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ORGANIC RELATIONSHIPS: MOTIVIC PARALLELISMS BETWEEN THE FIRST AND SECOND THEMES OF SONATA FORM

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ORGANIC RELATIONSHIPS:
MOTIVIC PARALLELISMS BETWEEN THE FIRST AND SECOND THEMES OF SONATA FORM

By

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ABSTRACT

ORGANIC RELATIONSHIPS:
MOTIVIC PARALLELISMS BETWEEN THE FIRST AND SECOND THEMES OF SONATA FORM

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One of the principal agents of creating interest and melodic contrast in sonata form is the establishment of two distinct themes, varied in character and texture. However, careful listening to the two themes often leaves one with an underlying sense of familiarity– that motivic relationships exist within the figuration of the music to create subtle, yet profound relationships.

This paper is a study of select movements from the classical sonatas of Mozart, Beethoven, and Schubert with a focus on revealing such relationships. I will use Schenkerian analysis to explore the primary and secondary themes, revealing organic relationships that belie the surface contrasts. To this end, I will provide sketches of the music discussed, accompanied by a detailed, descriptive commentary.

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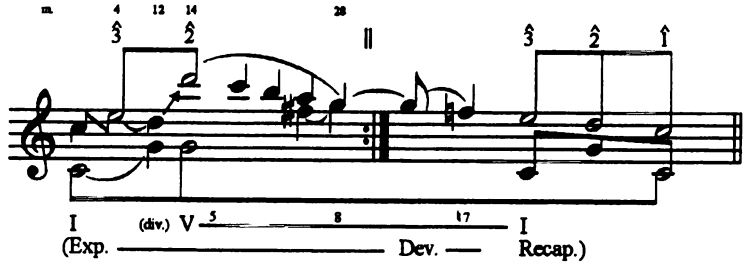
INTRODUCTION

One of the principal means of creating interest and melodic contrast in sonata form is the establishment of two distinct themes, varied in character and texture. Careful listening to the two themes, however, often leaves one with an underlying sense of similarity, for motivic relationships exist within the figuration of the music that create subtle, yet profound relationships. In his review of Ernst Oster's translation of *Der freie Satz*, Edward Laufer states that "a close, organic relationship [between the first and second themes within Sonata form]... is always to be found."[1] The comment was prompted by one of several sketches of the first movement of Mozart's piano sonata, K. 545 that Schenker had included in *Der freie Satz*–in particular, one regarding a discussion of middleground detail (Ex. 1.1). Schenker's point is the direct transfer of register of the *Urlinie*, which he reads as $\hat{3}$, as it progresses down to $\hat{2}$ in m. 14. On a more local level, he suggests that $\hat{3}$ is first established in m. 4 before falling to an inner voice d^2 over the dividing dominant (m. 12), which is then projected up an octave and is given structural status as $\hat{2}$ in the secondary thematic area. Schenker's discussion of the sketch is very brief, sharing several small paragraphs with commentary from two other pieces, before he moves on to follow his main train of thought.

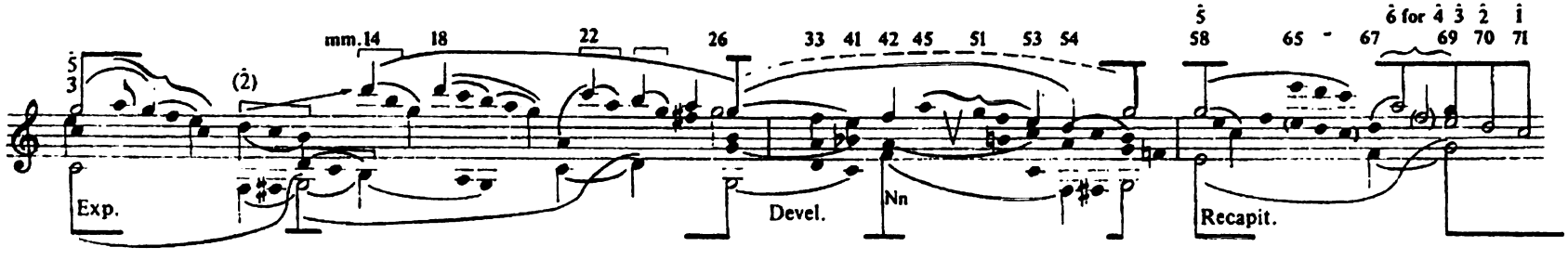
Rather than only sketching the measures under review as in his other sketches of the same piece, Schenker provided a deep-middleground sketch for the entire

[1] Laufer, Edward. Review of Heinrich Schenker, *Free Composition: Vol. III of New Musical Theories and Fantasies*. *Music Theory Spectrum*, Vol. 3. (Spring, 1981), p. 173

Example 1.1: Mozart, K. 545 (I) (Schenker)



Example 1.2: K. 545 (Laufer)



movement. Astonishingly enough, the movement's striking feature–the first theme returning in the recapitulation in the subdominant key–does not receive comment! No detail is included in his sketch, nor is any annotation or footnote provided to describe this anomaly. Instead, he notes the voice-leading as the upper voice moves from $\hat{2}$ to $\hat{4}$–composed out as a descent of a sixth, rather than an ascent of a third–all over a prolonged dominant that begins in the second tonal area and lasts until the return of the tonic (m. 59).

This omission, combined with Schenker's choice of $\hat{3}$ as the *Kopfton*, inspired Laufer to gather this particular sketch into a section of his review titled "Problematic Readings." Given above is his sketch of the movement (Ex. 1.2), in which his primary departure from Schenker's interpretation is easily seen. As detailed below, Laufer reads $\hat{5}$ as the *Kopfton*, which does not descend to $\hat{2}$ at the point of interruption, but rather is maintained through the development and into the recapitulation[2] before finally descending to $\hat{1}$ in the final measures of the movement.[3] The tone that Schenker read as $\hat{2}$ of the fundamental line comes instead from the chordal third of the tonic harmony, and is thus read as an inner voice.

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[2] Laufer is admittedly recalling Oster's well-known footnote, which describes a second order of interruption, one that takes place in an inner voice while the principal voice persists on $\hat{5}$.

[3] Twenty years after publishing his review, Laufer revisited K. 545 and slightly altered his interpretation, reading $\hat{5}$ to maintain perpetually throughout the movement with no "[descent] at all in the sense of a fundamental line." (see appendix to Gordon Sly's "Schubert's Innovations in Sonata Form: Compositional Logic and Structural Interpretation," *Journal of Music Theory*, vol. 45, no.1. (Spring 2001), pp. 119-150). He defended this reading by stating:

> This particular movement closes with an auxiliary cadence (starting in m. 59). One idea behind Schenker's concept of the auxiliary cadence concerns withholding the arrival of the main chord until the end of the progression (here, m. 71). Thus, I at m. 59 is evaded–it's being withheld paradoxically lending the movement a further sense of conciseness, as the pace of the movement is thereby not held back or drawn out by presenting the I both at mm. 59 and 71. Since the auxiliary cadence is not a *background* procedure, there is no *background* support for the descent of a fundamental line. Thus, one should speak here not of a fundamental line, but rather of a descending *5th-progression*, in the middleground, with the g^2, the top note of the 5th, remaining.

In regard to the reading of the form, Laufer reasserts Schenker's general plan,[4] showing the recapitulation beginning at m. 58 with the return of the original tonic. Given that Schenker's theory of sonata form was based entirely around the divided voice-leading structure, and that the recapitulation was seen essentially as the recommencing of the fundamental line, by definition the recapitulation would arrive simultaneously with the return of the tonic key. Theoretically, as long as both themes expressed the same voice-leading descent, either would suffice to reestablish the *Kopfton*.[5]

* * *

Returning again to Laufer's conclusion quoted at the opening of the article, it is cited here in its entirety:

> The "real" recapitulation (mm 58 ff) might have started with the first theme, as in a "normal" sonata movement. But the second subject which occurs instead is really another version of the first, as is obvious. That the first and second subjects should be intimately related in such a way is perhaps not recognized in traditional theory; and yet a close, organic relationship I am sure is always to be found. Often, such an organic correspondence makes itself known more clearly in a recapitulation: just to reveal such secrets![6]

A study of the structural levels quickly provides insight into his statement that the first theme is "really another version of the second," especially when taking into account his comment about secrets revealed in the recapitulation. First, consider the motive of mm. 1-2. The opening melody arpeggiates up the tonic triad before falling down to neighbor-note b^1 and then returning to c^2 (Ex. 1.3). This very same motive,

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[4] Laufer's choice of $\hat{5}$ as *Kopfton* prompted him to read F Major as a harmonized neighbor note, belonging to a prolongation of the dominant harmony, rather than the seventh of dominant harmony, which better suited Schenker's choice.

[5] Though in this particular work, since $\hat{5}$ does not descend at the interruption, it is an inner voice that regains the third of tonic harmony.

