

RELATED GENRES? THE SYMPONIE CONCERTANTE AND THE  
MULTIPLE-INSTRUMENT CONCERTO

Presented to the Graduate Council of  
Texas State University-San Marcos  
in Partial Fulfillment  
of the Requirements

for the degree

Master of MUSIC

by

Juan C. Gutierrez, B.M.

San Marcos, TX  
December 2011

RELATED GENRES? THE SYMPHONIE CONCERTANTE AND THE  
MULTIPLE-INSTRUMENT CONCERTO

Committee Members Approved:

---

Dr. Cynthia I. Gonzales, Chair

---

Dr. Russell C. Riepe

---

Dr. John C. Schmidt

Approved:

---

J. Michael Willoughby  
Dean of the Graduate College

## **FAIR USE AND AUTHOR'S PERMISSION STATEMENT**

### **Fair Use**

This work is protected by the Copyright Laws of the United States (Public Law 94-553, section 107). Consistent with fair use as defined in the Copyright Laws, brief quotations from this material are allowed with proper acknowledgment. Use of this material for financial gain without the author's express written permission is not allowed.

### **Duplication Permission**

As the copyright holder of this work I, Juan C. Gutierrez, refuse permission to copy in excess of the "Fair Use" exemption without my written permission.

**COPYRIGHT**

by

Juan Carlos Gutierrez

2011

## **ACKNOWLEDGMENTS**

I would like to thank my family for their support these last several years (both while at The University of Texas at Arlington and Texas State University-San Marcos. Without my family, none of this could be possible. I would also like to thank the brothers of Kappa Kappa Psi at both the Delta Sigma chapter (UT-Arlington) and Theta Alpha (Texas State) for their continued encouragement. The fraternity as played a pivotal role in my life and I do not know where I would be without them. I would next like to thank my thesis committee for their knowledge in making this a stronger paper. Finally, I would like to thank my thesis advisor, Dr. Cynthia Gonzales, for her expertise and patience with me. If it was not for her, this paper would never have been completed or it would not be as good of quality.

This manuscript was submitted on November 1, 2011.

## TABLE OF CONTENTS

	Page
ACKNOWLEDGMENTS .....	v
LIST OF FIGURES .....	viii
CHAPTER	
I. INTRODUCTION.....	1
II. MULTIPLE-INSTRUMENT CONCERTO .....	4
Triple Concerto in C Major .....	8
Ritornello 1 and 3 .....	8
Solo 1 and 3, Ritornello 2 and 4 .....	19
Solo 2 (Development).....	27
Ritornello 4 .....	31
III. SYMPHONIE CONCERTANTE.....	33
Symphonie Concertante C32 in G Major .....	34
Ritornello 1 .....	34
Solo 1 and the second half of Solo 2 .....	38
Ritornello 2 and the first half of Solo 2 (Development).....	41
Ritornello 3 .....	42
Symphonie Concertante C40 in E $\flat$ Major .....	43
Ritornello 1 .....	46
Solo 1 and the second half of Solo 2 .....	47
Ritornello 2 and the first half of Solo 2 (Development).....	52
Ritornello 3 .....	53
Symphonie Concertante C41 in E $\flat$ Major .....	54
Ritornello 1 .....	54
Solo 1 and the second half of Solo 2 .....	59
Ritornello 2 and the first half of Solo 2 (Development).....	62
Ritornello 3 .....	62
IV. COMPARATIVE ANALYSIS .....	64

Symphonie Concertantes .....	64
Symphonie Concertantes and the Triple Concerto .....	72
V. CONCLUSION.....	75
BIBLIOGRAPHY.....	77

## LIST OF FIGURES

Figure	Page
1-1. Formal design of Op. 56, i, Allegro .....	6
1-2a. Formal design of Op. 56, i, exposition .....	6
1-2b. Formal design of Op. 56, i, development .....	7
1-2c. Formal design of Op. 56, i, recapitulation .....	7
1-3. Outline of Triple Concerto R1:\P, R1:\TR, and R1:\MC1 .....	8
1-4a. Triple Concerto mm. 1-5 .....	9
1-4b. Triple Concerto mm. 6-10 .....	9
1-5. Triple Concerto mm. 9-13 .....	10
1-6. Triple Concerto mm. 13-18 .....	11
1-7. Level of Defaults list .....	12
1-8. Outline of Triple Concerto R1:\P, R1:\TR, R1:\MC1, R3:\P, R3:\TR, and R3:\MC .....	13
1-9. Triple Concerto mm. 325-328 .....	14
1-10. Normal Secondary Theme Zone .....	15
1-11. Outline of Triple Concerto R1:\MC1, R1:\S, and R1:\EEC .....	16
1-12. Triple Concerto mm. 33-40 .....	17
1-13. Triple Concerto mm. 44-52 .....	17
1-14. Triple Concerto mm. 53-58 .....	18
1-15. Outline of Triple Concerto S1:\P .....	19



1-16. Outline of Triple Concerto S1:\TR, S1:\MC1, S3:\TR, and S3:\MC1 .....	21
1-17. Triple Concerto mm. 118-121 .....	22
1-18. Outline of Triple Concerto S1:\S, S1:\EEC, S3:\S, and S3:\ESC .....	24
1-19. Triple Concerto mm. 170-182 .....	25
1-20. Outline of Triple Concerto R2 and R4 <sup>1</sup> .....	27
1-21. Outline of Triple Concerto S2 .....	30
1-22. Outline of Triple Concerto R4.....	31
1-23. List of Beethoven concerti .....	32
2-1. Formal design of Symphonie Concertante C32, i, Allegro .....	35
2-2a. Formal design of Symphonie Concertante C32, i, exposition.....	36
2-2b. Formal design of Symphonie Concertante C32, i, development.....	36
2-2c. Formal design of Symphonie Concertante C32, i, recapitulation.....	37
2-3. Outline of Symphonie Concertante C32 R1:\P, R1:\TR, and R1:\MC1 .....	37
2-4. Outline of Symphonie Concertante C32 R1:\MC1, R1:\S, R1;\EEC, and R1:\C .....	38
2-5. Outline of Symphonie Concertante C32 S1:\P.....	39
2-6. Outline of Symphonie Concertante C32 S1:\TR, S1:\MC, S2:\TR, and S2:\MC.....	40
2-7. Outline of Symphonie Concertante C32 S1:\S, S1:\EEC, S2:\S, and S2:\ESC.....	41
2-8. Outline of Symphonie Concertante C32 R2.....	42
2-9. Outline of Symphonie Concertante C32 S2 and S2:\TI .....	42
2-10. Outline of Symphonie Concertante C32 R3.....	43

2-11. Formal design of Symphonie Concertante C40, i, Andante.....	44
2-12a. Formal design of Symphonie Concertante C40, i, exposition.....	45
2-12b. Formal design of Symphonie Concertante C40, i, development.....	45
2-12c. Formal design of Symphonie Concertante C40, i, recapitulation.....	46
2-13. Outline of Symphonie Concertante C40 R1:\P, R1:\TR, and R1:\MC1 .....	46
2-14. Outline of Symphonie Concertante C40 R1:\S, R1:\EEC, and R1:\C.....	47
2-15. Outline of Symphonie Concertante C40 S1:\P, S1:\TR, S1:\MC, S2:\P, S2:\TR, and S2:\MC .....	48
2-16. Outline of Symphonie Concertante C40 S1:\S, S1:\EEC, S1:\C, S2:\S, and S2:\ESC.....	51
2-17. Outline of Symphonie Concertante C40 R2.....	52
2-18. Outline of Symphonie Concertante C40 S2 and S2:\TI .....	53
2-19. Outline of Symphonie Concertante C40 R3.....	53
2-20. Formal design of Symphonie Concertante C41, i, Allegro assai .....	54
2-21a. Formal design of Symphonie Concertante C41, i, exposition.....	55
2-21b. Formal design of Symphonie Concertante C41, i, development.....	55
2-21c. Formal design of Symphonie Concertante C41, i, recapitulation.....	56
2-22. Outline of Symphonie Concertante C41 R1:\P, R1:\TR, and R1:\MC1 .....	57
2-23. Outline of Symphonie Concertante C41 R1:\S, R1:\EEC, and R1:\C.....	58
2-24. Outline of Symphonie Concertante C41 S1:\P, S1:\TR, S1:\MC1, S2:\P, S2:\TR, and S2:\MC .....	59
2-25. Outline of Symphonie Concertante C41 S1:\S, S1:\EEC, S2:\S, and S2:\ESC.....	61

2-26. Outline of Symphonie Concertante C41 R2, S2, and S2:\TI.....	62
2-27. Outline of Symphonie Concertante C41 R3 .....	63
3-1. Features common among the symphonie concertantes .....	66
3-2. No common features in symphonie concertante along with common features.....	68
3-3. A typical symphonie concertante .....	71
3-4a. Comparison between the Symphonie Concertantes and Triple Concerto (Exposition) .....	72
3-4b. Comparison between the Symphonie Concertantes and Triple Concerto (Development and Recapitulation) .....	73

## CHAPTER I

### INTRODUCTION

Writing in 1950, Alfred Einstein postulated that “the Triple Concerto, Op. 56 of Ludwig van Beethoven is one of those multiple-instrument concertos that have taken an influence from the symphonie concertante.”<sup>1</sup> As with the multiple-instrument concerto, the symphonie concertante features a group of solo instruments with an orchestral ensemble. Einstein acknowledges that the symphony concertante is “an early forerunner” of the multiple-instrument concerto without identifying specific relationships between the two genres. Of the hundreds of symphonie concertantes that were published, the fifteen by Johann Christian Bach (1735-1782) are regarded as model examples.<sup>2</sup> The primary purpose of this study is to analyze the first movements of three Johann Christian Bach symphonie concertantes and to compare them with Ludwig van Beethoven’s (1770-1827) Triple Concerto. One of the goals of this study is to identify common features between the two genres along with their distinctive attributes. This study will employ terminology developed by James Hepokoski and Warren Darcy to identify formal features and specifically will go beyond to investigate how thematic material is distributed between the orchestra and the solo instruments.

