Beach's idea, based on Schenker: see Hepokoski and Darcy 2006, 199 n. 6.

[49] Examples of developments that end with a iii:PAC include: Haydn op. 33 no. 3/I mm. 108–11, op. 76 no. 3/I mm. 65–79; Mozart Symphony no. 39/IV mm. 139–53 (recalling the symphony's first movement complementary use of V/vi in mm. 179–84); see Hepokoski and Darcy, 203–5.

in other words, are like gateways to a distant key. By the time the development begins, the listener has been introduced to both key areas of the second movement—D minor and F major—in immediate succession.

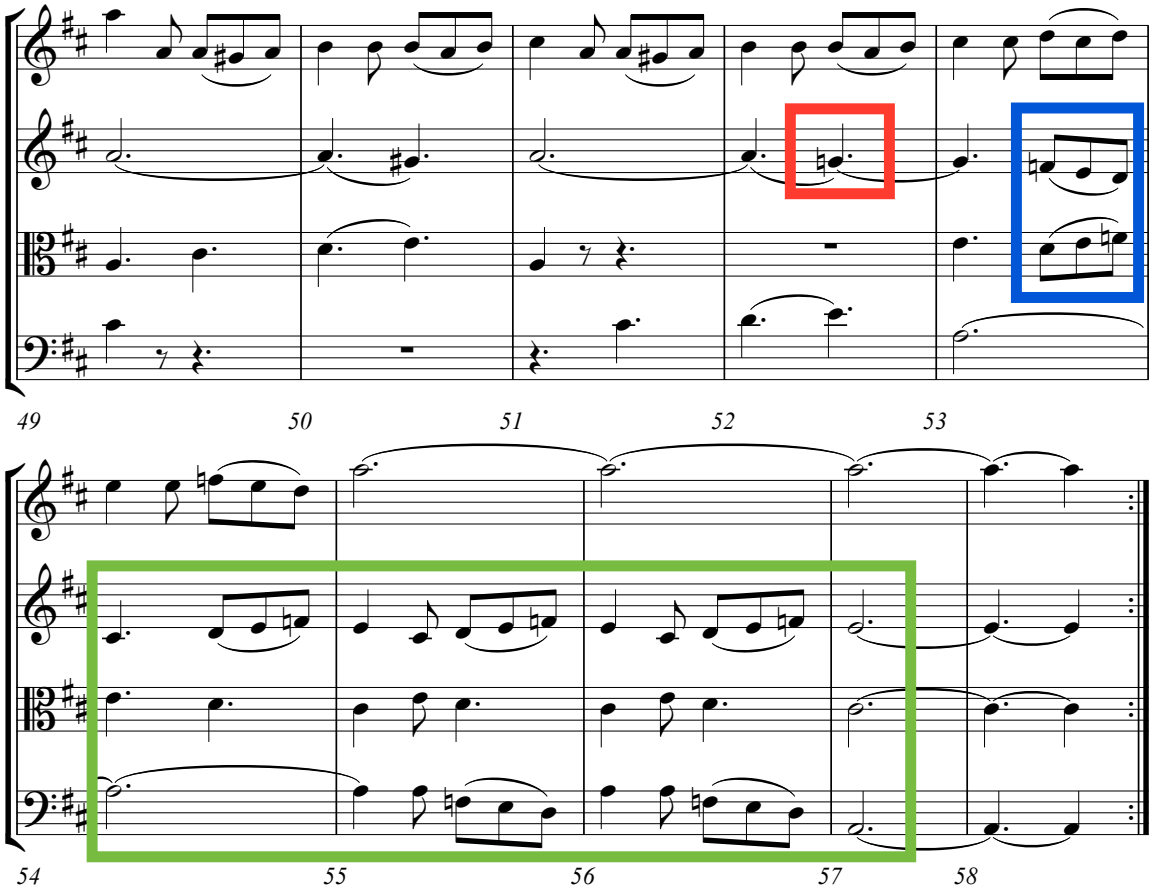

Figure 29. String Quartet op. 33 no. 6, I, measures 49–58

The development (**Figure 30**) does finally lead to the arrival of the expected global dominant, but first it leads to the minor dominant (mm. 67–70, shown in green) rather than the normative major dominant. Haydn's reasoning seems to be threefold: first, A minor is more closely related to F major than A major, and Haydn has already demonstrated a preference for closely related keys in this movement; second, the retransitional material in mm. 67–70 is just like the end of the exposition, which tonicized

D minor (mm. 54–57, **Figure 29**, shown in green); finally, the inclusion of yet another minor-mode passage continues to prepare the listener for the minor-mode second movement. At this point, it is as though the dominant key area has been so substantially weakened (in an effort to establish close key-relations and prepare for the dark second movement) that Haydn needs to strengthen it in some way, to counteract the extreme flat-side motion of the development—and he does so by giving A major all the weight of a P-theme return.

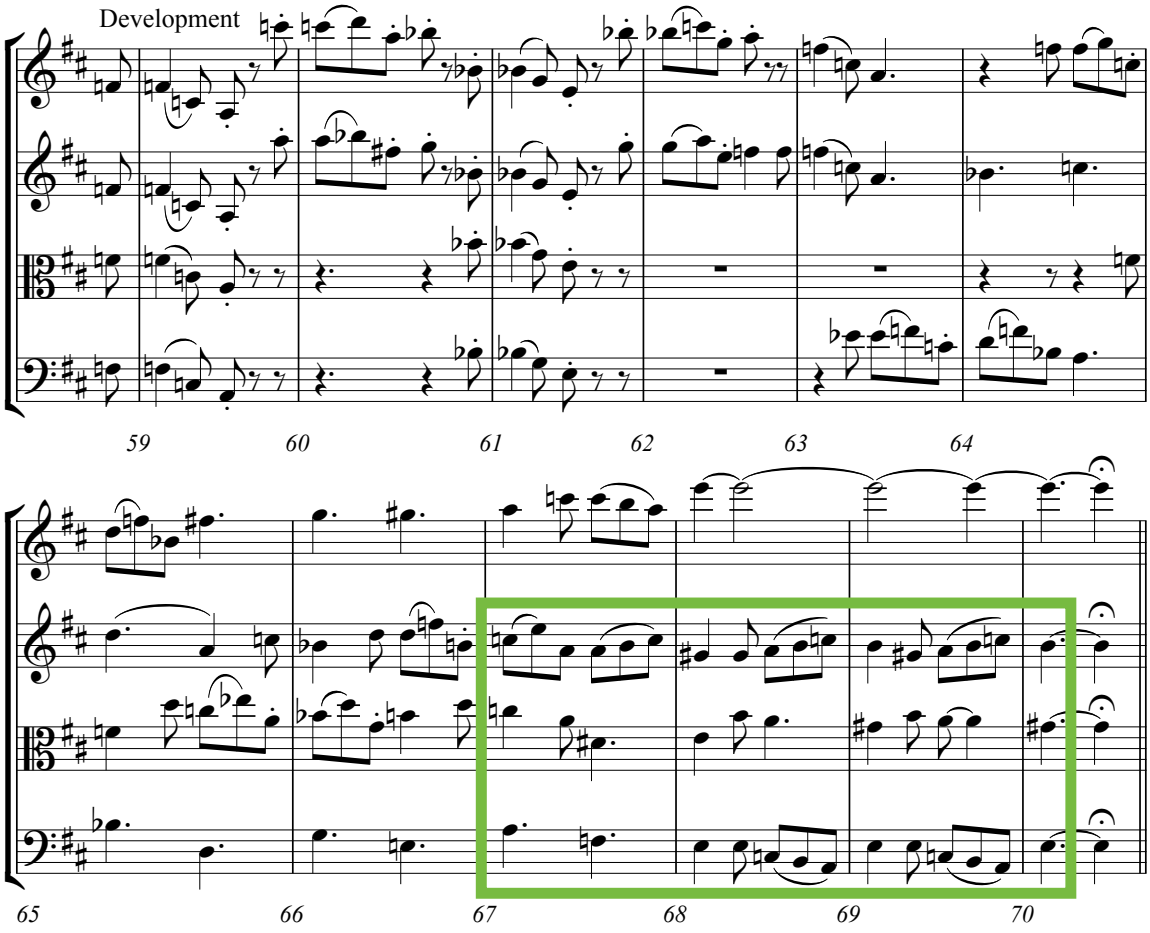

Figure 30. String Quartet op. 33 no. 6, I, measures 59–70

The thematic content of this brief development comes from two places: the first five measures originate from TR^1 (mm. 19–26), and the remaining seven measures originate from the end of the exposition (mm. 51–57), as discussed. When it is first presented, Haydn makes TR^1 stand out both dynamically and texturally. After starting P^2 *piano*, all four players crescendo to *forzato* (***fz***).[50] When the first transition begins, Haydn drops the dynamic down to *piano* and reduces the texture to only two instruments for the first time in this piece. Because this moment in the exposition stands out, the listener is more likely to make the connection when this theme arrives unexpectedly to begin the development. This musical idea is so important to Haydn that he specifically brings it back in the seemingly unnecessary codetta (in the form originally seen during TR^1), further implanting it in the listener's mind.

Conclusion

The unfolding of this movement is a departure not only from normative sonata-form practice but from Haydn's individual sonata practice as well—yet the dominant recapitulation is not altogether disorienting. In fact, we have attributed most of the deformational aspects to Haydn's desire to avoid disorienting the listener by providing key areas that are closely related even if they are non-normative. Furthermore, I would argue that Haydn does not provide an off-tonic beginning of the recapitulation with the purpose of tricking the listener, but rather of reinforcing the dominant key area, which had previously been undermined.

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[50] Unlike a *sforzando* marking (***sfz***), which is applied to only a single note, similar to an accent, a *forzato* in this time was treated like a dynamic (Marc Vanscheewijck in discussion with the author, February 2015).

In short, to claim that the main purpose of this dominant recapitulation is to create ambiguity or confusion is to run the risk of losing a very significant part of what Haydn is trying to do. My interpretation is based more on the internal logic of this quartet than on the presumption that it is in dialogue with some global norm. It is as if Haydn decided that the second movement would be in the minor tonic and then proceeded to craft the first movement in such a way as to both foreshadow and prepare the listener for what might otherwise be a jarring choice of tonality. This opening movement is witty, not because Haydn jumps to unrelated keys or because he creates an uncomfortable ambiguity with regard to form, but because he sets up moments of unexpected similarity that the listener only perceives in retrospect—only after we have reached each subsequent musical moment can we draw connections to what was previously heard, realizing happily that in some way, each of these outwardly different moments are actually congruous. Upon reaching the A-minor ending of the development, listeners might realize, "Aha! This passage is in minor, just as it was at the end of the exposition." When the second movement begins, they might recall, "Oh! Clever Haydn, he hinted at this several times in the last movement." And when the second movement reaches its F-major theme, they might conclude, "But of course! No wonder that development was in F major; he was setting this up all along. How delightfully witty!"

CHAPTER VI

CONCLUSION

> Haydn's recapitulations may often be productively viewed as ingenious readjustments of wittily problematized expositions… The analytical trick is to be able to identify what the original expositional problems might be—the problems whose solution, full or partial, governs much of the rest of the movement. That identification demands a knowledge of the different types of standard expositional practice—along with Haydn's individualized customization of those types—and their local norms and options. Apart from that, one might merely restate the obvious in reminding ourselves that, given Haydn's obsession with surprise and originality, each movement is unique in its manner of confrontation with these issues. Every piece exists in dialogue with a constellation of generic norms in different, individualized ways. (Hepokoski 2002, 129–30)

According to Hepokoski, Haydn's recomposed recapitulations are a reaction—or rather, a solution—to expositional problems. This may be true in many cases, but, as I have argued above, some of Haydn's most surprising and original recapitulatory moments are most meaningful in relation not to the exposition but to other sections and other movements of the piece. By exploring these relationships, we can come to see that these "witty" moments are not as disruptive as they might first seem: that they are truly "witty" in the eighteenth-century sense of the term.

I have shown that while eighteenth-century wit does involve an aspect of surprise or deception—a breaking of understood norms—it must also involve an unsuspected congruity, a larger-scale connection that emerges only by breaking the aforementioned norms. Focusing too much on the aspect of disruption in Haydn's treatment of the sonata form (as Hepokoski and Darcy do) risks overshadowing the unexpected similarities that reveal Haydn's true wit and genius. The idea of Haydn's false recapitulations provides a "negative" example of wit—moments that might be described as "witty" in the

conventional, modern use of the term, but that nonetheless do not accord with eighteenth-century conceptions of the term. The two larger case studies above are positive examples of wit: pieces that can indeed be considered witty in the eighteenth-century sense because they provide unexpected congruity at the expense of broken norms. Haydn's "Military" Symphony no. 100 demonstrates how the single sonority of bVI, while disrupting the expected trajectory of the first movement's recapitulation, provides coherence in both the first movement and the symphony as a whole. Its repeated appearance in the first movement could potentially provide listeners with something to latch on to, a beacon in the swirling fog of the form, and the significant appearance of bVI in subsequent movements could serve to remind listeners of this exciting journey. The String Quartet in D major, op. 33 no. 6 provides an example of how Haydn possibly prepares listeners for a substantial and unusual compositional decision, the minor tonic of the slow second movement. In the first movement, he focuses on F major in the brief development after closing the exposition in D minor, a juxtaposition foreshadowing the primary keys of the second movement. This somewhat unusual development is followed by what Hepokoski and Darcy describe as a dominant onset of the recapitulation (a musical event that some scholars do not believe is possible); they go on to highlight this as the unusual feature of this work. In contrast, I have interpreted this moment as representing Haydn's desire to maintain his use of closely-related keys in a continued effort to disrupt the listener as little as possible: every unexpected facet of the first movement serves to prepare the listener for the otherwise jarring minor tonic of the second movement.

Hepokoski has himself commented on "Haydn's individualized customization" of generic norms,[51] thus offering the tantalizing suggestion that Haydn's sonata procedures are different enough from those of his contemporaries that in some cases they might be best related to his own idiosyncratic norms, and to the listening practices of his era, rather than to the generic norms of late eighteenth-century style more generally. Yet Hepokoski stops short of pursuing the many implications of this provocative suggestion. The idea deserves to be explored further. Sonata Theory tends to place composers within a large framework of hierarchies in an attempt to compare their sonata-form movements on equal terms. This is a powerful approach, one that provides deeply meaningful analyses and treats individual works as so many voices in a vibrant cultural and artistic discourse. Where it risks falling short, however, is in its failure to consistently address the contemporaneous listener and to fully attend to the local, personal norms of a given composer.

Still, there is something to be gained from an approach like Hepokoski and Darcy's, particularly if it is combined with careful attention to historical context. If it could be determined that Haydn used P-based S-themes or trimodular blocks so often that these procedures were in fact first-level defaults for him, then we would have reason to regard as deformational those instances in which he did *not* use these procedures; we would still be thinking in terms of norms, but the norms would be based largely on

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[51] In *Elements of Sonata Theo*ry, Hepokoski and Darcy periodically reference Haydn in this way. For example: "[Deformations] are rampant in Haydn, who delighted in producing surprising effects. Such occurrences, in dialogue with a norm, should not be regarded as redefining that norm unless the composer continued to employ that idiosyncratic feature in other works (thus customizing the norm for his own use)" (2006, 11); or more directly, "Unlike his contemporaries Haydn appears to have adopted the P-based S as a first-level default (part of his *individualized customization of sonata practice*)" (136, emphasis mine).

Haydn's own practices. As I have argued throughout this article, the "witty" sonata forms of Haydn—with their uncommon proportion of P-based S-themes; their abbreviated, amended, reshuffled, or otherwise recomposed recapitulations; and the meaningful connections they establish to music outside the sonata form proper (i.e., other movements within a multi-movement work, introductions, and codas)—raise questions about the viability of explaining wildly (or even mildly) idiosyncratic works in relation to universalized norms, however flexible those norms may be. Yet at the same time, the very recurrence of Haydn's techniques (some more common than others; some more disrupting and others more unifying) suggests that some kind of hierarchy of norms is needed. Ultimately, the best strategy, however ambitious, may be to create hierarchies for each composer, geographical area, and year, layer upon layer, until the whole can be explained. Once that corpus of work is complete, if it is ever complete, we will be able to take a step back and draw far more accurate conclusions about listener expectations for any given piece based upon the compositional landscape of that place *in that moment*.

The project described may seem to be more archaeological than music-theoretical, trying to dig up enough information to discern which pieces may have been heard in a specific town in the year or so leading up to the premiere of the specific work being analyzed. But its results would be very much music-theoretical: my aim is to eliminate the many anachronistic expectations that we inadvertently ascribe to the historical listener. The works of Haydn seem to be the most appropriate starting point for this project, due to the dichotomy between the coherence of his works as a whole and their deformational status within the global hierarchy of Sonata Theory.

APPENDIX A

SYMPHONY NO. 100, MOVEMENTS I–II

In Nomine Domini

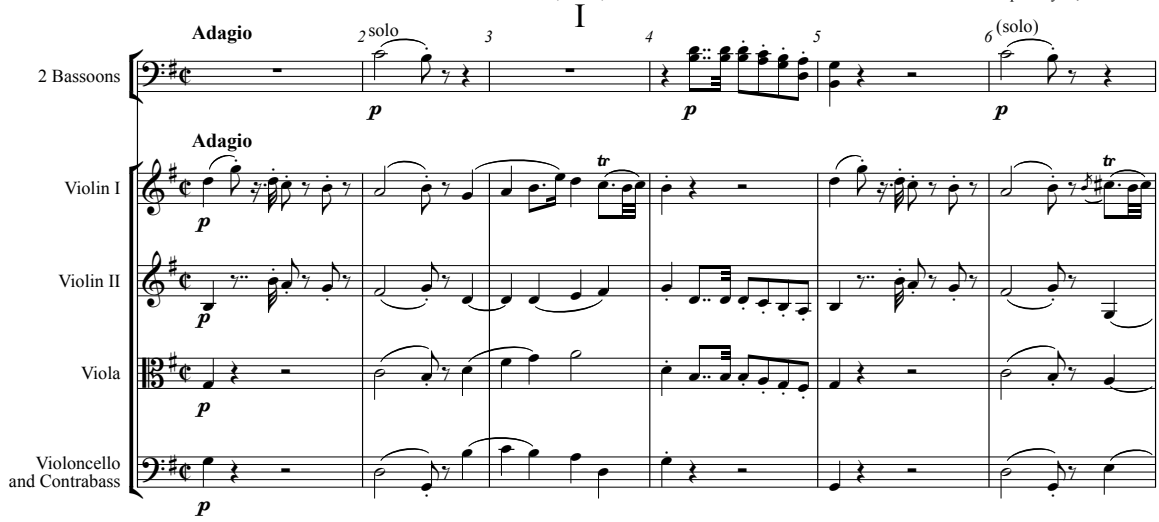
Sinfonia No. 100

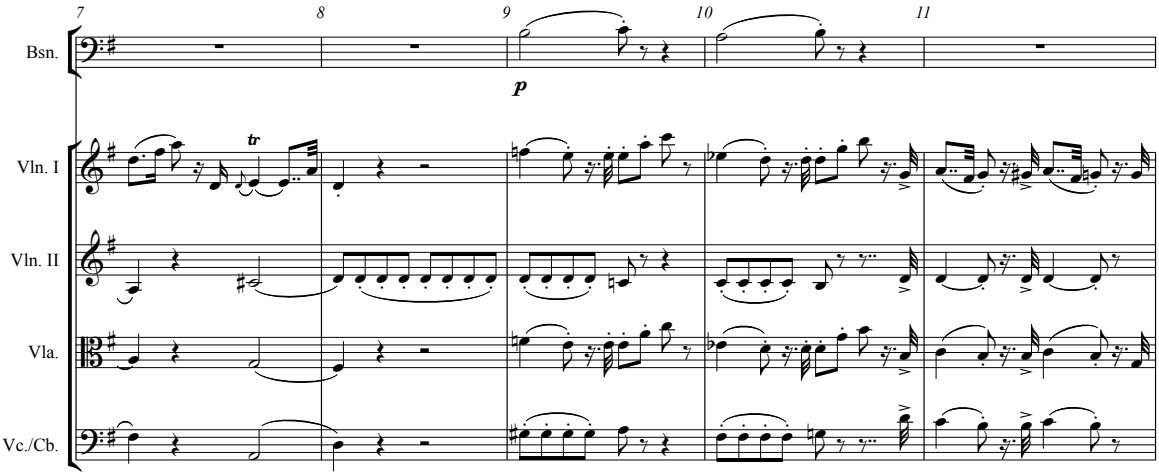
Military

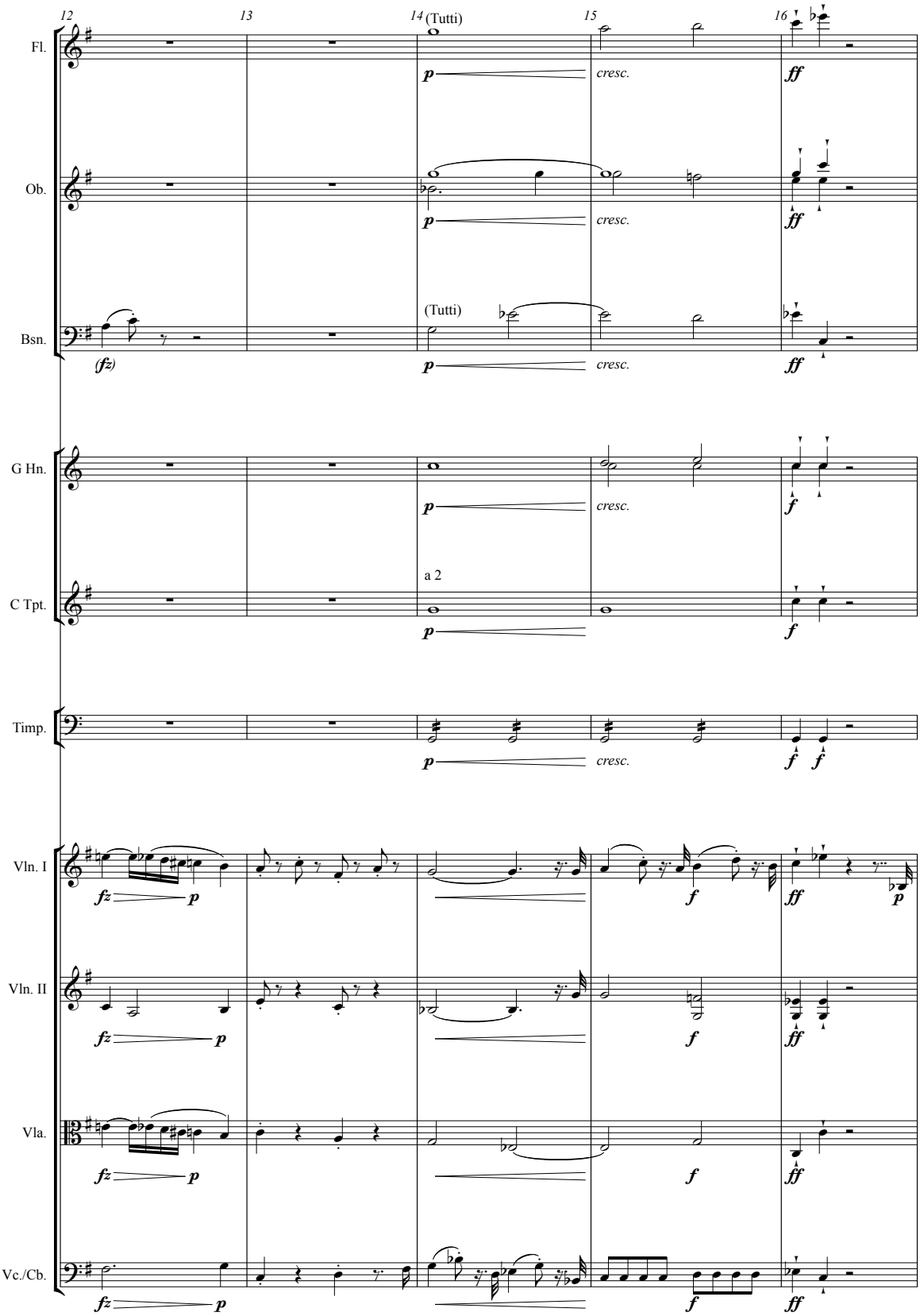
(1794)

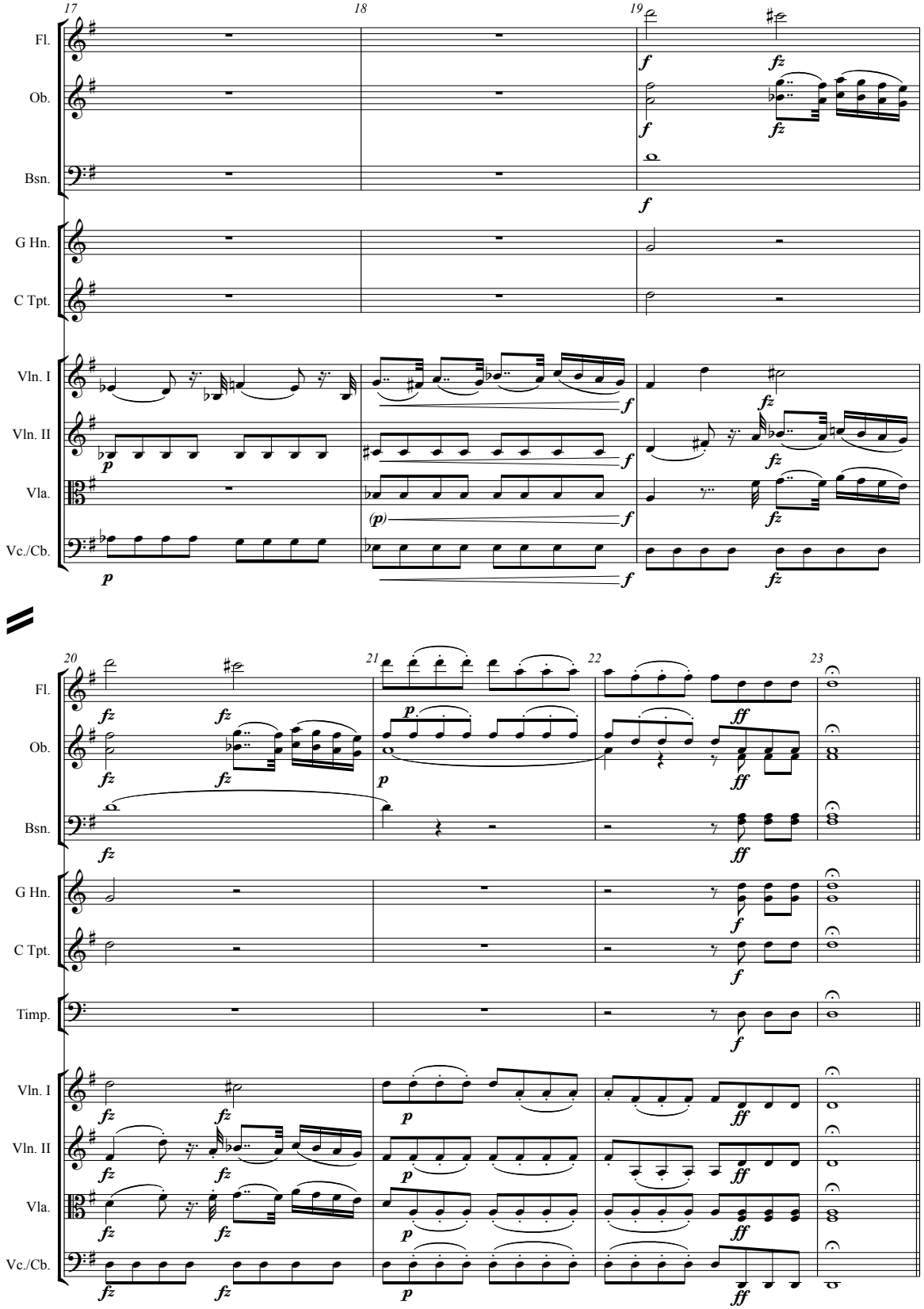
Joseph Haydn, arr. Mastic

I






12
13
14 (Tutti)
15
16
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
(Tutti)
a 2
(fz)
p
cresc.
ff
f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Fl.
Ob.
Bsn.
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C Tpt.
Vln. I
Vln. II
Vla.
Vc./Cb.
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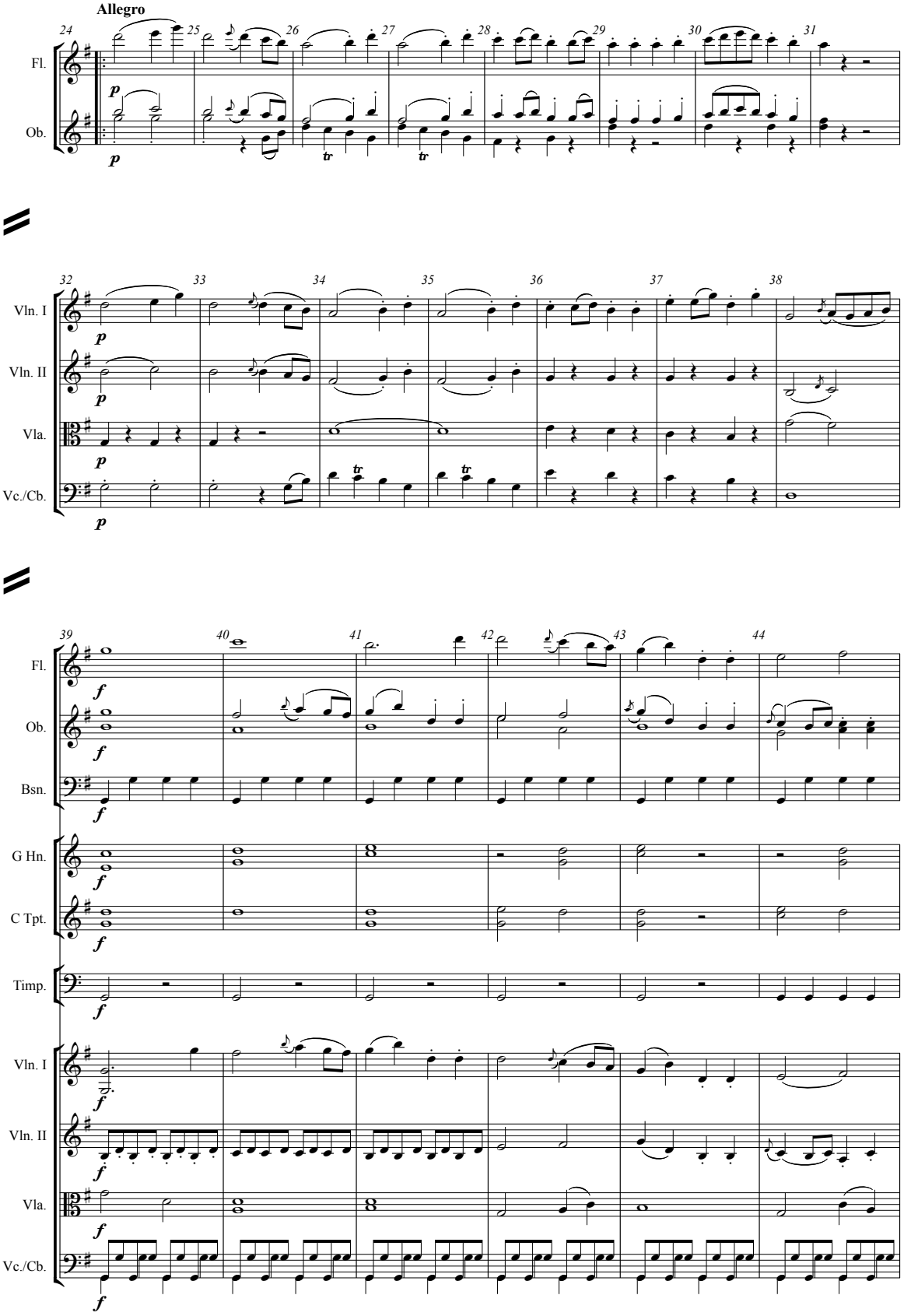
21
22
23
Timp.