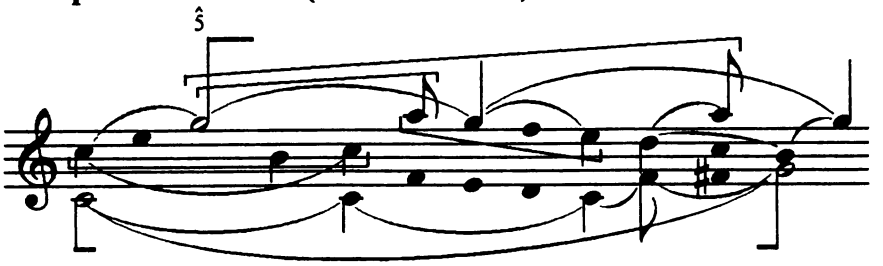
[6] Laufer, Review of *Free Composition*, p. 173.

though being somewhat disguised by inversion and repetition, opens the second theme as well (Ex. 1.4). To begin, the motive descends the g major triad and then falls to lower-neighbor $f\sharp^2$ twice before returning to g^2 at the start of the sequential passage. Furthermore, the opening fifth is composed out in the form of a long, falling-fifth sequence that controls a large portion of the theme. Second, as Examples 1.3 shows, an important motivic figure of the first theme is the g- a dyad that prolongs $\hat{5}$, first locally in m. 3 over a neighboring $\frac{6}{4}$ chord (repeated in augmentation in m. 5), and then again on a middleground level as the harmony moves to a ii^6 chord (m. 9). Notice how the second theme incorporates this neighbor-note figure, first on a local level at the start of the sequence (m. 63), and then on a deeper level as the harmony again moves through a ii^6 chord (m. 67). Also, observe Laufer's notation in Example 1.4 "$\hat{6}$ for $\hat{4}$." He is describing the abrupt leap in mm. 67-68 up to a^2 which resolves locally to the g^2 of the following measure. His reading suggests that $\hat{6}$ is standing in the place of $\hat{4}$, much the same way that $\hat{7}$ often substitutes for $\hat{2}$. I suggest that in doing so, Mozart is once again recalling the neighbor-note motivic figure as a final statement in the closing measures of the movement.

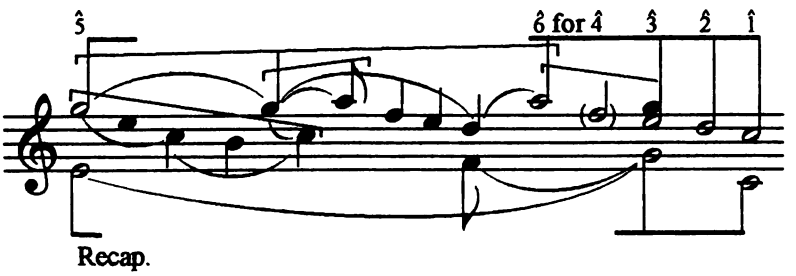
* * *

For Laufer to refer to his conclusion that "the second subject which occurs instead is really another version of the first, as is obvious" as "*perhaps* not recognized in traditional theory" is understated. Many would focus on the marked contrast between the first and the second themes as one of the driving forces of sonata form. Certainly, contrasting themes exist as one of the form's most recognizable aspects.

Example 1.3: mm. 1-11 (based on Laufer)



Example 1.4: mm. 59-71 (based on Laufer)



That the second theme is simply "another version of the first," "organically related" in some fundamental way is glaringly counter-intuitive without some systematic process (i.e. Schenkerian analysis) capable of identifying and separating out motivic elements on various levels.

Having provided the context for Laufer's conclusion, I plan to explore further the validity of his sweeping statement regarding the underlying relationships between sonata themes. It is not my intention to provide an exhaustive defense. Rather, I will provide Schenkerian sketches and annotations of selected, well-known sonatas to show how motivic parallelisms– sometimes clear, but more often hidden on various levels– demonstrate remarkable organic relationships between aurally contrasting themes. The selections will be limited to the piano literature of by Beethoven, Mozart, and Schubert, and will be ordered by composer and published date, in an effort to provide a simple, yet logical progression through the material.

ANALYSES

Beethoven Op. 10, No. 1 (I)

To begin this study, we turn first to the opening movement of Beethoven's Piano Sonata Op. 10, I. I read the primary tone to be $\hat{5}$, specifically the g^2 in m. 9 (Ex. 2.1). The primary tone is reached through ascending, step-wise motion from $e\flat^3$ of m. 2 and through f^3 in m. 6. I hear the first theme as a composing out of $\hat{5}$, with a fifth progression to closure on c^1 in m. 22. The *Kopfton*, however, is prolonged into the measures of the second theme, where it eventually descends from $\hat{5}$ through $\hat{4}$ to $\hat{3}$ (Ex. 2.2).[7]

One interesting point of comparison is the harmonic rhythm first found in the primary theme. Notice the harmonic support as the *Kopfton* is approached (mm. 1-8). As the upper-voice moves $e\flat^2$- f^2- g^2, the bass moves in parallel tenths (Ex. 2.3). This supports the upward continuation of the f^2 (the seventh of dominant harmony) so that $\hat{5}$ can be attained. Now consider the opening eight measures of the second theme. Observe how the harmonic rhythm is nearly identical, with the first four measures moving from I – V $\frac{4}{3}$, while the second four continue the dominant harmony, before resolving back to the local tonic. In this case, however, the principal tone is already present, prompting a change of inversion down to the leading tone, forcing the $a\flat$ (again, the seventh of the dominant) to resolve down to the g^2, creating an upper-neighbor, rather than an ascending passing tone.

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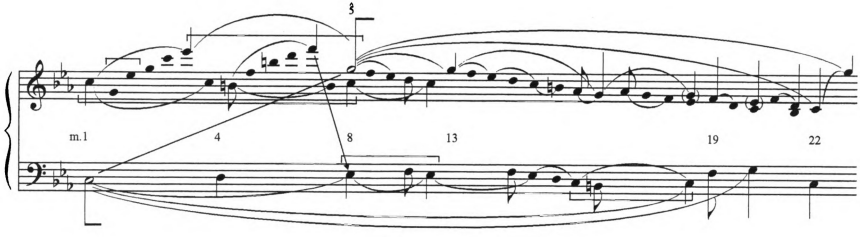
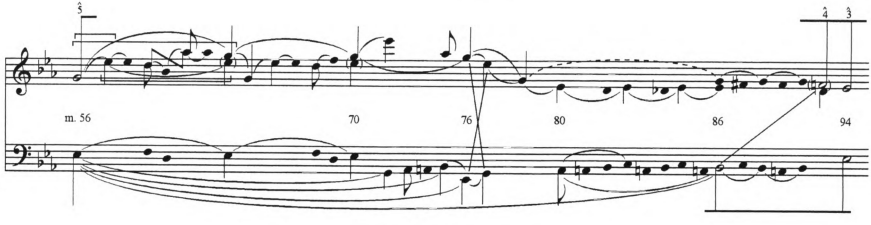
[7] Acting locally as $\hat{3}$ - $\hat{2}$ - $\hat{1}$ in the key of the mediant.

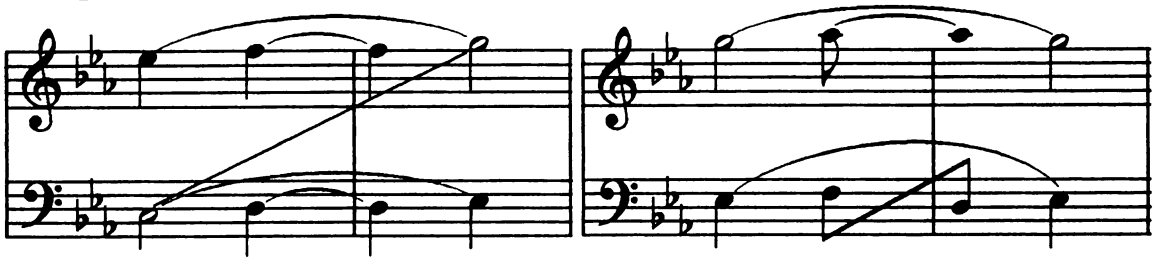
Example 2.1: Beethoven, Op. 10, 1- mm. 1-22



Example 2.2: mm. 56-94



Example 2.3: Harmonic rhythm mm. 1-8, 56-64



An important motivic interval in the first theme is the neighbor figure, first seen in the alto voice through mm. 1-8 (see bracket, Ex. 2.1). This motive is prevalent within the first theme. Two specific examples can be seen in the bass voice–with the motion e♭- f- e♭, and then inverted as c- b♮- c–but since the first 18 measures are a lengthy prolongation of the tonic, nearly every voice in almost every measure exhibits this idea. Similar voice-leading takes place within the second theme. Observe how the principal tone is bordered by its upper-neighbor $a♭^2$, while the $e♭^2$ in the alto voice moves to its lower-neighbor d^2 and back. Even more striking is the use of suspension to delay movement into and out of the neighbor tone, exactly as seen in mm. 4 and 8. This motivic cell is later used to prolong the cadential $\frac{6}{4}$ of m. 86. Notice the bass motion from b♭ up to c, and then falling to its lower-neighbor a♮ before returning again to b♭.

Another underlying relationship the second theme shares with the first is the highlighting of the tones g and e♭, almost always composed out as an ascending leap of a sixth. This can first be seen in m. 1, with the opening leap from g^1 to $e♭^2$. This same intervallic leap returns in the opening measures of the second theme (m. 55-56), and then again mm. 63-65, 70-71, 76-78 and m. 79. On a deeper level, the first theme highlights the initial ascent to the primary tone g^2 by a motion from e♭.

Conversely, the second theme shows the descent from $\hat{5}$ to $\hat{3}$, composing out the opening motive as a descending third, rather than an ascending sixth.