---

<sup>1</sup> Johann Christian Bach, *Sinfonia Concertante for Violin and Violoncello*, ed. Alfred Einstein (London: Ernst Eulenberg, Ltd, 1950), i.

<sup>2</sup> Karl Geiringer, *The Bach Family: Seven Generations of Creative Genius* (New York: Oxford University Press, 1954), 434.

The symphonie concertante flourished in the late 1700s in France, though it was popular beyond the French borders. The origins of the symphonie concertante can be traced from the Baroque concerto grosso and divertimento.<sup>3</sup> Barry Brook describes the symphonie concertante as “a symphonic genre for two up to nine solo instruments and orchestra, and represents a fusion of the elements from the divertimento forms (serenade, concertino, cassation), the symphony and the solo concerto.”<sup>4</sup>

Leon Plantinga recounts that the title of Beethoven’s Triple Concerto originally referenced the symphonie concertante: “An abbreviated name for the *symphonie concertante*, one seemingly confined to non-French composers, was the adjectival *concertante*. In this connection we will recall that Beethoven’s brother Carl prematurely offered Op. 56 to Breitkopf & Härtel in October 1803, calling it a ‘Konzertant für alle Instrumente für Klavier, Violonzello [*sic*] und Violin,’ and that when the composer himself (more realistically) offered it again in August 1804, it was similarly a ‘Konzertant für Violin, Violoncelle und Pianoforte mit dem ganzen Orchester.’”<sup>5</sup>

Chapter One focuses on the first movement of Ludwig van Beethoven’s Triple Concerto for Violin, Violoncello, and Piano in C Major, Op. 56 (1804-5), exploring the formal organization and distribution of thematic material within the movement.

---

<sup>3</sup> Barry S. Brook, “The Symphonie Concertante: An Interim Report,” *The Musical Quarterly* vol. 47, No. 4 (October 1961): 493.

<sup>4</sup> Barry S. Brook, “The Symphonie Concertante: Its Musical and Sociological Bases,” *International Review of the Aesthetics and Sociology of Music*, vol. 25, No. 1/2 (June-Dec. 1994): 131.

<sup>5</sup> Leon Plantinga, *Beethoven’s Concertos* (New York: W.W. Norton Company, 1999), 182.

Similarly, Chapter Two analyzes the first movement of three symphonie concertantes by Johann Christian Bach: C32 in G Major (1772), C40 in E $\flat$  Major (1770), and C41 in E $\flat$  Major (circa 1770). Joseph A. White Jr. wrote about these three symphonie concertantes for “their intrinsic musical value and variety in concerted instrumental groups.”<sup>6</sup>

Referring to the analyses in the first two chapters, Chapter Three compares the three symphonie concertantes to each other and as a group to the Triple Concerto.

---

<sup>6</sup> Joseph Addison White Jr., “The Concerted Symphonies of John Christian Bach: Volume I: Analytical Study of the First Movements Volume II: Three Symphonies in Score” (PhD diss., University of Michigan, 1957), 3.

## CHAPTER II

### MULTIPLE-INSTRUMENT CONCERTO

Shortly after 1800, Beethoven became obsessed with all things French. In fact, he planned a trip to Paris in 1801, though the trip was postponed due to finances and the Napoleonic Wars.<sup>7</sup> With Beethoven's French fixation also came a respect for Napoleon Bonaparte. Beethoven held Napoleon in such high regard that he even planned on naming his third symphony after the Frenchman; in 1804, however, Napoleon crowned himself emperor and began the conquest of Europe. As of result, Beethoven changed his mind on calling the symphony "Bonaparte." It is said that Beethoven was so angry that he went to the title page and furiously scratched out the name of the new emperor.

It was during this French fascination that Beethoven encountered ~~a French~~ the genre known as the *Symphonie Concertante*. Writing in 1950, Alfred Einstein postulated that "the Triple Concerto, Op. 56 of Ludwig van Beethoven is one of those multiple-instrument concertos that have taken an influence from the *symphonie concertante*."<sup>8</sup> As with the multiple-instrument concerto, the *symphonie concertante* features a group of solo instruments and an orchestral ensemble. Einstein acknowledges that the *symphonie concertante* is "an early forerunner" of the multiple-instrument concerto without

---

<sup>7</sup> Leon Plantiga, *Beethoven's Concertos* (New York: W.W. Norton & Company, 1999), 183.

<sup>8</sup> Johann Christian Bach, *Sinfonia Concertante for Violin and Violoncello*, ed. Alfred Einstein (London: Ernst Eulenberg, Ltd, 1950), i.

identifying specific relationships between the two genres. Leon Plantinga recounts that Beethoven almost called his Triple Concerto a symphonie concertante: “An abbreviated name for the *symphonie concertante*, one seemingly confined to non-French composers, was the adjectival *concertante*. In this connection we will recall that Beethoven’s brother Carl prematurely offered Op. 56 to Breitkopf & Härtel in October 1803, calling it a ‘Konzertant für alle Instrumente für Klavier, Violonzello [*sic*] und Violin,’ and that when the composer himself (more realistically) offered it again in August 1804, it was similarly a ‘Konzertant für Violin, Violoncelle und Pianoforte mit dem ganzen Orchester.’”<sup>9</sup>

Scored for solo violin, cello, piano, and orchestra, the Triple Concerto (Op. 56) contains three movements: Allegro, Largo, and Rondo.<sup>10</sup> This chapter will focus on the formal design of the Allegro movement shown in Figure 1-1. The shaded regions in Figure 1-1 designate the four tutti ritornellos: Ritornello 1 is the tutti portion of the exposition, Ritornello 2 concludes the exposition, Ritornello 3 begins the recapitulation, and Ritornello 4 concludes the recapitulation. The non-shaded areas are the three solo sections: Solo 1 is the solo portion of the exposition, Solo 2 is the development, and Solo 3 is the solo portion of the recapitulation. The formal design of the exposition, development, and recapitulation are shown in Figure 1-2a, Figure 1-2b, and Figure 1-2c respectively; the shaded regions in these figures designate structural cadences. The information in Figures 1-2a, 1-2b, and 1-2c contain measure numbers, module label (this

---

<sup>9</sup> Leon Plantinga, 182.

<sup>10</sup> Works such as the “Waldstein” piano sonata, op. 53, (1803) and the landmark Symphony No. 3 “Eroica,” Op. 55, (1803-04) preceded the composition and publication of the Triple Concerto; works that immediately followed include: Piano Concerto No. 4, Op. 58, (1805-06), Symphony No. 4, Op. 60, (1806), and the Violin Concerto, Op. 61, (1806).



will be explained below), and key. The Triple Concerto models concerto form;

Hepokoski and Darcy call this a Type 5 Sonata.<sup>11</sup>

Figure 1-1. Formal design of Op. 56, i, Allegro.

EXPOSITION			DEVELOPMENT	RECAPITULATION		
R1	S1	R2	S2	R3	S3	R4
1-74	75-225	225-243	243-324	325-359	359-461	462-531

Figure 1-2a. Formal design of Op. 56, i, exposition.

EXPOSITION							
RITORNELLO I (R1)							
1-10 R1:P 1.1 C MAJOR	11-12	13-33 R1:TR 1.1	33 R1:MC1	33-40 R1:TM1	41-52 R1:TM2	52 R1:MC2	53-74 R1:TM3

EXPOSITION							
R1 cont.	SOLO I (S1)						
74 R1:EEC	75-76	77-84 R1:P 1.1	85-97 S1:P 1.1	97-114 S1:P 1.2	114-17 S1:TI 1	118-25 S1:TR 1.1	125-29 S1:TR 2.1

EXPOSITION							
S1 cont.							
129-33 S1:TR 2.2	133-37 S1:TR 2.3 A MINOR	137-41 S1:TR 2.4	141-45 S1:TR 2.5	145-149 S1:TR 2.6	149-51 S1:TI 2	151 S1:MC1	151-57 S1:MC Fill A MAJOR

EXPOSITION							
S1 cont.							
157-66 R1:TM1	167-82 R1:TM2 A MINOR	182 S1:MC2	182-94 S1:TM3	194 S1:EEC	194-225 S1:DE	225-29 S1:TR 1.1 F MAJOR	229-43 R1:TM3 A MINOR

<sup>11</sup> Hepokoski and Darcy label five types of sonata form: Type 1 is a sonata without a development (mainly found in slow movements), Type 2 is a sonata a variant of the Type 3 where the recapitulation begins with TR or S Zones, Type 3 is the standard “textbook” sonata, Type 4 is the sonata-rondo, and Type 5 is the concerto.

Figure 1-2b. Formal design of Op. 56, i, development.

DEVELOPMENT					
SOLO 2 (S2)					
243-47 <b>Link</b> New Material	248-55 <b>R1:\P 1.1</b>	256-67 <b>Preparation Zone</b> <b>S1:\P 1.1</b>	268-76 <b>S1:\P 1.2</b>	277-307 <b>Central Action Zone</b> <b>New Material</b> B <sub>b</sub> MAJOR/MINOR MODULATORY C MINOR	307-24 <b>Retransition Zone</b> <b>New Material</b>
A MINOR	A MAJOR	E MAJOR	A MAJOR		C MAJOR

Figure 1-2c. Formal design of Op. 56, i, recapitulation.