Allegro
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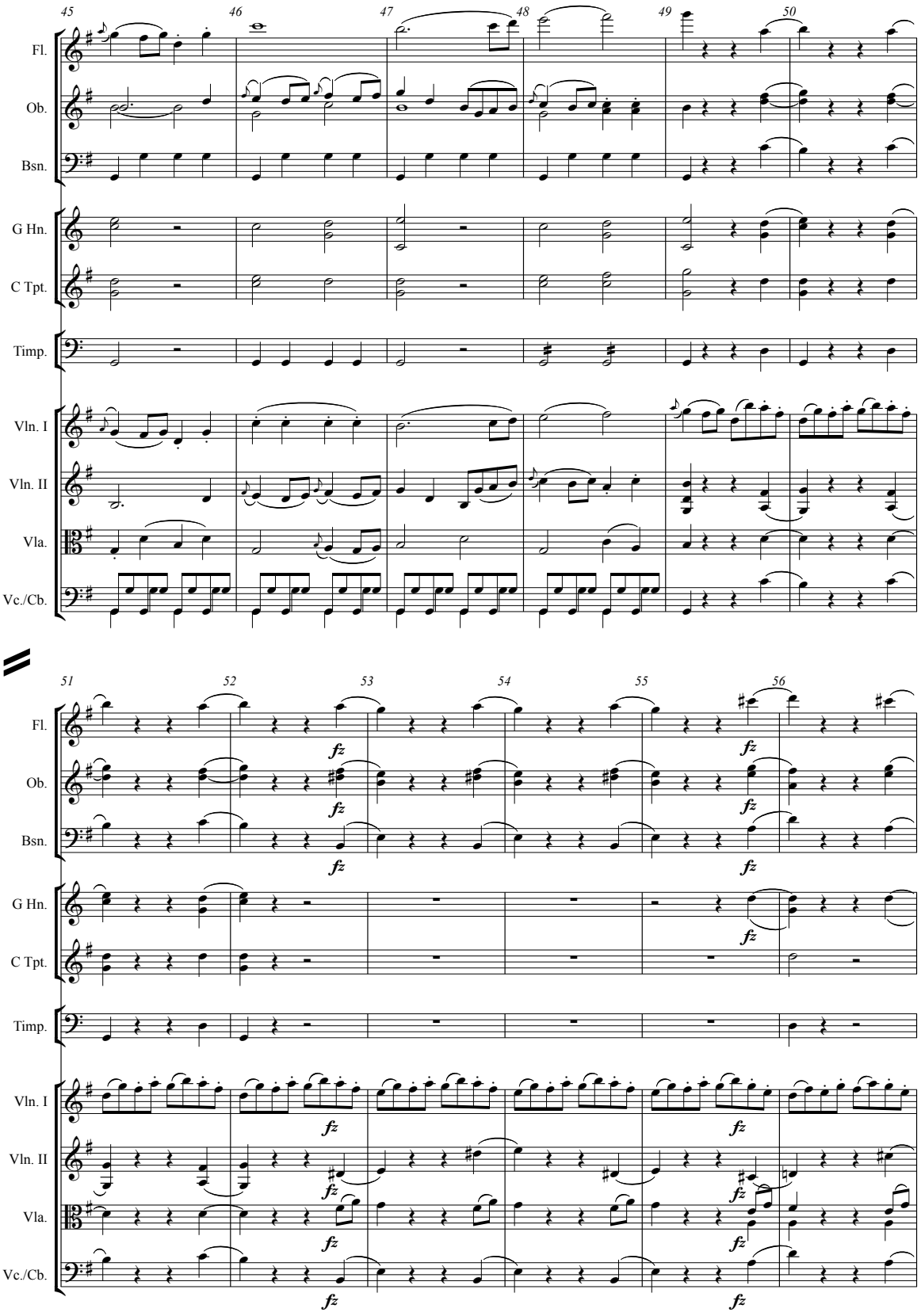
Vla.
Vc./Cb.
Bsn.
G Hn.
C Tpt.
Timp.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Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
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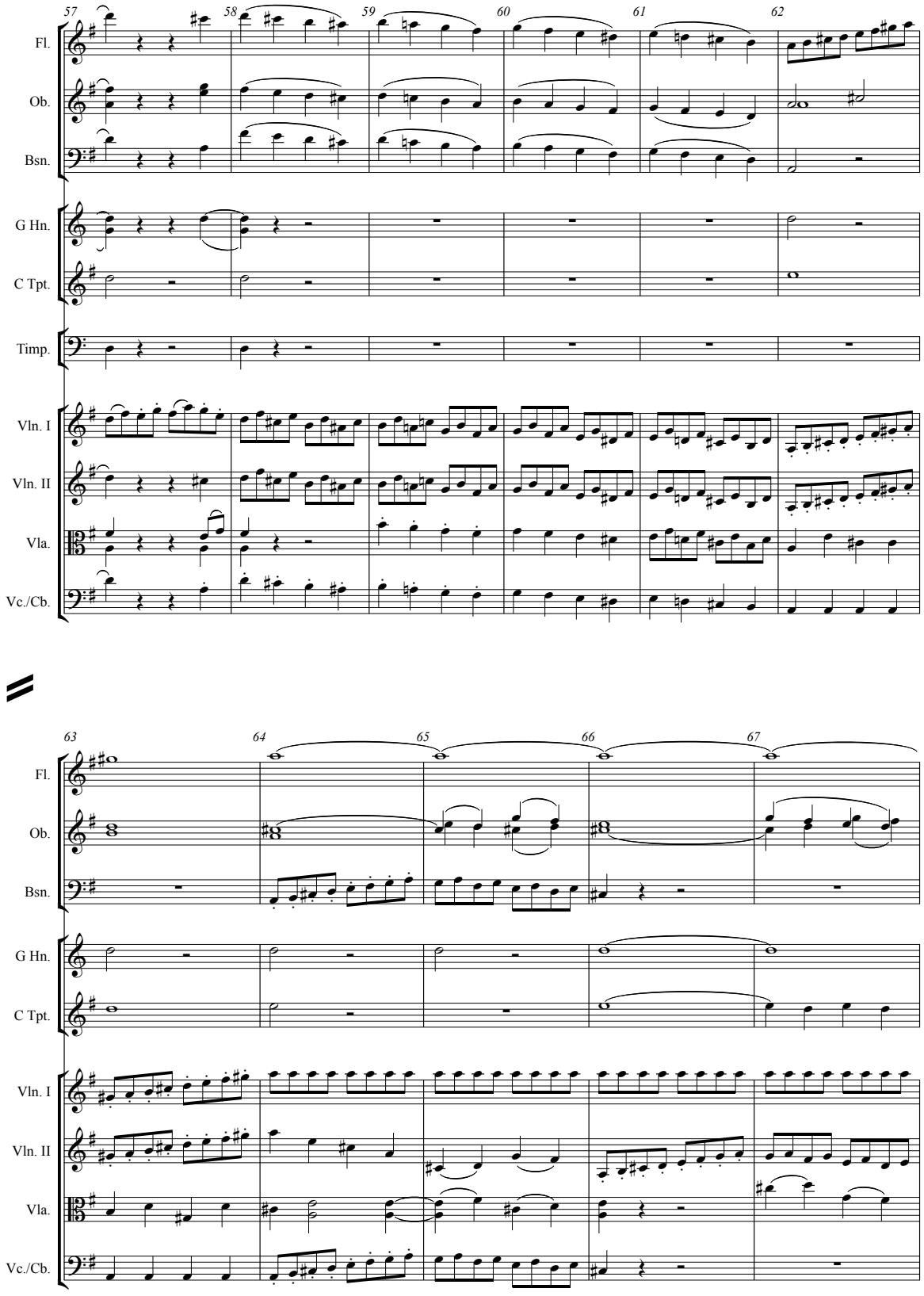
56
fz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61
62
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
63
64
65
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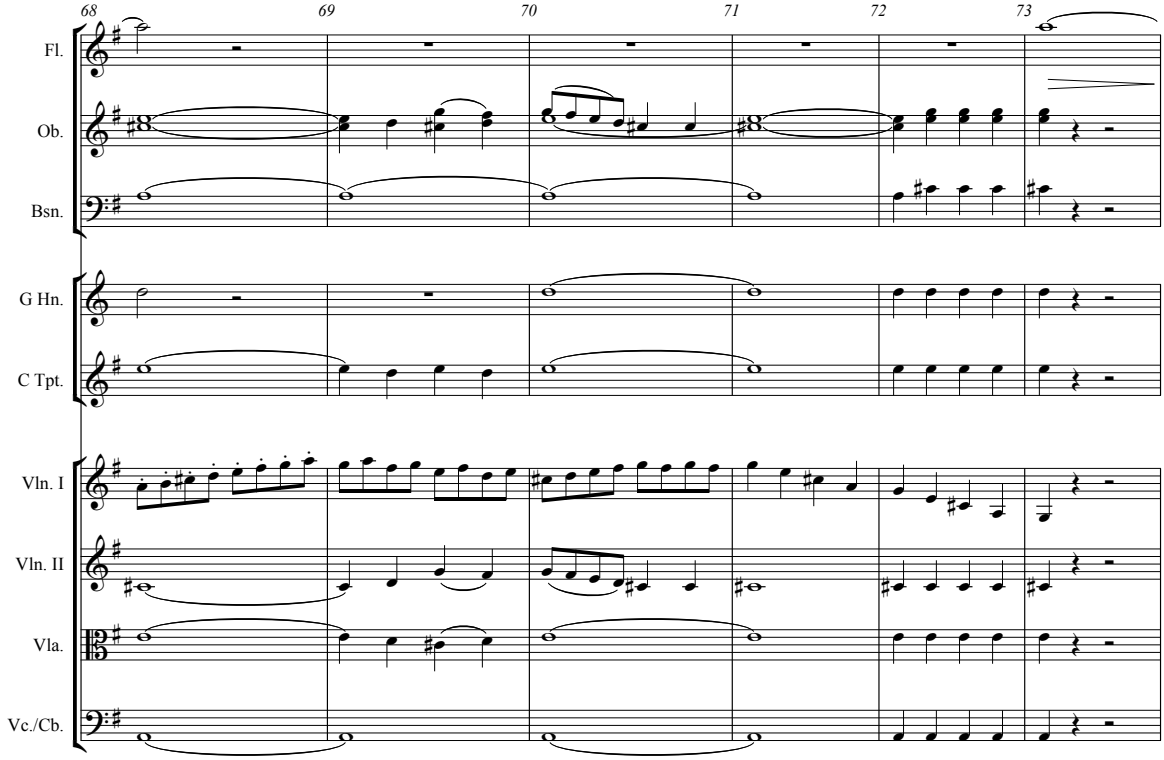
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Vln. I
Vln. II
Vla.
Vc./Cb.


68
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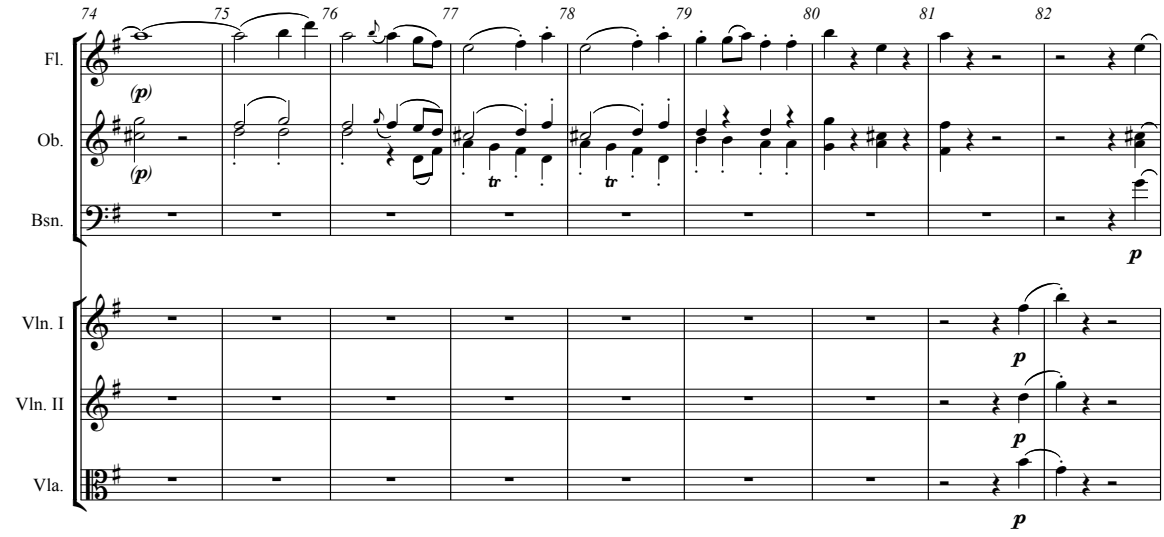
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Vln. I
Vln. II
Vla.
Vc./Cb.


74
75
76
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78
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82
Fl.
Ob.
Bsn.
Vln. I
Vln. II
Vla.
(p)
(p)
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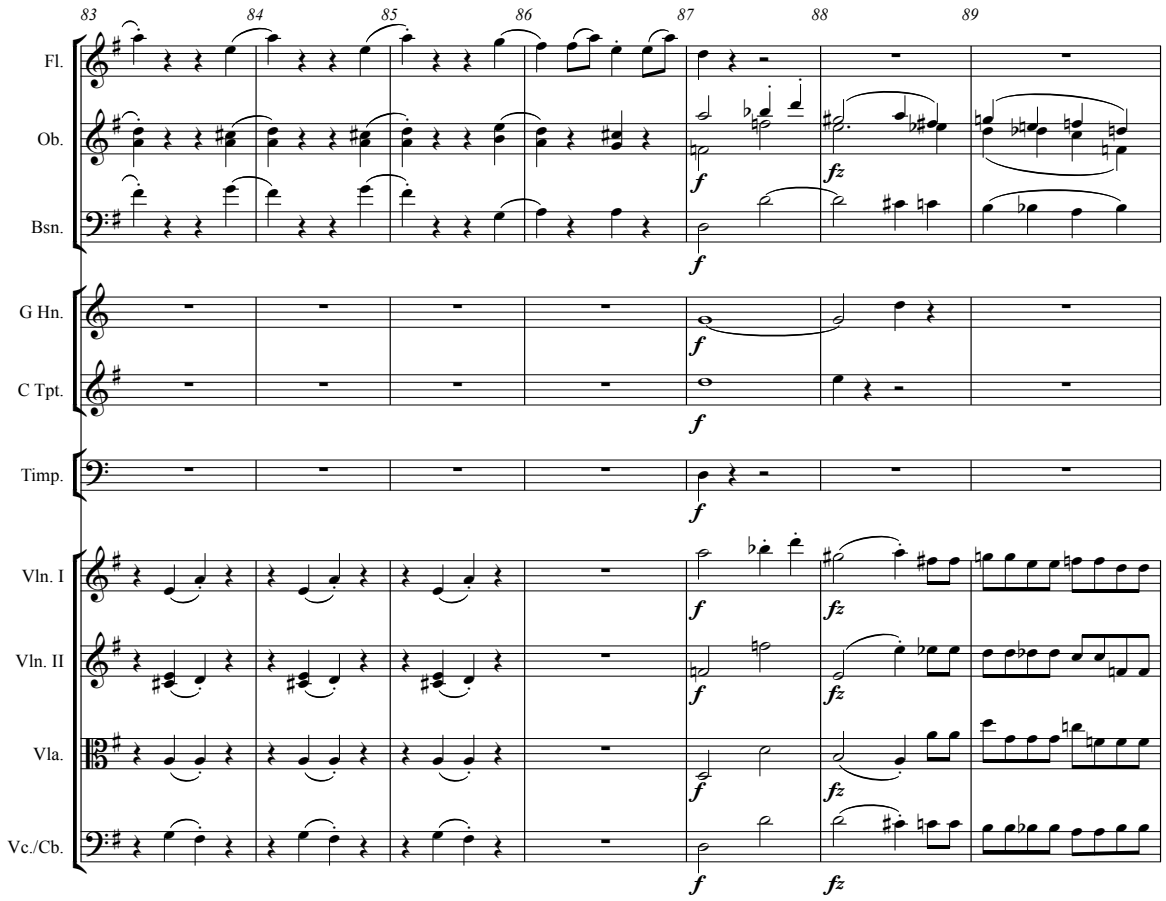
tr
p
p
p
p


83
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89
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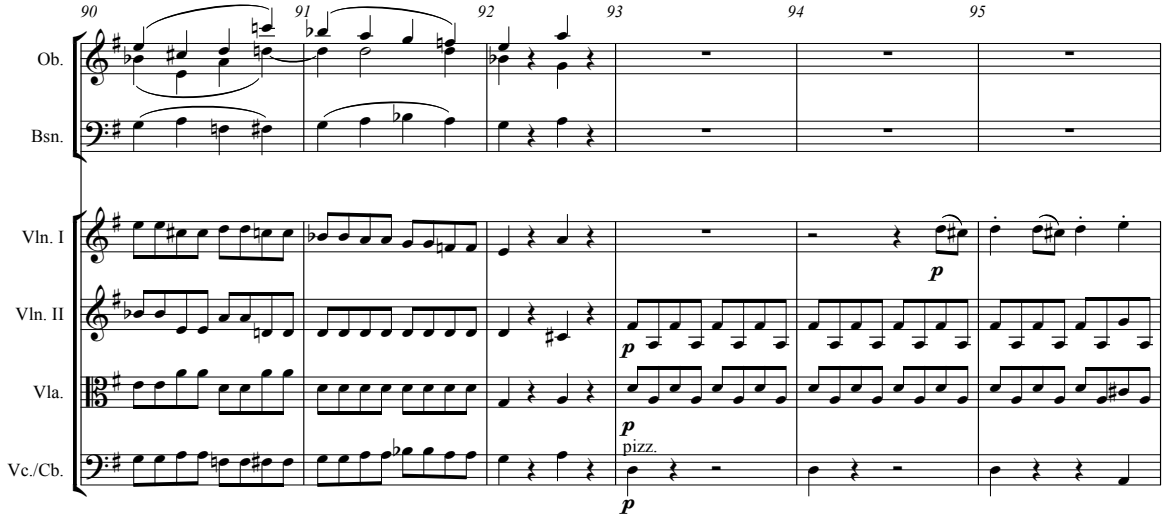
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
f
fz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94
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Ob.
Bsn.
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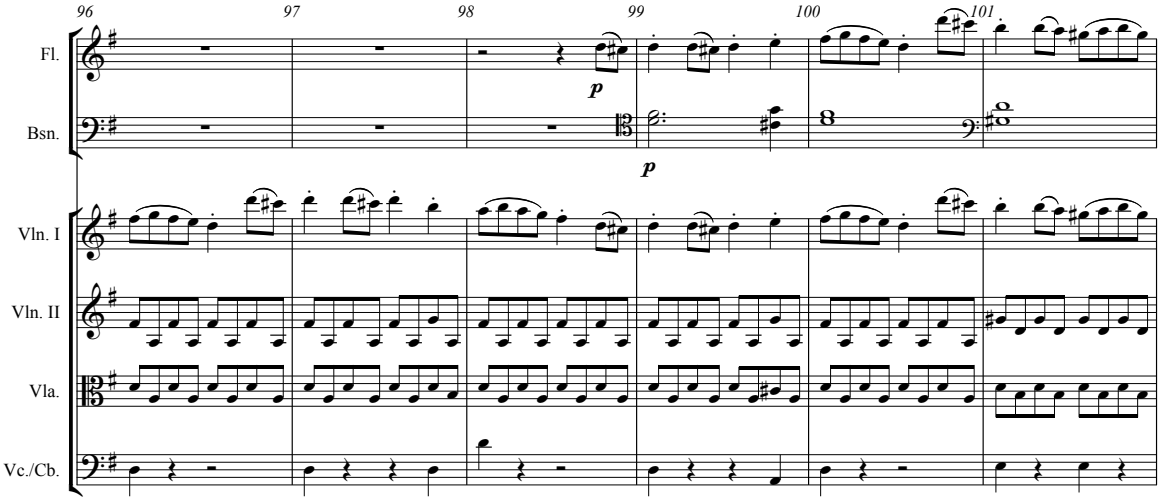
Vln. II
Vla.
Vc./Cb.
p
pizz.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97
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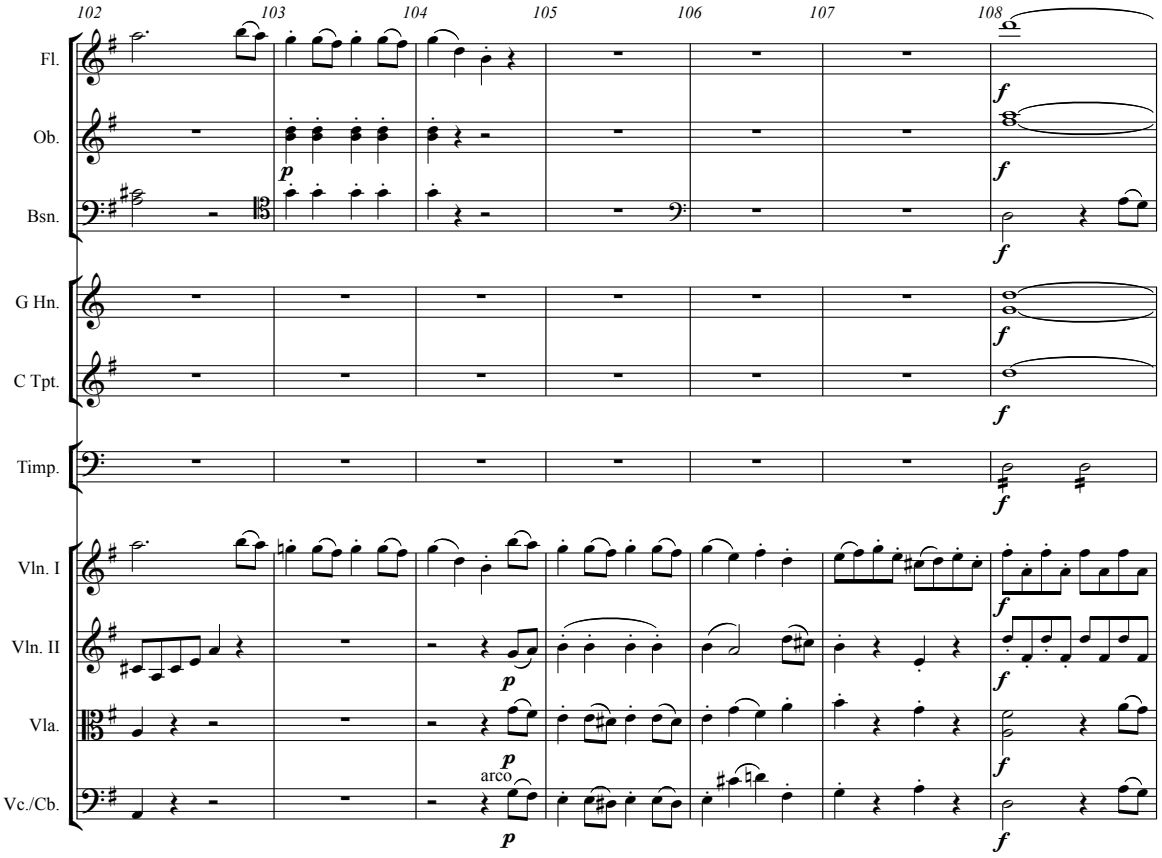
99
100
101
Fl.
Bsn.
Vln. I
Vln. II
Vla.
Vc./Cb.
p
p


102
103
104
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107
108
Fl.
Ob.
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C Tpt.
Timp.
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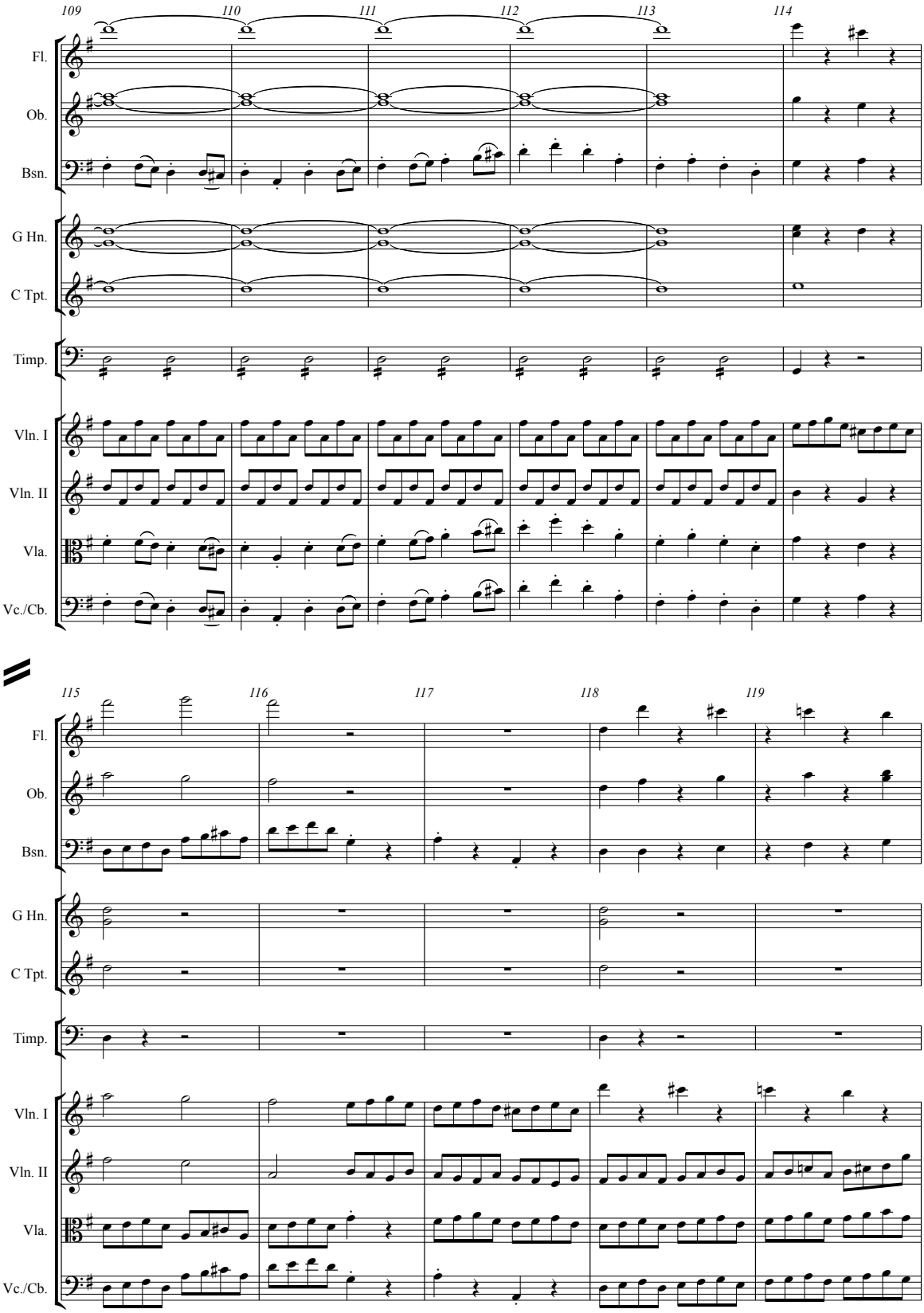
Vln. II
Vla.
Vc./Cb.
arco
p
f


109
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112
113
114
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
115
116
117
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Ob.
Bsn.
G Hn.
C Tpt.
Timp.
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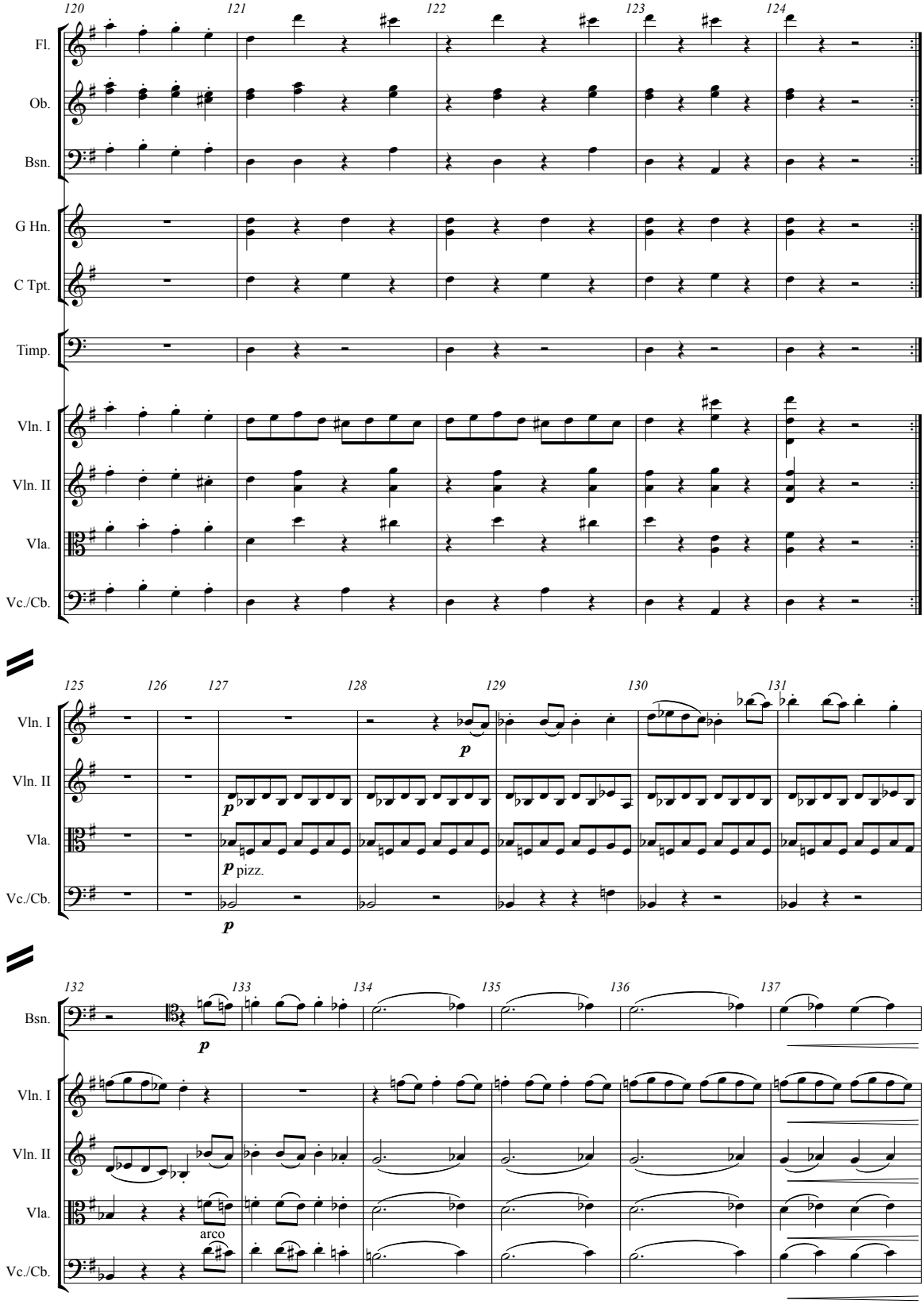
Vln. II
Vla.
Vc./Cb.