Beethoven Op. 31, No. 3 (I)

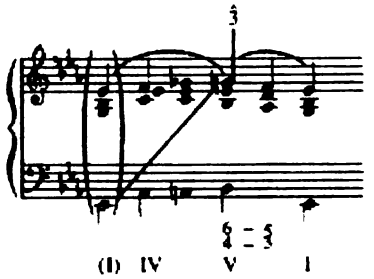
The other Beethoven sonata in this study is the third piece of the Op. 31 collection. This particular sonata presents some difficulty initially in selecting the primary tone of the movement. In an article that addresses this piece, Roger Kamien names the g^1 of m. 6 as the primary tone, supported by dominant harmony (resulting in a cadential $\frac{6}{4}$). He defends his analysis by stating:

> ...The $\frac{6}{4}$ chord [of m. 6] poses a serious problem for the Schenkerian analyst. What is the structural significance of the g^1 in the top voice of m. 6? On the one hand, it seems unlikely that this g^1 is heard merely as an appoggiatura resolving to the f^1 of the V chord of m. 7. Yet how can we hear it as a tonic prolongation if there is no preceding tonic chord?[8]

He goes on to suggest that the g^1 is indeed $\hat{3}$, the point of departure for the movement, describing the prolongation occurring as the composing out an implied tonic chord that precedes the opening notes (Ex. 3.1). He cites as supporting evidence two features of the music. First, he notes that mm. 10-17 repeat the opening eight measures. In this case, the supertonic harmony analogous to m. 1 is indeed preceded by a tonic chord (m. 8). Second, he points to a related portion in the final measures of the exposition, as e♭ harmony is momentarily expressed to navigate back to the unique opening measures.

[8] Kamien, Roger. *Non-Tonic Settings of the Primary Tone in Beethoven Piano Sonatas, Journal of Musicology*, Vol. 16, No. 3 New Perspectives on Beethoven Sources and Style. (Summer, 1998), p. 388.

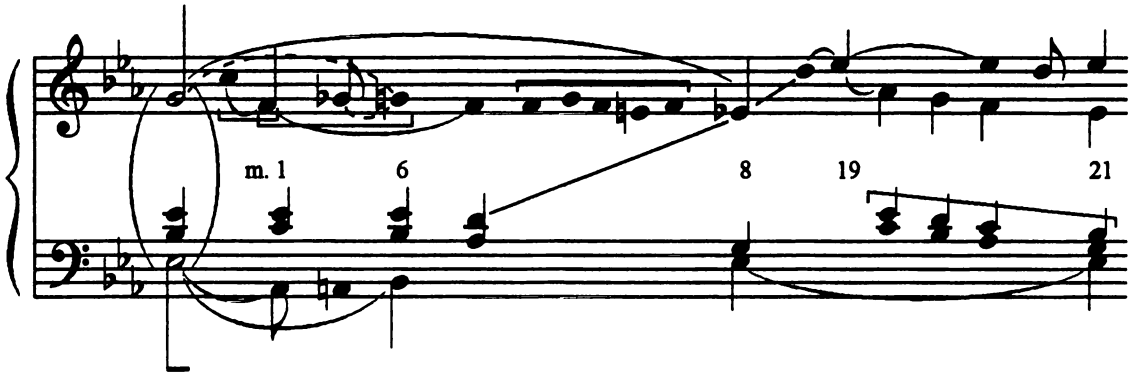
Example 3.1: Op. 31, No. 3- mm. 1-8 (Kamien)[9]



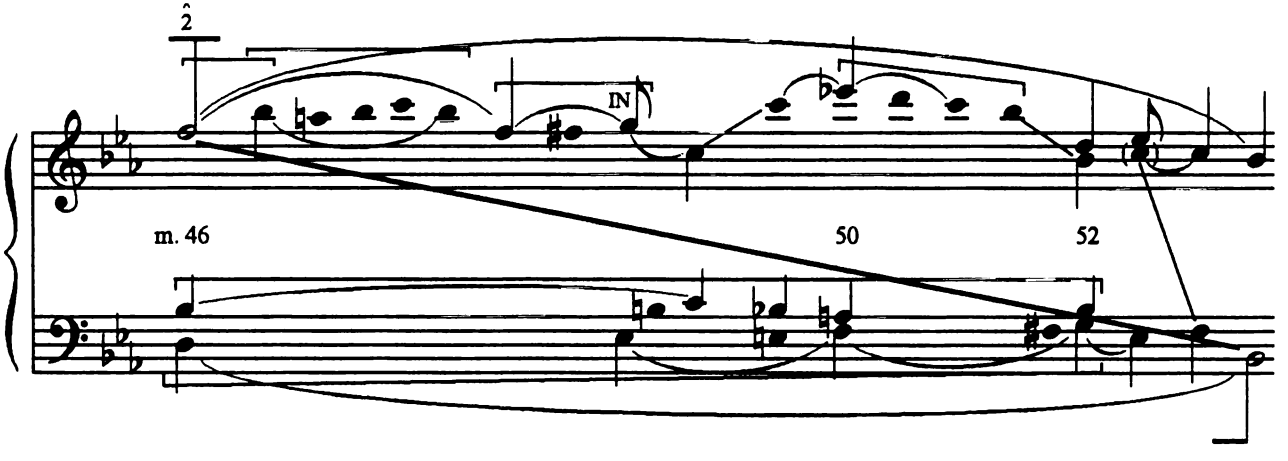
A careful study of the first and second themes reveals several motivic elements that pervade both structure and figuration. Observe how the f^1 of mm. 1-3 moves to its upper chromatic-neighbor $g\flat^1$ before being modally corrected above the cadential $\frac{6}{4}$. This chromatic idea is recomposed in the second theme in m. 47-48 Notice how the neighbor-note g^2 is approached chromatically from $\hat{2}$ (now spelled enharmonically as an $f\sharp$ rather than a $g\flat$, see Ex. 3.2). The chromatic passing tone is further developed in the primary theme, starting with the scalar passage of m. 9 and then again with the chromatic dyad $b\natural^1$- c^2 of m. 11. The eight measure extension (mm. 18-25) continues to explore this motive with the grace note lower-neighbor to $e\flat^2$. Finally, looking again at the second theme, notice how the bass voice also picks

[9] While I agree that g is in fact the primary tone of the movement, I differ in my reading of the opening few bars. Kamien considers the $g\flat^1$ of m. 5 to be a chromatic passing tone, leading from the f^1 of mm. 1-3 to the g^1 of m. 6. This reading is problematic, as the contrapuntal goal of the $g\flat^1$ *must* be f^1 supported by dominant harmony, which is then achieved in the following measure. The $g\natural$ that occurs as part of the cadential $\frac{6}{4}$ is merely a modal correction, a necessary feature of the key signature, and *not* the goal of motion of mm. 1-5. I interpret the primary tone to be $\hat{3}$ as well, but given as a part of the implied tonic harmony he describes (see Ex. 3.2). The f^1 of mm. 1-3 is part of a *descending* 3rd progression that controls the primary theme. The $g\flat$ of mm. 4-5 acts as an upper neighbor, prolonging the f and delaying its descent to the $e\flat$ of m. 8. The $g\natural$ of m. 6 is not a structural tone at all, but does serve to "remind" the listener the *Kopfton* implied from very the beginning.

Example 3.2: Beethoven, Op. 31, 3- mm. 1-25 (from Kamien, adapted for motivic detail)



Example 3.3: mm. 46-53



up the chromatic idea, moving through e♮ to f, and then from f♯ to g (again, enharmonic to the mm. 1-6).[10]

Two additional underlying relationships can be seen with the pick-up and opening notes of the second theme (m. 46). First, the opening descending 5th interval from m. 1 is inverted and used as an ascending 4th to open the second theme, leaping from $\hat{2}$ to a cover tone $b\flat^2$. Second, the neighbor-note figure $b\flat^2$- $a\natural^2$- $b\flat^2$- c^3- $b\flat^2$ is an arrhythmic transposition of the turn found in m. 7 (f^1- g^1- f^1- $e\natural^1$- f^1). Beethoven expands the figure and places it in an inner voice that spans the majority of the theme (see tenor voice, Ex. 3.3).

One final motivic connection between the two themes can be found again in mm. 18-25, starting with the descending fourth motive $e\flat^1$- d^1- c- $b\flat$ (emphasized by yet another chromatic passing tone, immediate repetition, and parallel motion in other voices). This cell is also found in the hidden within the second theme. Notice first that the melodic climax of the phrase leaps unexpectedly up to $e\flat^3$ (m. 50), and then descends a fourth to $b\flat^2$. This is then duplicated in an inner voice one measure later, as the seventh of the dominant chord ($e\flat^1$) is reached, descends through d^1 as a deceptive progression, moving to c^1 first over predominant harmony before progressing to the structural dominant of the phrase, and then finally to $b\flat$ with the resolution to the local tonic tonic. On a deeper level, notice the movement of the bass voice from the start of the phrase (m. 46) up to the submediant chord (m. 52). Inverted and transposed, this same fourth motive mirrors the pace of the turn figure motive in the tenor voice mentioned above (see Ex. 3.3).

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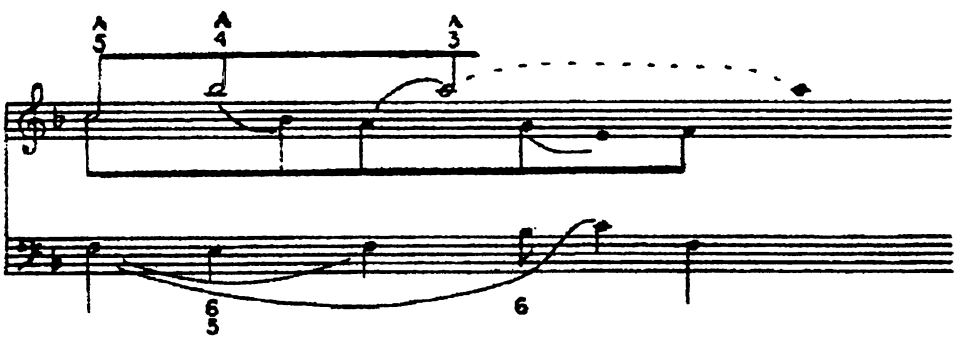
[10] Kamien concerns himself with this chromatic motive in his article as well (pp.390-92), detailing many of the same points.