RECAPITULATION					
RITORNELLO 3 (R3)				SOLO 3 (S3)	
325-34 <b>R1:\P 1.1</b> C MAJOR	335-36	337-59 <b>R1:\TR 1.1</b>	359 <b>R1:\MC</b> F MAJOR	359-63 <b>S1:\TR 1.1</b>	363-67 <b>S1:\TR 2.1</b>

RECAPITULATION					
S3 cont.					
367-71 <b>S1:\TR 2.2</b>	371-74 <b>S1:\TR 2.3</b>	374-78 <b>S1:\TR 2.4</b> C MAJOR	378-82 <b>S1:\TR 2.5</b>	382-86 <b>S1:\TR 2.6</b>	386-88 <b>S1:\TI 2</b>

RECAPITULATION					
S3 cont.					
388 <b>S3:\MC1</b>	388-94 <b>S1:\MC Fill</b>	394-403 <b>R1:\TM1</b>	404-19 <b>R1:\TM2</b>	419 <b>S3:\MC2</b>	419-31 <b>S1:\TM3</b>

RECAPITULATION					
S3 cont.		RITORNELLO 4 (R4)			
431 <b>S3:\ESC</b>	431-61 <b>S3:\DE</b>	462-67 <b>S1:\TR 1.1</b> A <sub>b</sub> MAJOR	468-70 <b>R1:\TM3</b>	470-74 <b>R1:\TM3</b> C MAJOR	475-531 <b>R4:\DE</b>

## Triple Concerto in C Major

### Ritornello 1 and 3

Figure 1-3 highlights the Primary Theme Zone (P Zone) and Transition (TR) of the first tutti ritornello (R1) in the first movement of Beethoven's Triple Concerto. The P Zone consists of a single module that finishes with a half cadence in m. 10. Hepokoski and Darcy define modules as: "the forging of a succession of short, section-specific musical units (spaces of action) linked together into an ongoing linear chain—pressing down and connecting one appropriately stylized musical tile after another."<sup>12</sup> On Figure 1-3, the labels beneath the measure numbers are abbreviations that identify the section (R1), phrase (P 1), and module number (P 1.1). The remaining information in Figure 1-3 includes cadences, keys, and melodic instruments.

Figure 1-3. Outline of Triple Concerto R1:\P, R1:\TR, and R1:\MC1

EXPOSITION				
Ritornello 1 (R1)	Primary Theme Zone	Link	Transition	
Measures	1-10	11-12	13-33	33
H & D Name	R1:\P 1.1		R1:\TR 1.1	R1:\MC1
Cadence	HC		HC	I:HC
Key	C Major			
Melody Instrument(s)	Cellos	Violins	Violins	

The cellos and double basses, in a unison *pianissimo*, present the P Zone shown in Figure 1-4a (mm. 1-5) and Figure 1-4b (mm. 6-10). The P Zone begins with a two-measure motive: the head motive sustains a pitch and the tail motive features a dotted rhythmic

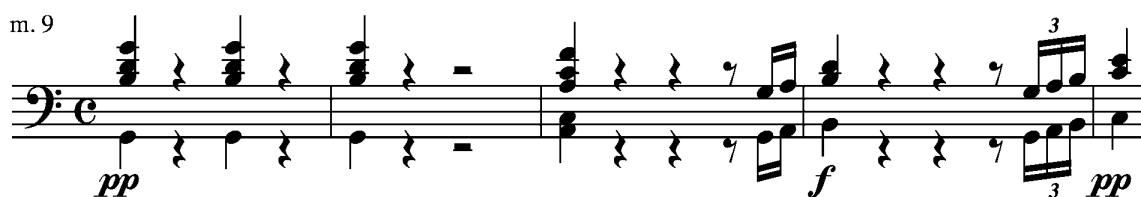
<sup>12</sup> James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth Century Sonata* (New York: Oxford University Press, 2006), 15-16.



figure. The motive sequences up by step in m. 3. The third rotation fragments to state only the tail motive, ascending by step yet again. The result of the sequencing is an ascending fourth, C to F. In contrast to the repeated dotted motive heard four times in mm. 1-5, m. 6 features four even quarter notes. The thematic content in mm. 6-10 eventually descends from D to G. This descent in the last five measures answers the ascent in the first five measures.

The P Zone ends with a half cadence in m. 10 and TR begins at m. 13, shown in the reduction of mm. 9-13 in Figure 1-5.

Figure 1-5. Triple Concerto mm. 9-13



The internal measures (mm. 11-12) provide a point of discussion: they extend the half cadence by passing through a  $IV_6$  (m. 11) in order to arrive on  $V_6$  (m. 12). These measures are neither part of the P Zone nor TR. The down beat bass notes in mm. 10-12 ascend by step: G-A-B. This large-scale ascent repeats in the foreground as an anacrusis to m. 12 and again at the end of m. 12 to form a triplet motive that ascends to chord root C in m. 13. A review of form literature reveals no consistency in how to name the function of mm. 11-12. Hepokoski and Darcy do not offer terminology to describe these measures. The closest description they have is caesura-fill (CF): “connective material, of variable length, bridging a caesura—either medial caesura or final caesura—to the next

thematic module.”<sup>13</sup> The problem is that m. 10 is neither a medial caesura (MC) nor a final caesura.<sup>14</sup> William Caplin does not provide an explanation either, but he does describe “an expansion of the cadential progression to the extent of supporting a complete phrase (of at least four measures) or group of phrases.”<sup>15</sup> Although mm. 11-12 extend the progression, they are not at least four measures long. Douglass Green’s “link,” “a short melodic fragment, or a chord or two, ties the end of part one; after completion of its final cadence, to the beginning of part two.”<sup>16</sup> This description is the most appropriate because the two chords in mm. 11-12 connect the cadence of the P Zone to the beginning of TR.

The melody at the beginning of TR, shown in Figure 1-6, varies the melody from the P Zone.

Figure 1-6. Triple Concerto mm. 13-18.



Rhythmically, the transition theme augments the first measure of the P Zone. Both the head motive and tail motive now fill their own measure. Melodically, the theme twice

<sup>13</sup> Hepokoski and Darcy, xxv.

<sup>14</sup> Hepokoski and Darcy, xxvi. “The medial caesura is the brief, rhetorically reinforced break or gap that serves to divide an exposition into two parts, tonic and dominant.”

<sup>15</sup> William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 254.

<sup>16</sup> Douglass M. Green, *Form in Tonal Music: An Introduction To Analysis* (New York: Hold, Rinehart and Winston, Inc., 1965), 149.

sequences up-by-third a two-measure motive, arpeggiating C-E-G. In mm. 13-26, TR passes through tonic harmony while in mm. 27-32 dominant harmony. TR concludes with a half cadence in tonic, which on Figure 1-2 is represented by the shaded block. Hepokoski and Darcy refer to this cadence as a medial caesura (MC) because it separates the exposition into two harmonic parts: tonic and dominant.<sup>17</sup> Furthermore, Hepokoski and Darcy identify four MC types based on three criteria: cadence type (arrival on a authentic or half cadence), key (new key or old), and frequency of cadence type as encountered in common practice sonata repertoire (first being most common to fourth least common). Using these criteria, Hepokoski and Darcy describe four categories, referred to as default levels, articulated in Figure 1-7.

Figure 1-7. Level of Defaults list.

Level of Default	Cadance	Key	Abbreviation
First	Half	Dominant	V:HC
Second	Half	Tonic	I:HC
Third	Authentic	Dominant	V:PAC/IAC
Fourth	Authentic	Tonic	I:PAC/IAC

Figure 1-8 aligns two tables, so as to allow a comparison between the tutti portion of the exposition's (R1) P Zone and TR to its counterpart in the tutti portion of the recapitulation (R3). The vertical arrows between the tables indicate repeated thematic material. In R3, as in R1, the P Zone consists of a single module and a short link; the instrumentation differs in that the full tutti orchestra plays the P Zone at a *fortissimo* in R3.

---

<sup>17</sup> Hepokoski and Darcy, 24.

Figure 1-8. Outline of Triple Concerto R1:\P, R1:\TR, R1:\MC1, R3:\P, R3:\TR, and R3:\MC.

EXPOSITION				
Ritornello 1 (R1)	Primary Theme Zone	Link	Transition	
<i>Measures</i>	1-10	11-12	13-33	33
<i>H &amp; D Name</i>	<b>R1:\P 1.1</b>		<b>R1:\TR 1.1</b>	<b>R1:\MC1</b>
<i>Cadence</i>	HC		HC	I:HC
<i>Key</i>	C Major			
<i>Melody Instrument(s)</i>	Cellos	Violins	Violins	
<i>Repetition of Thematic Material</i>	1-10 = 325-34	11-12 = 335-36	13-14 = 325-26 13-30 = 337-54	

RECAPITULATION				
Ritornello 3 (R3)	Primary Theme Zone	Link	Transition	
<i>Measures</i>	325-34	335-36	337-59	359
<i>H &amp; D Name</i>	<b>R1:\P 1.1</b>		<b>R1:\TR 1.1</b>	<b>R1:\MC</b>
<i>Cadence</i>	HC		PAC	IV:PAC
<i>Key</i>	C Major		337-55 C Major 356-59 F Major	
<i>Melody Instrument(s)</i>	High Voices	Violins	Violins and Piano	
<i>Repetition of Thematic Material</i>	1-10 = 325-34	11-12 = 335-36	13-14 = 325-26 13-30 = 337-54	

Figure 1-9 (mm. 325-328) highlights the first four measures of R3 (mm. 325-359). While the flute, clarinet, bassoon, violins, cello, and double basses state the theme, the oboe, horn, trumpet, and timpani sustain a pedal tone. Like R1:\P, the pedal tone's head motive borrows the rhythmic motive from R1:\TR. The tail motive of R1:\TR theme fills in the rests (where rests were present during R1:\P) and provides a rhythmic response to the P Theme.



Figure 1-9. Triple Concerto mm. 325-328

[illegible]

The single module R3:\TR (mm. 337-359) corresponds to R1:\TR (mm. 13-33).