120
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124
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
125
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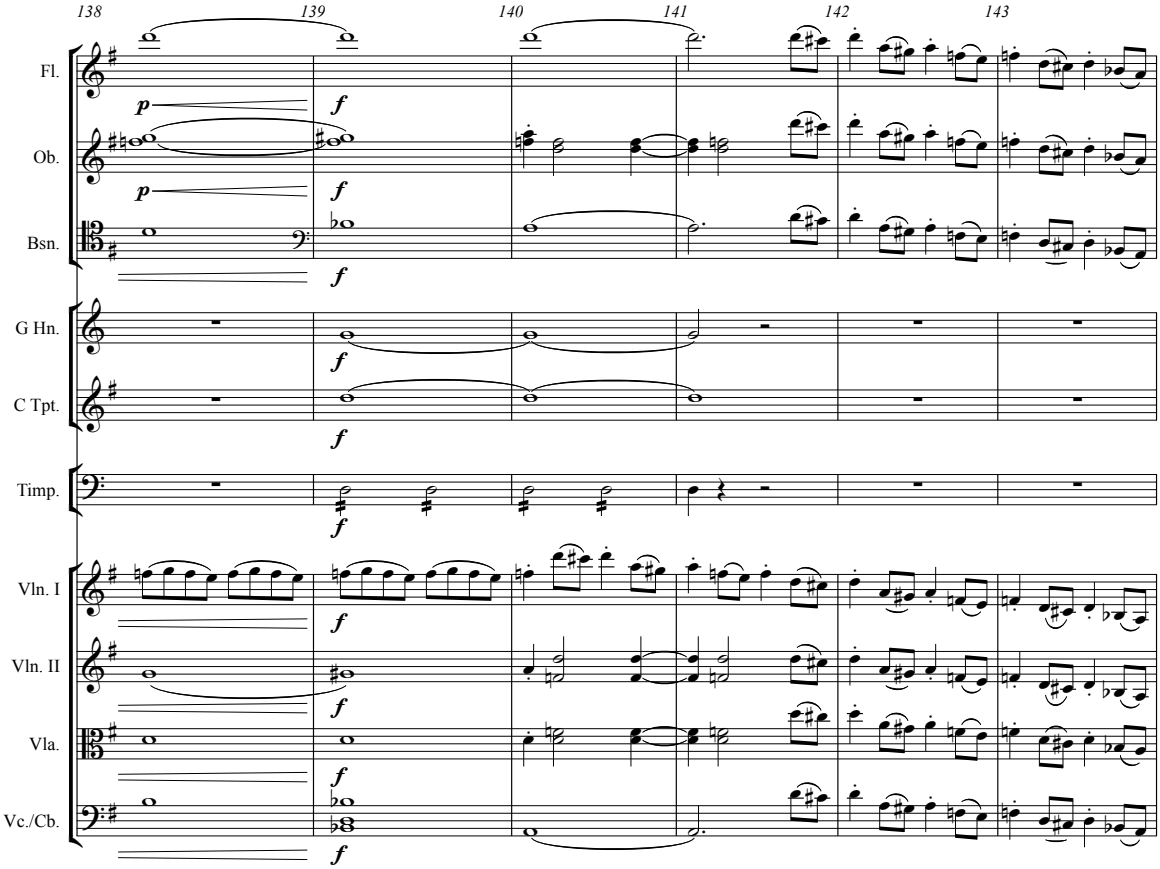
135
136
137
p
arco


138
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140
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143
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C Tpt.
Timp.
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Vln. II
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Vc./Cb.
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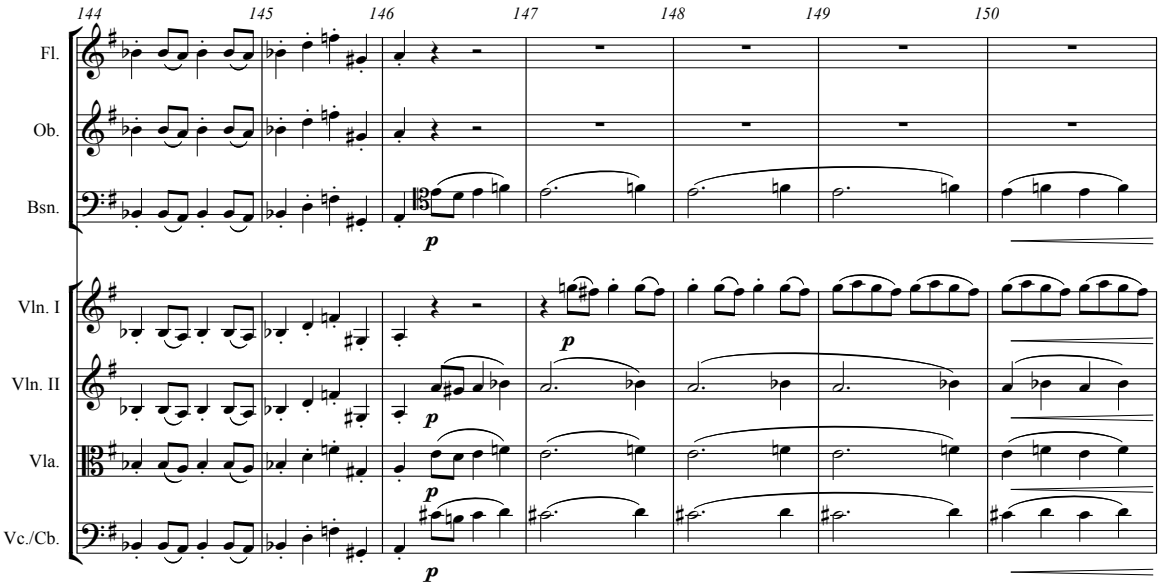
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Ob.
Bsn.
Vln. I
Vln. II
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Vc./Cb.
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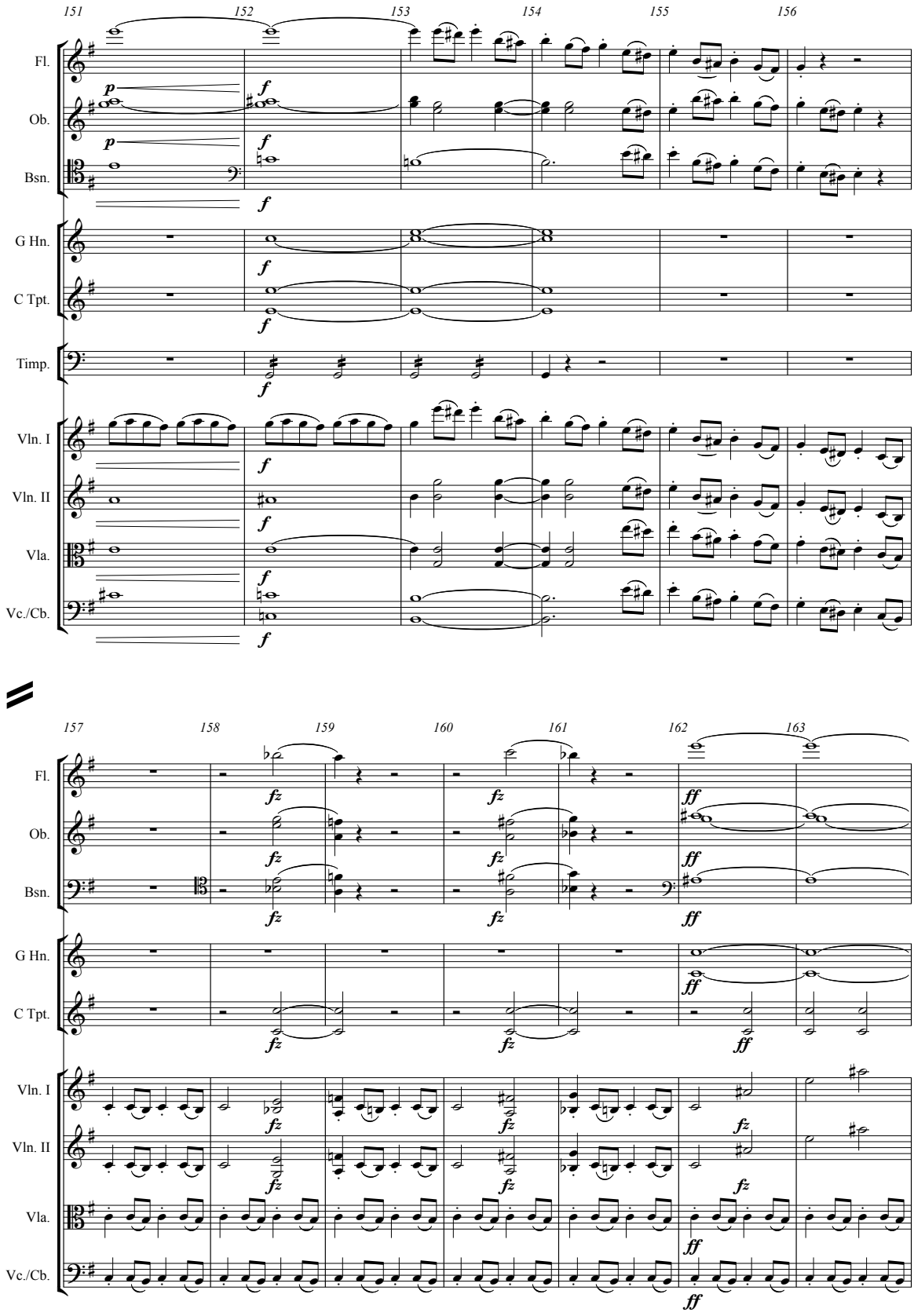
151
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Fl.
Ob.
Bsn.
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C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
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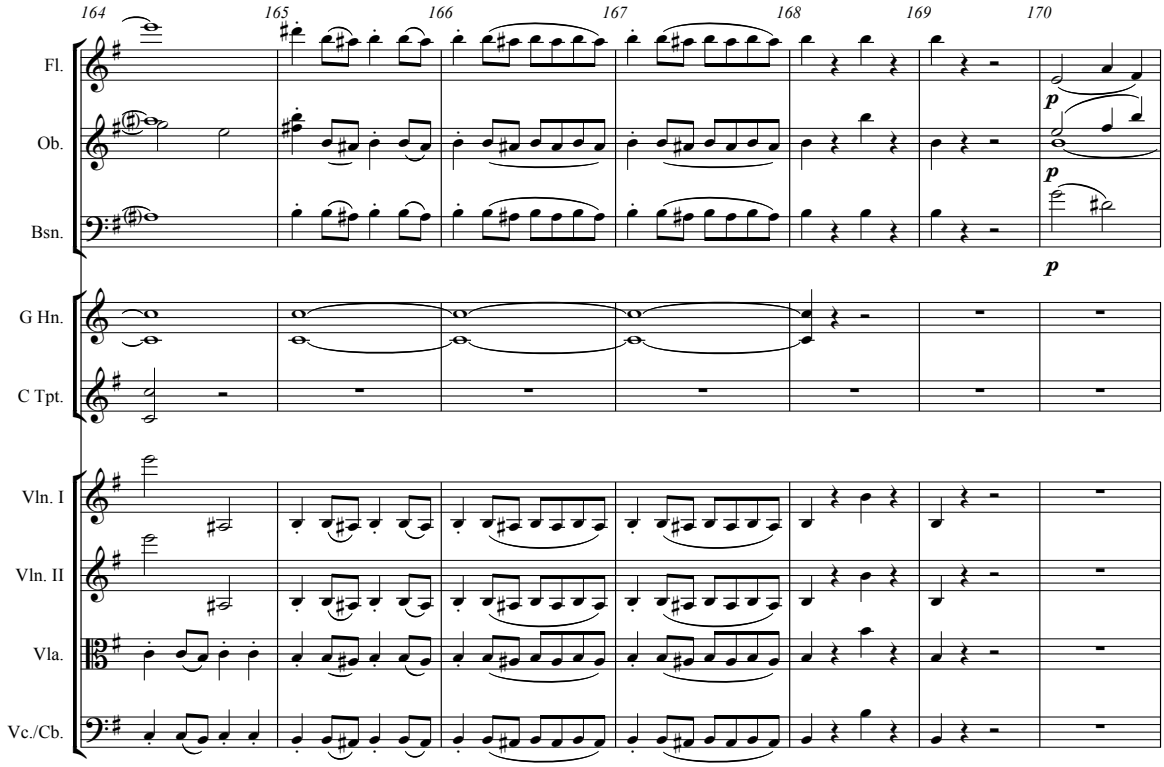
164
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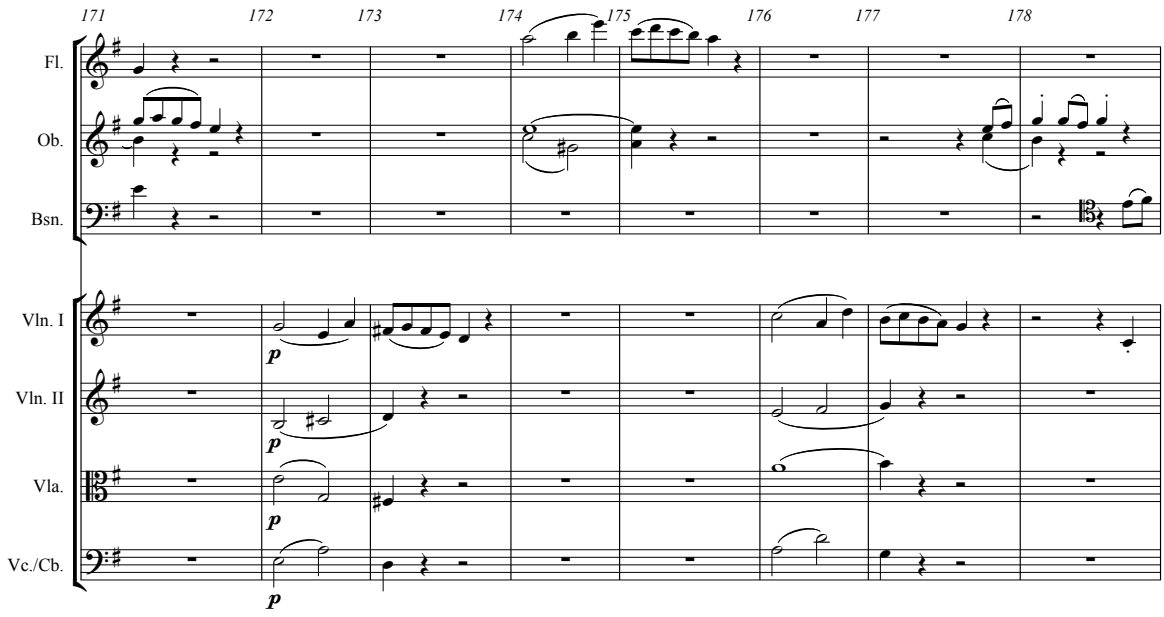
Ob.
Bsn.
G Hn.
C Tpt.
Vln. I
Vln. II
Vla.
Vc./Cb.
p


171
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Ob.
Bsn.
Vln. I
Vln. II
Vla.
Vc./Cb.
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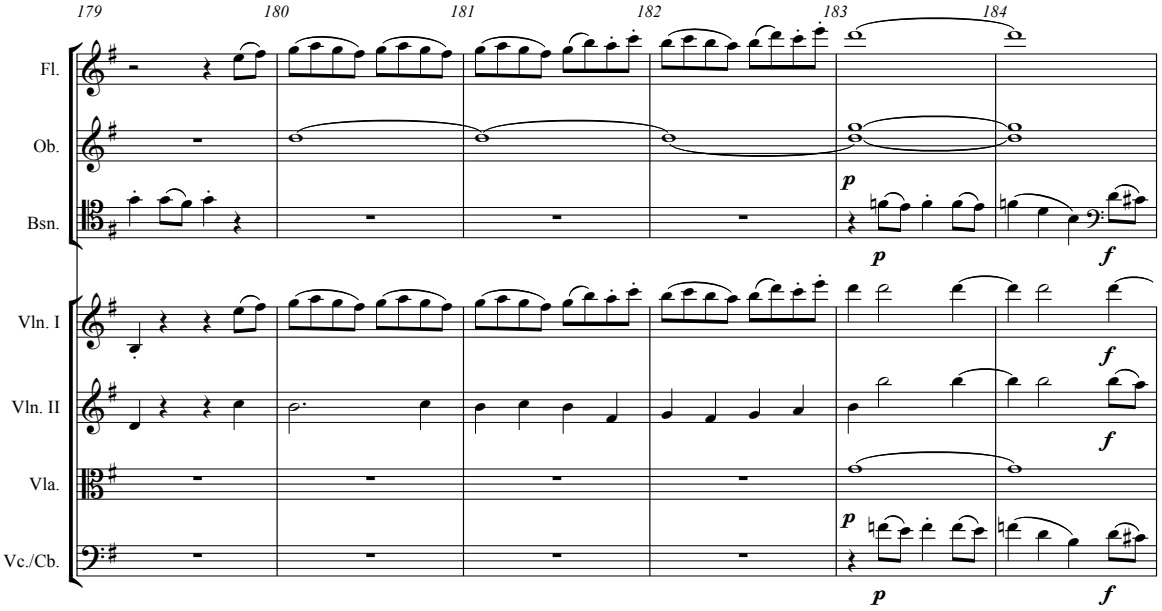
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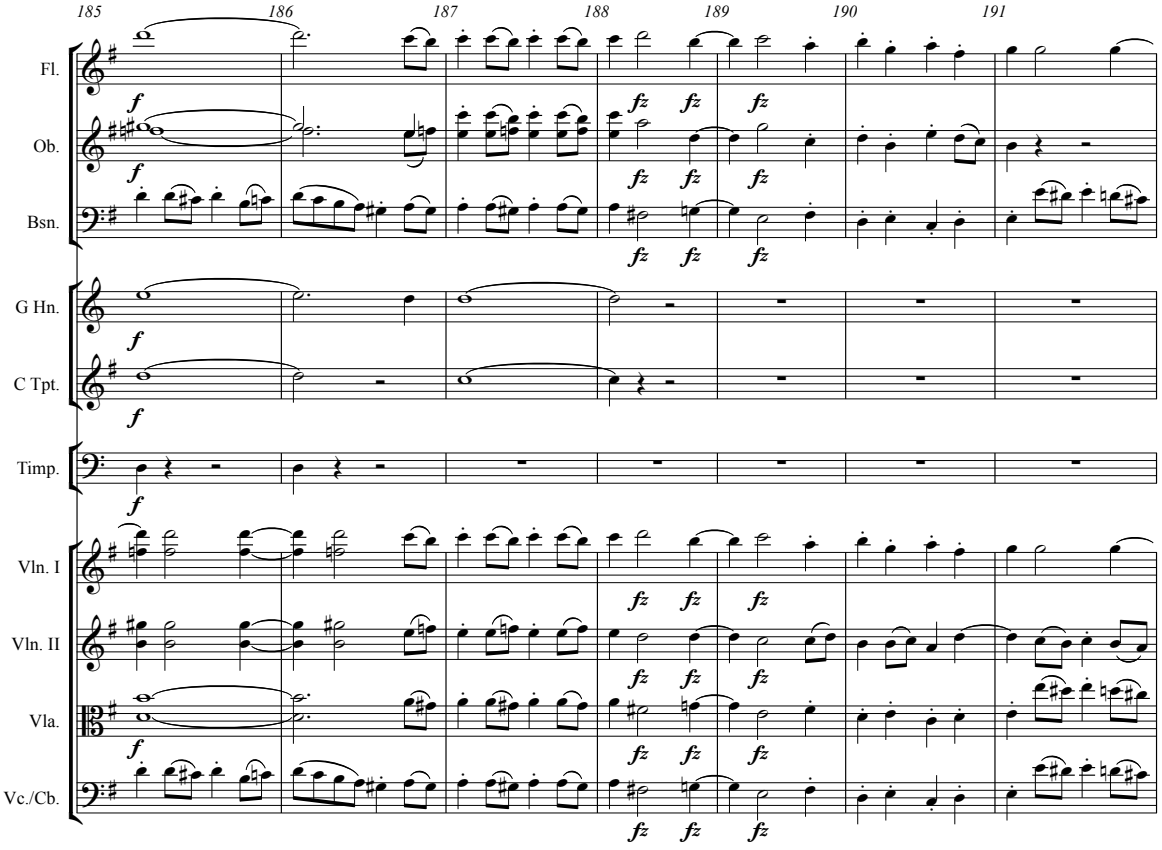
184
Fl.
Ob.
Bsn.
Vln. I
Vln. II
Vla.
Vc./Cb.
p
f


185
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191
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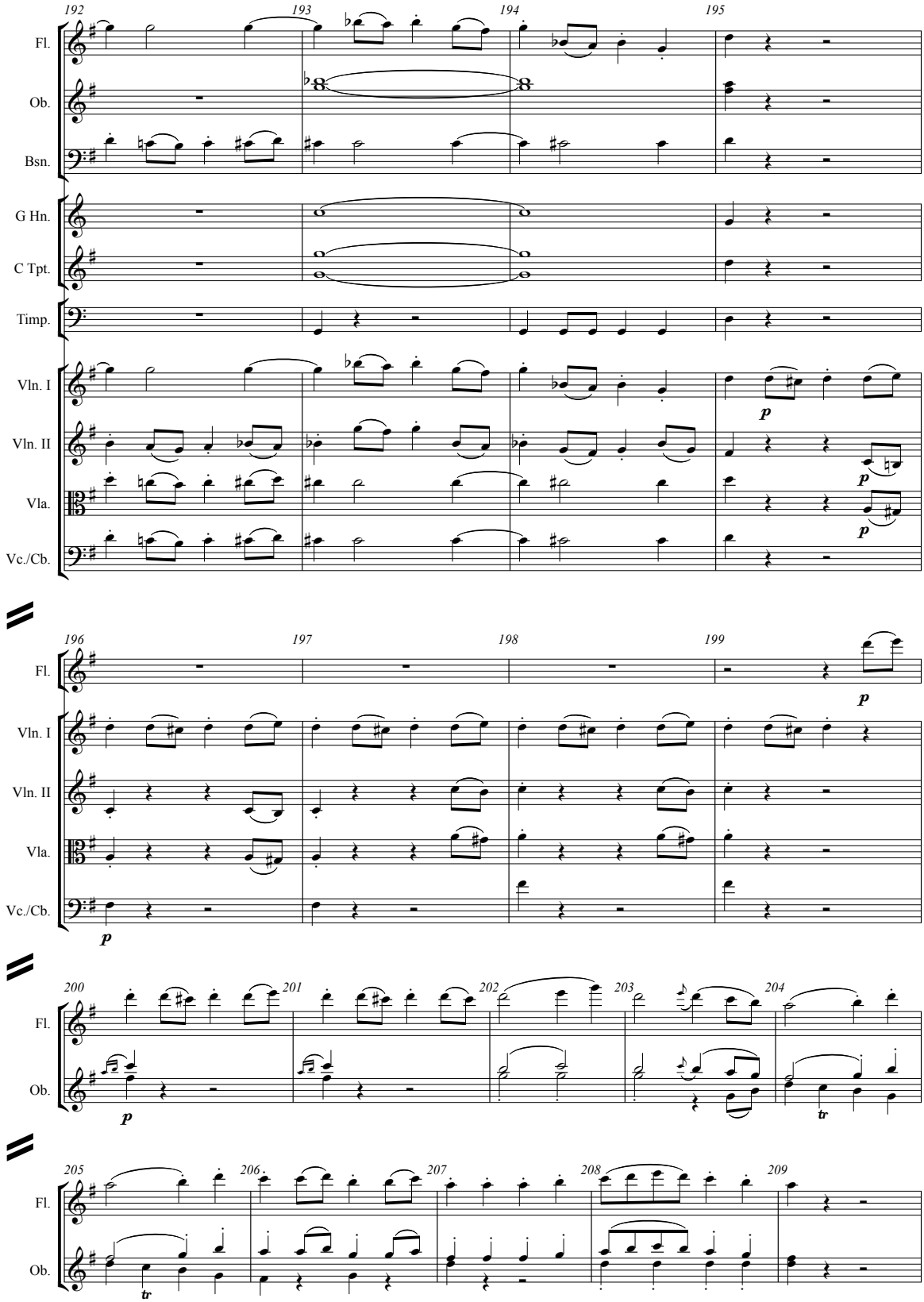
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
f
fz


192
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Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
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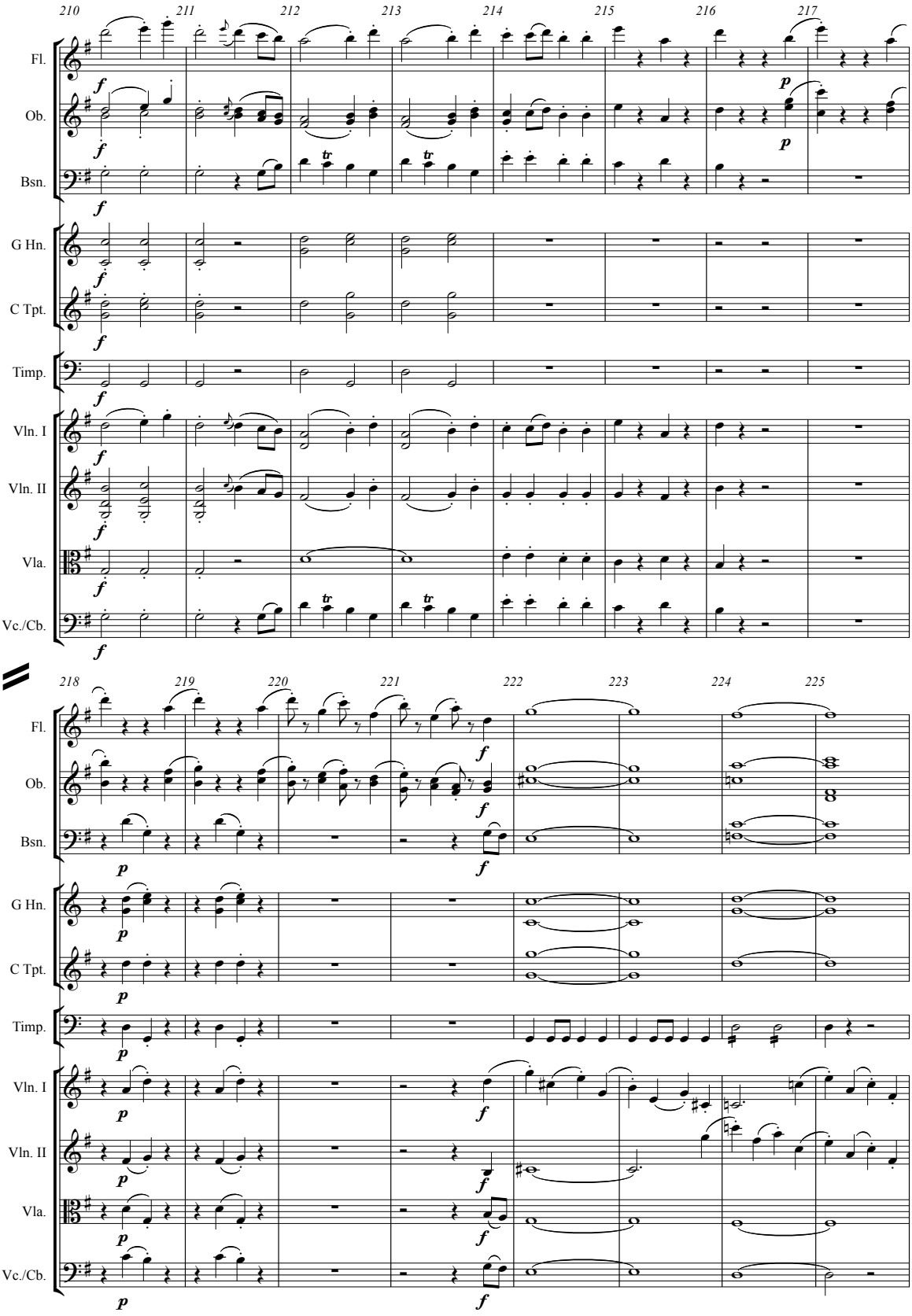
tr


210
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Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
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Ob.
Bsn.
G Hn.
C Tpt.
Timp.
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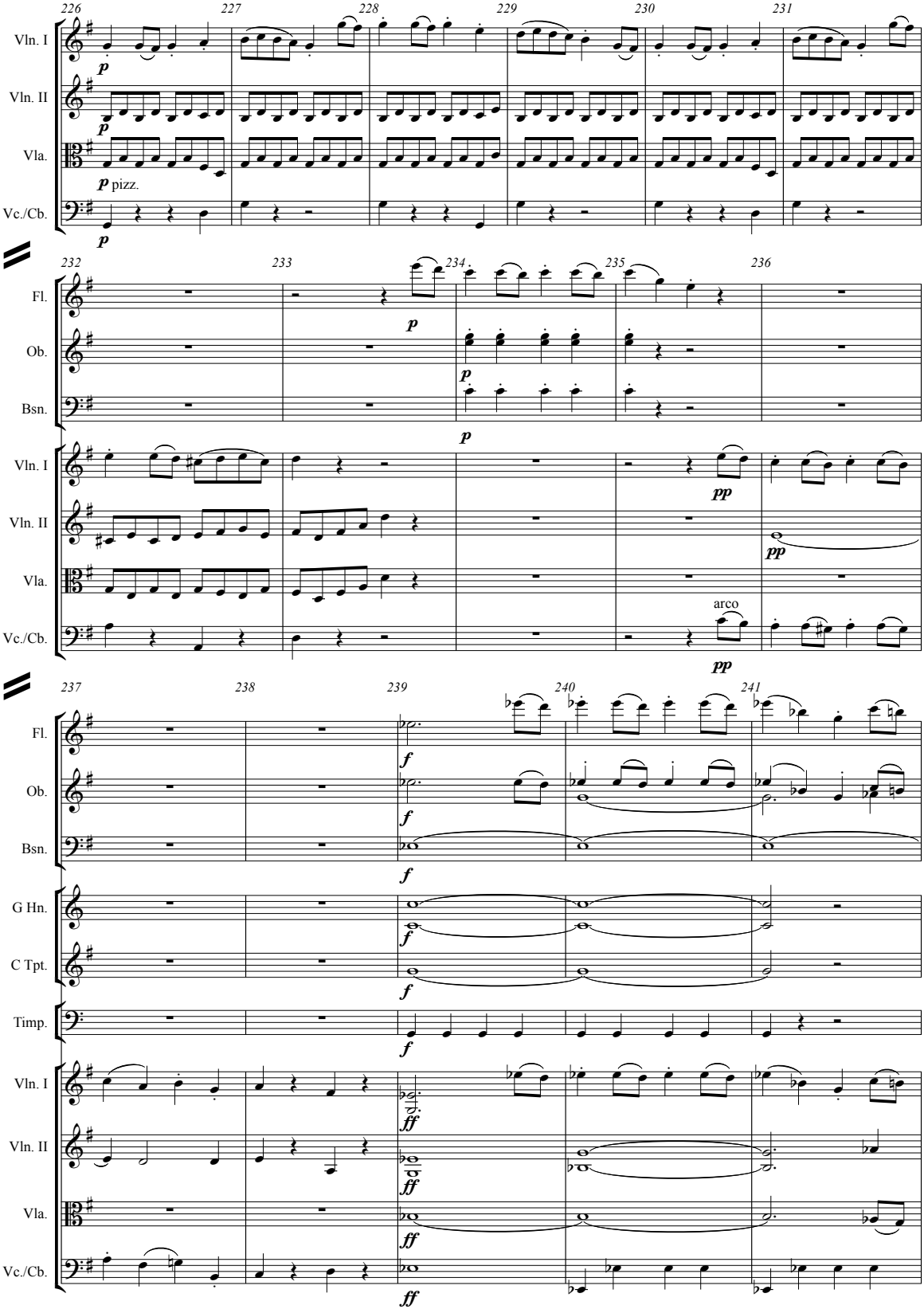
Vln. II
Vla.
Vc./Cb.


226
227
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231
Vln. I
Vln. II
Vla.
Vc./Cb.
p
p
p
p pizz.
232
233
234
235
236
Fl.
Ob.
Bsn.
Vln. I
Vln. II
Vla.
Vc./Cb.
p
p
p
pp
pp
arco
237
238
239
240
241
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
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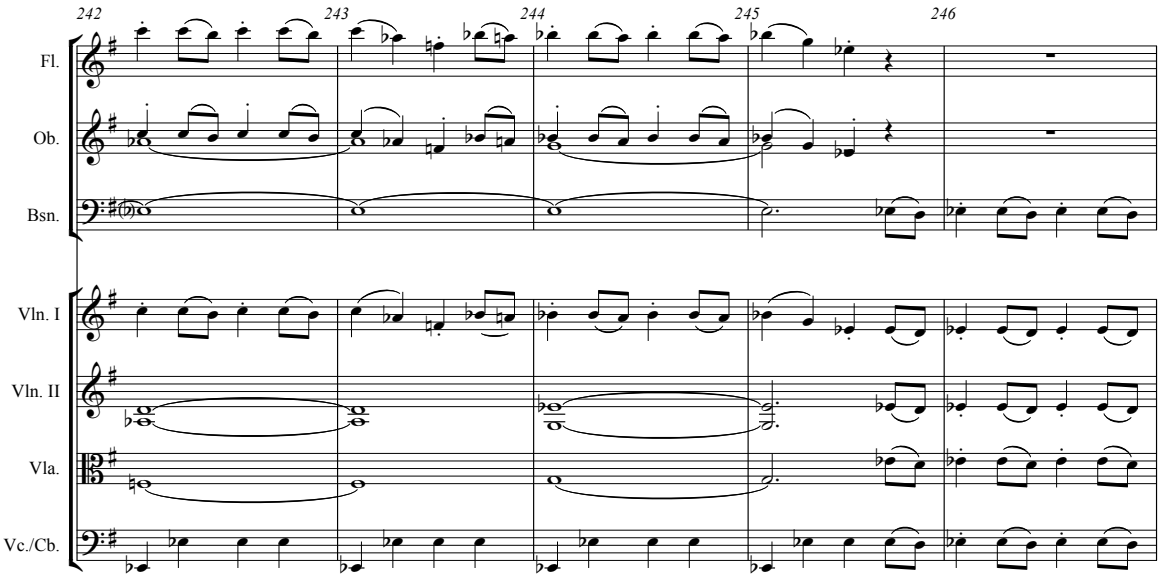
f
f
f
f
ff
ff
ff
ff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245
246
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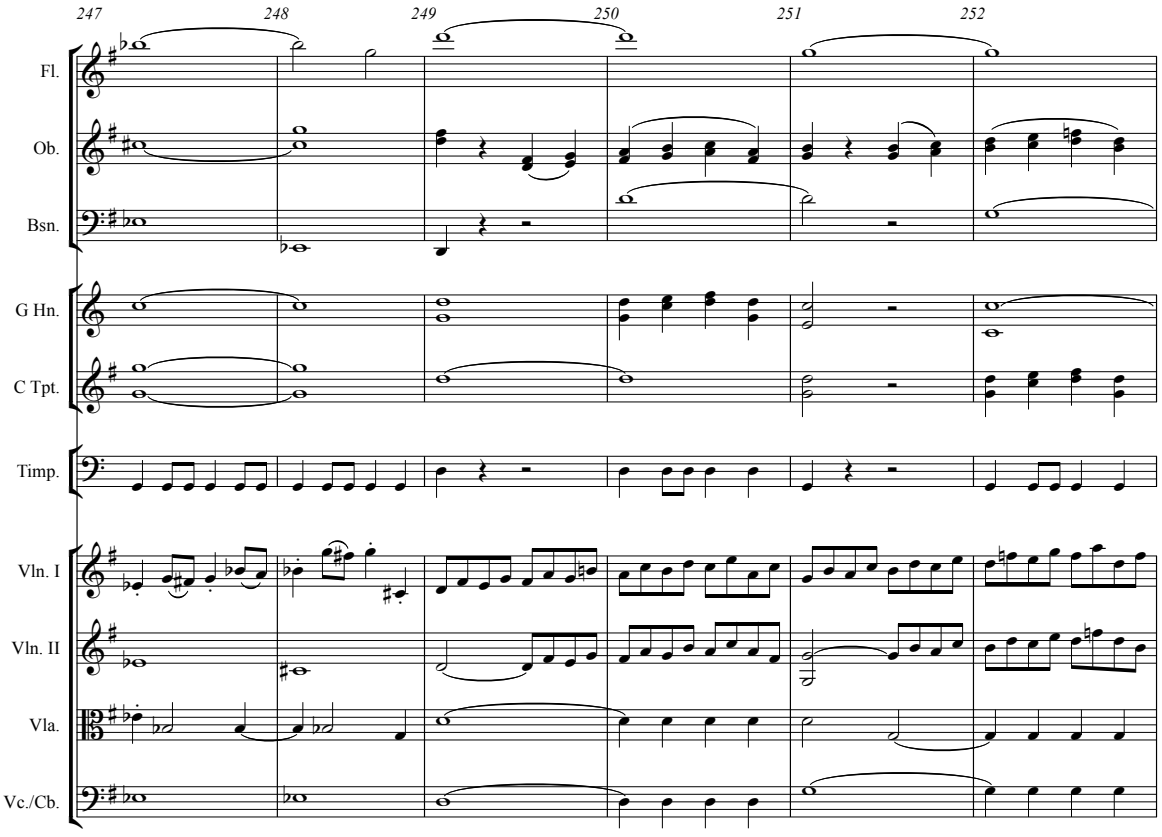
Ob.
Bsn.
Vln. I
Vln. II
Vla.
Vc./Cb.