Mozart, K. 280 (I)

Turning now to Mozart, we will look first with the first movement of K. 280. David Beach–in an article regarding III♯ as the goal of motion for the development[11]–described some of the design and motivic content of the first theme of this piano sonata. Structurally, he marks the c^2 of m. 1 as the *Kopfton*. The opening eight measures of the first theme has the *Urlinie* begin its descent, moving through $\hat{4}$ and arriving at $\hat{3}$ in m. 8. While local closure to $\hat{1}$ occurs in mm. 12-13, $\hat{3}$ remains in control through the end of the first theme and the transition that follows (Ex. 4.1).

Example 4.1: Mozart, K. 280- mm. 1-13 (Beach)



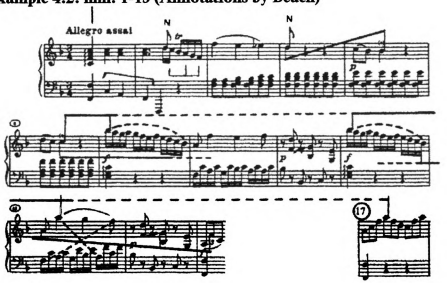
Beach notes that an important motivic event of the first theme, both in design and structure, is the outline the tonic triad.

> The descending arpeggiation of the tonic triad is a fundamental motivic component of this movement. As shown in Example [4.2], it occurs twice in the opening two measures, first in the bass and then embellished immediately afterward in the treble. The descent of a fifth and its subdivision into thirds is articulated in a different way over the span of the entire first theme. Following the initial prolongation of the c^2 by the neighboring motion of mm. 4-5, the line is split into two registers. The lower register completes the descent of a fifth to f^1 in m. 13. However, in the upper register the line moves only as far as a^2 (m.

[11] Beach, David. *A Recurring Pattern in Mozart's "Music". Journal of Music Theory*, Vol. 27, No. 1. (Spring, 1983), pp. 1-29.

11), which is picked up later in the transition (m. 17), as indicated in Example [4.2].[12]

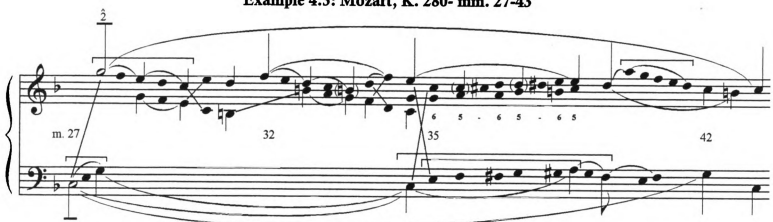
Example 4.2: mm. 1-13 (Annotations by Beach)



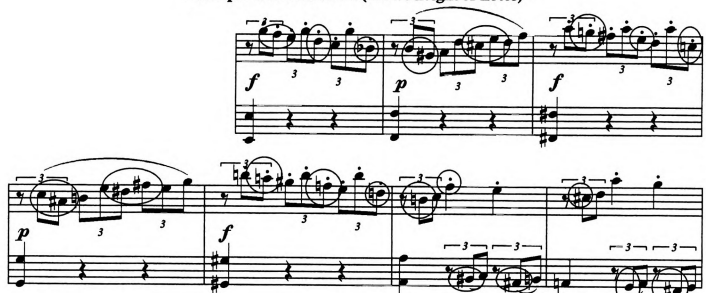
This triadic motive, both as a descending fifth progression subdivided into thirds and as a simple arpeggio, plays an important role in the composition in the second theme as well. Measure 27 starts the secondary theme with the statement of a c major triad, now acting as the local tonic. This is then answered by the g major arpeggio four measures later. In the top voice, $\hat{2}$ is established and prolonged by a descending outline of a c major triad (see first bracket, Ex. 4.3). This is in turn answered in mm. 32-34 by a second arpeggio, outlining the local dominant, with the f^2 as an added seventh (Ex. 4.3). On a deeper level, these two fifth progressions are prolongations of a larger descent, as the upper-voice has moved the first two steps (from g^2 to f^2) in the descending fifth progression that guides the entire phrase. In addition, this fifth descent (acting as a local $\hat{5}$ to $\hat{1}$ in the key of the dominant)

[12] Beach, p. 5.

Example 4.3: Mozart, K. 280- mm. 27-43



Example 4.4: mm. 35-41 (shows neighbor notes)



emphasizes the subdivision at the third (m. 35), much in the same way the first theme did. In a similar manner, the bass voice is guided by descending fifth motion. Observe how, on a deep-middleground level, the local tonic is prolonged through the first eight measures of the theme. The chromatic material of mm. 35-39 (which will be discussed below) highlights the movement between the tonic of m. 34 to the submediant chord of m. 40. The a in the bass of the submediant chord then acts as a divider between the c of the tonic and the f of the supertonic chord of m. 41, outlining yet another arpeggiated fifth.

One last section worth considering in regard to our topic is the chromatic portion that occurs in the middle of the second theme (mm. 36-39). The primary motivic idea that this segment shares with the opening melody is the neighbor motion highlighted in Example 4.2. Observe now in Example 4.4 the circled notes of mm. 35-41. Each represents an upper or lower chromatic neighbor to a chordal tone, disguising the otherwise diatonic ascending 5-6 sequence.

Mozart, K. 283 (I)

Next in this study's choice of Mozart sonatas is the first movement of K. 283. Beach, in a second article–regarding $\hat{3}$ supported by the cadential $\frac{6}{4}^{13}$– reads the principal voice to begin on the d^2 of m.1 (Ex. 5.1)[14]. The following four measures contain a descending third–which Beach describes as the "main melodic motion of the opening phrase"–as $\hat{5}$ moves locally to inner voice b^1. The *Kopfton* is regained

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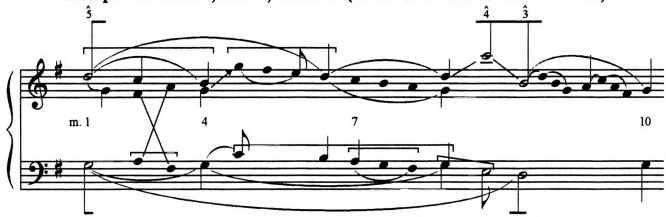
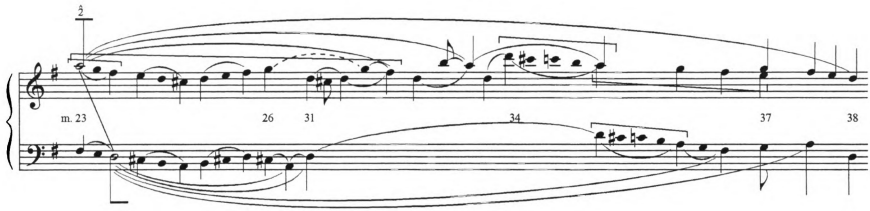
[13] Beach, David. *The Cadential $\frac{6}{4}$ as Support for $\hat{3}$ of the Fundamental Line. Journal of Music Theory*, Vol. 34, No. 1. (Spring, 1990), pp. 81-99.

[14] The sketch is essentially Beach's, rewritten for notational consistency and to add the brackets.

Example 5.1: Mozart, K. 283, mm. 1-16 (Beach- re-written for motivic detail)



Example 5.2: mm. 23-38



through a reaching-over motion to g^2 that moves stepwise back down to $\hat{5}$. The *Urlinie* then descends, moving through $\hat{4}$ to $\hat{3}$ over a cadential $\frac{6}{4}$. The motion is completed locally, with another third descent closing on g^1 to end the phrase.[15] I read $\hat{3}$ to remain in place, finally moving to $\hat{2}$ at the beginning of the second theme (m. 23). This in turn is prolonged throughout the second theme, being composed out by another descending fifth progression. On a deep-middleground level, the bass motion moves from a root position tonic chord in m. 23 to its first inversion in m. 36–composed out as a descending sixth, rather than an ascending third (discussed in further detail below)–before moving to closure in m. 38.

As Beach mentions, the opening third progression is indeed an important motivic cell, which bears influence not only in the first theme, but also in the second. As already noted, the motive controls the voice-leading of the first four measures. Closer to the foreground, I read the bass figure at m. 7 and mm. 2-3 and 8 to be influenced by this descending third motive (see brackets, Ex. 5.1). The second theme begins in a manner similar to the first, though thoroughly disguised by motion into an inner voice. The local $\hat{5}$ (a^2) is prolonged to m. 30, where it descends to g^2 over local dominant harmony. The voice is momentarily abandoned for an inner voice, to be immediately regained by leap (see dotted slur, Ex. 5.2), at last resolving to f^2, completing the third progression (see bracket, Ex. 5.2). On a more local level, observe how the melody (and the bass line that mirrors it) is grouped in small units of third progressions, further developing this motive.

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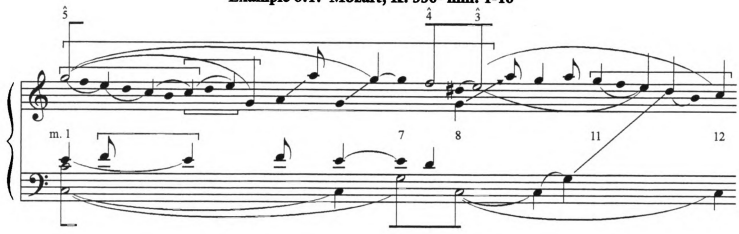
[15] Beach's article related specifically to the cadential $\frac{6}{4}$ and looked at only the first theme, therefore his sketch shows complete closure on $\hat{1}$ in m. 10 and does not involve the remainder of the movement.