The most significant difference between R3:\TR and R1:\TR is the inclusion of the soloists. The four interjections embellish harmonic rhythmic changes every two measures to thicken R3:\TR with arpeggios. The end of R3:\TR contains an unusual MC: a perfect authentic cadence (PAC) in the key of F major, a fourth-level default (IV:PAC MC).

Due to phrase elision, m. 33 is not only the arrival of the MC (to indicate the end of the transition), but also the beginning of the Secondary-Theme Zone (S Zone). A typical S Zone, shown in Figure 1-10, can contain multiple modules that conclude with the Essential Expositional Closure (EEC), which is a PAC in the new key that moves to the Closing Theme Zone (C Zone).<sup>18</sup> As a MC separates TR from the S Zone, the EEC is the boundary between the S Zone and the C Zone, thus from TR to C Zone there are two structural cadences in R1.

Figure 1-10. Normal Secondary Theme Zone.

EXPOSITION	Transition	Secondary Theme Zone			Closing Theme Zone
H & D Name	MC	S 1.1	S1.2	EEC	C 1.1

Figure 1-10 presents the second half of R1. Compared to Figure 1-9, Figure 1-10 has three shaded areas as opposed to two. The first shaded area in both figures indicates the end of the transition and the final represents the EEC. In Figure 1-5, the modules between the first and second shaded areas and the one following the third shaded area

<sup>18</sup> Hepokoski and Darcy, xxvi. “Within an exposition, usually the first satisfactory PAC that occurs within S and that proceeds onward to differing material. An immediate repetition of the melody or cadence—or certain other procedures—can defer this point to the next PAC.”

form what Hepokoski and Darcy call a trimodular block (TMB).<sup>19</sup> The first modular section (TM1) acts as an S Theme, but this section does not end with a PAC that leads to the EEC, but rather proceeds to what appears to be a second transition (TM2). TM3 follows the second MC (MC2) and introduces a new theme into the S Zone. It is this theme that concludes with the EEC.

Figure 1-11. Outline of Triple Concerto R1:\MC1, R1:\S, and R1:\EEC.

EXPOSITION						
Ritornello 1 (R1)	Transition	Trimodular Block as Secondary Theme Zone				
Measures	33	33-40	41-52	52	53-74	74
H & D Name	R1:\MC1	R1:\TM1	R1:\TM2	R1:\MC2	R1:\TM3	R1:\EEC
Cadence	I:HC	PAC	HC	I:HC	PAC	I:PAC
Key	C Major	G Major	C Major			
Melody Instrument(s)		Violin I	Winds		Violin I	

The thematic material in the TMB, shown in Figure 1-12, relates to the opening motive from the P Zone. The theme contains a sustained head motive, a dotted tail motive that outlines a triad, and even quarter notes that ascend a sixth. The second half of TM1 is a rhythmic repetition of the first half; however, instead of starting on a G, it begins on an E that descends back to G.

<sup>19</sup> Hepokoski and Darcy, xxvii. “An especially emphatic type of multimodular structure in an exposition or recapitulation always associated with the phenomenon of *apparent double medial caesuras*. Of these, TM<sup>1</sup> and TM<sup>3</sup> are usually ‘thematic.’ TM<sup>1</sup> follows the first apparent MC, TM<sup>2</sup> often reinvigorates the TR-style [often TM<sup>1</sup> merges into TM<sup>2</sup>, TM<sup>1</sup> → TM<sup>2</sup>] and helps to set up the second apparent MC, and TM<sup>3</sup> follows that second MC-effect. A TMB leads, at its end to the EEC. Either TM<sup>1</sup> or TM<sup>3</sup> may give the impression of being the “real” S depending on the individual circumstances.”

Figure 1-12. Triple Concerto mm. 33-40.



The first half of R1:TM2 (mm. 41-44) begins in C Major: the flute, oboe, clarinet, and horn repeat the first four measures of R1:TM1. The second half of R1:TM2 (mm. 44-52), shown in Figure 1-13, expands a progression from IV to V.

Figure 1-13. Triple Concerto mm. 44-52.

Chord progression for Figure 1-13 (mm. 44-52):

Measure	Chord
44	C: IV
45	A $\flat$ : iv
46	A $\flat$ : vi
47	N $_6$
48	IV $_6$
49	$\flat$ VI $_2^{\sharp}$
50	I $_2^{\sharp}$
51	$\flat$ III $_7$
52	V $_7$
53	8-7
54	V $\sharp$ /iv
55	V $\sharp$ /vi
56	iv
57	V $\sharp$
58	i
59	vii $^{\circ}_7$ /V
60	V

This progression begins and ends in C major, though mm. 45-50 can be viewed in the chromatic submediant A $\flat$  major, which is the key of A $\flat$  major in the R4 section discussed below. Measure 44 begins on a IV chord; m. 45 shifts via modal mixture to explore tonalities from the minor mode, such as the Neapolitan, the minor subdominant, and chords on the lowered  $\hat{3}$  and  $\hat{6}$ . The modal shift from F-major to f-minor (mm. 44-45) initiates a passage in A $\flat$  major. The relationship between f minor and D $\flat$  major (mm. 45-46) exemplifies the Neo-Riemannian technique of an L transformation “where a triad

shares a common minor third,” in this case F and A $\flat$ .<sup>20</sup> Measures 47-48 provide-I $\bar{4}$ -V $_7$  in A $\flat$  major. An arrival A $\flat$ , however, is thwarted by chromatic motion in the bass from E $\flat$  to E $\natural$  (mm. 48-49). -The dominant seventh of f minor harmonizes the E $\natural$ , resolves properly to f minor, and continues the passage in C. The C major progression closes with a vii $^\circ_7$ /V-V half cadence, which is R1:\MC2, a second-level default (I:HC MC).

R1:\TM3 (mm. 53-74) begins with a theme that, like other themes in the TMB, resembles the P Zone Theme. Played first by the violins alone and then with the flutes an octave higher, this theme, shown in Figure 1-14 (mm. 53-58), varies the P Zone Theme in that ~~what was~~ the dotted figure from the tail motive is now the anacrusis to the head motive and to the even quarter notes. With respect to pitch, the tail-motive-as-anacrusis remains fixed and centered on G. The sustained note ascends an interval of a third above G, a fourth, and finally a seventh to form a wedge.<sup>21</sup>

Figure 1-14. Triple Concerto mm. 53-58.



Repetitions of the dotted motive occupy every beat in mm. 60, and 63-66, before a syncopated motive takes over in mm. 67-68. In m. 69 a trio of woodwinds play in

<sup>20</sup> Richard Cohn, “Neo-Riemannian Operations, Parsimonious Trichords, and Their ‘Tonnetz’ Representations,” *Journal of Music Theory* Vol. 41, No. 1 (Spring, 1997): 1.

<sup>21</sup> A example of a wedge is found at the beginning of Johann Sebastian Bach’s Prelude and Fugue in E minor (BWV 548).

unison  $\hat{5}-\hat{6}-\hat{2}-\hat{5}-\hat{1}$ , suggesting a V-vi-ii-V-I progression in G Major. Beginning in m. 71, the strings echo the same scale degrees, though now in tonic, finishing on the EEC. According to Hepokoski and Darcy, the EEC “must be the first satisfactory PAC that occurs in S and that proceeds onward to differing material.”<sup>22</sup> Following these guidelines, the PAC that finishes in tonic is considered to be the real EEC.

#### Solo 1 and 3, Ritornello 2 and 4

S1 begins with a two-measure link played by the strings that prepares the entrance of the P Zone proper in m. 77, as indicated in Figure 1-15. The P Zone consists of three modules (mm. 77-114), though each soloist repeats the theme: cello, violin, and piano. The cello and piano portions begin in C major while the violin portion is in G major. In S3, there is no correspondence to the P Zone. The beginning of the solo portion of the recapitulation starts with TR in m. 359. The end of the P Zone signals the beginning of S1:\TR.

Figure 1-15. Outline of Triple Concerto S1:\P.

EXPOSITION				
First Solo (S1)	Link	Primary Theme Zone		
<i>Measures</i>	75-76	77-84	85-97	97-114
<i>H &amp; D Name</i>		<b>R1:\P 1.1</b>	<b>S1:\P 1.1</b>	<b>S1:\P 1.2</b>
<i>Cadence</i>		HC	IAC	PAC
<i>Key</i>	C Major		G Major	C Major
<i>Melody Instrument(s)</i>	Violins	Cello	85-89 Violin 90-97 Violin and Cello	Piano
<i>Repetition of Thematic Material</i>		1-9 = 77-84	1-5 = 85-89	1-9 = 97-105

<sup>22</sup> Hepokoski and Darcy, xxvi.

The formal aspects of S1:\TR are shown in Figure 1-16. S1:\TR consists of nine modules: the first four in C major and the last five in A minor. The tutti orchestra plays the first module in what Hepokoski and Darcy call a Tutti Interruption (TI); in S3:\TR this module is omitted.<sup>23</sup> The second, third, and fourth modules begin with the cello, violin, and piano, respectively, imitating the order of appearance in S1:\P. These modules do repeat themselves in S3:\TR, but only in F major. The remaining modules all end with half cadences in A minor; these modules are also restated in S3:\TR, but the first two are in F major and the remaining are in C major.

---

<sup>23</sup> Hepokoski and Darcy, xxvii. “Any brief, interrupting tutti impulse within what is otherwise a solo section, such as S1, S2, or S3. The first of these to appear, S1:\TI<sup>1</sup>, shortly into Solo 1, is often formulaic and stylized.”

Figure 1-16. Outline of Triple Concerto S1:\TR, S1:\MC1, S3:\TR, and S3:\MC1.