247
248
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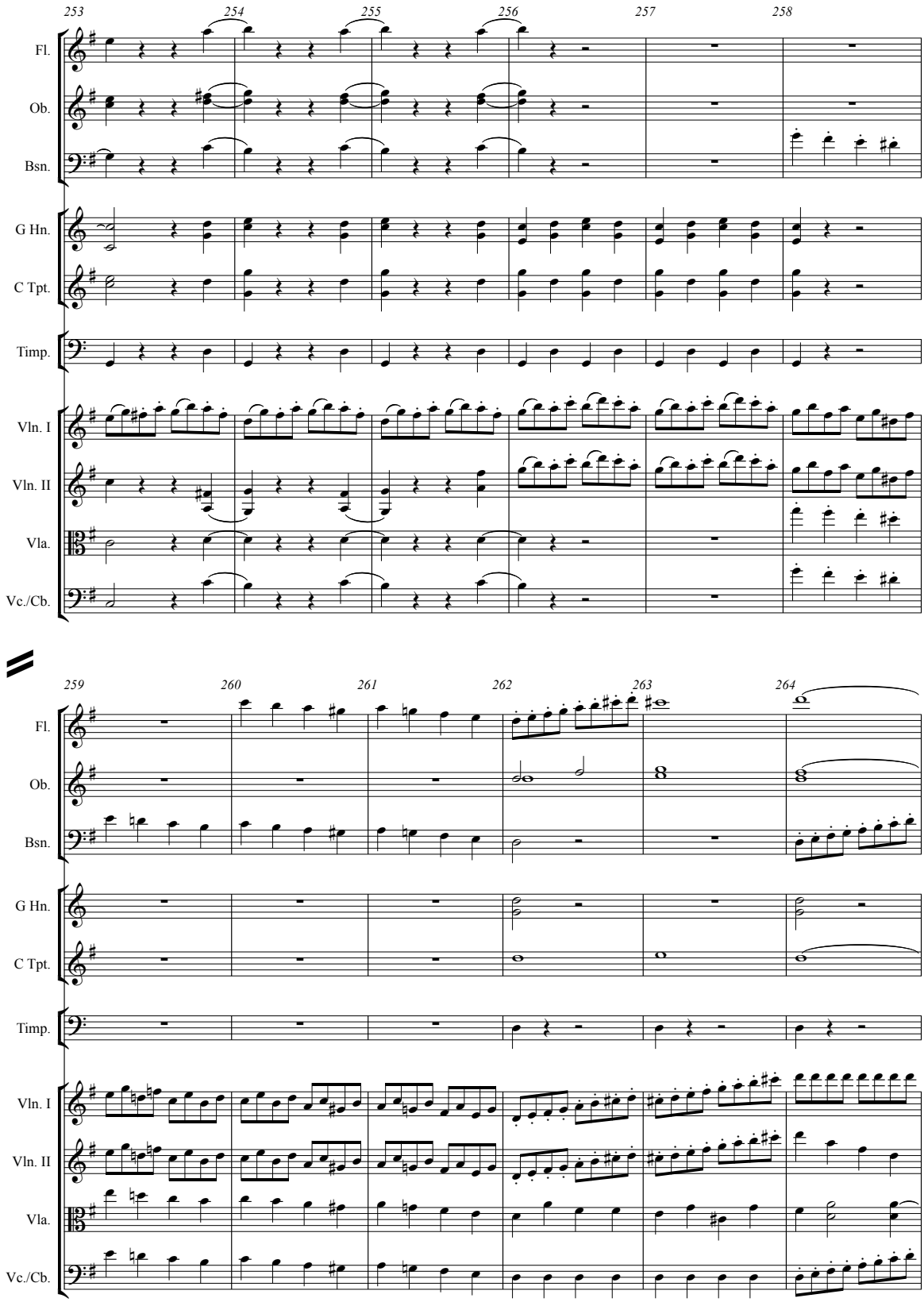
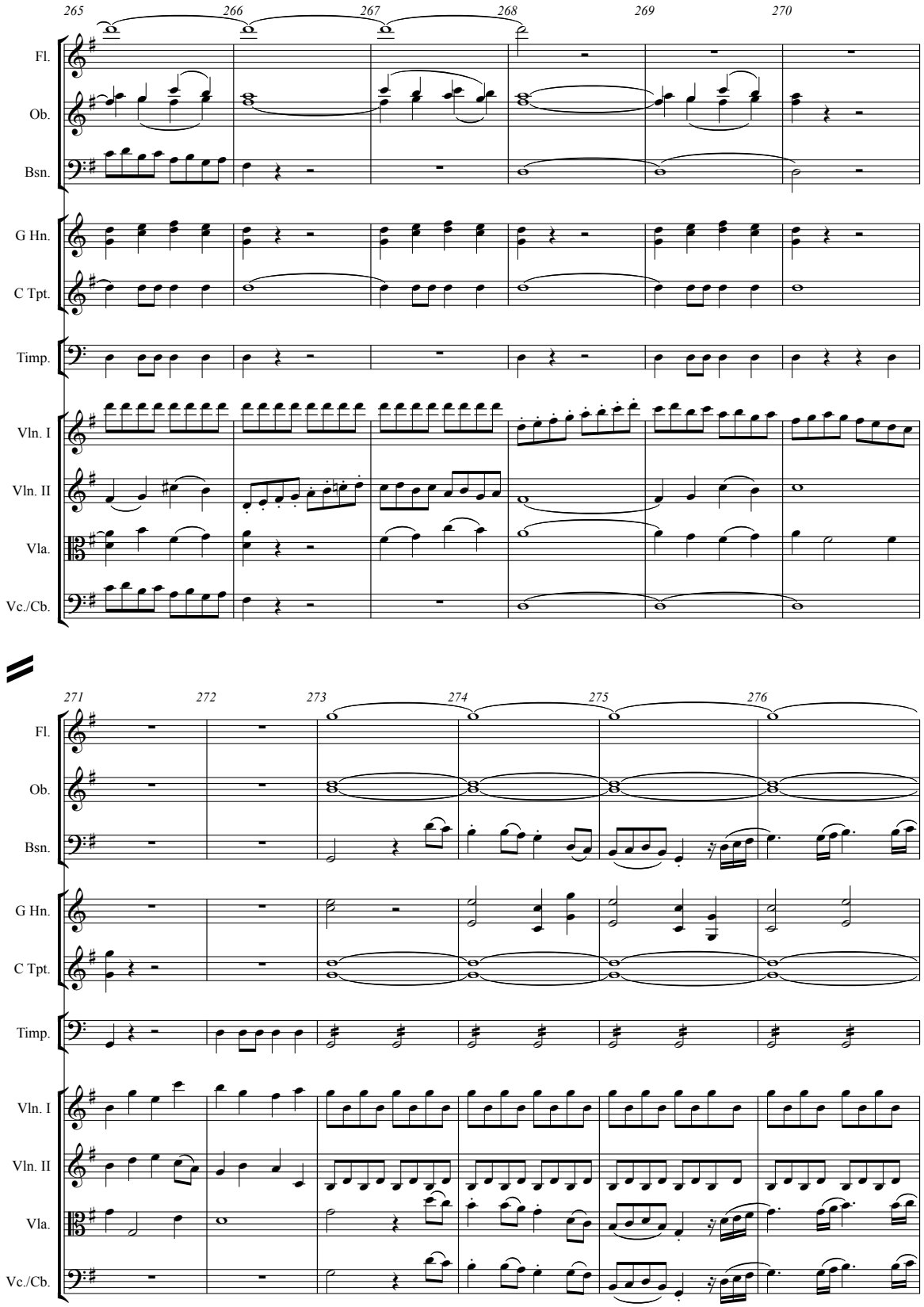
252
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.


253
254
255
256
257
258
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
259
260
261
262
263
264
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.


265
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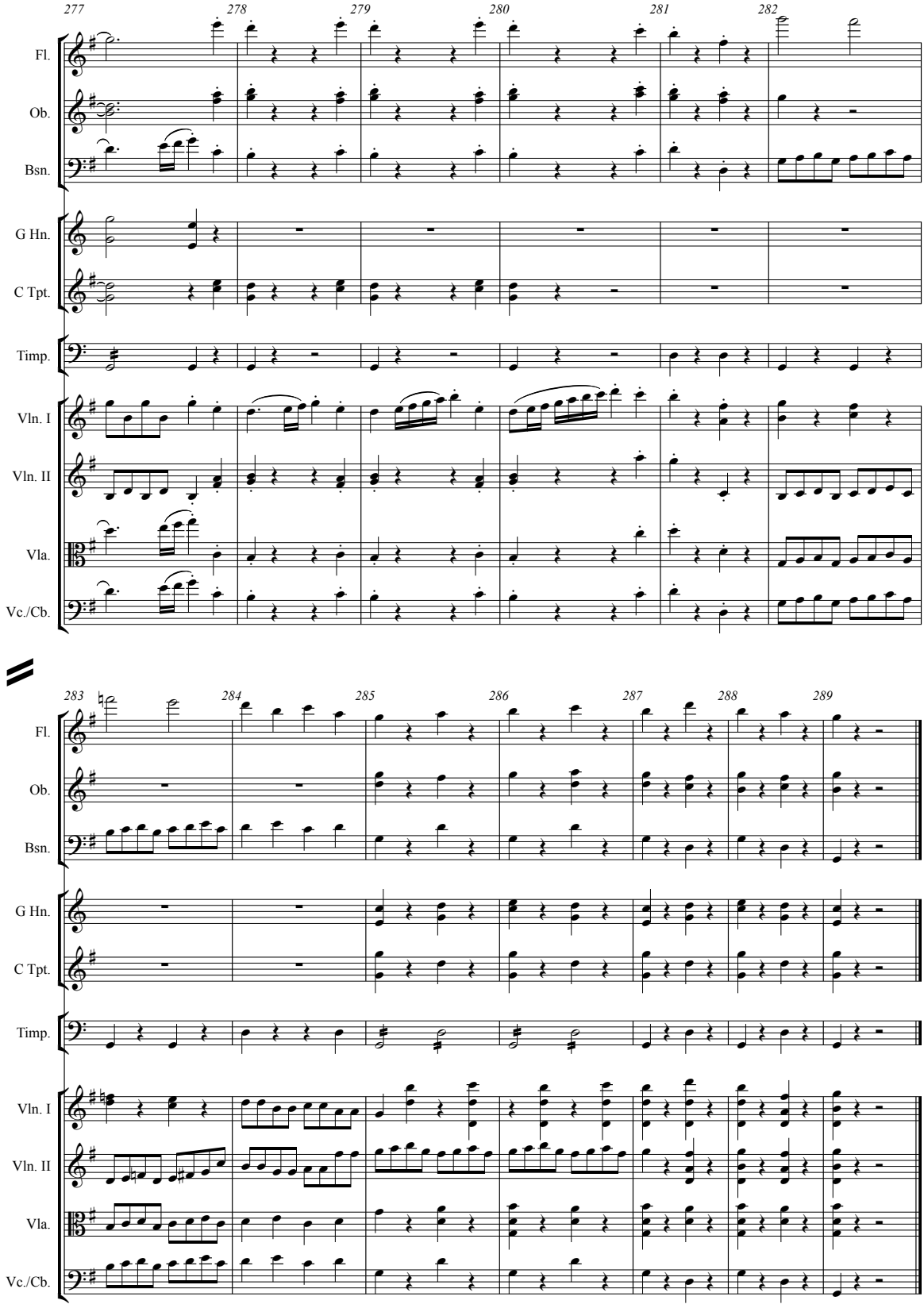
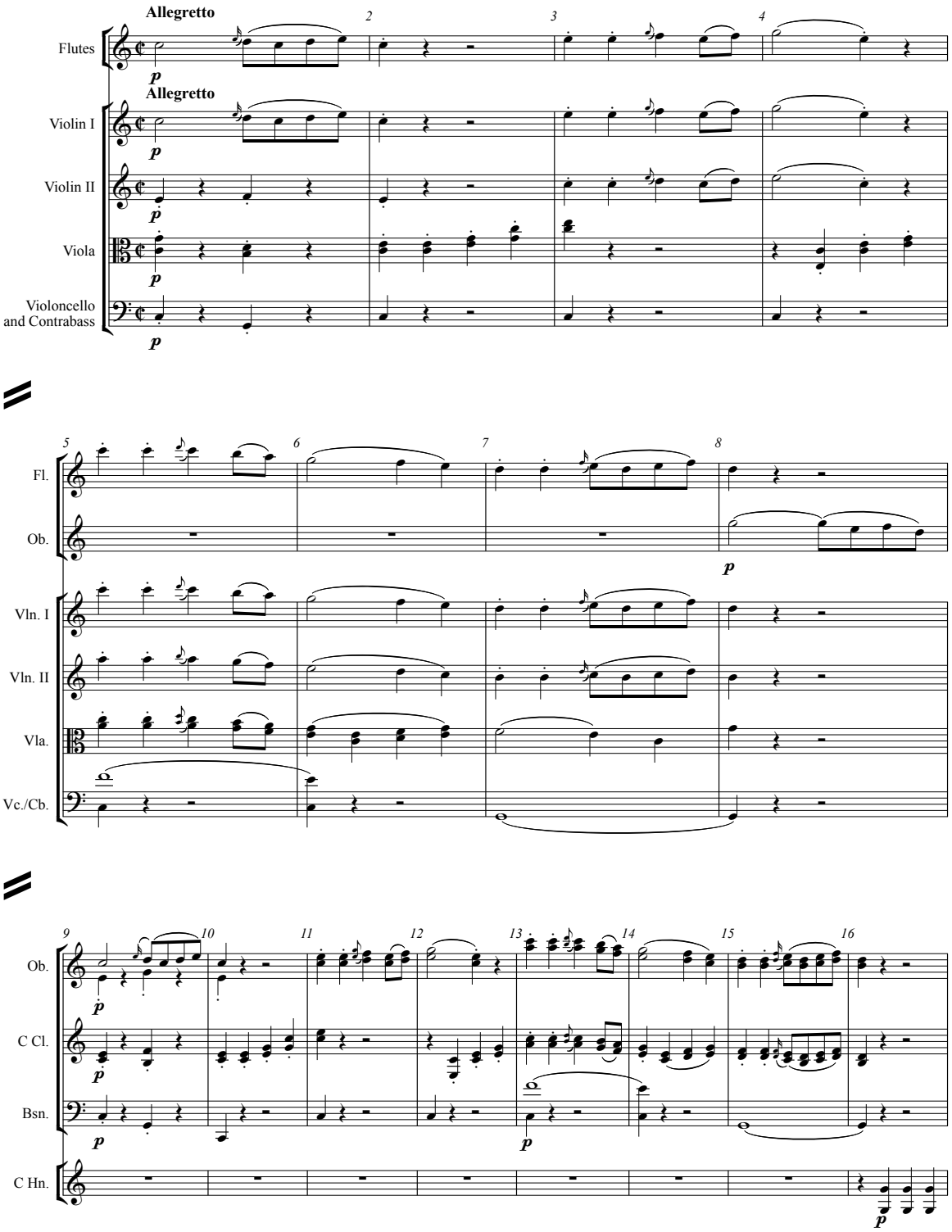
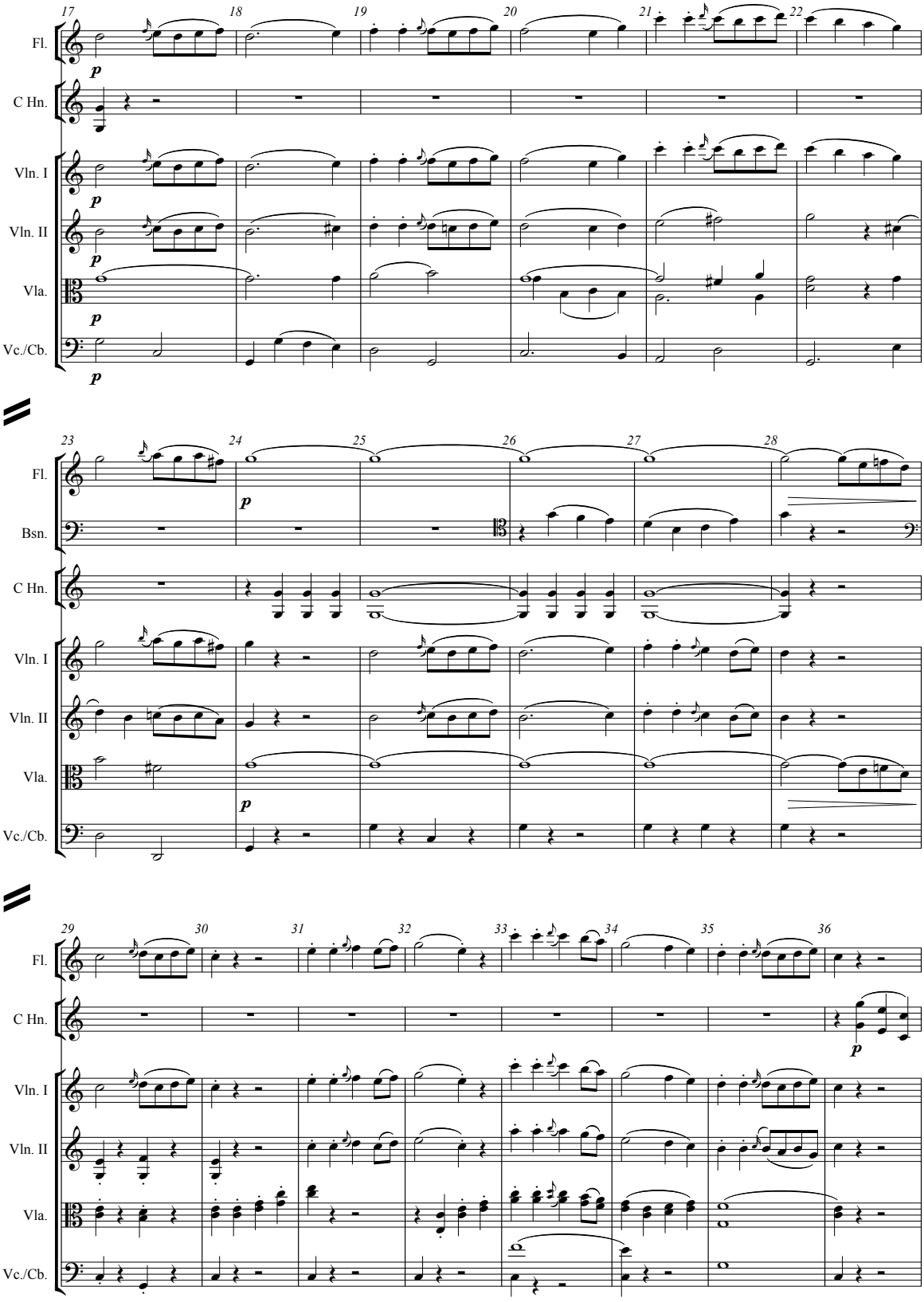
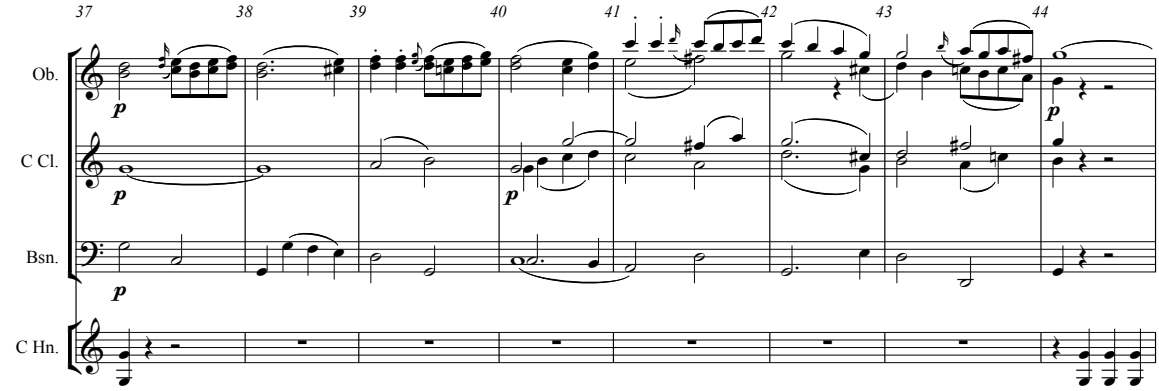
267
268
269
270
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
271
272
273
274
275
276
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.


277
278
279
280
281
282
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.
283
284
285
286
287
288
289
Fl.
Ob.
Bsn.
G Hn.
C Tpt.
Timp.
Vln. I
Vln. II
Vla.
Vc./Cb.

II


Allegretto
Flutes
Allegretto
Violin I
Violin II
Viola
Violoncello
and Contrabass
Fl.
Ob.
Vln. I
Vln. II
Vla.
Vc./Cb.
Ob.
C Cl.
Bsn.
C Hn.


17
18
19
20
21
22
Fl.
C Hn.
Vln. I
Vln. II
Vla.
Vc./Cb.
p
23
24
25
26
27
28
Fl.
Bsn.
C Hn.
Vln. I
Vln. II
Vla.
Vc./Cb.
p
29
30
31
32
33
34
35
36
Fl.
C Hn.
Vln. I
Vln. II
Vla.
Vc./Cb.
p


37
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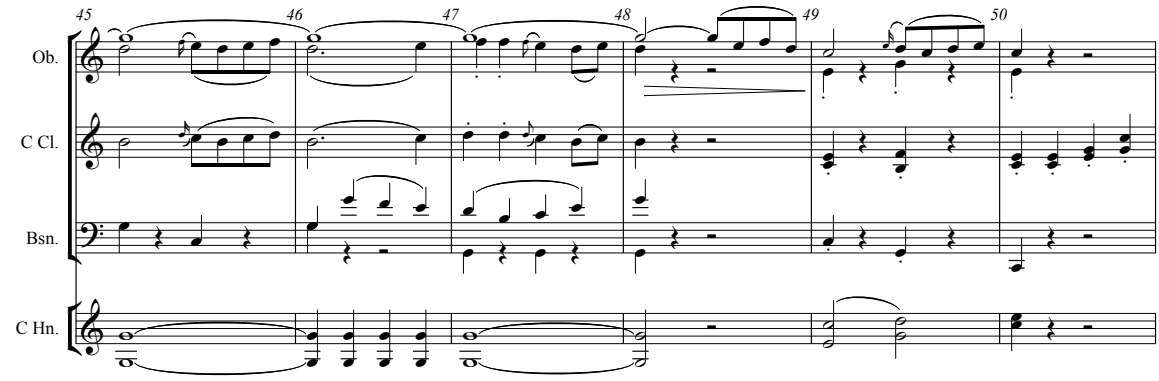
39
40
41
42
43
44
Ob.
C Cl.
Bsn.
C Hn.
p


45
46
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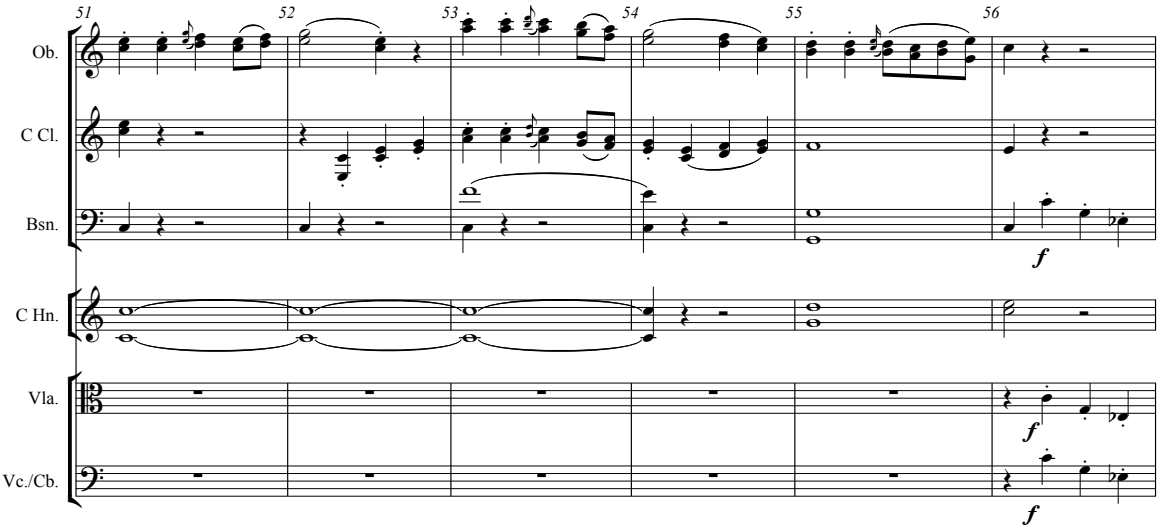
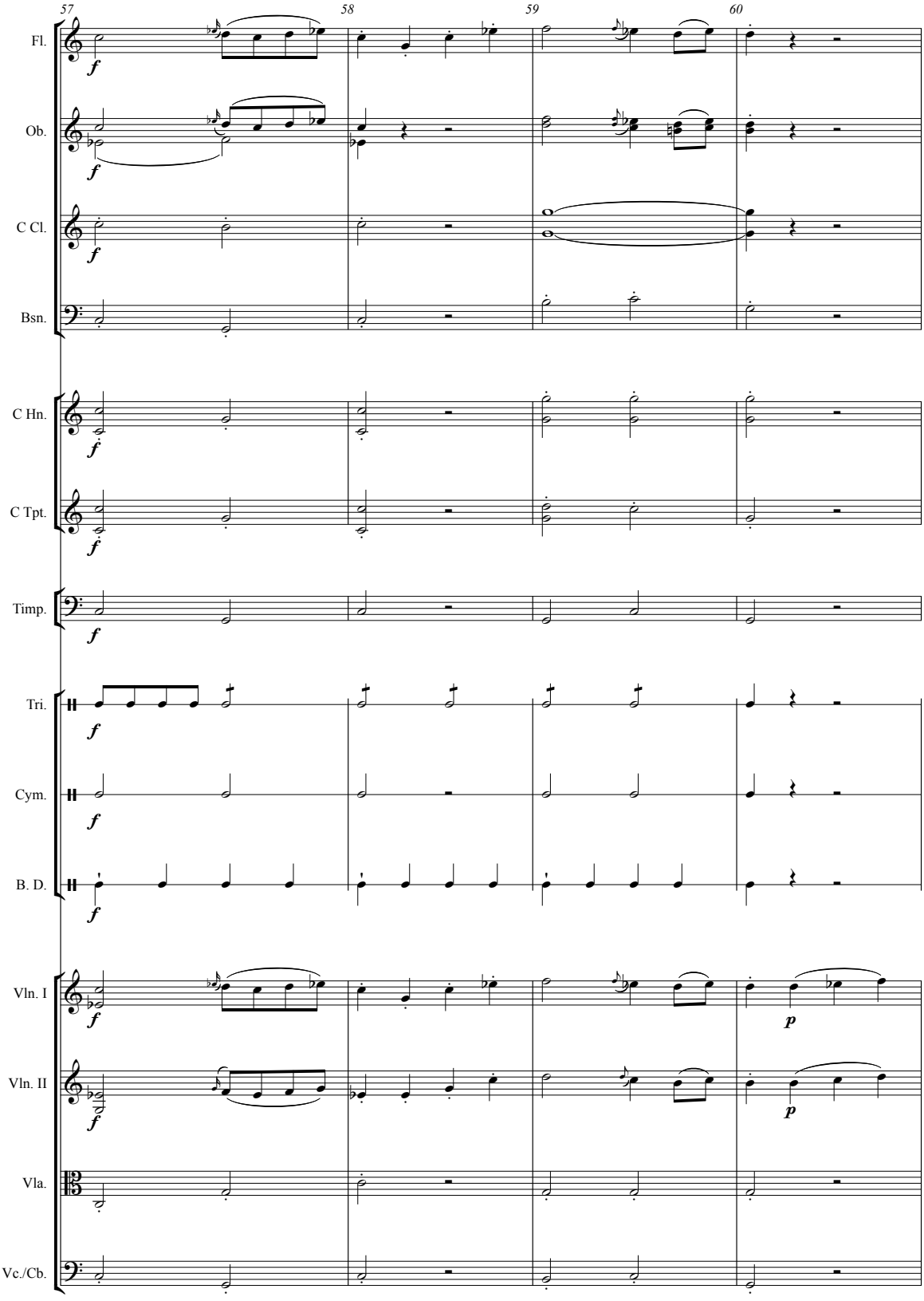
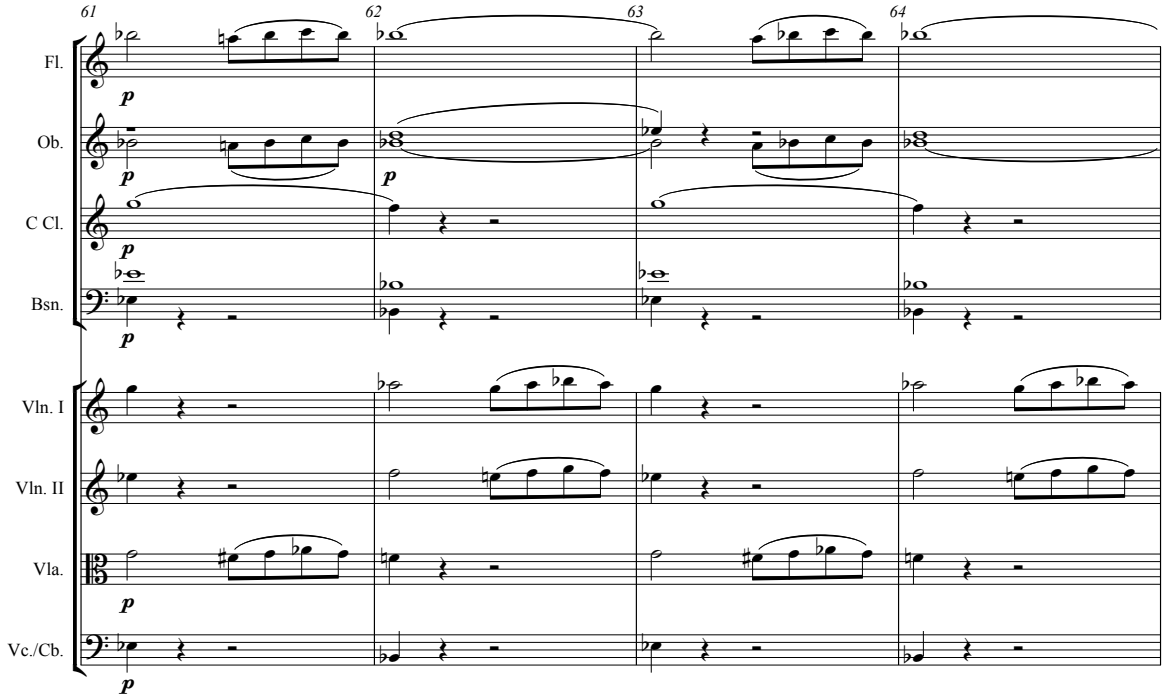
48
49
50
Ob.
C Cl.
Bsn.
C Hn.