To point out a second underlying relationship between the first and second themes, let us return to the reaching-over motion found in m. 5. This descending fourth from g^2 to d^2 becomes an influential motivic event. The first such parallelism is found in the tenor voice, mm. 5-8. Observe how the descent from c^1 to g becomes the prolongational agent to extend the tonic harmony. Looking to the second theme, observe the reaching-over motion up to the d^3 of m. 33. In the same manner as before (now modified with chromatic passing tones), the principal voice is reached by the descending fourth motive. This motive is then answered by another fourth descent, this time moving from the principal voice to an inner voice e^2. Finally, an interesting effect is created by conjoining the two primary motives. Observe in m. 34 the bass voice echoing the chromatic fourth descent just mentioned, moving from d^1 to a. This is then answered by the third motive, from a to $f^{\sharp}$. The effect of such a motion is to move the bass from a root position tonic chord to its first inversion, by manner of descending sixth, rather than ascending third, utilizing both motivic cells.

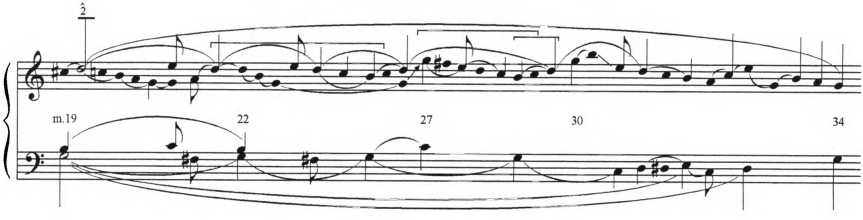
Mozart, K. 330 (I)

Next, we turn to first movement of the well-known K. 330, a sonata form rich in motivic influences and parallelisms. I read the principal line to start on $\hat{5}$, specifically with g^2 immediately in m. 1 (Ex. 6.1). The *Kopfton* is held over a tonic prolongation that lasts until m. 7, where the line descends to $\hat{4}$ and $\hat{3}$ over an imperfect cadence in m. 8. $\hat{3}$ is then composed out for the remaining of the phrase through local closure to the tonic in m. 12, and then again in mm.14 and 16. I then

Example 6.1: Mozart, K. 330- mm. 1-16



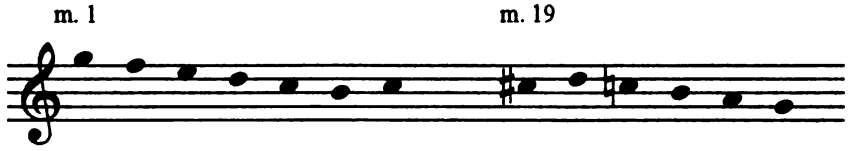
Example 6.2: mm. 19-34



read a descent to $\hat{2}$ with the start of the second theme, itself composed out by a fifth progression in the key of the dominant (Ex. 6.2).

A comparison of the two themes, even on a foreground level, reveals several motivic relationships. For instance, on the most basic level, consider the noticeable similarity between the opening motives of both themes. Both start with a descending 5th idea, outlining the tonic (and local tonic) triads. Notice the motive as seen in m. 1, observing how the b^1 acts as a neighbor-note to highlight the movement to c^2 (Ex. 6.3). The opening motivic idea to the second theme is also incorporates the neighbor-note, now a $c\sharp^2$ that accents the d^2 to start the phrase.

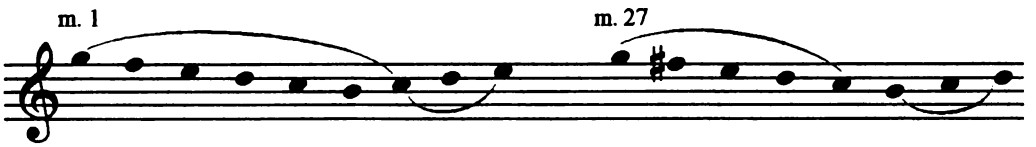
Example 6.3: Opening idea of first and second themes, reduction.



The opening motivic idea, as seen in mm. 1-2, is further elaborated within the second theme. Notice that when originally presented, the 5th motive is conjoined to a second idea, an ascending motion of a third, back up to the e^2 (Ex. 6.1). These two motives are then brought into the second theme in mm. 27-28 with a different harmonization (Ex. 6.2). Observe how the motive descends a fifth, and begins to move down to the lower neighbor b^1, as seen in the first theme. Now rhythmically accented, what was an incidental neighbor tone is now given chordal status and is supported by g-major harmony, while the c^2 that follows is now non-chordal, acting as a passing tone between the b^1 and its upper third (Ex. 6.4). The result is a recomposition of the two motives, slightly altered to better represent the change of

key. To a lesser extent, this motive can also be seen in mm. 25-26 (itself subsumed within a deeper motivic idea, detailed below) and again in 29-30. In m. 25, the harmony is different, reinterpreting the $f\sharp^2$ and d^2 as harmonic, and the g^2 and e^2 as non-chordal tones. In contrast, m. 29 begins exactly as m. 27, but breaks after reaching the b^1.

Example 6.4: Conjoining of 5th and 3rd motives.



As mentioned above, the material of mm. 25-26 is subsumed within a larger, deeper motivic idea. Note the middleground voice-leading of the first phrase. $\hat{5}$ is prolonged for the first 4 measures before moving up to its upper-neighbor a^2 over a neighboring $\frac{6}{4}$, then coming back to $\hat{5}$.[16] Now see the parallel in the second theme, as the d^2–acting as the local $\hat{5}$–moves to its upper-neighbor e^2 before returning over local dominant harmony. The neighbor-note motion is itself subsumed within a larger idea shown seen within mm. 1-8. After $\hat{5}$ moves to its upper-neighbor and back, it then continues to the cadence in mm. 8, moving down through $\hat{4}$ and progressing to $\hat{3}$. While $\hat{5}$ - $\hat{6}$ - $\hat{5}$ - $\hat{4}$ - $\hat{3}$ is a rather common progression in classical literature, an interesting feature of this piece is the parallelism found in the second theme in mm. 19-26 (Ex. 6.2). After the d^2 is prolonged with the neighbor motion described above, the voice falls through a local $\hat{4}$ to $\hat{3}$ at the cadence in mm. 25-26.

[16] This technique is emphasized by being paired with similar motion in the tenor voice, moving e^1- f^1- e^1.

Mm. 27-31 add emphasis to the motive by repeating it 3 times before finding local closure in m. 33.

Mozart, K. 333 (I)

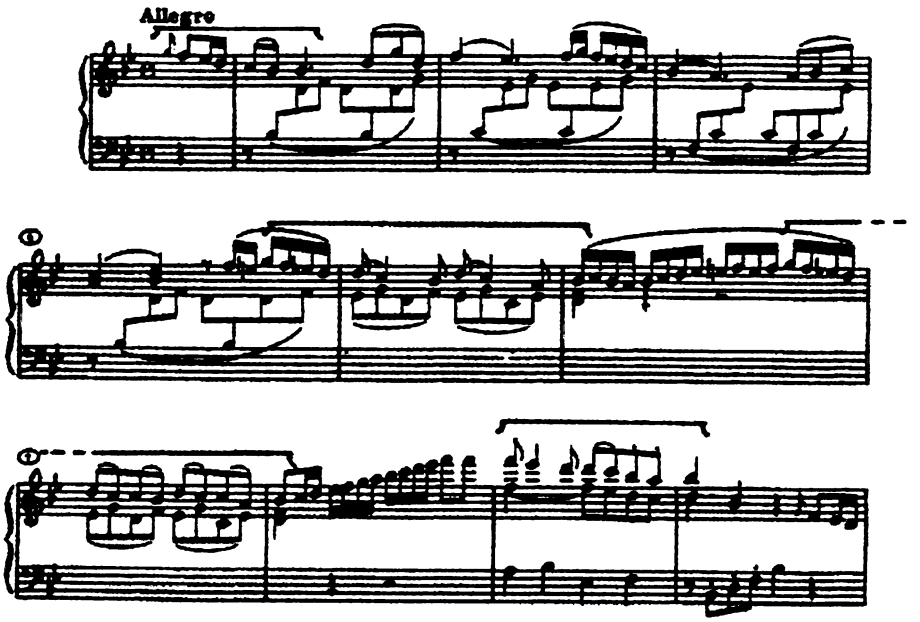
One of the most famous of Mozart's piano works, K. 333, is also well-known for its motivic parallelisms. Returning again to the *Recurring Pattern* article, Beach discusses the opening motive of K. 333.[17] He focuses again primarily on the descending fifth aspect of the motive and its influence within the piece as a whole. In regard to the first theme, he includes the first ten measures of music, with brackets highlighting repetitions of the motive (Ex. 7.1). Note that with the motivic repetitions in mm. 4-8, he is pointing out the fifth descents from f^2 to $b\flat^1$, with both an upper-neighbor (g^2) and lower-neighbor (a^1). He goes on to consider the progression as it unfolds over the entire theme (Ex. 7.2a). The initial motion descends to d^2 at m. 4, which is prolonged through repetition until m. 9. At this point, a final reiteration of the fifth motive takes place, starting with f^3, which picks up the prolonged d^2 and finally completes the closure to $b\flat$.