EXPOSITION											
First Solo (S1)											
Measures											
H & D Name											
Cadence											
Key											
Melody Instrument(s)											
Repetition of Thematic Material											
		114-17	118-25	125-29	129-33	133-37	137-41	141-45	145-149	149-51	151-57
		S1:\TI 1	S1:\TR 1.1	S1:\TR 2.1	S1:\TR 2.2	S1:\TR 2.3	S1:\TR 2.4	S1:\TR 2.5	S1:\TR 2.6	S1:\TI 2	S1:\MC FII
		PAC	PAC	IAC	IAC	HC	HC	HC	HC	HC	PAC
		C Major			A Minor						A Major
		Orchestra	Cello	Violin	Piano	Piano	Cello	141-43 Violin and Cello	Soloists	Orchestra	Piano
			121-25 = 359-63	125-29 = 363-67	129-33 = 367-71	134-37 = 138-41	134-37 = 138-41	141-45 = 378-82	145-49 = 382-86	149-51 = 386-88	151-57 = 388-94



The transition in S1 (mm. 114-51) begins with a theme, shown in Figure 1-17, that recalls features from past themes.

Figure 1-17. Triple Concerto mm. 118-121.



The new S1:\TR theme arpeggiates a C major triad, much like the theme in R1, though in S1:\TR it occupies fewer measures. The dotted motive from the R1:\P returns in mm. 120-121, once again acting as a tail motive to a sustained head motive. At m. 145, the violin begins an ornamented arpeggio, joined by the piano and cello in mm. 146-148. The arpeggiation ends when the tutti orchestra interrupts to conclude TR with the arrival of the MC. This caesura is problematic. The arrival should be on a G or D chord to prepare dominant harmony in the S Zone; but instead, it arrives on an E major chord. This could mean one of two things: either the S Theme will be in A major/minor, or Beethoven is playing a musical joke and will eventually reach the correct key of G major.<sup>24</sup> The answer comes in m. 157 with an arrival in A major. Hepokoski and Darcy confirm A major: “the first movement of the Triple Concerto in C, op. 56, whose solo exposition moves to A major, then, eventually A minor.”<sup>25</sup> Measures 151-157 are a caesura fill played entirely by the piano.

<sup>24</sup> A couple of examples of Beethoven’s writing musical jokes include the beginning of Symphony No. 1, i, and the end of the transition in Symphony No. 8, i.

<sup>25</sup> Hepokoski and Darcy, 120.

The multiple-module TR from S1 (mm. 114-151) returns in S3 (mm. 359-388), though with significant differences ~~with respect~~ to the introduction of TR, the conclusion, the length, and key scheme. In S1, the tutti orchestra introduced the material in the transition while in S3 the cello fulfills this function. Both transitions end with a MC, though in S1:\TR it is a fourth-level default (VI:HC) and in S3:\TR it is a second-level default (I:HC). The S1:\TR is longer when compared to S3:\TR because the first eight measures of S1:\TR are not in S3:\TR; nor is ~~along with~~ one measure from the middle. Also, S1:\TR begins in C major and modulates to A major, while S3:\TR starts in F major and modulates to the home key of C major. As in S1:\TR, S3:\TR contains a MC Fill, played by the piano, which proceeds to the S Zone.

Figure 1-18 shows a comparison between the S1:\S and S3:\S. As in R1:\S, a TMB represents the S Zone in S1 and S3.

Figure 1-18. Outline of Triple Concerto S1:\S, S1:\EEC, S3:\S, and S3:\ESC.

EXPOSITION		Secondary Theme Zone			Display Episode
<b>First Solo (S1)</b>					194-225
<i>Measures</i>		157-66	167-82	182-94	<b>S1:\EEC</b>
<i>H &amp; D Name</i>		<b>R1:\TM1</b>	<b>R1:\TM2</b>	<b>S1:\TM3</b>	vi:PAC
<i>Cadence</i>		A Major	A Minor	PAC	
<i>Key</i>		157-60 Cello	170-82 Soloists	182-85 Cello	
<i>Melody Instrument(s)</i>		161-64 Violin	170-82 Soloists	186-94 Violin and Cello	Soloists
		165-66 Orchestra			
		33-36 = 157-60			
		33-36 = 161-64	44-52 = 170-82	182-94 = 419-31	
		37-38 = 165-66			194-225 = 431-61
<i>Repetition of Thematic Material</i>					

RECAPITULATION		Secondary Theme Zone			Display Episode
<b>Third Solo (S3)</b>					431-61
<i>Measures</i>		394-403	404-19	419-31	<b>S3:\ESC</b>
<i>H &amp; D Name</i>		<b>R1:\TM1</b>	<b>R1:\TM2</b>	<b>S1:\TM3</b>	I:PAC
<i>Cadence</i>		C Major	PAC	PAC	
<i>Key</i>		394-98 Cello	407-19 Soloists	419-22 Cello	
<i>Melody Instrument(s)</i>		398-401 Violin	407-19 Soloists	423-31 Violin and Cello	Soloists
		402-03 Orchestra			
		157-66 = 304-403	167-82 = 404-19	182-94 = 419-31	
					194-225 = 431-61
<i>Repetition of Thematic Material</i>					

The first two modules of the TMB in S1 (mm. 157-82) correspond to the TMB in R1, with the exception that the module begins in A Major; the same can be said about the S Zone in S3, but this begins in C major. Figure 1-19 is a reduction of mm. 170-182, which is very similar to R1:\TM2.<sup>26</sup>

Figure 1-19. Triple Concerto mm. 170-182.

A:	IV	iv	N <sub>6</sub>	$\flat$ VI $\frac{6}{4}$	$\flat$ III <sub>7</sub>	V/iv	iv	V <sub>6</sub>	i	ii <sub>6</sub>	i $\frac{6}{4}$	i $\frac{6}{4}$	i $\frac{6}{4}$	V	i
F:	vi	IV <sub>6</sub>	I $\frac{6}{4}$	V <sub>7</sub>	V/vi	vi									

R1:\TM2 and S1:\TM2 are similar in that they both expand a progression from IV to V and they both tonicize a key a major third below the key in which the progression started. The main differences between mm. 44-52 and mm. 170-182 are length, key, and cadence. S1:\TM2 is longer than its counterpart in R1 because S1 prolongs dominant harmony (mm. 178-181) and R1 does not. S1:\TM2 begins in A major while R1:\TM2 starts in C major. Finally, S1:\TM2 concludes with a PAC in A minor, while R1:\TM2 finishes with a half cadence in C major.

The third module of the TMB (mm. 182-94) in S1 presents a new theme that is similar to part of the P Zone in R1. The familiar dotted motive returns to form the new theme. In S3, the same theme is heard in TM3, only transposed to tonic. The S Zone in

<sup>26</sup> Refer to Figure 1-13.

S1 concludes with the EEC, a PAC in the submediant A minor; the S Zone in S3 concludes with ESC, a PAC in the home key of C major.<sup>27</sup> Following both the EEC and ESC is a Display Episode (DE).<sup>28</sup> Leon Plantiga describes a DE as “a chance for the soloist to show off their virtuosic talent.”<sup>29</sup> S1:\DE and S3:\DE are almost the same in terms of length and each section ends with a deceptive cadence (DC). Hepokoski and Darcy confirm the arrival of the DC: “because of the near-invariability of this affirmational *éclat* (“Yes!”), the relatively infrequent instances in which the beginning of R2 instead undermines the soloist’s PAC with a deceptive cadence, either sternly or amusingly (“No!”)—usually onto ♭VI—are worth noting: in Viotti’s once-famous Violin Concerto No. 22 in A Minor, for example, or in Beethoven’s Triple Concerto in C, op. 56 (m. 225) and his Violin Concerto in D, op. 61 (m. 224).”<sup>30</sup>

Figure 1-20 outlines the second ritornello (R2) and the first half of the fourth ritornello (R4), the ending of the exposition and the recapitulation respectively. R2 begins by repeating the material from S1:\TR played by the tutti orchestra at m. 225, though now in F major. Hepokoski and Darcy verify the arrival of material from S1:\TR: “Beethoven’s Violin Concerto, op. 61, contains an R1:\TR-based opening to R2, while his Triple Concerto, op. 56, provides an interesting variant, that of beginning R2 with the transition material first heard in Solo 1, S1:\TR 1.1.”<sup>31</sup> This tonality continues for five

---

<sup>27</sup> Hepokoski and Darcy, xxvi. “Within a recapitulation, usually the first satisfactory PAC that occurs within S and that proceeds onward to differing material. Like the EEC, the ESC can also be deferred through certain procedures to the next PAC. The ESC is normally the recapitulation’s parallel point to the exposition’s EEC, although exceptions do exist.”

<sup>28</sup> Refer to Figure 1-18.

<sup>29</sup> Leon Plantiga, 13.

<sup>30</sup> Hepokoski and Darcy, 548.

<sup>31</sup> Hepokoski and Darcy, 556.

measures before returning to A minor, the key in which R2 should have begun. The last module of R2 ends with the same melodic motive encountered at the end of R1 (now in minor):  $\hat{5}, \hat{6}, \hat{2}, \hat{5}, \hat{1}$ . In R4, the first module is the same as the one from R2, though in A $\flat$  major; in contrast the second module ends three measures later with a HC in C major instead of a PAC.

Figure 1-20. Outline of Triple Concerto R2 and R4<sup>1</sup>.