51
52
53
54
55
56
Ob.
C Cl.
Bsn.
C Hn.
Vla.
Vc./Cb.
f


57
58
59
60
Fl.
Ob.
C Cl.
Bsn.
C Hn.
C Tpt.
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.
f
p


61
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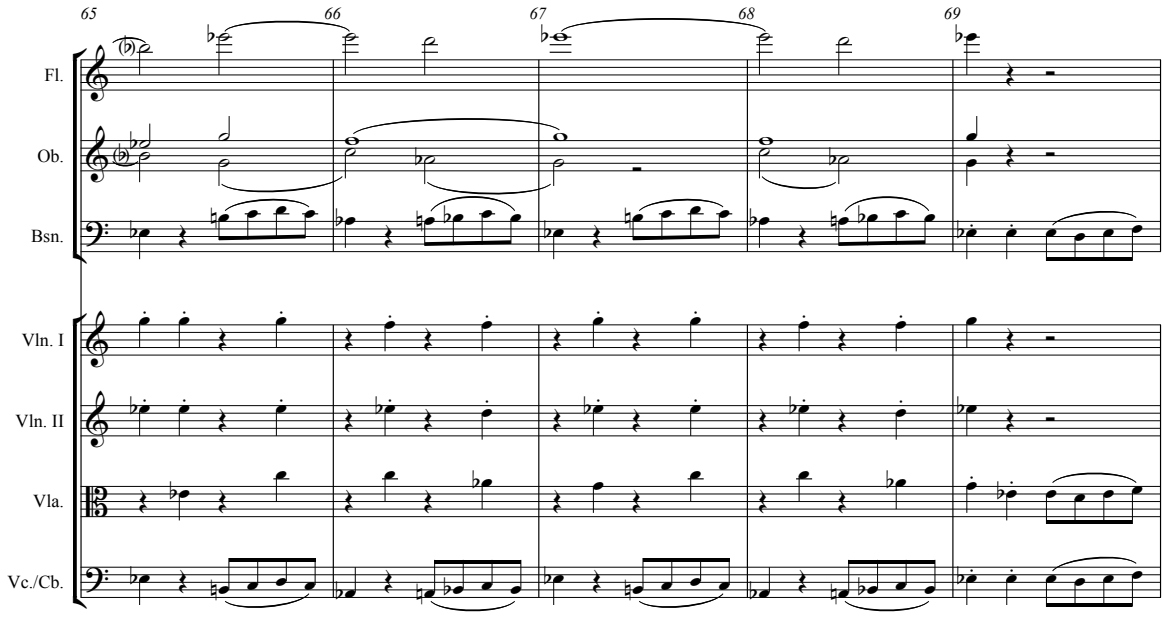
63
64
Fl.
Ob.
C Cl.
Bsn.
Vln. I
Vln. II
Vla.
Vc./Cb.
p


65
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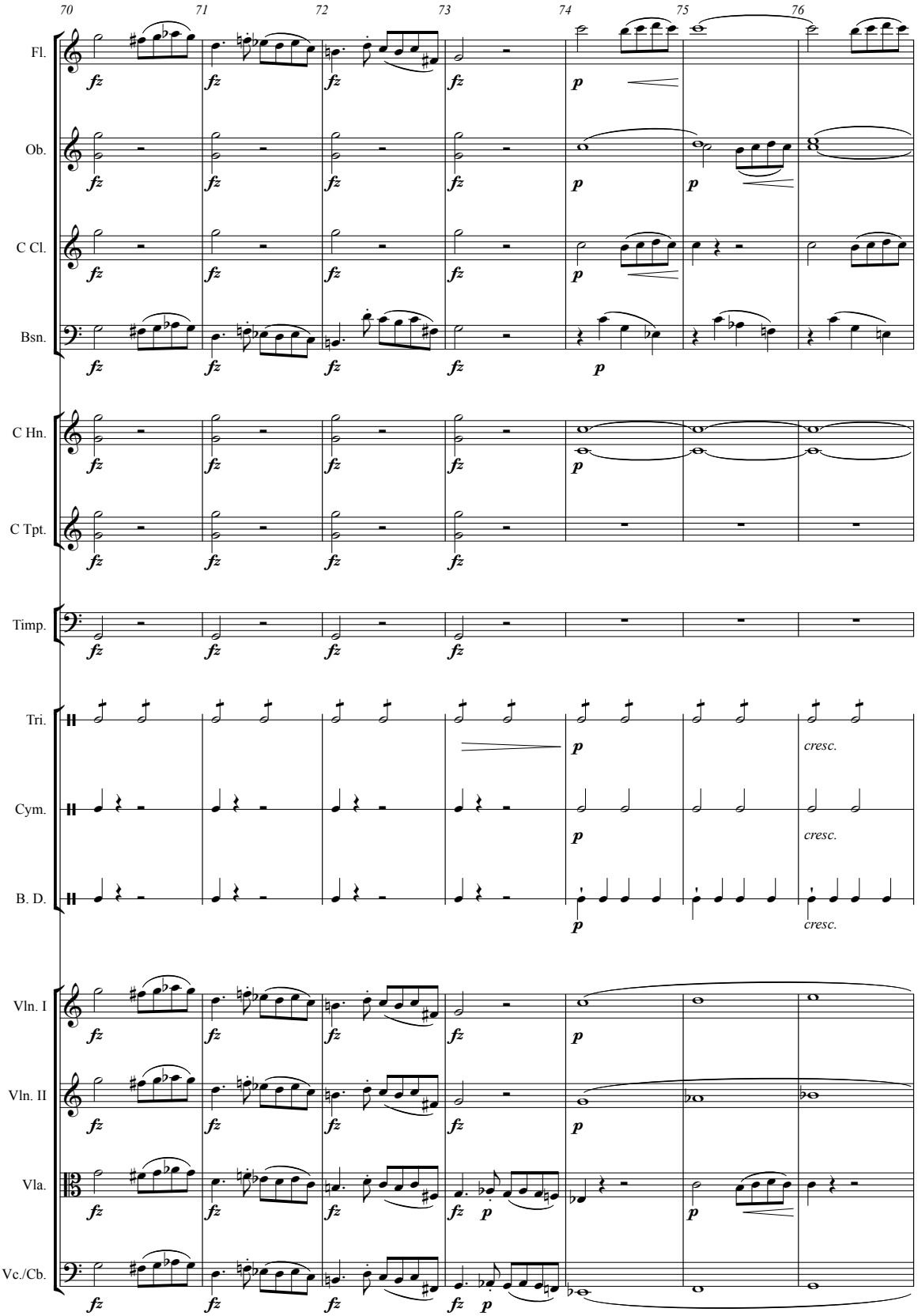
67
68
69
Fl.
Ob.
Bsn.
Vln. I
Vln. II
Vla.
Vc./Cb.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74
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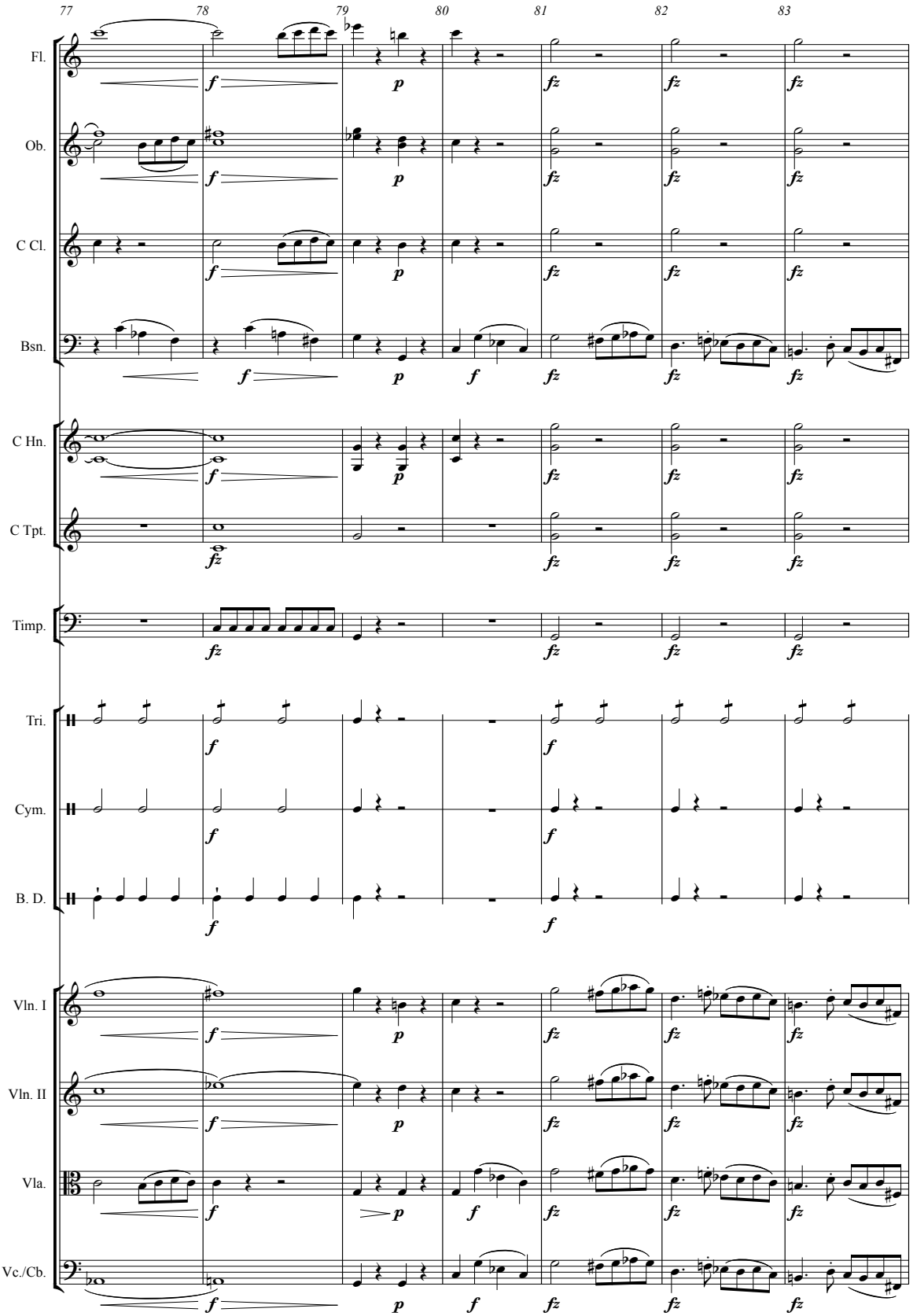
76
Fl.
Ob.
C Cl.
Bsn.
C Hn.
C Tpt.
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.
fz
p
cresc.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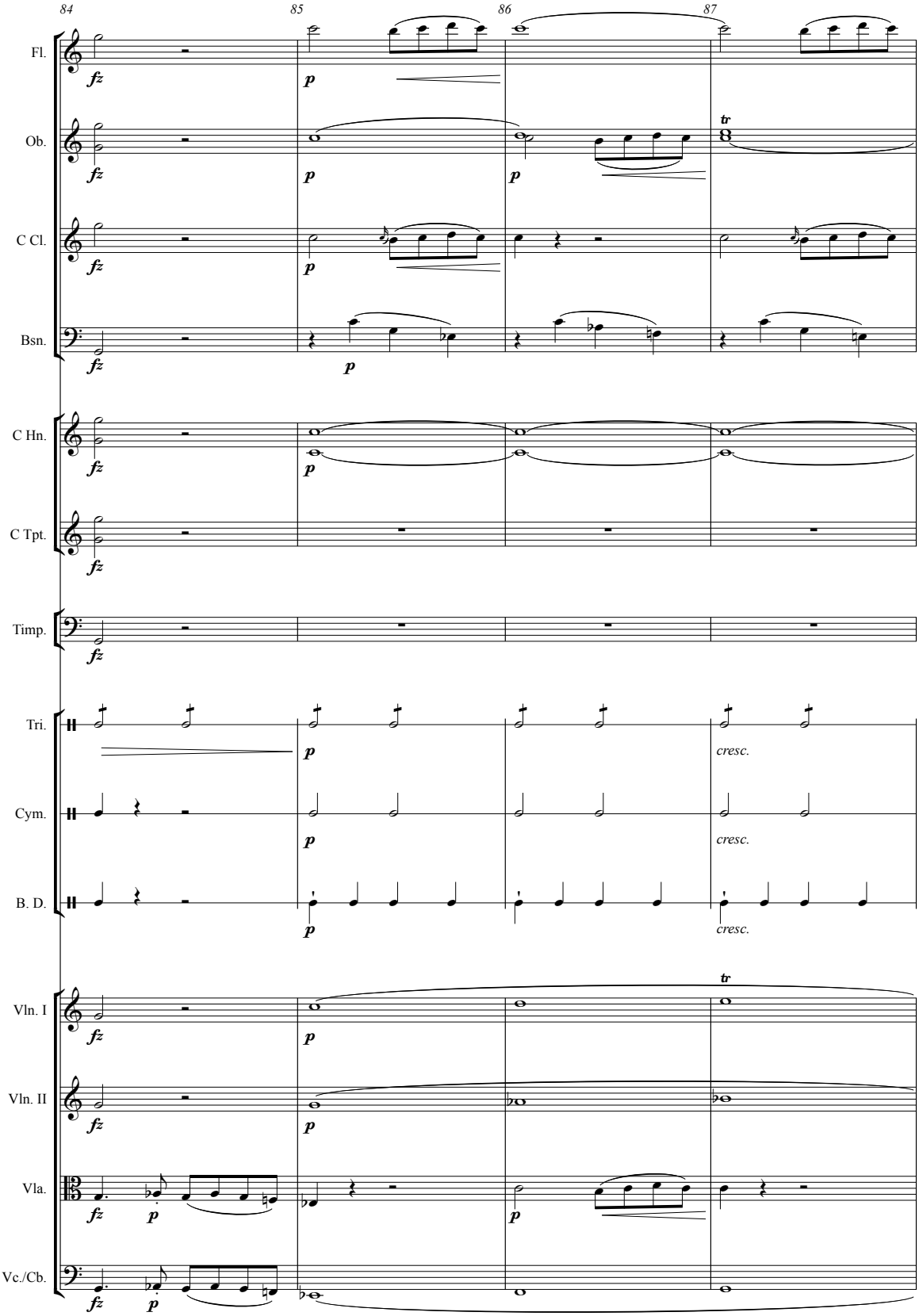
Fl.
Ob.
C Cl.
Bsn.
C Hn.
C Tpt.
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.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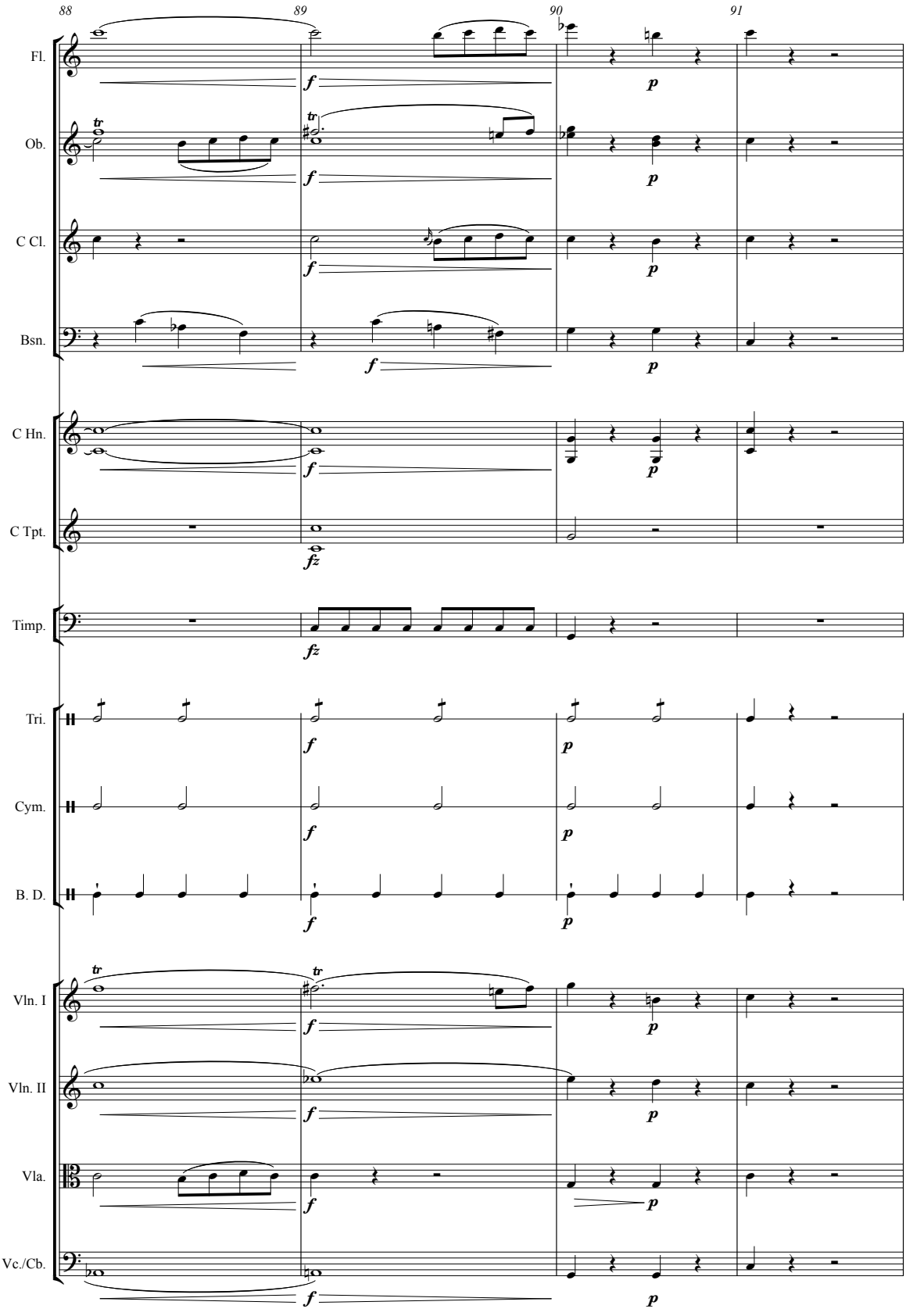
Fl.
Ob.
C Cl.
Bsn.
C Hn.
C Tpt.
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.
fz
p
tr
cresc.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Ob.
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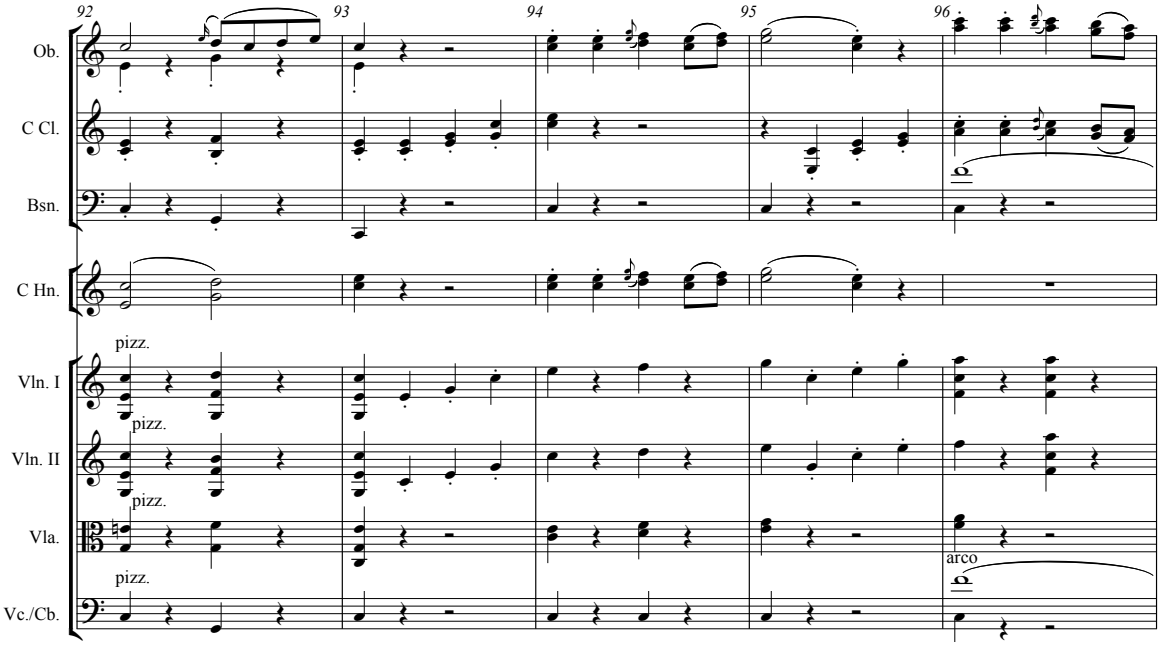
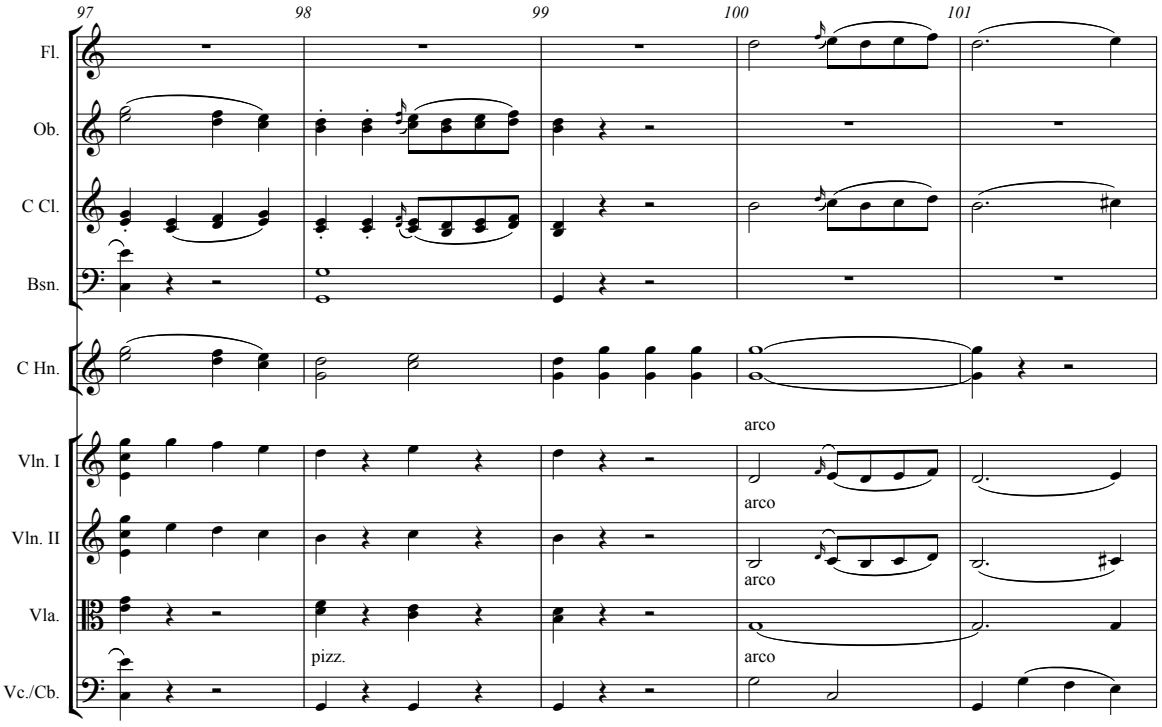
Bsn.
C Hn.
C Tpt.
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.


92
93
94
95
96
Ob.
C Cl.
Bsn.
C Hn.
Vln. I
Vln. II
Vla.
Vc./Cb.
pizz.
pizz.
pizz.
pizz.
arco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Fl.
Ob.
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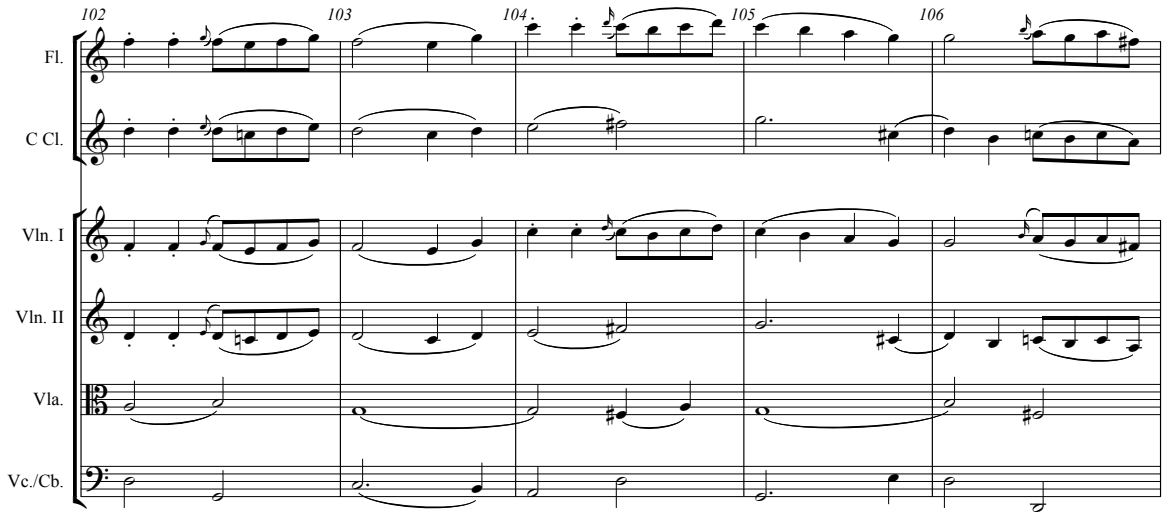
Vln. I
Vln. II
Vla.
Vc./Cb.
arco
arco
arco
pizz.
arco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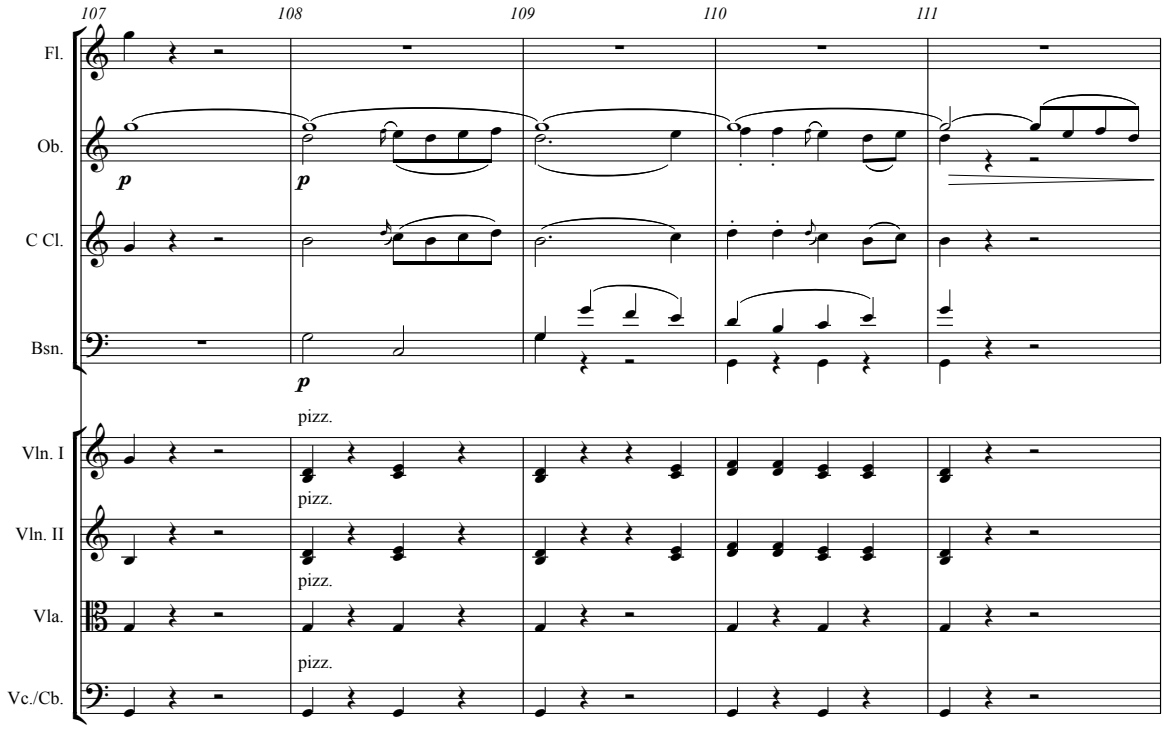
Vla.
Vc./Cb.