In large part, Beach seems to consider the opening tone g^2 as incidental; as far as his discussion was concerned, surely it was no more than an oddity of the movement. For our discussion here, however, the opening tone g^2 plays a rather influential role, with three separate motivic cells being developed around this single note. To start, we will consider the opening idea in its entirety, descending a sixth from the g^2 neighbor-note to inner voice $b\flat^1$ (Ex. 7.2b). Notice how the initial

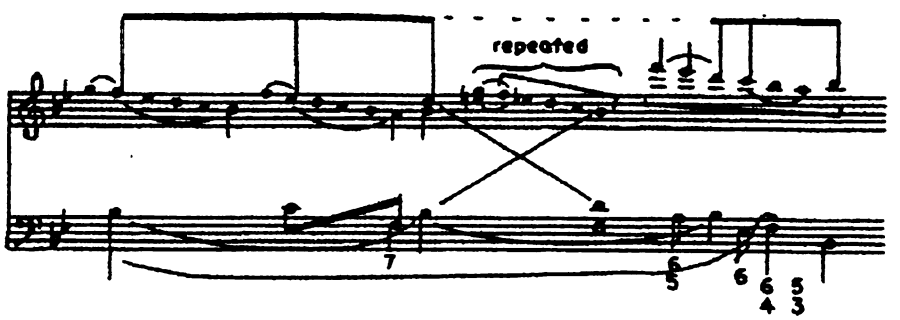
[17] Beach, David. *A Recurring Pattern in Mozart's "Music"*. P. 1-29

statement of the motive is reiterated in mm. 2-3, now descending from f^2 to a^1. The motive is then brought back twice in mm. 4-7, and then one last time, picking up the high f^3 and descending to a^2, before the theme closes in m. 10.

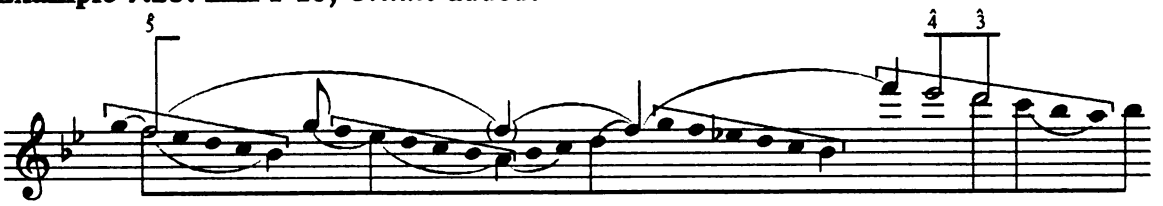
Example 7.1: Mozart, K. 333- mm 1-10 (brackets by Beach)



Example 7.2a: mm 1-10, motivic detail (Beach)



Example 7.2b: mm 1-10, *Urlinie* added.[18]

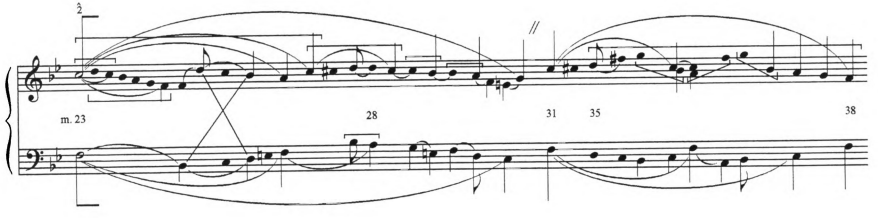


This motive plays a guiding role in the second theme as well. Consider first the opening measure of the new theme, immediately establishing $\hat{2}$ (acting again as a local $\hat{5}$), before moving to upper-neighbor d^2 and then descending a sixth to f^1 (see bracket, Ex. 7.3), outlining almost exactly the motive as initially stated. This motive appears again in the second branch, with a scalar passage that outlines the motive descending, ascending, and descending. Finally, consider the upper voice of the second branch. Notice the activity around $\hat{5}$ once the tone is regained after the interruption, first ascending to its upper-neighbor d^2 before progressing through its final descent, closing on f^1 in m. 38.

A second motivic cell that I read that is developed from the first tone of the piece comes from the upper-neighbor relationship of the g^2 to the principal tone. In the first theme, this is seen with the upper-neighbor g^2 that prolongs $\hat{5}$ for the majority of the first thematic area (Ex. 7.2b). The motion occurs immediately, as the primary tone gives way to g^2 over supertonic harmony (parallel fifths are avoided by a 5-6 motion in the upper voice), before returning to $\hat{5}$ over dominant and then tonic harmony in mm. 3-4. This figure is then repeated in diminution at the highpoints of mm. 4 and 6 as part of the descending sixth motive. In the same manner, the brief

[18] My analysis of K. 333 is influenced by a lecture I received from Gordon Sly, who pointed out the motivic similarity of the fifth descents–with $\hat{6}$ as an upper-neighbor–that started both themes and how that particular motive influenced the development section.

Example 7.3: Mozart, K. 333- mm. 23-38

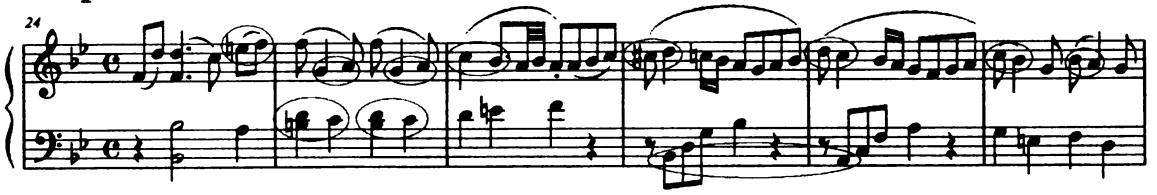


neighbor figure is depicted in the opening measure of the second theme as a part of the sixth motive as well (Ex. 7.3). On a larger scale, this motive is once again used to prolong the local $\hat{5}$, moving from c^2 to its upper-neighbor d^2 (now harmonized by subdominant harmony) and back.

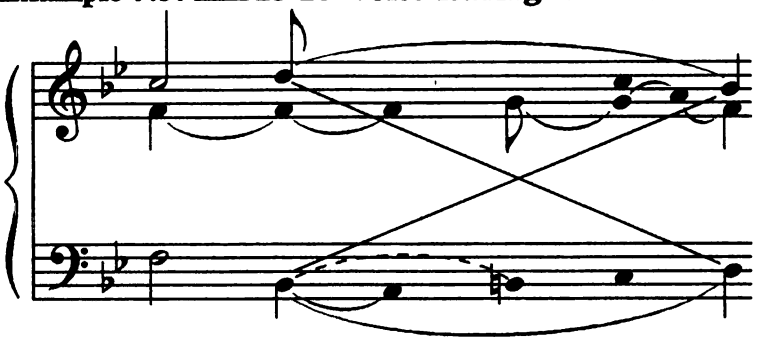
The third motivic repetition stems from the accented dissonance the g^2 represents. This is first exhibited by the accented passing tone that occurs on the first beat of m. 1, to be followed by the first beats of mm. 2-5 and later 7. This technique is used even more abundantly in the second theme, often taking the shape of a chromatic neighbor or passing tone (Ex. 7.4). Observe, even in the few measures of the theme provided below, the regularity of accented dissonance on beat one of many of the measures. Another example of accented dissonance occurs on a deeper level in mm. 27-28. When the upper voice again moves to the upper-neighbor d^2 in m. 27 (a rhythmically accented measure), the remaining voices move as well, shifting to what appears as a ii^6. This is not a harmonic progression, but rather the motion to a neighbor chord and back again. Another deeper occurrence can be found in the voice-leading in m. 25. As Example 7.5 shows, mm. 24-26 are controlled by a voice exchange between the $b\flat$ of the bass voice and the d^2 of the upper by use of a passing $\frac{6}{4}$ chord. The IV chord that is prolonged begins on m. 24 (a rhythmically weak measure) moves through the $\frac{6}{4}$ chord in the rhythmically accented measure to follow, to its first inversion at the start of m. 26. In addition, the passing $\frac{6}{4}$ chord is itself momentarily displaced by an apparent g major-minor seventh chord in the first beat of m. 25. This chord should not be perceived as part of a harmonic progression, but rather a collection of neighbor and passing tones to the passing $\frac{6}{4}$ chord (see Ex. 7.5).

Finally, the final beat of m. 24 should not be considered as a tonic harmony in root position, but rather a lower-neighbor chord to the b♭ chord of the previous beat.

Example 7.4: mm 24-29- indicates accented dissonance



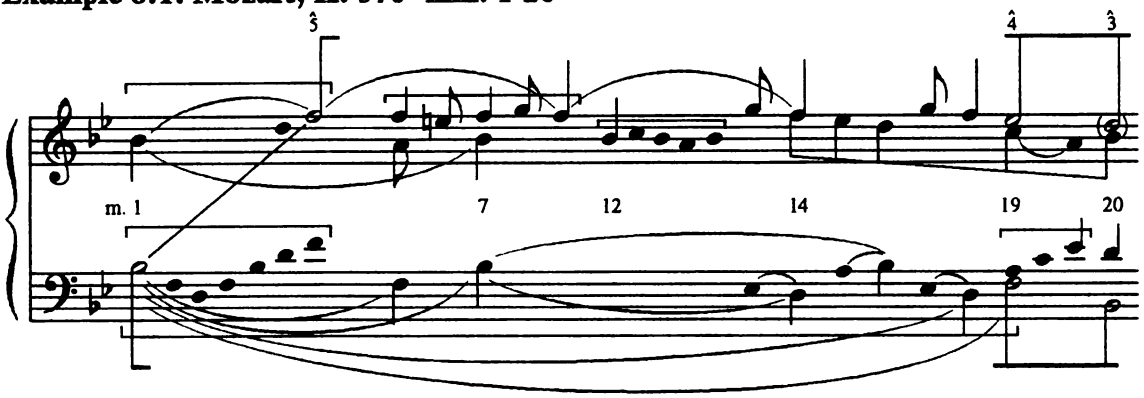
Example 7.5: mm 23-26- voice-leading reduction



Mozart, K. 570 (I)

Last in our study of Mozart sonatas comes K. 570. I read the *Kopfton* to be the f^2 attained in m. 4, achieved through an arpeggiation of the tonic. This tone is prolonged, first through a turn figure (see treble staff, second bracket, Ex. 8.1) and later through an upper-neighbor motion to g^2. The principal voice begins its descent in mm. 19-20, moving through $\hat{4}$ and landing on $\hat{3}$ at the end of the first theme. The second theme then composes out $\hat{2}$ with a fifth progression of its own.