<b>EXPOSITION</b>		
<b>Second Ritornello (R2)</b>		
<i>Measures</i>	225-29	229-43
<i>H &amp; D Name</i>	<b>S1:\TR 1.1</b>	<b>R1:\TM3</b>
<i>Cadence</i>		PAC
<i>Key</i>	F Major	A Minor
<i>Melody Instrument(s)</i>	Orchestra	Orchestra
<i>Repetition of Thematic Material</i>	114-17 = 225-30	59-71 = 231-43

<b>RECAPITULATION</b>		
<b>Fourth Ritornello (R4)</b>		
	<b>R4<sup>1</sup></b>	
<i>Measures</i>	462-67	468-70
<i>H &amp; D Name</i>	<b>S1:\TR 1.1</b>	<b>R1:\TM3</b>
<i>Cadence</i>		HC
<i>Key</i>	A $\flat$ Major	468-69 A $\flat$ Major 470 C Major
<i>Melody Instrument(s)</i>	Orchestra	Orchestra
<i>Repetition of Thematic Material</i>	225-29 = 462-67	59-61 = 468-70

### Solo 2 (Development)

Hepokoski and Darcy describe three zones in the development: preparation, central action, and retransition zones; an optional link sometimes precedes the first zone. The link comes from “the preceding retransition (RT) or from the final module of the C

Zone and seems to precede the sense of ‘the development proper.’”<sup>32</sup> The first zone “prepares the development—often anticipatory, piano dynamic—for the central-action-to-come.”<sup>33</sup> The optional (mm. 243-247) and first zones (mm. 256-276) begin S2. The second zone “may be expanded at considerable length, and it may unfold in one, two, three, or more ‘events’ or ‘parts’ (subsections).”<sup>34</sup> This zone (mm. 277-307) takes up the bulk of S2. The third zone, retransition (mm. 307-324), “typically involves the music surrounding the preparation for and/or execution of a structural-dominant lock, usually  $V_A$  of the principle tonic.”<sup>35</sup> The second solo (S2) starts the development section, as indicated in Figure 1-21, with the cello playing a five-measure introduction (mm. 243-247) that functions as the link. Recalling thematic material from S1:\P, the cello begins the preparation zone in A major followed by the violin in E major. The piano reestablishes A major, but does not complete a rotation of its melody and instead begins the next phase of the development, the central action zone (CAZ). Thematically, the CAZ employs the tail motive from R1:\P, mainly played by the tutti wind instruments. The key at the onset of the central action zone is  $B\flat$  major. This changes four measures later via modal mixture to  $B\flat$  minor. In mm. 283-292, the key reaches a state of tonal flux in that no key is instituted. The last key in the central action zone begins (m. 293) with C minor, the minor tonic. At m. 307, the retransition zone begins, which is the final part of the development. This zone locks in the dominant of the original tonic, G, and prepares the arrival of the recapitulation. The thematic material, as with the link and central action zone, is new. The soloists, beginning at m. 315, play scalar sixteenth notes

---

<sup>32</sup> Hepokoski and Darcy, 229.

<sup>33</sup> Hepokoski and Darcy, 229-30.

<sup>34</sup> Hepokoski and Darcy, 230.

<sup>35</sup> Hepokoski and Darcy, 230.  $V_A$  refers to the V of the home key.

runs, exchanged among the soloists (mm. 315-323). By m. 324, the soloists play together sixteenth note run that culminates with an arrival in m. 325 in C major, the start of the recapitulation.



Figure 1-21. Outline of Triple Concerto S2

DEVELOPMENT <i>Measures</i> <i>H &amp; D Name</i> <i>Correspondence to Exposition</i>  <i>Key</i>  <i>Melody Instrumrnt(s)</i>  <i>Repetition of Thematic Material</i>	Second Solo (S2)					
	243-47 Link New Material	248-55 R1:\P 1.1 A Major	256-67 Preparation Zone S1:\P 1.1 E Major	268-76 S1:\P 1.2 A Major	277-307 Central Action Zone New Material 277-82 B <sup>b</sup> Major/Minor 283-92 B <sup>b</sup> Modulatory 293-207 C Minor	307-24 Retransition Zone New Material C Major
	A Minor					
	Cello	Cello	256-60 Violin 261-67 Violin and Cello	Piano		Soloists
		77-84 = 248-55	85-96 = 256-67	97-105 = 268-73		

### Ritornello 4

Ritornello 4 (R4) represents the final portion of the recapitulation, as indicated in Figure 1-22.<sup>36</sup> Hepokoski and Darcy divide R4 into two parts, R4<sup>1</sup> and R4<sup>2</sup>: “an orchestral R4<sup>1</sup>, pressing efficiently toward the formulaic, grand  $\frac{5}{4}$  chord, pinned into stasis with a fermata, that opens the path to a solo cadenza; and an orchestral R4<sup>2</sup>, elided with the soloists last trill-cadence and completing whatever leftover modular-rotational business remains to be addressed.”<sup>37</sup>

Figure 1-22. Outline of Triple Concerto R4.

<b>RECAPITULATION</b>		
<b>Fourth Ritornello (R4)</b>	<b>R4<sup>1</sup></b>	<b>R4<sup>2</sup></b>
<i>Measures</i>	470-74	475-531
<i>H &amp; D Name</i>	<b>R1:\TM3</b>	<b>R4:\DE</b>
<i>Cadence</i>		PAC
<i>Key</i>	C Major	
<i>Melody Instrumment(s)</i>	Cello	475-77 Cello and Violin 478-93 Soloists 494-99 Piano 500-14 Soloists 514-19 Orchestra 520-31 All Instrumments
<i>Repetition of Thematic Material</i>	52-56 = 470-74	

In a typical concerto, the cadenza ~~usually~~ occurs in R4. A cadenza in a multiple-instrument concerto prompts many questions: Who plays the cadenza? If all play a cadenza, what is the order? Beethoven’s answer is to exclude a cadenza, though the material at m. 494 gives the feeling of one with an expansion of dominant harmony (mm. 490-513). A typical cadenza departs from  $I_6^b$ , expands the dominant, and arrives on  $\hat{2}$  to indicate the forthcoming entrance of the tutti orchestra (in essence, a  $I_6^b$ -V-I progression).

<sup>36</sup> Measures 462-470 belong to R4, but have already been analyzed.

<sup>37</sup> Hepokoski and Darcy, 596-97.

Alexander Russakovsky calls mm. 470-513 the cadenza “an extra solo episode,” he is incorrect, however, in his statement about the cadenza.<sup>38</sup> Figure 1-23 lists the seven concerti that Beethoven composed, whether or not he wrote a cadenza, and if the soloists improvised one in the first movement. With the exception of Op. 56, all of Beethoven’s concertos have improvised cadenzas; only the cadenza in Op. 73 is written out.

Figure 1-23. List of Beethoven concerti.

Concerto	Cadenza	Improvised or Written out
Piano Concerto No. 1, Op. 15	Yes	Improvised
Piano Concerto No. 2, Op. 19	Yes	Improvised
Piano Concerto No. 3, Op. 37	Yes	Improvised
Triple Concerto, Op. 56	No	N/A
Piano Concerto No. 4, Op. 58	Yes	Improvised
Violin Concerto, Op. 61	Yes	Improvised
Piano Concerto No. 5, Op. 73	Yes	Written Out

In m. 514 at the *Più allegro*, the tutti orchestra takes up the main thematic material that initiates the final push towards the end of the movement (mm. 514-519). At m. 519, the soloists return, leading the entire orchestra through the final cadences (mm. 519-531), and finally arriving on a thunderous PAC that ends this movement.

To summarize the Triple Concerto, the majority of the thematic material derives from the opening theme. Also, the key scheme does not follow traditional common-practice music in that this movement does not modulate to the dominant in S1, but rather to the major and minor submediant. The modulation to the subdominant in R3:\TR precedes the return of tonic in S3:\TR.

---

<sup>38</sup> Alexander Russakovsky, “The Tonal Strategy in Beethoven’s Triple Concerto” (DMA diss., University of California Santa Barbara, 2000), 24.

## CHAPTER III

### SYMPHONIE CONCERTANTES

During the 1760s, Johann Christian Bach (1735-1782) made frequent trips to Paris; there he encountered of a genre known as the Symphonie Concertante. Taking what he knew back to London, he composed fifteen symphonie concertantes for the Bach-Abel concert series.<sup>39</sup> This chapter will focus on the formal design of first movements from three symphonie concertantes (C32, C40, and C41) by J.C. Bach.<sup>40</sup> The analyses will compare the exposition to the recapitulation before discussing the development and finally the coda (if a coda is present). As stated in the introduction, these three symphonie concertantes were chosen for “their intrinsic musical value and variety in concerted instrumental groups.”<sup>41</sup> Other works that J.C. Bach composed between 1770-1772 include Opp. 6-10 (Six Canzonettas, Six Keyboard Concertos, Six Quartets, Three Symphonies, and Six Sonatas for Clavier and Violin, respectively); in 1772 he composed Op. 11 (Six Quintets) and Opp. 12-13 (Six Keyboard Concertos).

---

<sup>39</sup> Paris was among one of many cities that J.C. Bach traveled to across Europe. He encountered various genres during his visits, many of them performed at the Bach-Abel concert series.

<sup>40</sup> There are at least three catalogue systems in use to number the symphonie concertantes of Bach. This study utilizes Ernest Warburton’s catalogue numbering (Ernest Warburton, ed., *The Collected Works of Johann Christian Bach* (New York: Garland Publishing, 1984)). The two other catalogue systems are by Charles Sanford Terry and Joseph A. White Jr.

<sup>41</sup> Joseph Addison White Jr., “The Concerted Symphonies of John Christian Bach: Volume I: Analytical Study of the First Movements Volume II: Three Symphonies in Score” (PhD diss., University of Michigan, 1957), 3.