107
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110
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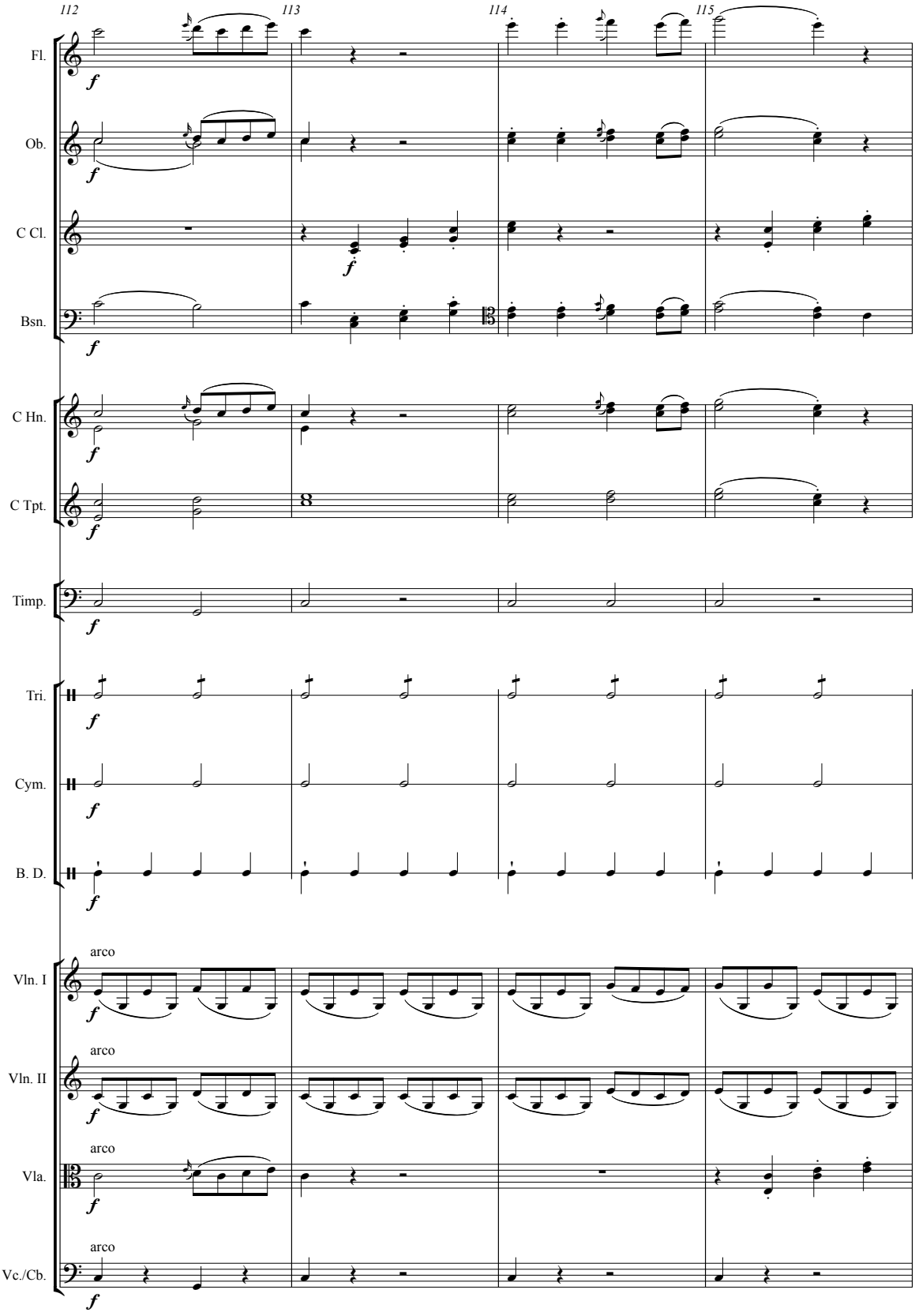
Fl.
Ob.
C Cl.
Bsn.
Vln. I
Vln. II
Vla.
Vc./Cb.
p
pizz.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115
Fl.
Ob.
C Cl.
Bsn.
C Hn.
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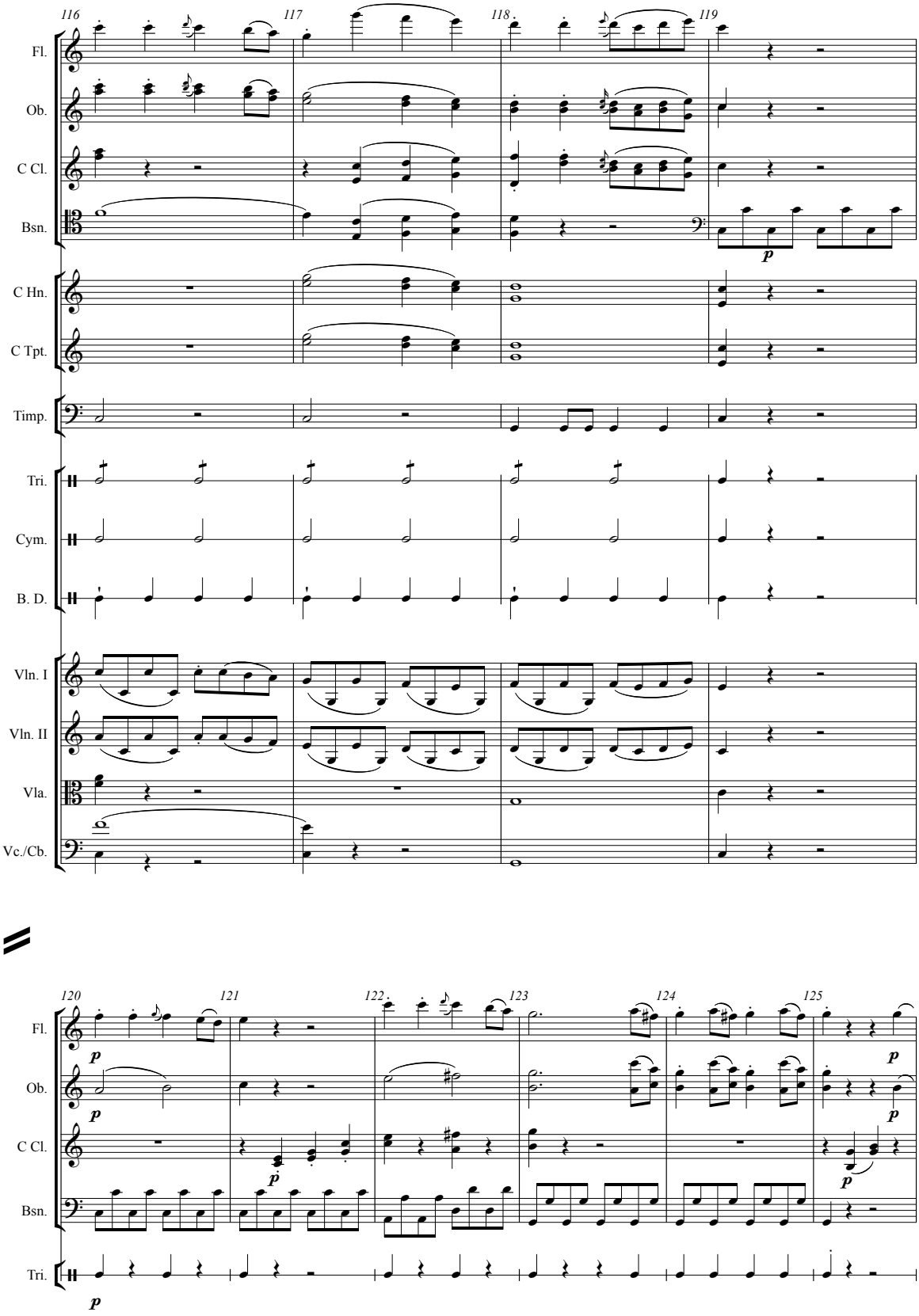
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.
arco
f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Fl.
Ob.
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Bsn.
C Hn.
C Tpt.
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.
p
120
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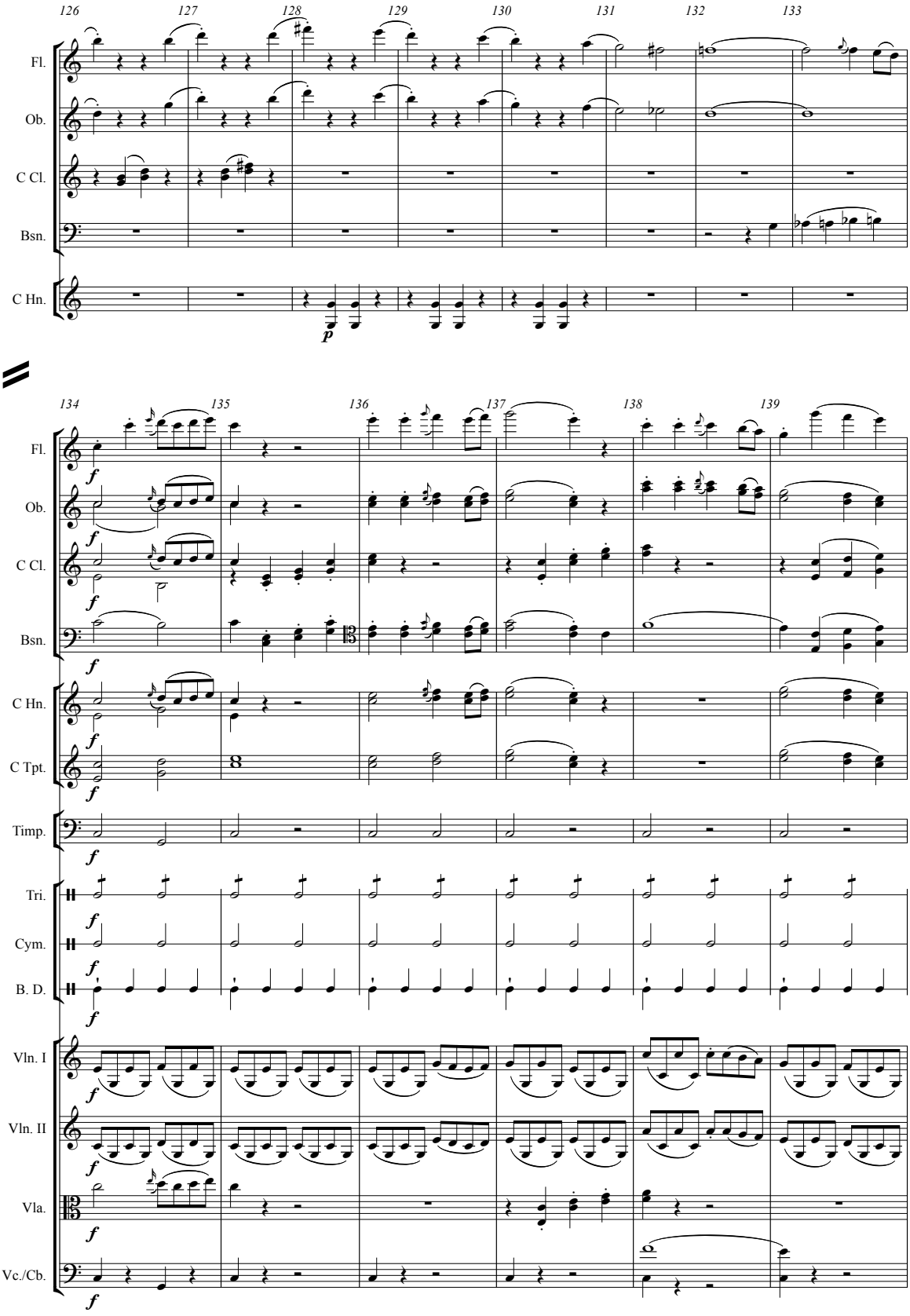
124
125
Fl.
Ob.
C Cl.
Bsn.
Tri.
p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132
133
Fl.
Ob.
C Cl.
Bsn.
C Hn.
p
134
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138
139
Fl.
Ob.
C Cl.
Bsn.
C Hn.
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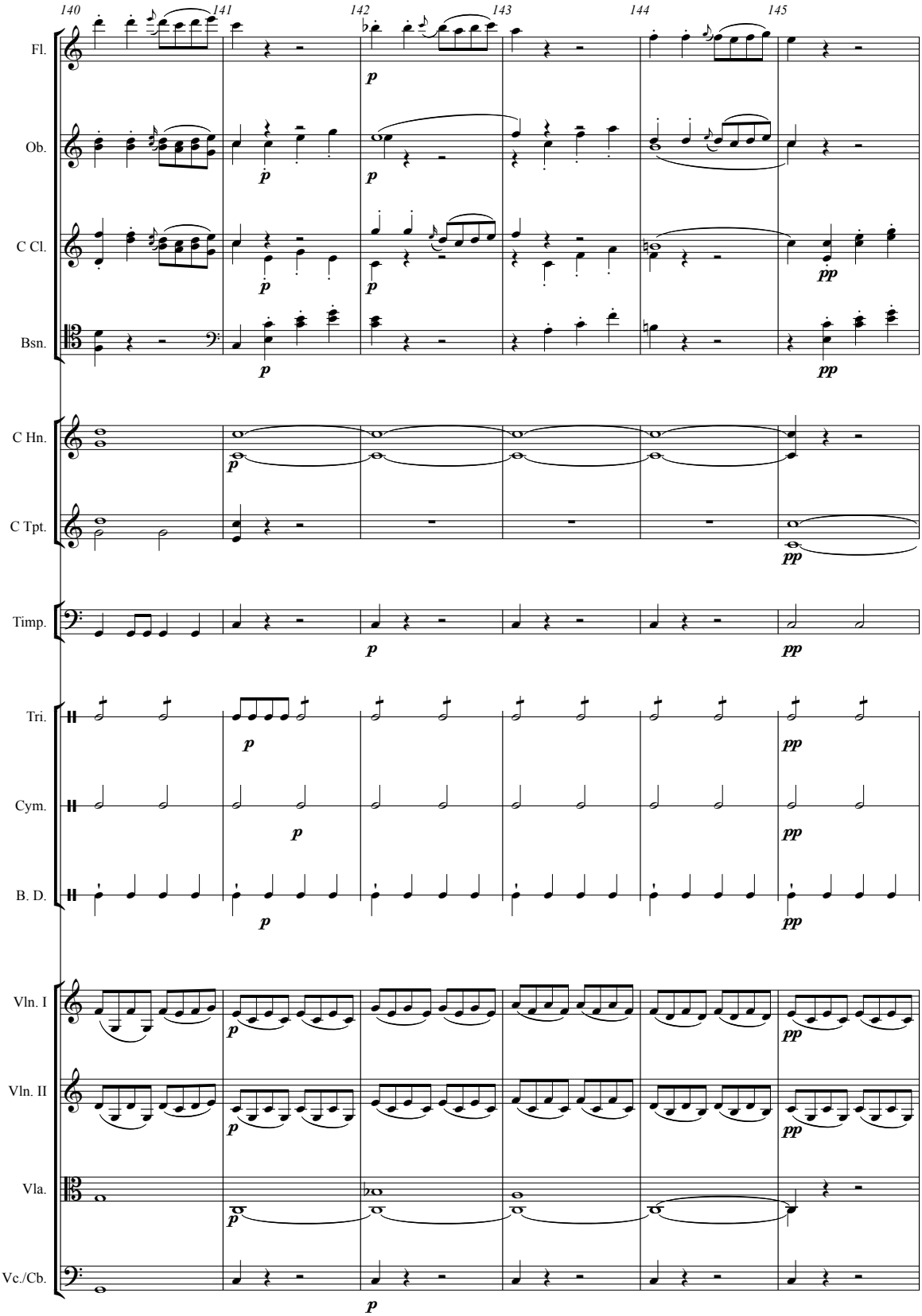
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.
f


140
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Fl.
Ob.
C Cl.
Bsn.
C Hn.
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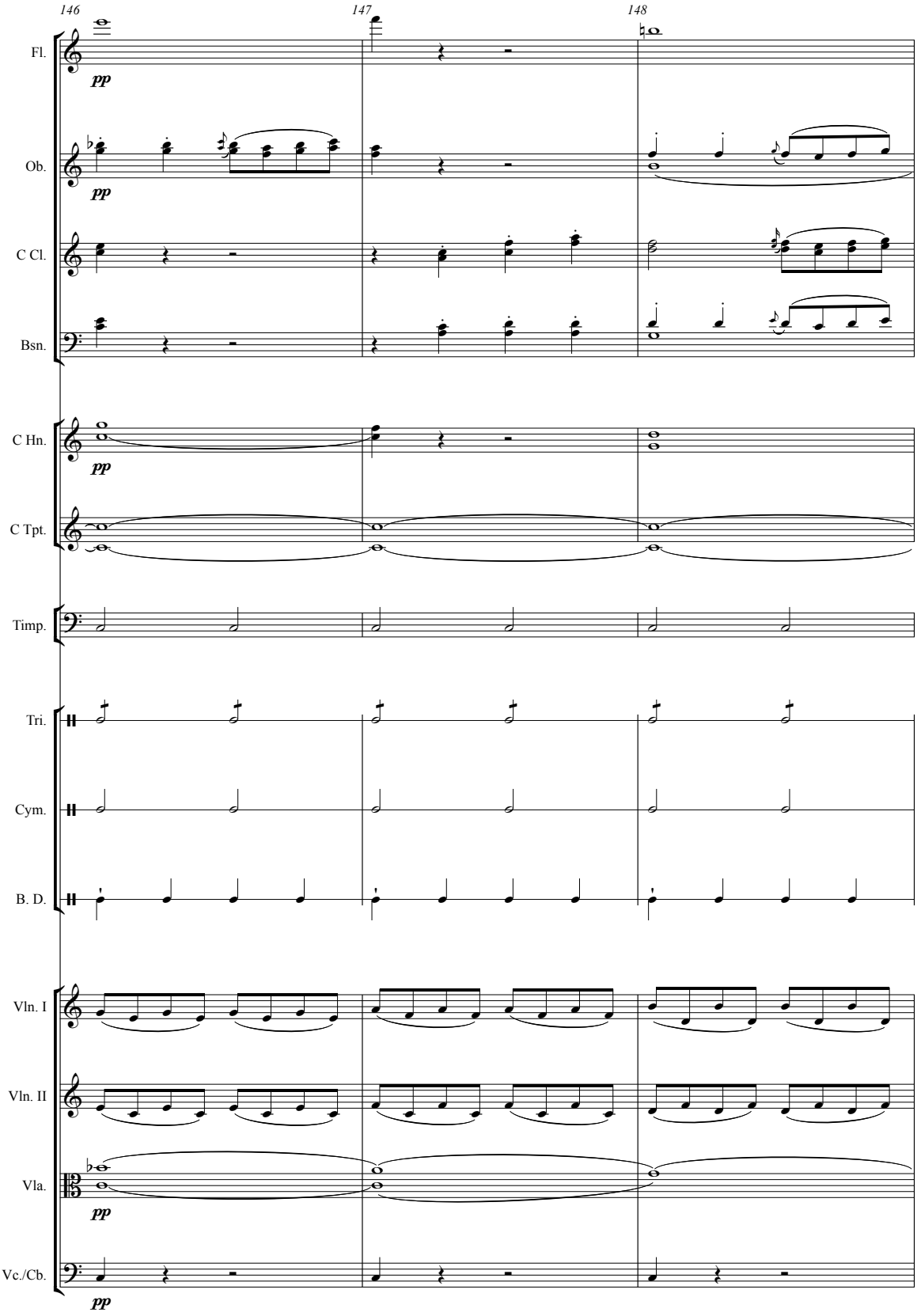
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.
p
pp


146
147
148
Fl.
pp
Ob.
pp
C Cl.
Bsn.
C Hn.
pp
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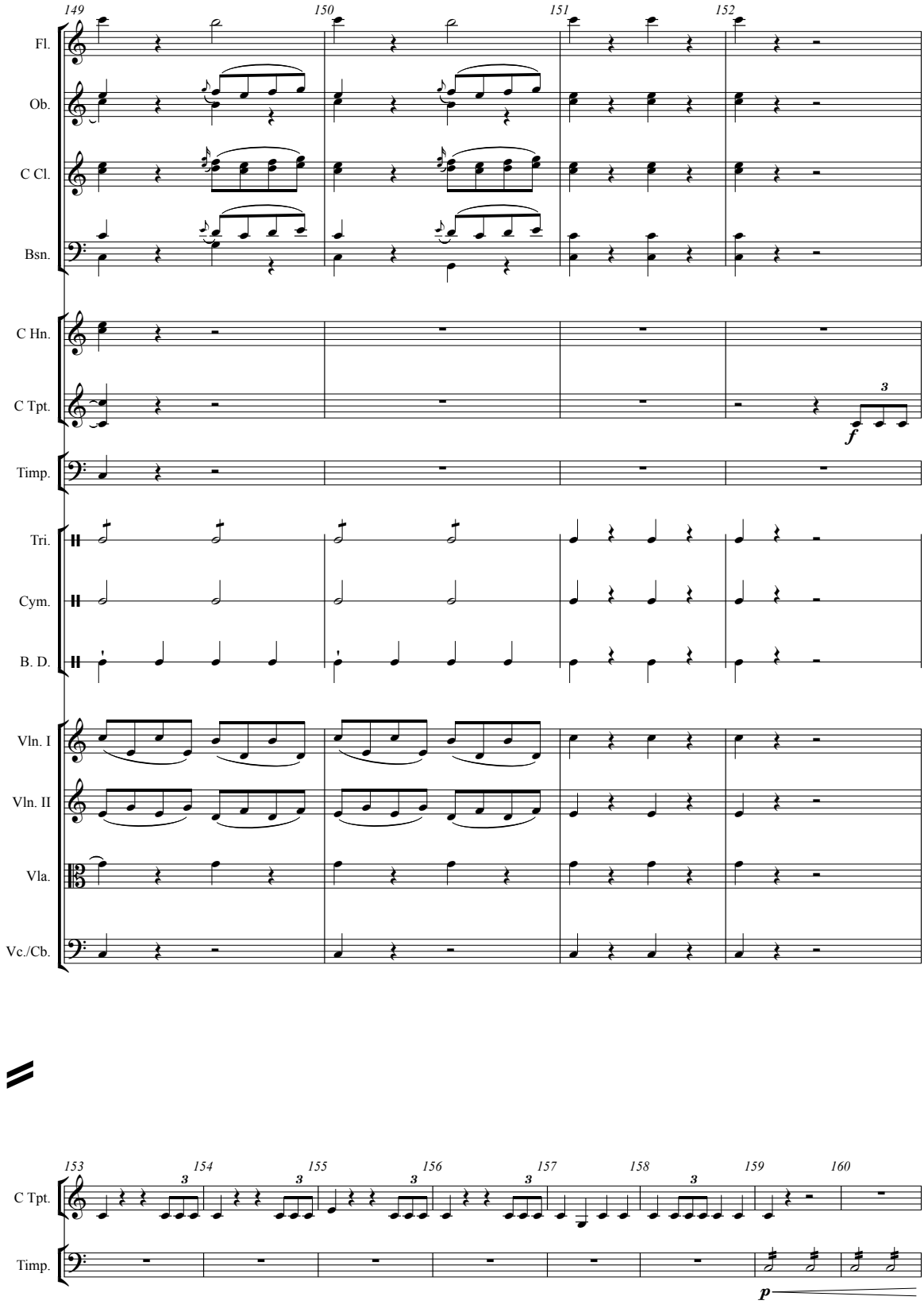
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
pp
Vc./Cb.
pp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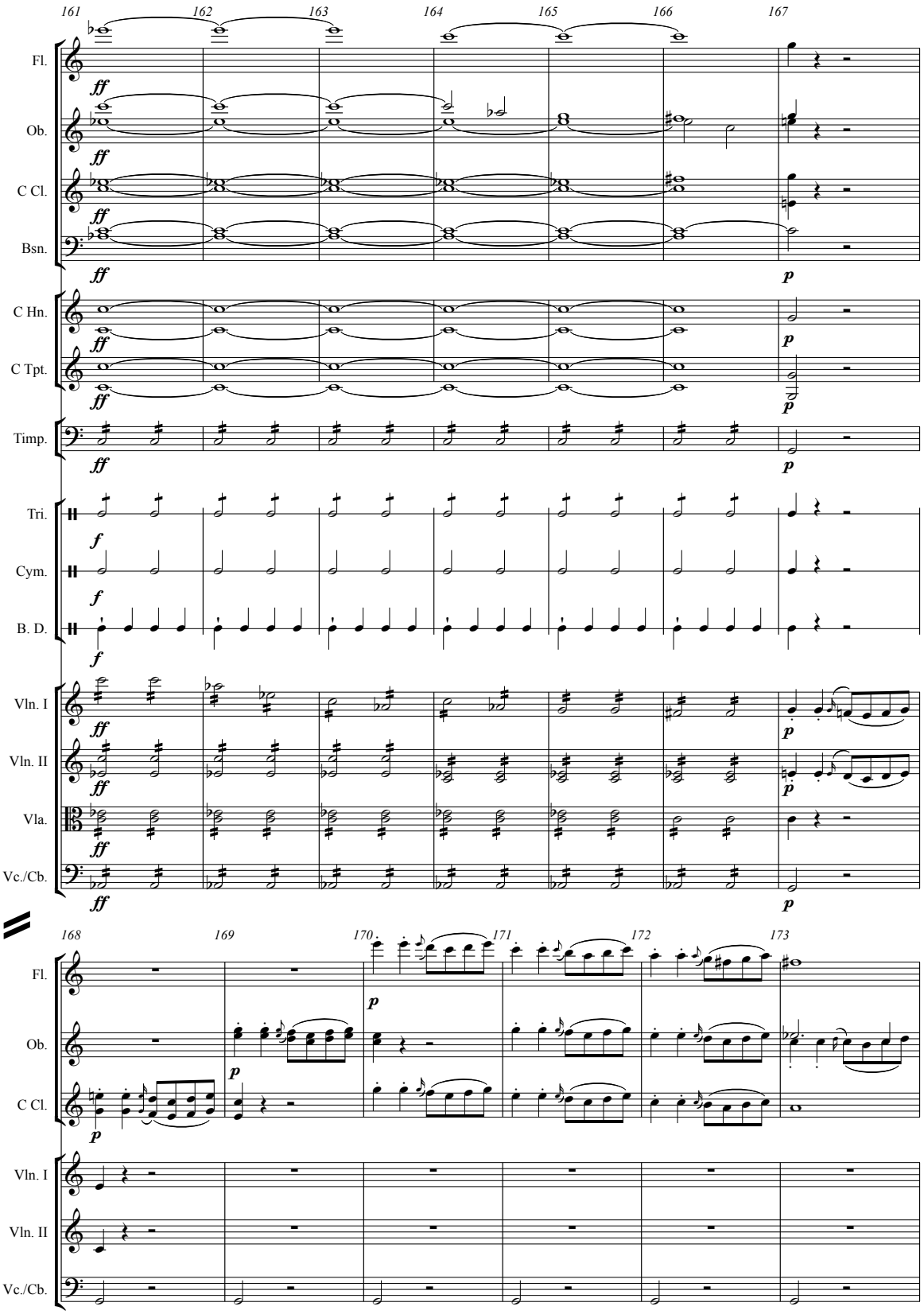
Fl.
Ob.
C Cl.
Bsn.
C Hn.
C Tpt.
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.
3
f

153
154
155
156
157
158
159
160
C Tpt.
Timp.
3
p


161
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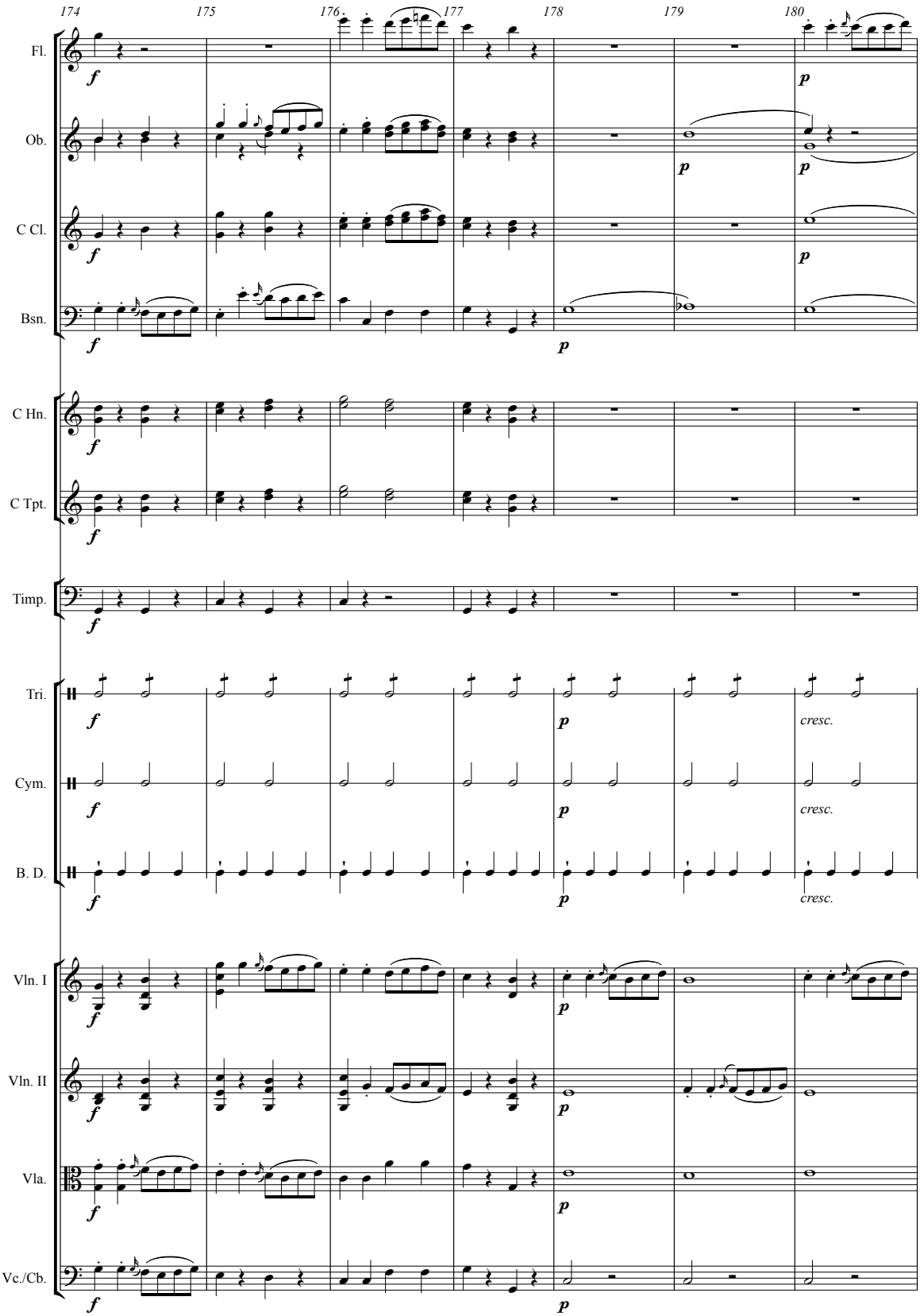
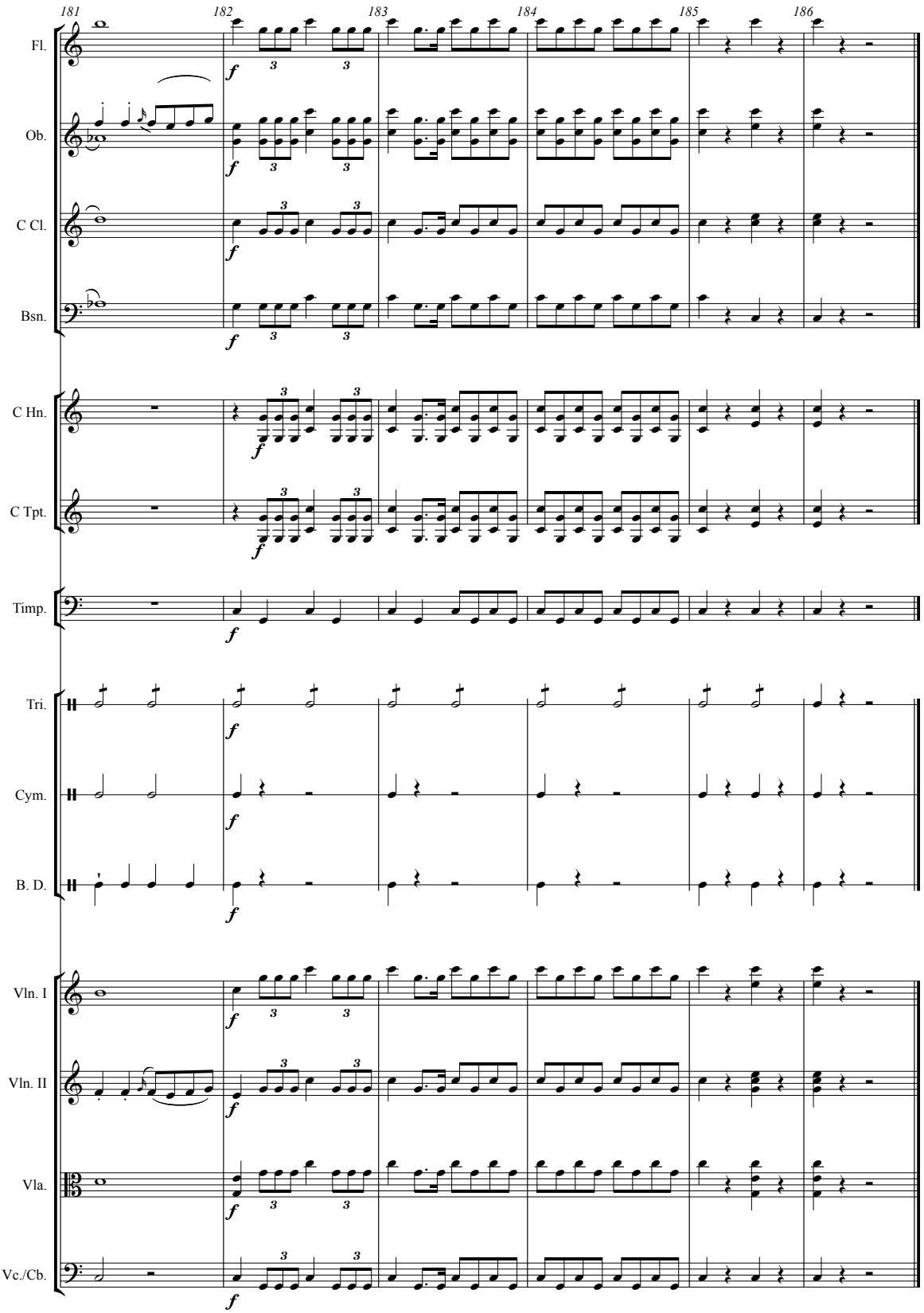
163
164
165
166
167
Fl.
Ob.
C Cl.
Bsn.
C Hn.
C Tpt.
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.
ff
p
f
168
169
170
171
172
173


174
175
176
177
178
179
180
Fl.
Ob.
C Cl.
Bsn.
C Hn.
C Tpt.
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.
cresc.