Example 8.1: Mozart, K. 570- mm. 1-20

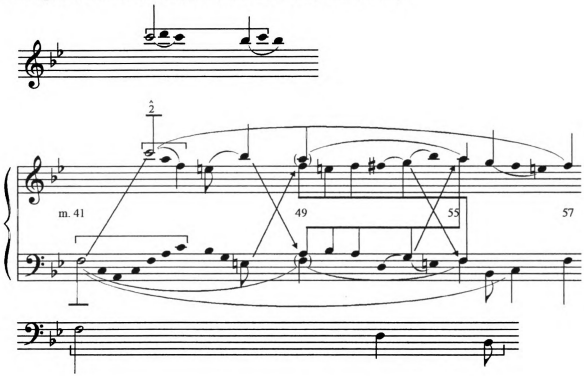


The triadic motive seen in the opening measures (see first brackets, treble and bass staffs, Ex. 8.1) has such a pervasive emphasis throughout the work that it takes on motivic significance. One example of this representation occurs with the descent from $\hat{5}$. As Example 8.1 details, the line splits into two registers in m. 14. One continues on as the principal voice, as already detailed above. The lower register descends a fifth, emphasizing a movement to d^2 over an imperfect cadence (m. 16) and then to b♭ with closure to end the phrase. The effect of this motion is to emphasize the tones f- d- b♭, which is the triadic arpeggio in retrograde.

The triadic motive is seen as a principal element within the second theme (m. 41) as well. Consider, for instance, the opening four measures of the new theme. While the bass voice reiterates exactly the motive from the first four measures of the piece, counterpoint is added in an upper-voice, which quickly descends a fifth, outlining the local tonic now in a retrograde version of the motive (Ex. 8.2). These four measures are then repeated, outlining the local dominant harmony. On a deeper level, the upper-voice is composed out by a fifth progression that is divided midway by a seven-measure prolongation of a^2, expressing the motive as c^3- a^2- f^2. Finally, the bass clef added to the sketch below. The added sketch is not a reduction

of the voice leading, but rather is provided to point out a motivic detail. Notice that the d major harmony of m. 54 divides the motion of the bass voice as it moves from an f major chord to the b♭ of the predominant harmony, providing another reiteration of the opening triadic motive in retrograde.

Example 8.2: mm. 41-57 (staves added for motivic detail)



Another underlying connection between the two themes is the turn figure expressed six times throughout mm. 12-18. This idea, disguised by changes of register, is developed and used to prolong $\hat{5}$ in mm. 5-8 (Ex. 8.1). The upper-voice that begins m. 5 on f^2 is transferred down an octave before moving to its lower neighbor e♮ and then returning to f. This procedure is then reversed, with the original register being regained before moving to the upper-neighbor (g^2) and falling back to f^2. The end result is the transposition of the turn figure of m. 12 now in

retrograde (f- e♮- f- g- f). This procedure is repeated, moving as far as f^2(-f^1)- e♮^{1}- f^1, before being interrupted by the cadence at m. 11. The regaining of the original register is delayed until m. 13 with the sudden leap up to g^2, which acts as a cover tone resolving to the f^2 of the following measure and completing the motivic statement.

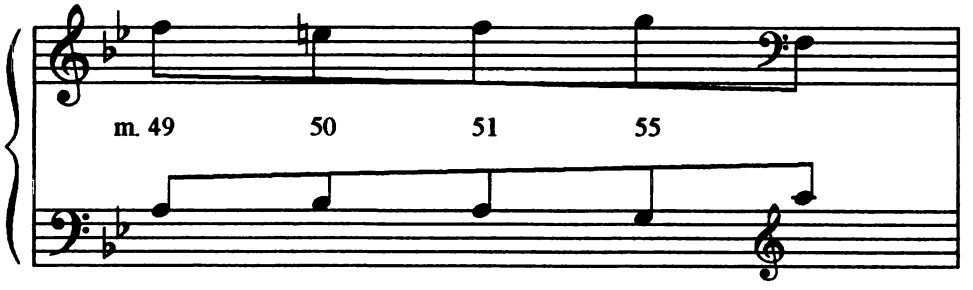
The influence of this motivic cell in the second theme can be seen in mm. 43-48, in a manner similar to mm. 5-14. Observe the treble clef added to the top of the sketch in Example 8.2. Notice how the motion in the upper line begins on c^3. This tone is repeated several times before moving to its upper-neighbor d^3 and then back, before descending to an inner voice. The top voice is regained in m. 47 on b♭^{2}, which on a deeper level is acting locally as $\hat{4}$ heading for $\hat{3}$ in the key of the dominant. However, as the sketch shows, the figure then moves back up to c^3, referring back to the turn figure motive, with a re-harmonization that alters the functions of the final tones.

A second and more complex manner in which the turn figure influences the second theme is seen with the passage from mm. 49-55. As Example 8.2 shows, the bass voice moves from the f of m. 41 through its lower-neighbor e♮ and then returning to an *implied* f in m. 49. On the surface, the e♮ is used in a voice-exchange with the b♭ from the upper voice, bringing the bass instead to an a^1, rather than the expected f. The a^1 is then prolonged in the lower register by use of the turn figure motive, moving immediately to its upper-neighbor b♭^{1} and then back to a^1,[19] and then falling to the lower-neighbor g^1. At this point, the voices exchange once again,

[19] The d major harmony of m. 54 is a foreground detail, serving to emphasize the motion to the lower-neighbor g^1

returning to their original registers. The upper-voice regains the g^2, harmonized by the V^6 chord on beat 2 of m. 55, before resolving at last to a^2 one beat later. Thus, the entire turn figure is represented here as a^1- $b\flat^1$- a^1- g^1 (g^2)- a^2 (see bass clef, Ex. 8.3) Concurrently, the upper-voice prolongs the f^2 in the same manner, moving initially to its lower-neighbor $e\natural^2$ and back, and continuing to its upper-neighbor g^2.[20] With the second voice-exchange, the g^2 is transferred the bass register, before returning at last to f to complete the motive.[21] The result is the mirrored version of the turn figure, expressed f^2- $e\natural^2$- f^2- g^2 ($e\natural$)- f.

Example 8.3: mm. 49-55- turn motives



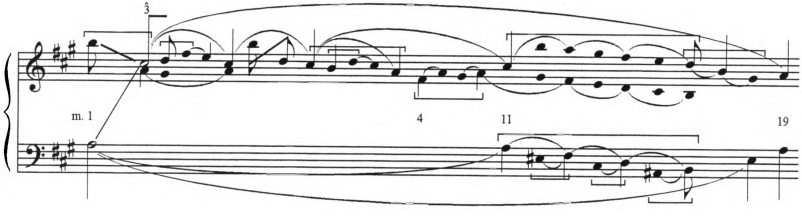
Schubert, D. 644 (III)

Last in our discussion comes the third movement of Schubert's piano sonata, D. 644. The interval of a third is a fundamental motivic aspect of this piece, on many levels. To begin with, on the deepest level, the principal voice is controlled by a third descent, as the principle voice begins with $\hat{3}$, specifically the $c\sharp^2$ of m. 1 (Ex. 9.1). This tone is prolonged over a tonic pedal, with a local descending third

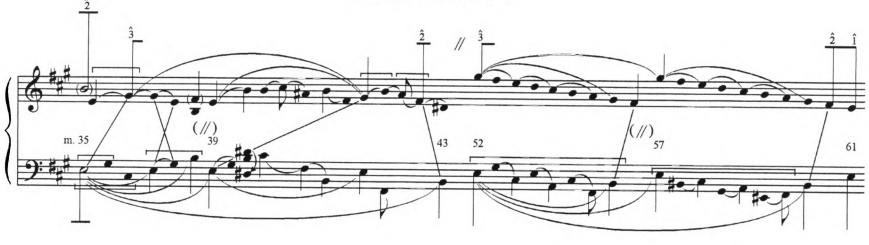
[20] The $f\sharp^2$ represents the applied dominant as mentioned in the previous footnote, accenting the motion between f^2 and g^2.

[21] The $e\natural$ substitutes for the g to provide better counterpoint.

Example 9.1: Schubert, D. 664 (III)- mm. 1-15



Example 9.2: mm. 35-61



occurring in mm. 3-4. The descending third to a^1 is then answered by an ascending third, beginning on $f\sharp^1$ and moving through $g\sharp^1$ to a^1 (mm. 4-5). The ascending third motive is then repeated up an octave, closing the first phrase of the theme. The second phrase (seven measures long, plus a four measure repeat, mm. 9-19) begins the same as the first, then continuing with a descending 5-6 sequence (mm. 11-13) that gives the first real harmonic motion of the piece. Notice how the chromatic alteration of the sequence accents a repeated third descent in the bass voice. This is accompanied by the upper-voice, which incorporates constant transfer of register to emphasize the third descent. The effect of the sequence is to move the upper-voice to an incomplete upper-neighbor d^3 (m. 14) before falling to its lower third b^2. The b^2 now acts as a local $\hat{2}$, moving to the closure of yet another descending third in the next measure. On a more local level, notice the ascending leap of a third from d^2 to $f\sharp^2$ seen first in the opening measure. This gesture returns frequently, in mm. 3, 4, 5, 7, 9, and even becomes incorporated into the sequence in mm. 11-14 and 15-17.