Though the orchestration of these examples suggests a Classical concerto, they are more related to their Baroque predecessors, the concerto grosso. In fact, the soloists in these symphonie concertantes act more like a group rather than individuals. Therefore, form of these movements follows ritornello form rather than Hepokoski and Darcy's Type 5 Sonata form. The movements begin with the first ritornello tutti section (R1) followed by the first solo section (S1); these two sections make up the exposition. The development follows and contains the second ritornello (R2) and the first half of the second solo section (S2). The recapitulation consists of the second half of S2 and the third and final ritornello section (R3). In a normal Type 5 Sonata, R2 finishes the exposition (containing both R1 and S1) while S2 is the entire development section, R3 begins the recapitulation and includes all of a third solo section (S3), and the fourth ritornello section (R4) finishes the recapitulation and the movement. The formal design of each of the first movements will be introduced, followed by the design of the exposition, development, and recapitulation respectively. For the purpose of this study, Hepokoski and Darcy's terminology will be used to describe the formal features in all of the symphonie concertantes.

### Symphonie Concertante C32 in G Major

#### Ritornello 1

J.C. Bach composed Symphonie Concertante C32 in 1772. Scored for two solo violins, solo cello, and orchestra, the work contains three movements: Allegro, Andante, and Minuetto. This analysis will focus on the formal design of the Allegro movement shown in Figure 2-1. The shaded regions in Figure 2-1 designate the three tutti ritornellos (Ritornello 1 is the tutti portion of the exposition, Ritornello 2 begins the

development, and Ritornello 3 concludes the recapitulation), while the non-shaded areas are the three solo sections (Solo 1 is the solo portion of the exposition, Solo 2 is the remainder development, and Solo 3 is the solo portion of the recapitulation). The formal design of the exposition, development, and recapitulation are shown in Figure 2-2a, Figure 2-2b, and Figure 2-2c respectively; the shaded regions in these figures designate structural cadences. The information in Figures 2-2a, 2-2b, and 2-2c contain measure numbers, module labels, and key.

Figure 2-1. Formal design of Symphonie Concertante C32, i, Allegro.

EXPOSITION		DEVELOPMENT		RECAPITULATION	
<b>R1</b>	<b>S1</b>	<b>R2</b>	<b>S2</b>		<b>R3</b>
1-52	53-120	120-140	140-165	166-196	196-215

Figure 2-2a. Formal design of Symphonie Concertante C32, i, exposition.

EXPOSITION					
RITORNELLO 1 (R1)					
1-4 R1:\P 1.1 G MAJOR	5-8 R1:\P 2.1	9-12 R1:\P 3.1	12-16 R1:\P 4.1	17-26 R1:\TR 1.1	26 R1:\MC1

EXPOSITION					
R1 cont.					
26-32 R1:\TM1 D MAJOR	33-40 R1:\TM2 G MAJOR	40 R1:\MC2	41-47 R1:\TM3	47 R1:\EEC	47-52 R1:\C 1.1

EXPOSITION					
SOLO 1 (S1)					
53-62 S1:\P 1.1	62-68 S1:\ 1.2	68-72 R1:\P 3.1	73-82 S1:\TR 1.1	82-92 S1:\TR 1.2 D MAJOR	92-102 S1:\TR 1.3

EXPOSITION				
S1 cont.				
102 S1:\MC	102-03 S1:\MC Fill	103-09 S1:\S 1.1	110-20 S1:\S 2.1	120 S1:\EEC

Figure 2-2b. Formal design of Symphonie Concertante C32, i, development.

DEVELOPMENT						
RITORNELLO 2 (R2)			SOLO 2 (S2)			
120-27 Introduction/Link R1:\P 1.1 D MAJOR	128-31 R1:\P 2.1	131-40 Preparation Zone New Material	140-46 New Material E MINOR	146-54 New Material D MAJOR	155-62 New Material G MAJOR	162-65 S2:\TI Retransition Zone R1:\TR 1.1

Figure 2-2c. Formal design of Symphonie Concertante C32, i, recapitulation.

RECAPITULATION				
SOLO 2 (S2)				
166-74 S1:\TR 1.1 G MAJOR	175 S2:\MC	175-81 S1:\S 1.1	181-92 S1:\S 2.1	192-95 S2:\S 1.1

RECAPITULATION				
S2 cont.		RITORNELLO 3 (R3)		
195 Cadenza	196 S2:\EEC	196-203 R1:\TM2	204-10 R1:\TM3	210-15 R1:\C 1.1

Having viewed the formal design of this movement, it is time to discuss the specific details within, beginning with the exposition. The Primary Theme Zone (P Zone) extends through the first sixteen measures and divides into four units: mm. 1-4, 5-8, 9-12, and 12-16, as shown in Figure 2-3.

Figure 2-3. Outline of Symphonie Concertante C32 R1:\P, R1:\TR, and R1:\MC1.

EXPOSITION						
First Ritornello (R1)	Primary Theme Zone				Transition	
<i>Measures</i>	1-4	5-8	9-12	12-16	17-26	26
<i>H &amp; D Name</i>	R1:\P 1.1	R1:\P 2.1	R1:\P 3.1	R1:\P 4.1	R1:\TR 1.1	R1:\MC1
<i>Cadence</i>	PAC	PAC	PAC	PAC	HC	I:HC
<i>Key</i>	G Major					
<i>Melody Instrument(s)</i>	Violin and Oboe	Violin and Oboe	Violin and Oboe	Violin I	Violin I	

All four modules in the P Zone conclude with a PAC in the key of G major. In the first three modules, the orchestral violins and oboes state the main melodic content; the first violins alone present the melody of the fourth module. The violins continue the melody into the transition (TR), which immediately follows the P Zone and contains only one module (R1:\TR 1.1). In m. 26, TR concludes with a half cadence, a second-level default MC. Due to phrase elision, m. 26 is not only the arrival of the MC (to indicate the end of



the transition), but also the beginning of the Secondary Theme Zone (S Zone). Figure 2-4 presents the second half of R1 (mm. 26-52). When an S Zone contains a TMB, it separates into three modules (TM1, TM2, and TM3), of which a second MC appears between TM2 and TM3 and TM3 concludes with a PAC, the EEC.

Figure 2-4. Outline of Symphonie Concertante C32 R1:\MC1, R1:\S, R1:\EEC, and R1:\C.

EXPOSITION							
First Ritornello (R1)	Transition	Trimodular Block as Secondary Theme Zone					Closing Theme Zone
<i>Measures</i>	26	26-32	33-40	40	41-47	47	47-52
<i>H &amp; D Name</i>	R1:\MC1	R1:\TM1	R1:\TM2	R1:\MC2	R1:\TM3	R1:\EEC	R1:\C 1.1
<i>Cadence</i>	I:HC		HC	I:HC	PAC	I:PAC	PAC
<i>Key</i>		D Major	G Major				
<i>Melody Instrument(s)</i>		Oboe	Violin I and Oboe		41-44 Violin I 44-47 Violin and Oboe		Violin and Oboe

### Solo 1 and second half of Solo 2

Formatted like Figures 2-3 and 2-4, Figure 2-5 highlights the P Zone of the solo exposition (S1), which begins at m. 53. This P Zone, like R1:\P, divides into multiple modules: S1:\P 1.1 (mm. 53-62), S1:\P 1.2 (mm. 62-68), and R1:\P 3.1 (mm 68-72); the first two modules end on an IAC and the third ends on a PAC. Only the third module restates thematic material from R1.

Figure 2-5. Outline of Symphonie Concertante C32 S1:\P.

<b>EXPOSITION</b>			
<b>First Solo (S1)</b>	Primary Theme Zone		
<i>Measures</i>	53-62	62-68	68-72
<i>H &amp; D Name</i>	<b>S1:\P 1.1</b>	<b>S1:\ 1.2</b>	<b>R1:\P 3.1</b>
<i>Cadence</i>	IAC	IAC	PAC
<i>Key</i>	G Major		
<i>Melody Instrument(s)</i>	53 Violin I 54 Violins 55 Violins and Oboe II 56-58 Violins and Oboes 59-60 Oboes 60-62 Violins	62-64 Oboes 64-66 Violins 66-68 Violins and Oboes	Violin I
<i>Repetition of Thematic Material</i>	No Corresponding Material		12-16 = 68-72

TR begins the next phase of S1, as indicated in Figure 2-6.<sup>42</sup> The vertical arrows between the tables indicate repeated thematic material in Figure 2-6. In S1, the first module of the transition (S1:\TR 1.1) begins in the tonic key and modulates to the dominant, D major, three measures later. The second module in S1 (S1:\TR 1.2), now in the dominant, begins in m. 82 after an elided arrival on an imperfect authentic cadence (IAC). The final module, S1:\TR 1.3, concludes S1:\TR with an PAC, the MC, which is a third level-default (V:PAC). Following the MC is a two-measure MC Fill.<sup>43</sup> In Figure 2-6, S2:\TR consists of only one module. This material comes from mm 73-82 in S1. The MC in S2 is a half cadence in tonic (second-level default). Both MCs in S1 and S2 are the same chord (D major), but function differently due to the harmonic environment.

<sup>42</sup> S2 (from the development section) will be discussed below.

<sup>43</sup> Hepokoski and Darcy, xxv. “Connective material, of variable length, bridging a caesura—either medial caesura or final caesura—to the next module.”

Figure 2-6. Outline of Symphonie Concertante C32 S1:\TR, S1:\MC, S2:\TR, and S2:\MC.