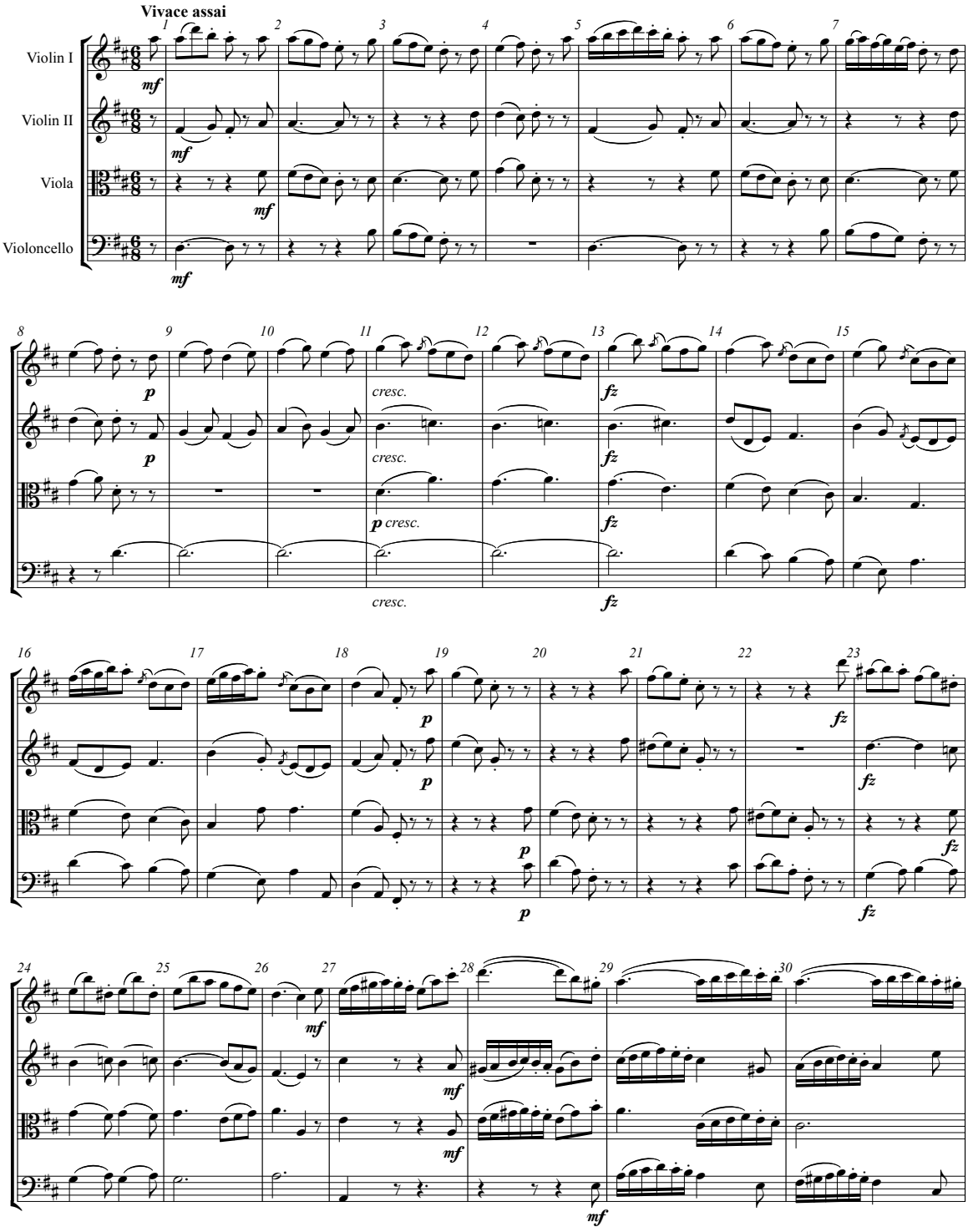

181
182
183
184
185
186
Fl.
Ob.
C Cl.
Bsn.
C Hn.
C Tpt.
Timp.
Tri.
Cym.
B. D.
Vln. I
Vln. II
Vla.
Vc./Cb.
f

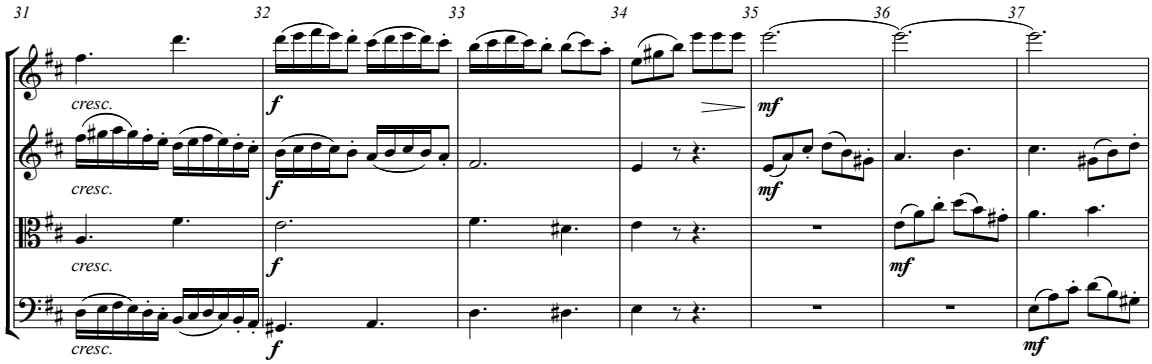
APPENDIX B

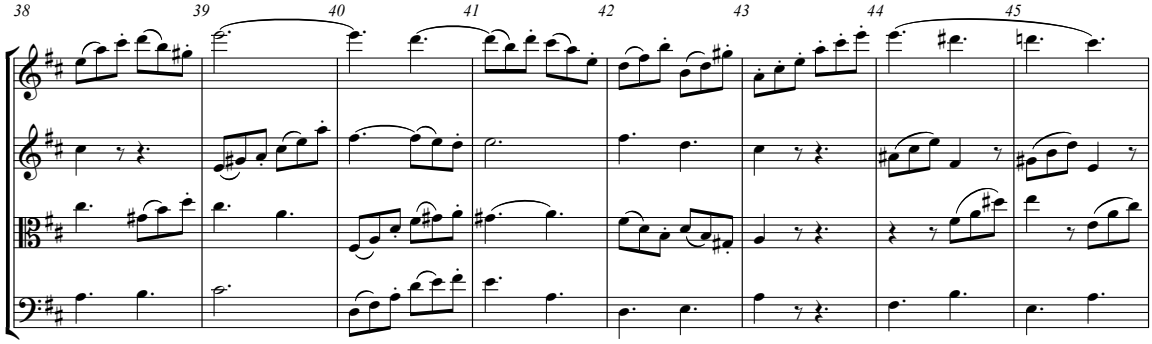
STRING QUARTET OP. 33 NO. 6, COMPLETE SCORE

String Quartet in D Major, Op. 33, No. 6
I

Haydn, arr. Mastic




31
32
33
34
35
36
37
cresc.
cresc.
cresc.
cresc.
f
f
f
f
mf
mf
mf
mf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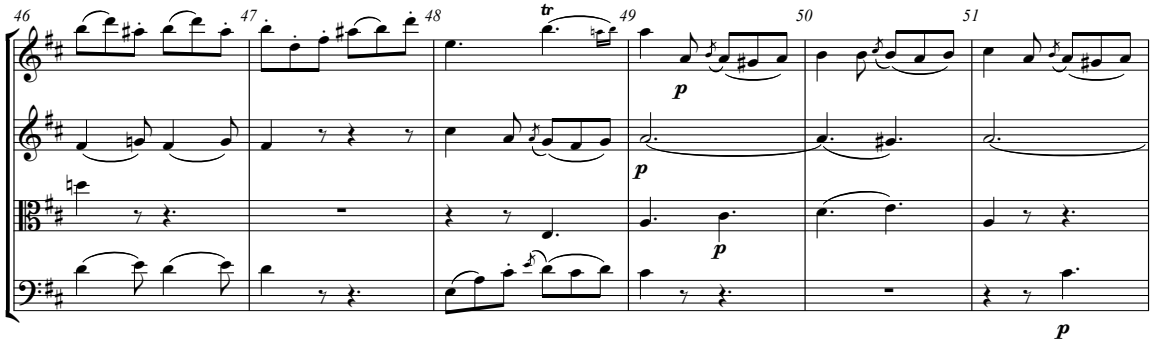
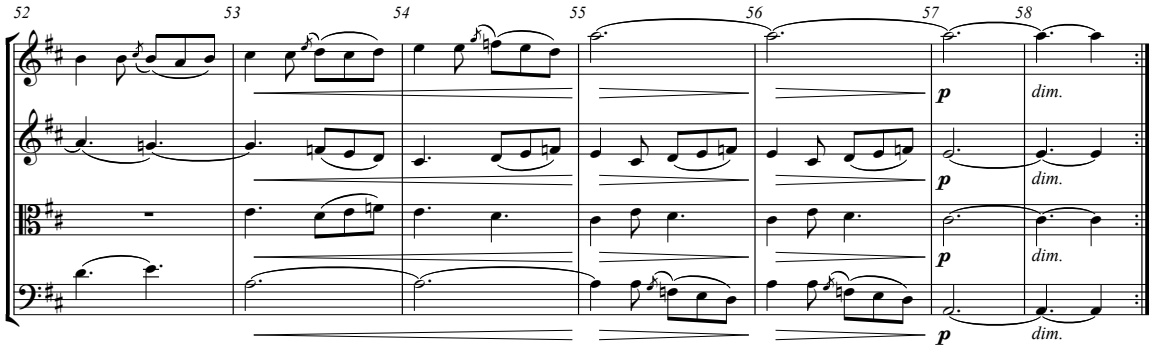
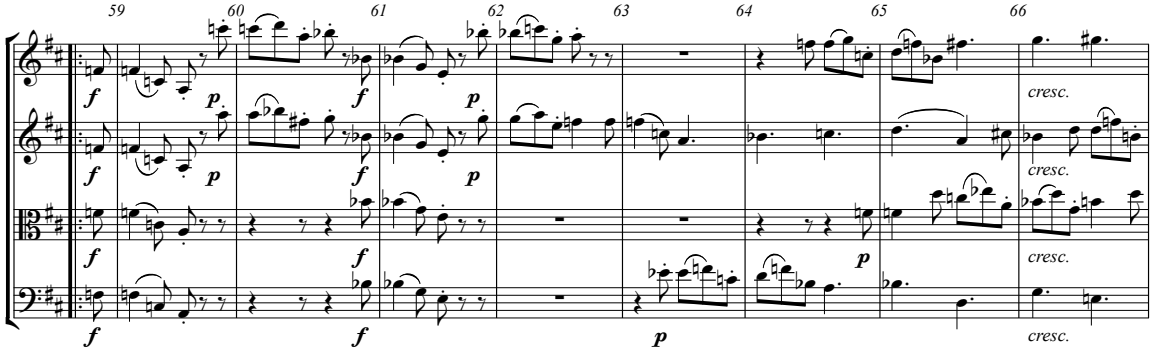
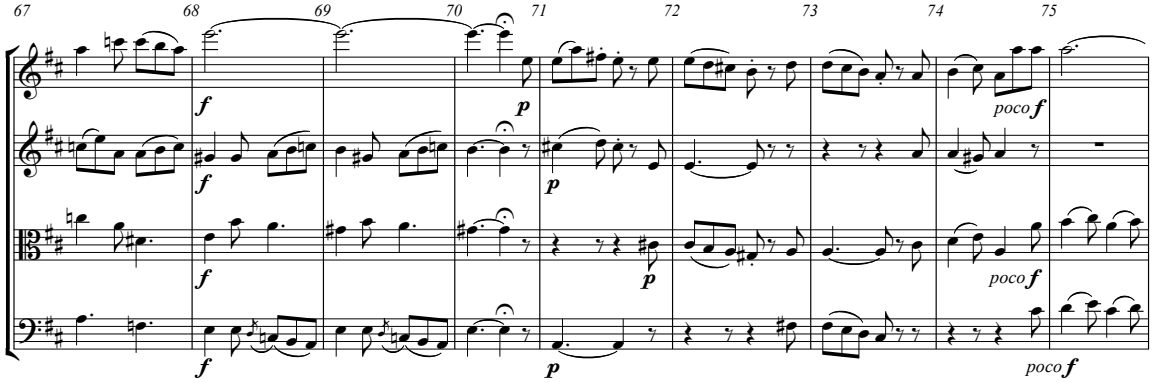
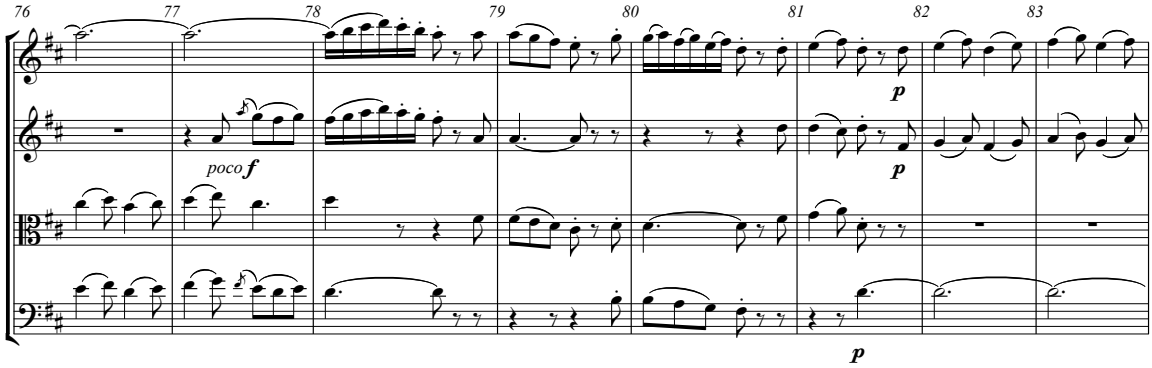

46
47
48
49
50
51
tr
p
p
p
p


52
53
54
55
56
57
58
p
p
p
p
dim.
dim.
dim.
dim.


59
60
61
62
63
64
65
66
cresc.
cresc.
cresc.
cresc.


67
68
69
70
71
72
73
74
75
poco f
poco f
poco f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81
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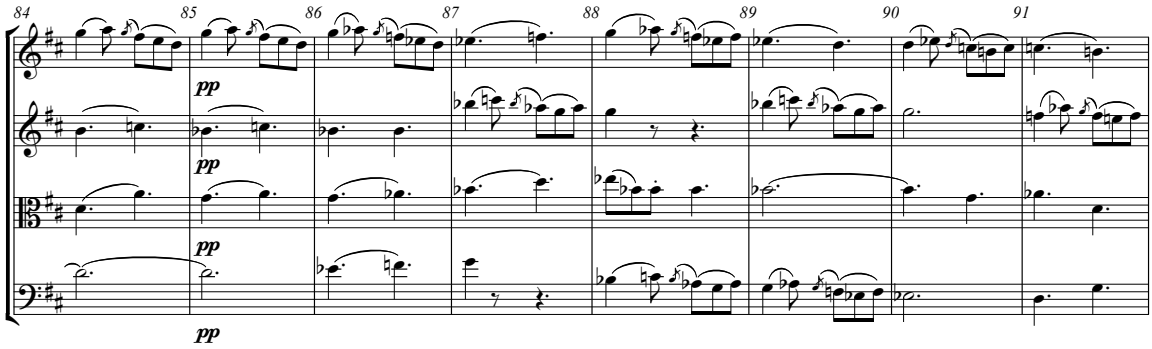
83
poco f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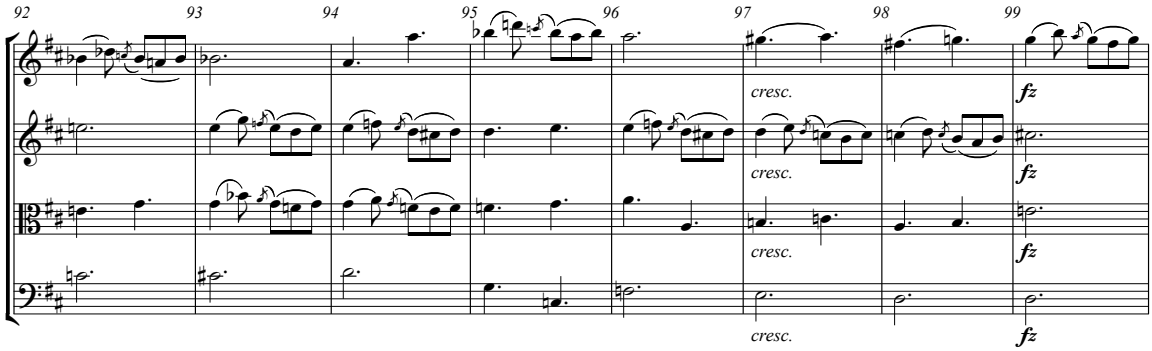
92
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94
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97
98
99
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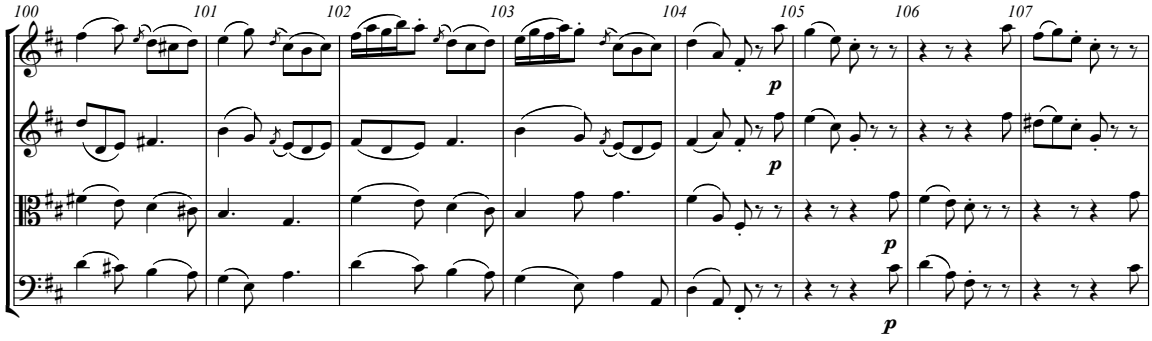
cresc.
cresc.
cresc.
fz
fz
fz
fz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101
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103
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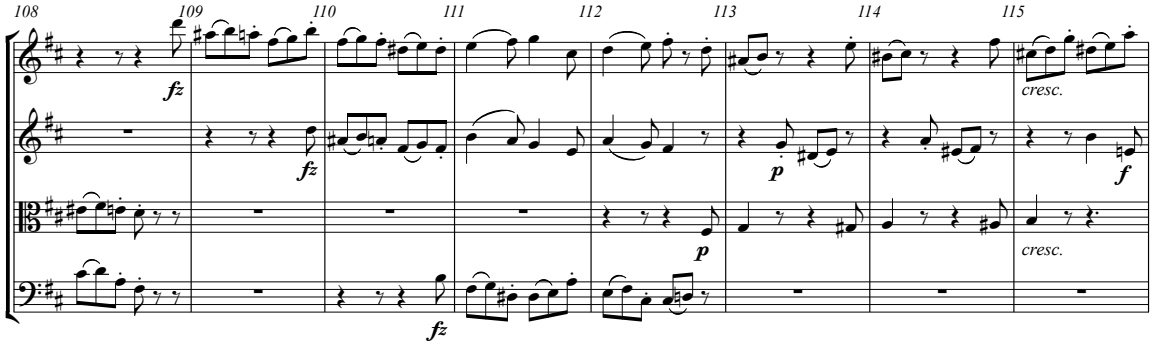
105
106
107
p
p
p
p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111
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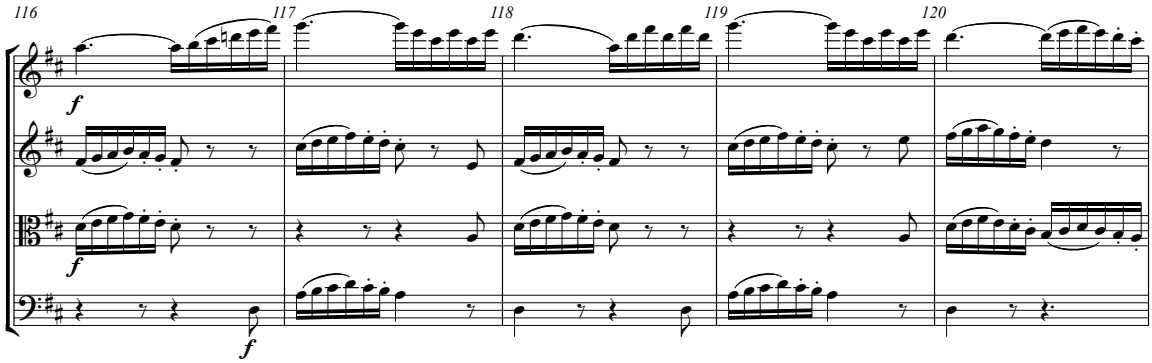
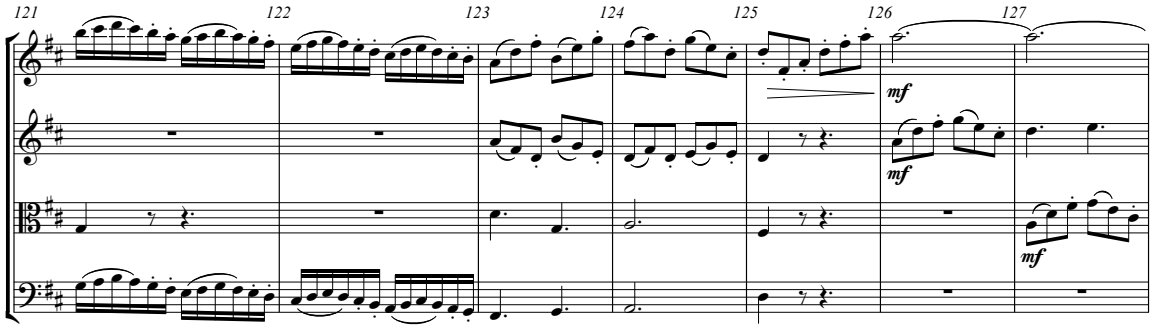
113
114
115
fz
fz
fz
p
p
cresc.
cresc.
f


116
117
118
119
120
f
f
f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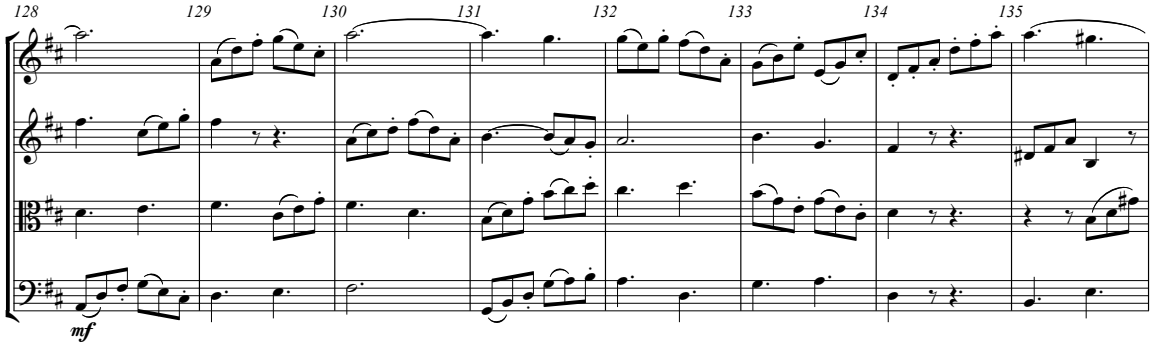
126
127
mf
mf
mf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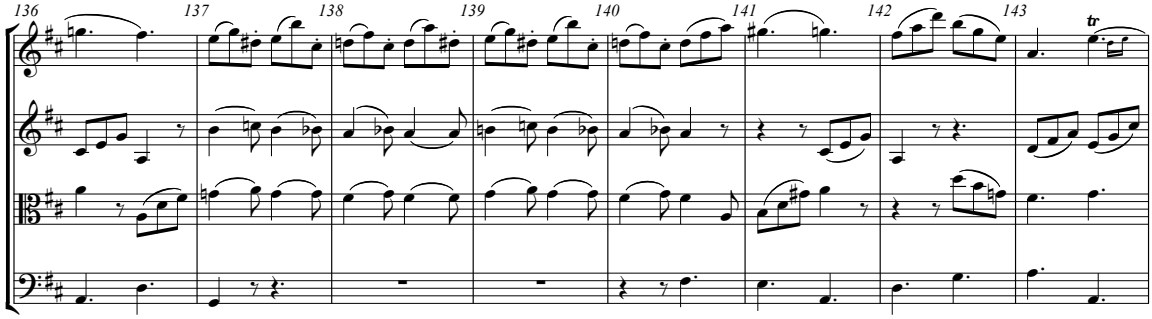
132
133
134
135
mf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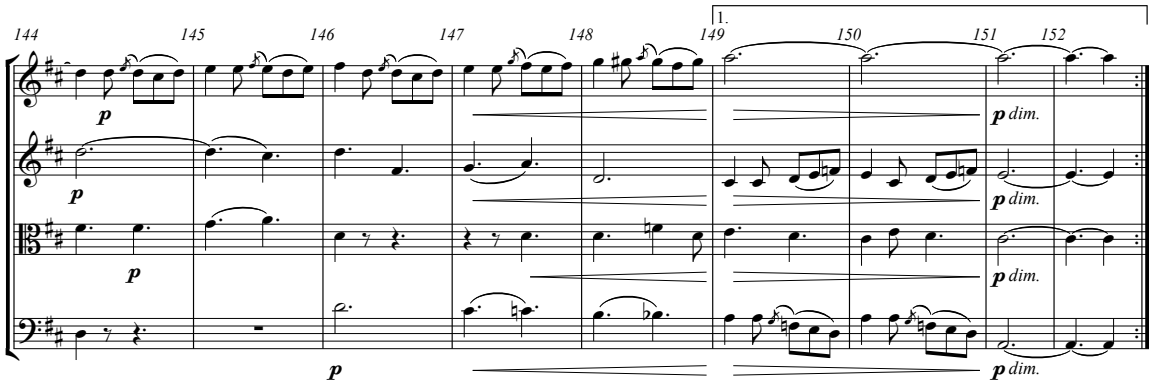
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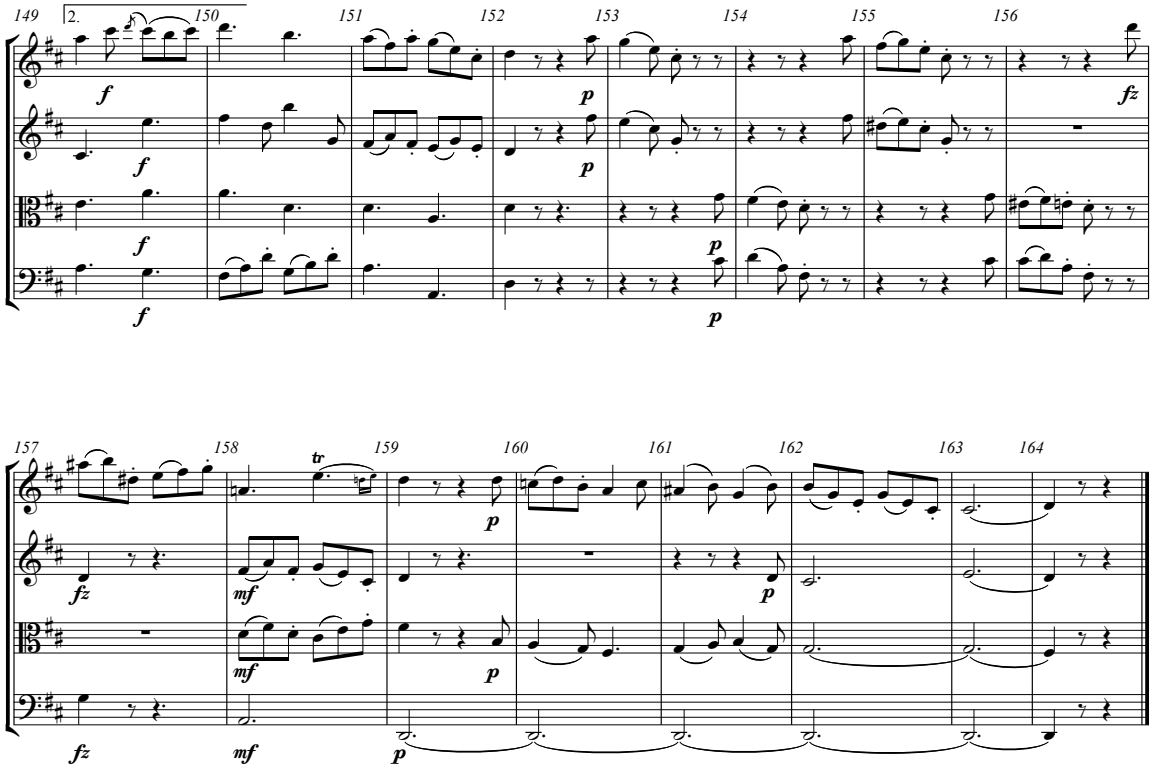
149
150
151
152
1.
p
p
p
p
p dim.
p dim.
p dim.
p dim.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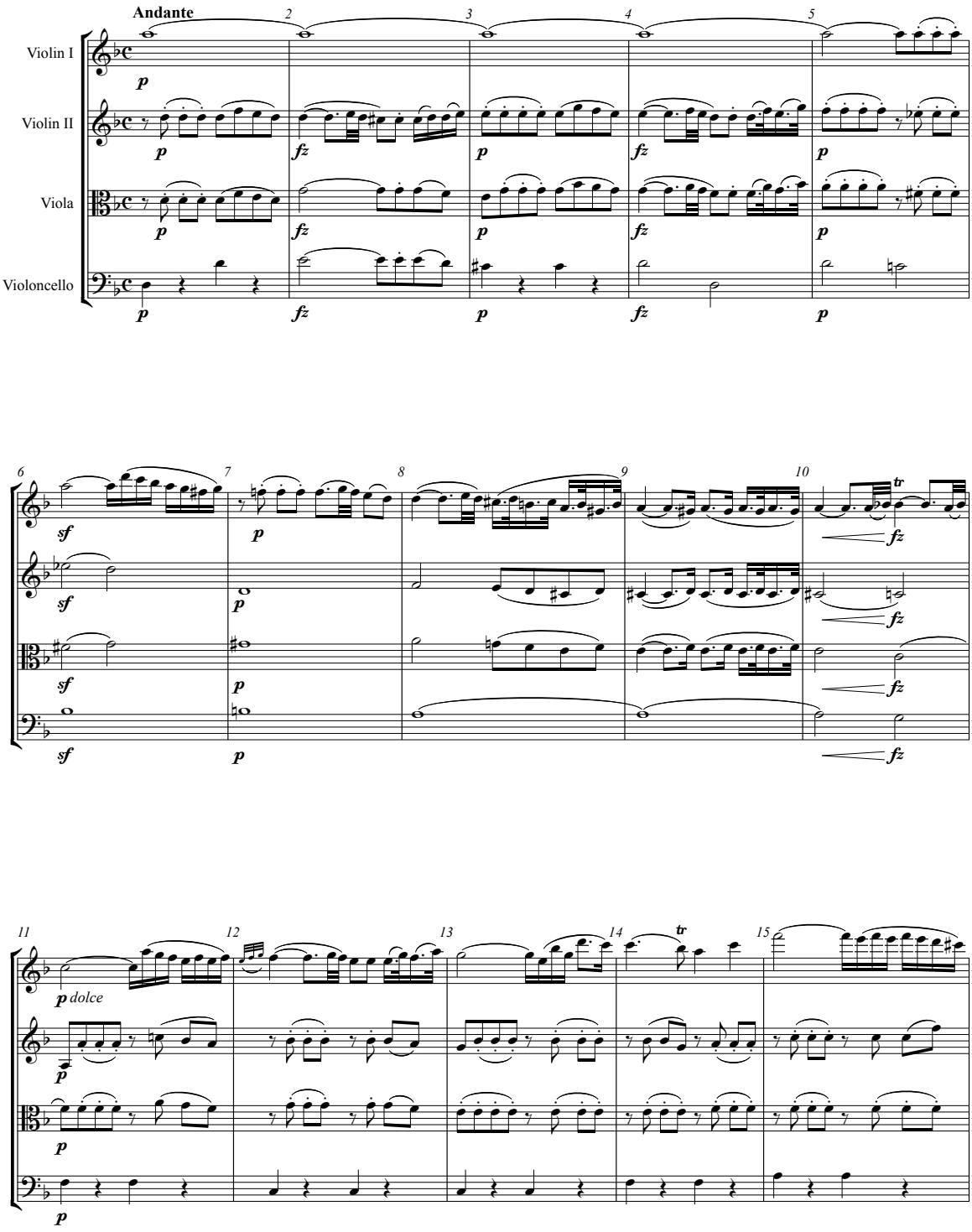
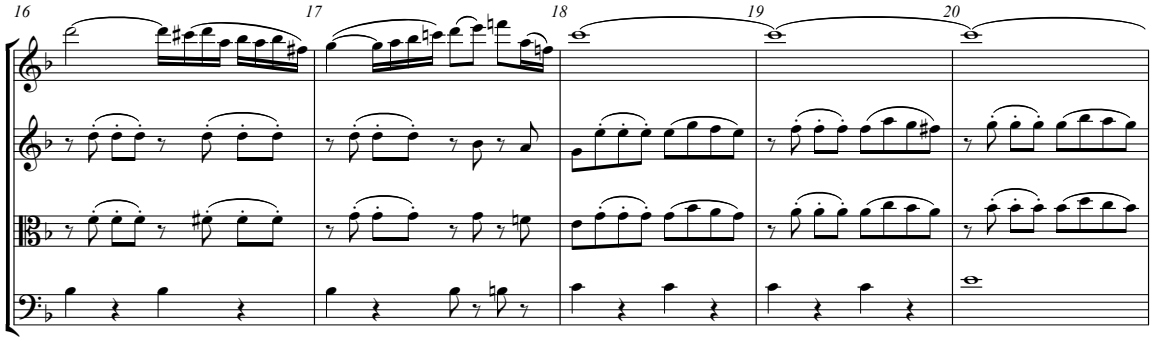
163
164
tr