Before discussing the motivic content of the second theme, it bears worth to first consider its structure. The theme in its entirety (mm. 35-61) is organized as an interrupted double period, with the first branch moving to a half cadence on the second beat of m. 51 (Ex. 9.2). The first branch is further divided by a weaker half cadence at m. 43. The eight measures between mm. 43 and 51 are a varied restatement of the opening mm. 35-43. The second branch recommences with a dramatic bass entry of the theme, moving to a half cadence on beat three of m. 56 before again restarting and finally moving to closure.

In regard to the principal voice, the commencement of the second theme coincides with the movement to $\hat{2}$. However, unlike the previous works discussed, the second theme is not controlled by the descent of a local 5-line. Instead, $g\sharp^1$ acts the local primary tone, and the descent consists of yet another third progression, while the structural $\hat{2}$, b^1, is given a reduced role, almost like a background reminder of the tone actually in control. Allen Cadwallader and David Gagné describe a similar situation in their textbook on Schenkerian Analysis. In a discussion on the second theme of the Beethoven, Op. 49, No. 2, I, they explain the reasoning behind their approach.

> We mentioned that the second theme develops from $\hat{2}$ of the *Ursatz*. Why, then, do we show a local, interrupted structural line from the more local $\hat{3}$ of the dominant area? In fact a^2 remains active in the phrase, but it appears only sporadically in bars 24-46. Because of the strong ascent to $f\sharp$, both in the antecedent and in the consequent phrases, we interpret the top-voice line in this passage as leading to and from $f\sharp^2$. The structural a^2, $\hat{2}$ of the *Urlinie*, seems to "hover" in the background, occasionally sounded, but not participating in the local structure.[22]

The similarities between the first and the second theme, despite all of their aural and visual distinctions, are remarkable. Both structures are controlled long-range by the descent of a third. The motive is further developed in the second theme by an initial arpeggiation of a third up to the local primary tone. This is answered in the bass voice by a motion from root position to first inversion, and then in the opposite direction to the root of a vi chord. Furthermore, this third arpeggiation is used to divide the motion from tonic to dominant as the first half cadence is reached

[22] Cadwallader, Allen and Gagné, David. "Analysis of Tonal Music: A Schenkerian Approach." Oxford University Press, New York and Oxford, 1998. p. 318.

in m. 38. In the second main branch, a notable similarity is found, as Schubert uses yet another descending 5-6 sequence to end the theme! Though initially altered by all root position chords, the final five measures use the exact voicing as mm. 11-14, now transposed to the dominant. Additionally, consider the interval b to c♯ highlighted by the opening pick-up measure. Initially spelled as a descending seventh, the motivic influence into the two themes can be seen as an ascending second. This can be seen in bass voice during the 5-6 sequence of mm. 11-14, as it accents each repeated third descent with an ascending second (see brackets, bass staff, Ex. 9.1). In the second theme, this ascending second motive is represented by the bass motion in mm. 46-50, and then again with the 5-6 sequence of mm. 57-60.

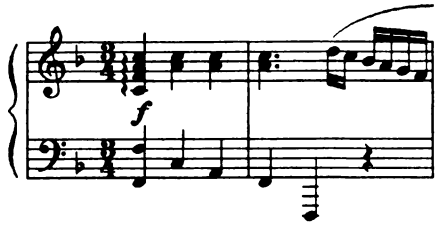
Conclusion

Regarding the first movement of Mozart's K. 545, Laufer described a relationship between the first and second theme that belied the more apparent aural contrast. In the sonata movements discussed above, we have explored this concept, seeing how motivic parallelisms are used to create strong, underlying (organic, as Schenker would have described it) relationships between the two themes. These relationships were sometimes expressed in the surface figuration (such as in a shared opening motive or arpeggiatic figure), but also within the deeper structure.

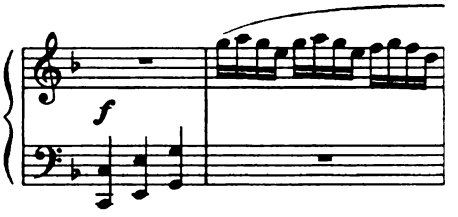
This underlying relationship as represented in our study is what prompted Laufer to claim that "the second subject which occurs [in K. 545] instead is really another version of the first." That on a structural level, the two themes were sufficiently related through motivic parallelisms that it mattered not which theme was used for recommencement, as long as the more important criteria–namely the return of the tonic harmony–was satisfied.

APPENDIX A:
Themes

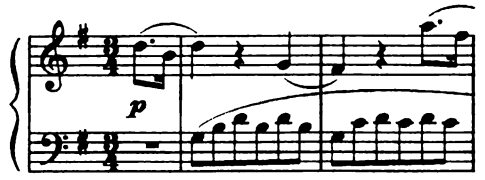
Mozart K. 280, First Theme



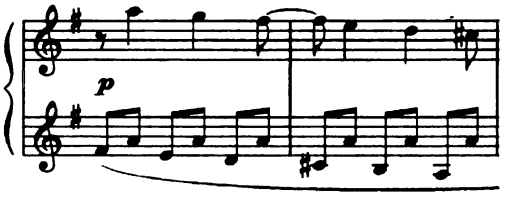
Mozart K. 280, Second Theme



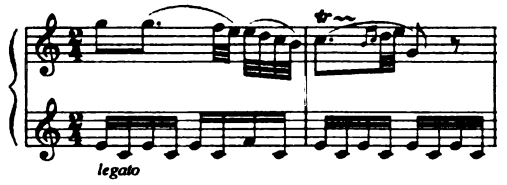
Mozart K. 283, First Theme



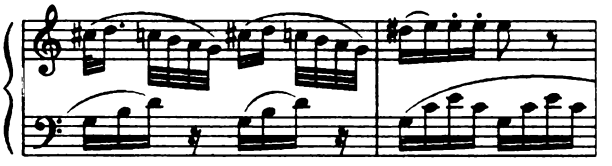
Mozart K. 283, Second Theme



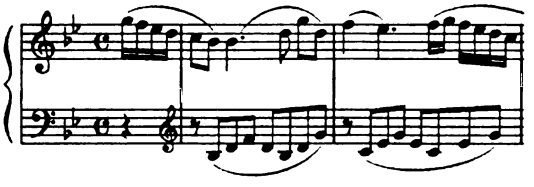
Mozart K. 330, First Theme



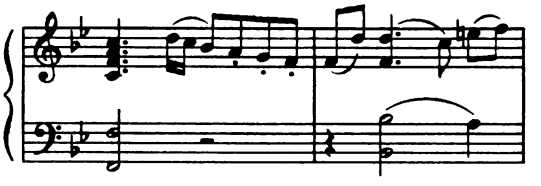
Mozart K. 330, Second Theme



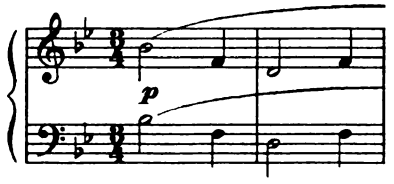
Mozart K. 333, First Theme



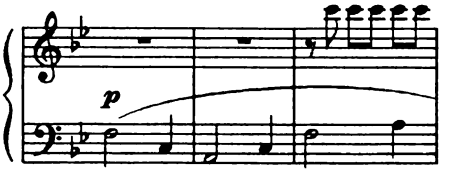
Mozart K. 333, Second Theme



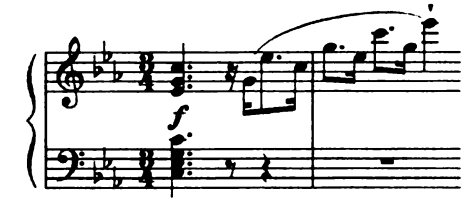
Mozart K. 570, First Theme



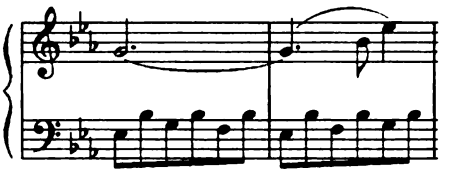
Mozart K. 570, Second Theme



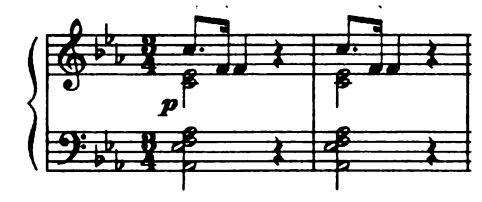
Beethoven Op. 10/1, First Theme



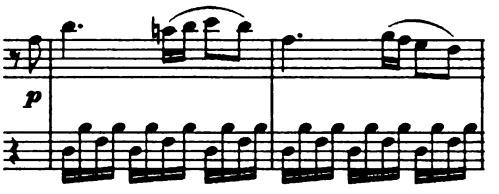
Beethoven Op. 10/1, Second Theme



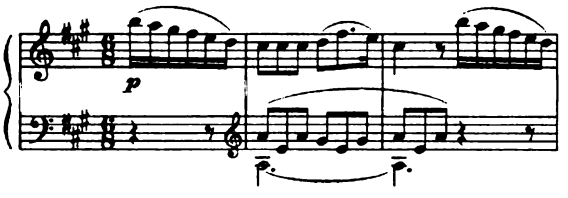
Beethoven Op. 31/3, First Theme



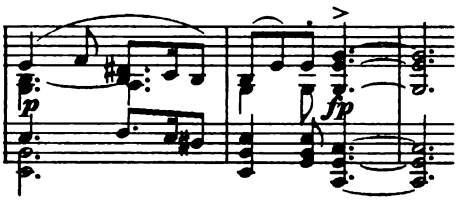
Beethoven Op. 10/1, Second Theme



Schubert D. 644, First Theme



Schubert D. 644, Second Theme



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