II


Andante
Violin I
Violin II
Viola
Violoncello
p
fz
sf
tr
dolce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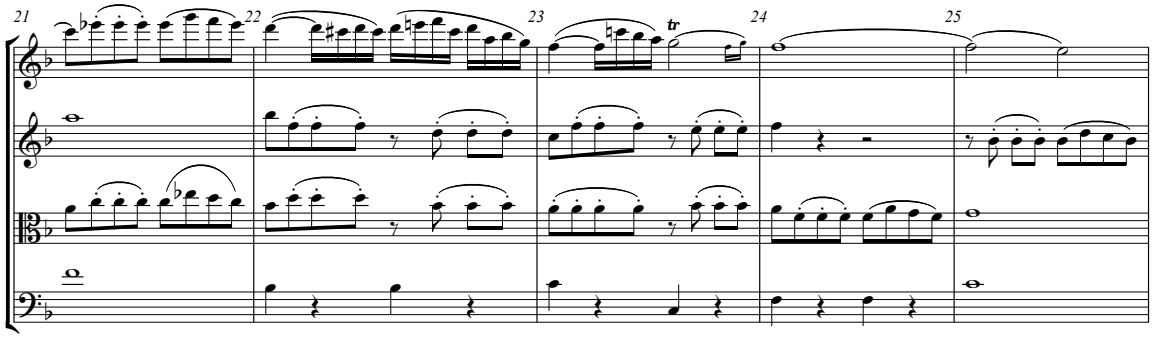
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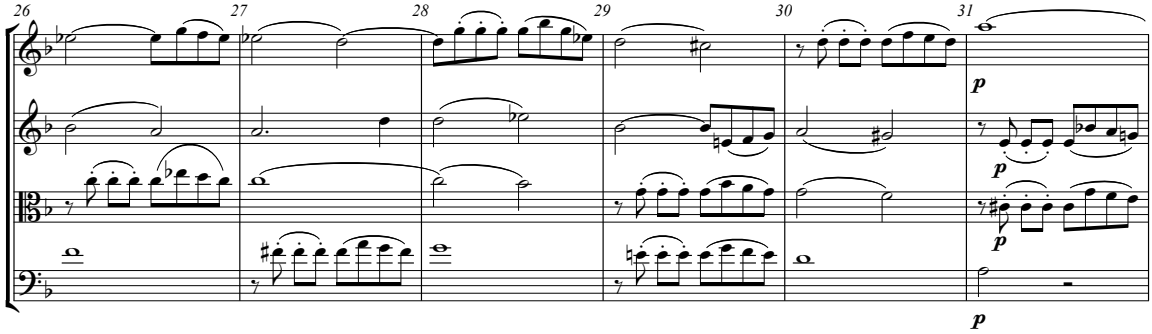
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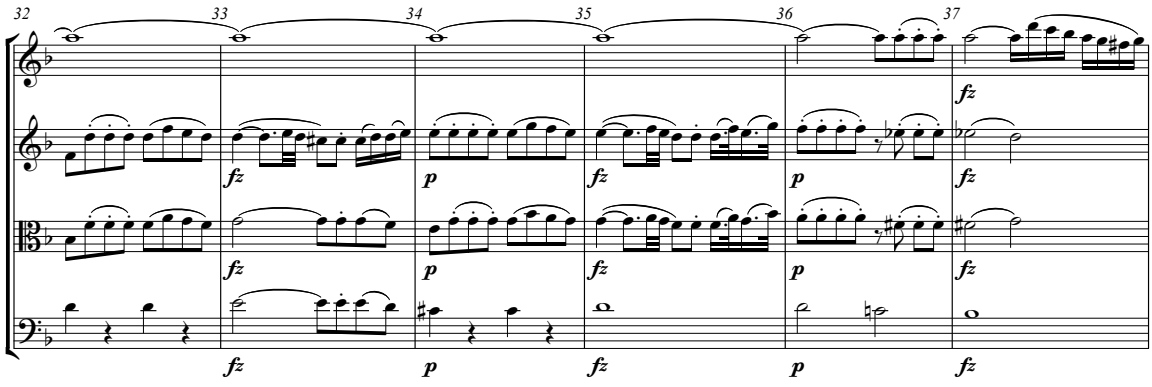
p
p
p


32
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fz
fz
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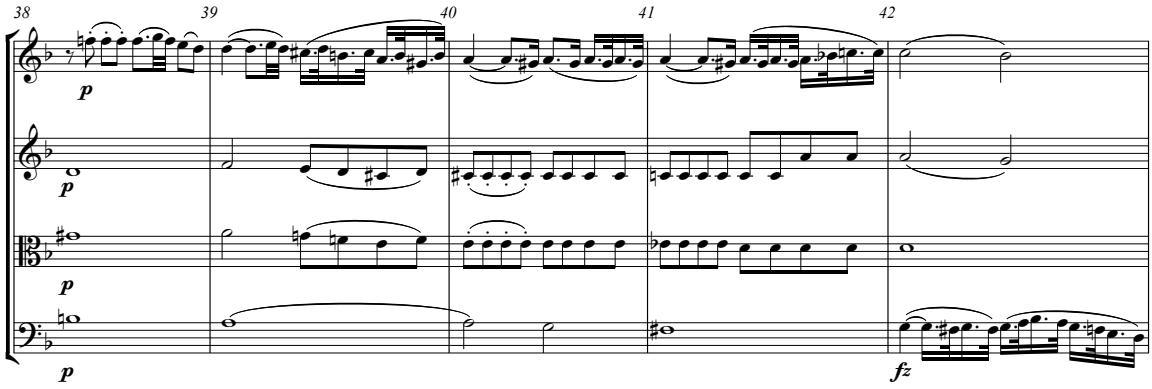
fz
p
fz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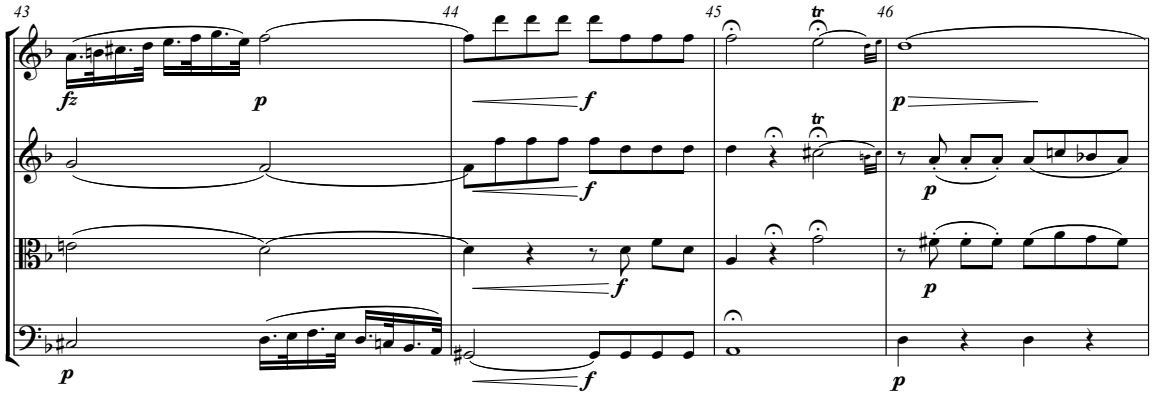
42
p
p
p
p
fz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fz
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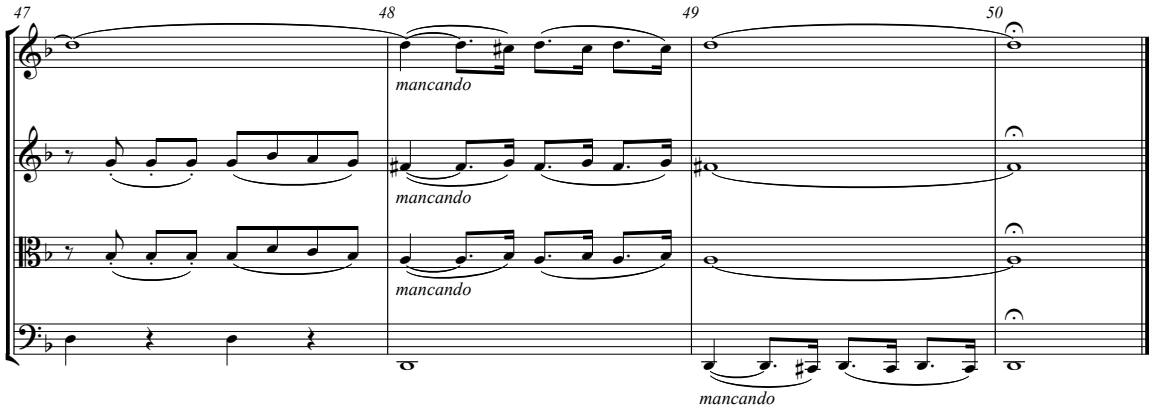
f
f
f
p
p
p
p
f
p


47
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49
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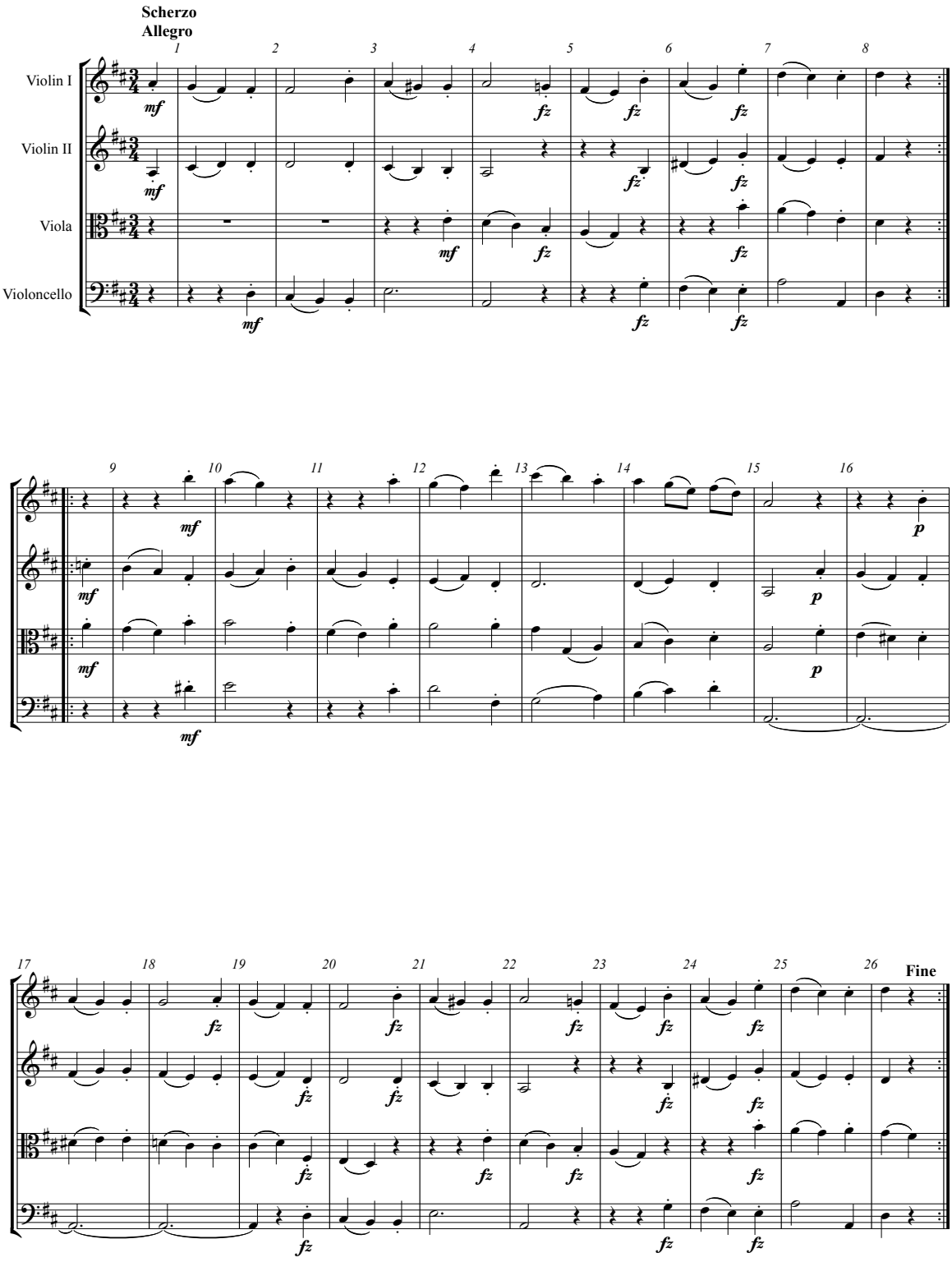
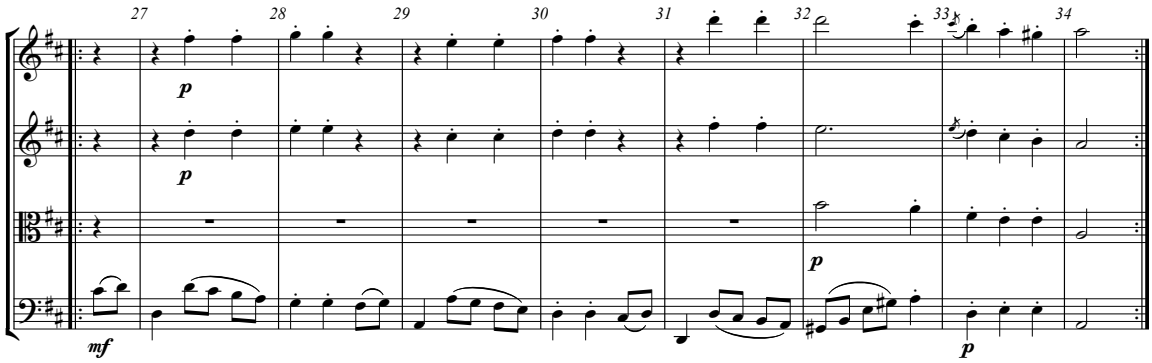
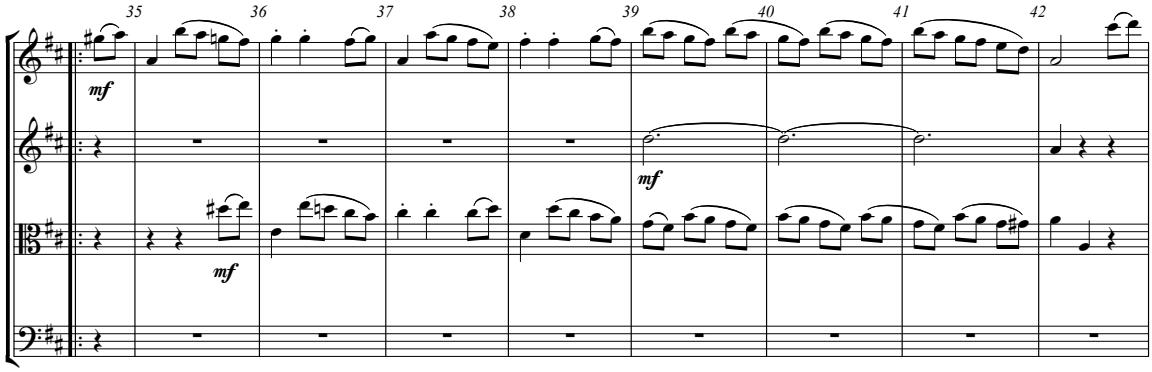
mancando
mancando
mancando
mancando

III




27
28
29
30
31
32
33
34
p
p
p
mf
p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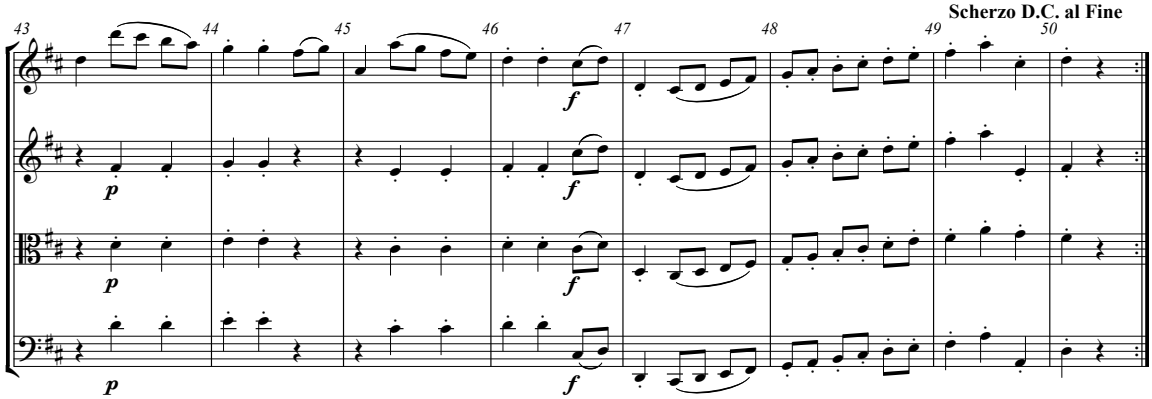
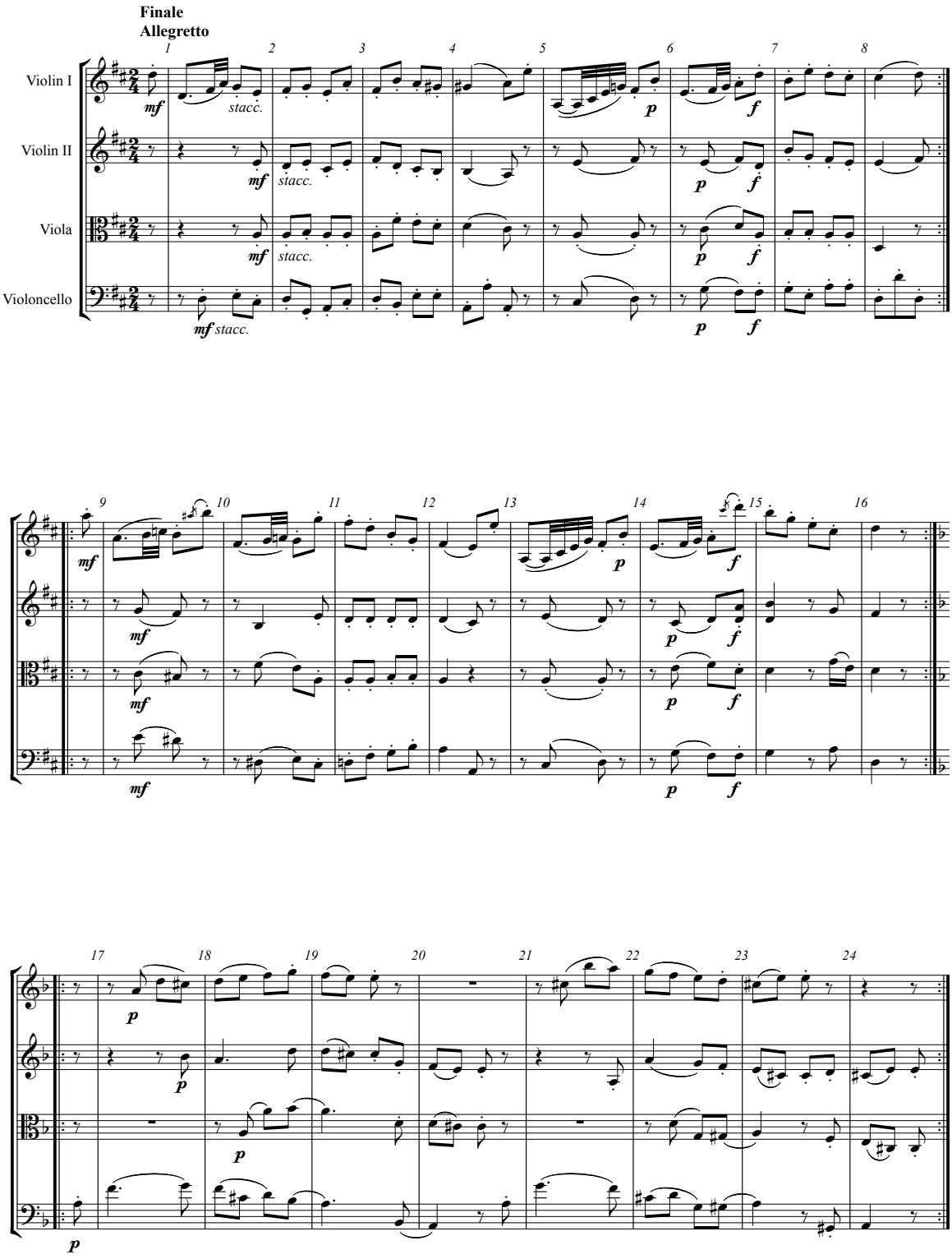
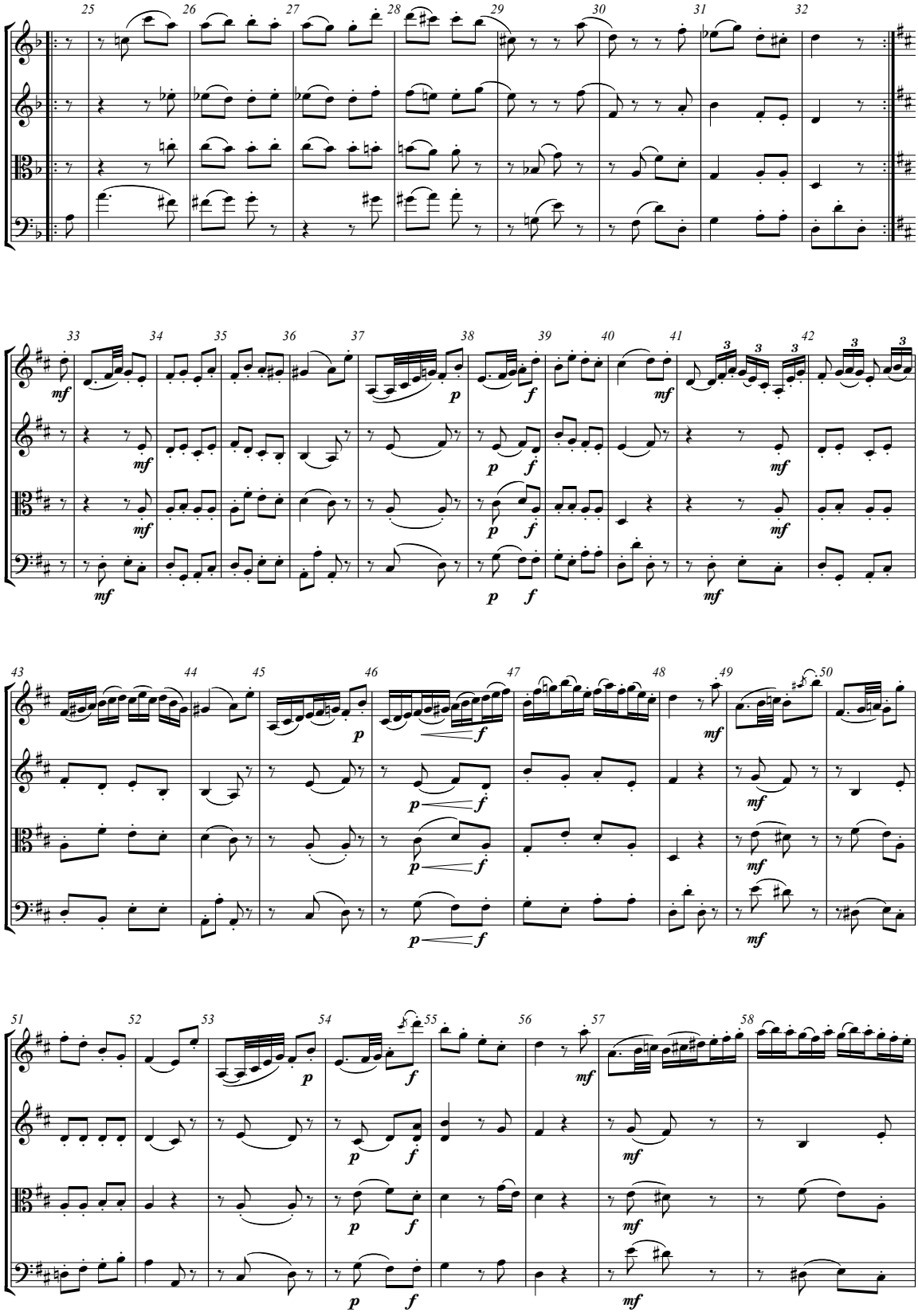
36
37
38
39
40
41
42
mf
mf
mf


Scherzo D.C. al Fine
43
44
45
46
47
48
49
50
p
f
p
f
p
f
p
f

IV


Finale
Allegretto
Violin I
Violin II
Viola
Violoncello
mf
stacc.
p
f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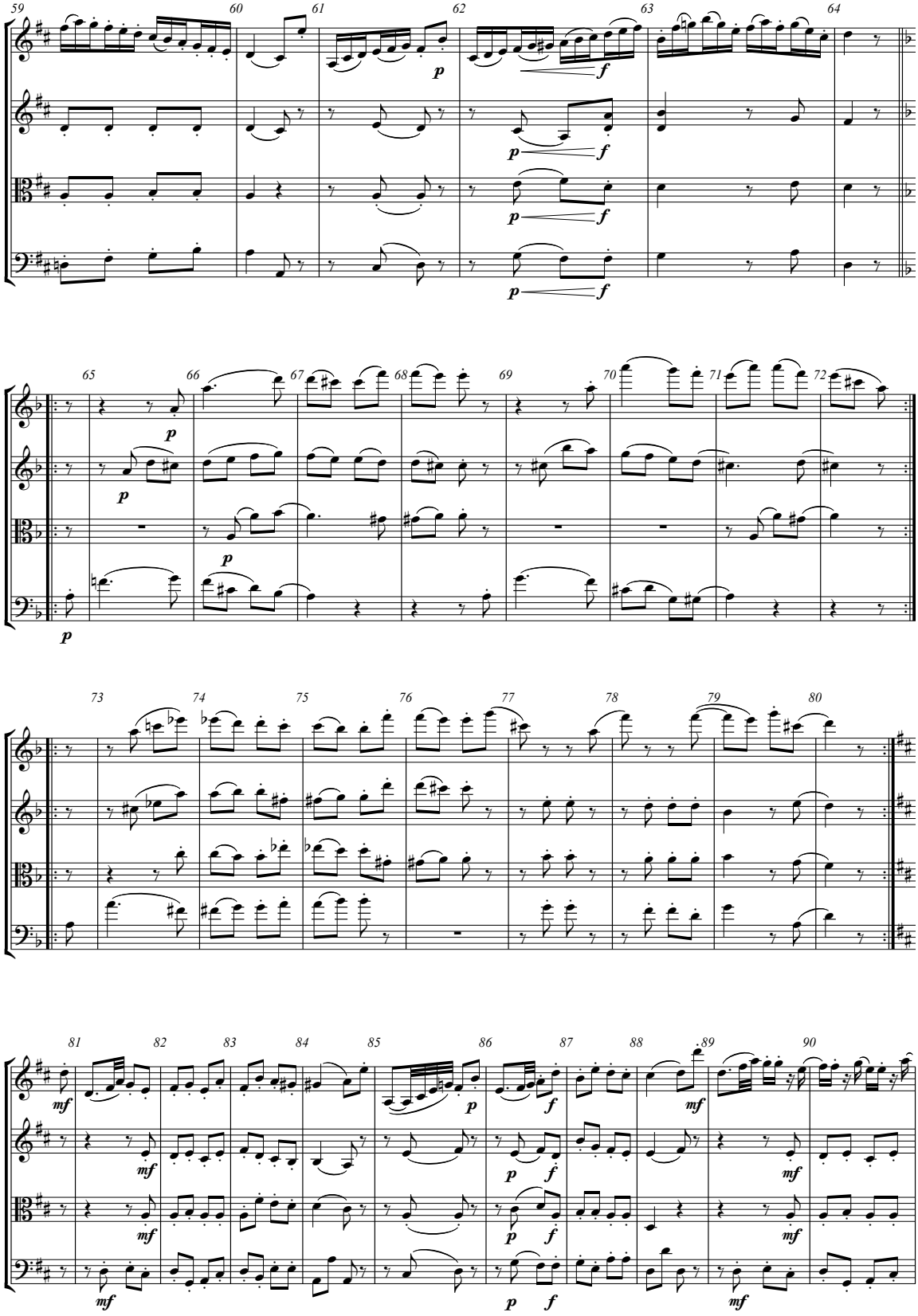
48
49
50
51
52
53
54
55
56
57
58
mf
p
f


59
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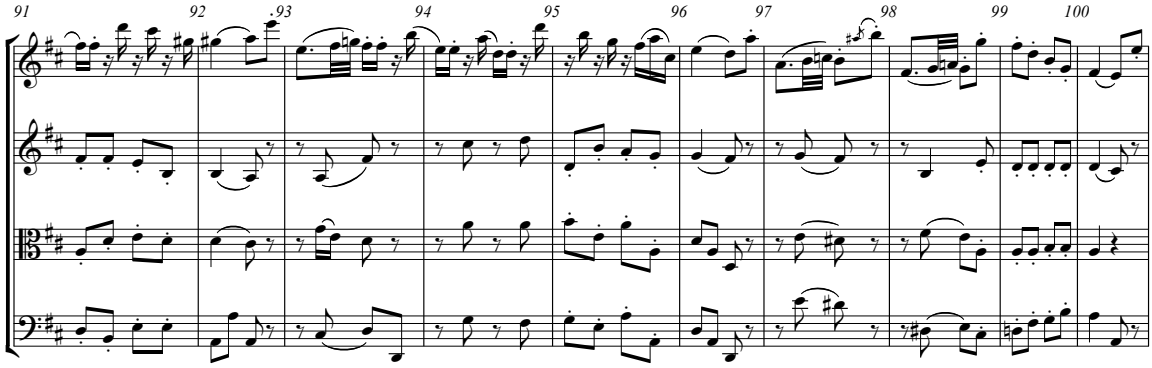
82
83
84
85
86
87
88
89
90
p
f
mf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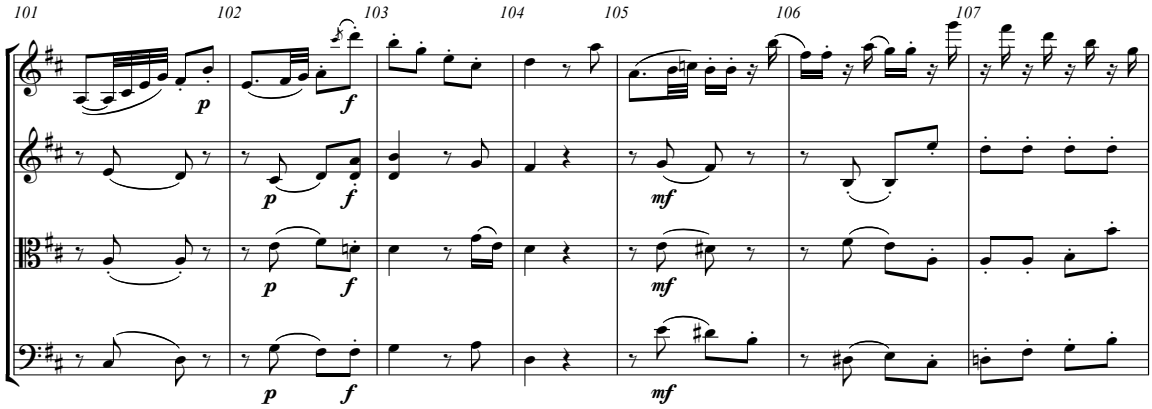
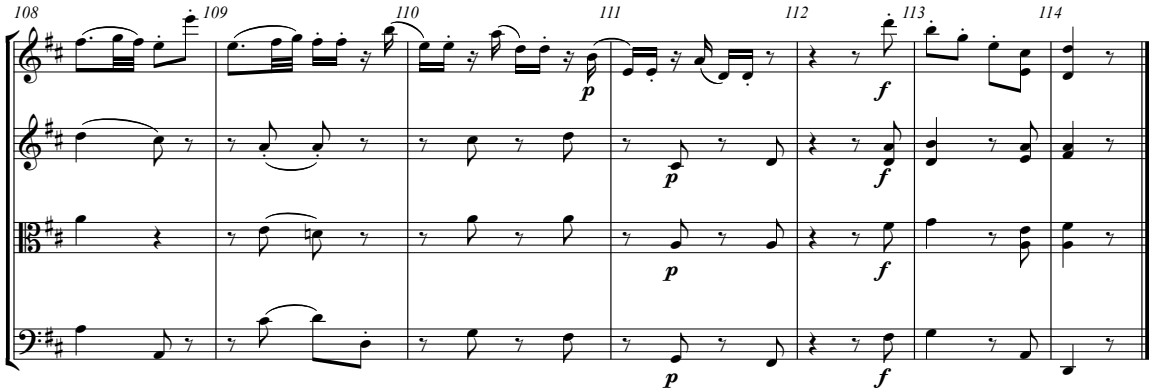
96
97
98
99
100


101
102
103
104
105
106
107
p
f
mf


108
109
110
111
112
113
114
p
f

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