EXPOSITION					
First Solo (S1)	Transition				
Measures	73-82	82-92	92-102	102	102-03
H & D Name	S1:\TR 1.1	S1:\TR 1.2	S1:\TR 1.3	S1:\MC	S1:\MC Fill
Cadence	IAC	HC	PAC	V:PAC	
Key	73-75 G Major 76-82 D Major				
Melody Instrument(s)	Cello	Violins	Violins		Orchestra
Repetition of Thematic Material	73-82 = 166-74				

↕

RECAPITULATION				
Second Solo (S2)	Transition			
Measures	166-74		175	
H & D Name	S1:\TR 1.1		S2:\MC	
Cadence	HC		I:HC	
Key	G Major			
Melody Instrument(s)	Cello			
Repetition of Thematic Material	73-82 = 166-74			

The S Zone follows the MC in both S1 and S3, as shown in Figure 2-7. In S1, the S Zone splits into two modules (S1:\S 1.1 and S1:\S 2.1) with the oboes playing the melody for the entire first module and the first half of the second, when the cellos take over. The arrival of the EEC ends the solo exposition and begins Ritornello 2 (R2). In S2, the S Theme contains three modules. The first two modules correspond to S1:\S (transposed to tonic); however, the third module is new and ends with a half cadence. The main difference between S1 and S2 is the arrival of the cadenza in m. 195; this cadenza is improvised.<sup>44</sup> After the soloist plays the trill to signal the orchestra that the cadenza is over, the PAC that follows is the ESC. The third ritornello (R3) continues after S2, which will be discussed below.

<sup>44</sup> A cadenza in this time period was usually improvised, the occurrence of written-out cadenzas was not in use until the 19<sup>th</sup> Century.

Figure 2-7. Outline of Symphonie Concertante C32 S1:\S, S1:\EEC, S2:\S, and S2:\ESC.

EXPOSITION				
First Solo (S1)	Secondary Theme Zone			
Measures	103-09	110-20		120
H & D Name	S1:\S 1.1	S1:\S 2.1		S1:\EEC
Cadence	PAC	PAC		V:PAC
Key	D Major			
Melody Instrument(s)	Oboes	110-114 Oboes 114-120 Cellos		
Repetition of Thematic Material	103-09 = 175-81	110-20 = 181-92		



RECAPITULATION					
Second Solo (S2)	Secondary Theme Zone				
Measures	175-81	181-92	192-95	195	196
H & D Name	S1:\S 1.1	S1:\S 2.1	S2:\S 1.1	Cadenza	S2:\EEC
Cadence	PAC	PAC	HC	PAC	I:PAC
Key	G Major				
Melody Instrument(s)	Oboes	181 Cello 182 Violins I 183 Violins 184 Violins and Oboe II 185 Violins and Oboes 186-92 Cello	Violins	Soloists	
Repetition of Thematic Material	103-09 = 175-81	110-20 = 181-92			

### Ritornello 2 and first half of Solo 2 (Development)

In the three J.C. Bach symphonie concertantes, the second ritornello (R2) and the first half of the second solo (S2) occur within the development. In Symphonie Concertante C32, R2 consists of the link (mm. 120-27) and preparation zones (mm. 131-40) as indicated in Figure 2-8.

Figure 2-8. Outline of Symphonie Concertante C32 R2.

DEVELOPMENT	Second Ritornello (R2)		
<i>Measures</i>	120-27	128-31	131-40
<i>H &amp; D Name</i>	<b>Introduction/Link</b>		<b>Preparation Zone</b>
<i>Correspondence in Exposition</i>	<b>R1:\P 1.1</b>	<b>R1:\P 2.1</b>	<b>New Material</b>
<i>Cadence</i>	PAC	PAC	
<i>Key</i>	D Major		136-40 E Minor
<i>Melody Instrument(s)</i>	Violins and Oboe	Violins and Oboe	Violins and Oboe
<i>Repetition of Thematic Material</i>	1-8 = 120-27	9-12 = 128-31	

The introduction “link” zone theme states R1:\P beginning in the dominant, while the preparation zone theme contains new material not heard in either R1 or S1 and modulates to the submediant. S2 (mm. 140-61) and S2:\TI (mm. 162-65) make up the second half of the development, as shown in Figure 2-9. As stated above, S2 is the central action zone. The thematic material in S2 is new and starts in the submediant before returning to the dominant and eventually the tonic. S2:\TI is the retransition zone. The thematic material quotes a portion of mm. 22-26 from R1:\TR 1.1 and begins in tonic.

Figure 2-9. Outline of Symphonie Concertante C32 S2 and S2:\TI.

DEVELOPMENT	Second Solo (S2)			
<i>Measures</i>	140-46	146-54	155-62	162-65
<i>H &amp; D Name</i>	<b>Central Action Zone</b>			<b>S2:\TI</b>
<i>Correspondence in Exposition</i>	<b>New Material</b>	<b>New Material</b>	<b>New Material</b>	<b>Retransition Zone</b>
<i>Cadence</i>	PAC	PAC	IAC	<b>R1:\TR 1.1</b>
<i>Key</i>	140-46 E Minor	146-54 D Major	155-62 G Major	HC G Major
<i>Melody Instrument(s)</i>	Violins	Violins	Violins	Violins and Oboes
<i>Repetition of Thematic Material</i>				22-26 = 162-65

### Ritornello 3

Ritornello 3 (R3), as shown in Figure 2-10, is the final part of this movement. All of R3 quotes material found in R1:\TM2, R1:\TM3, and R1:\C 1.1. The only real

difference is the cadence at m. 210. In R1, this cadence was the EEC, but in R3 it is not. The ESC already occurred at the end of the cadenza in S2.

Figure 2-10. Outline of Symphonie Concertante C32 R3.

RECAPITULATION	Third Ritornello (R3)		
<i>Measures</i>	196-203	204-10	210-15
<i>H &amp; D Name</i>	<b>R1:TM2</b>	<b>R1:TM3</b>	<b>R1:C 1.1</b>
<i>Cadence</i>	HC	PAC	PAC
<i>Key</i>	G Major		
<i>Melody Instrument(s)</i>	Violins and Oboes	204-07 Violin I 207-10 Violins and Oboe	Violins and Oboes
<i>Repetition of Thematic Material</i>	33-40 = 196-203	41-47 = 204-10	47-52 = 210-15

To summarize Symphonie Concertante C32, its formal aspects closely resemble ritornello form and not sonata-concerto form. This movement consists of three tutti and two solo sections: R1 is the tutti portion of the exposition, S1 the solo portion of the exposition, R2 begins the development, S2 continues the development and begins the recapitulation, and R3 concludes the recapitulation and the movement. Also, the P Zone present in S1 is not repeated in S2.<sup>45</sup>

#### Symphonie Concertante C40 in E $\flat$ Major

Johann Christian Bach composed Symphonie Concertante C40 in 1770. Scored for two solo oboes, two solo horns, two solo violins, two solo violas, solo cello, and orchestra, the work contains only two movements: Andante and Minuetto. This analysis will focus on the formal design of the Andante movement shown in Figure 2-11. The shaded regions in Figure 2-11 designate the three tutti ritornellos (Ritornello 1 is the tutti portion of the exposition, Ritornello 2 begins the development, and Ritornello 3

<sup>45</sup> A movement where the P Zone is not present in the recapitulation resembles what Hepokoski and Darcy call a Type 2 Sonata. For the exact definition of a Type 2 Sonata, see note #.

concludes the recapitulation), while the non-shaded areas are the three solo sections (Solo 1 is the solo portion of the exposition, Solo 2 is the remainder development, and Solo 3 is the solo portion of the recapitulation). The formal design of the exposition, development, and recapitulation are shown in Figure 2-12a, Figure 2-12b, and Figure 2-12c respectively; the shaded regions in these figures designate structural cadences.

Figure 2-11. Formal design of Symphonie Concertante C4, i, Andante.

EXPOSITION		DEVELOPMENT		RECAPITULATION	
<b>R1</b>	<b>S1</b>	<b>R2</b>	<b>S2</b>	<b>R3</b>	
1-33	34-90	90-106	106-136	136-177	177-187

Figure 2-12a. Formal design of Symphonie Concertante C40, i, exposition.

EXPOSITION					
RITORNELLO 1 (R1)					
1-7 R1:\P 1.1 E $\flat$ MAJOR	7-12 R1:\TR 1.1	12 R1:\MC1	13-16 R1:\TM1 B $\flat$ MAJOR	17-20 R1:\TM2	20 R1:\MC2

EXPOSITION					
R1 cont.			SOLO 1 (S1)		
20-28 R1:\TM3 E $\flat$ MAJOR	28 R1:\EEC	28-33 R1:\C 1.1	34-39 S1:\P 1.1	39-44 S1:\P 1.2	44-52 S1:\TR 1.1

EXPOSITION					
S1 cont.					
52 Cadenza 1	53-55 R1:\TM1	55-56 S1:\TR 1.2 B $\flat$ MAJOR	56 S1:\MC	57-62 S1:\S 1.1	62-66 S1:\S 1.2

EXPOSITION				
S1 cont.				
66-71 S1:\S 1.3	72-79 S1:\S 1.4	79 S1:\EEC	79-86 S1:\C 1.1	86-90 S1:\C 2.1

Figure 2-12b. Formal design of Symphonie Concertante C40, i, development.

DEVELOPMENT						
RITORNELLO 2 (R2)			SOLO 2 (S2)			
90-98 Link R1:\P 1.1 B $\flat$ MAJOR	98-99 Preparation Zone R1:\TM1	100-06 R1:\TM2	106-17 S1:\P 1.1 E $\flat$ MAJOR	117-21 New Material	121-27 New Material	128-33 New Material
						134-36 S2:\TI Retransition Zone R1:\P 1.1



Figure 2-12c. Formal design of Symphonie Concertante C40, i, recapitulation.

RECAPITULATION			
SOLO 2 (S2)			
136-41 <b>S1:\P 1.1</b> E $\flat$ MAJOR	141-47 <b>S2:\TR 1.1</b>	146 <b>S2:\MC</b>	147-52 <b>S1:\S 1.1</b>

RECAPITULATION			
S2 cont.			
152-57 <b>S2:\S 1.1</b>	157-63 <b>S2:\S 1.2</b>	163-68 <b>S2:\S 2.1</b>	168-76 <b>S2:\S 3.1</b>

RECAPITULATION			
S2 cont.		RITORNELLO 4 (R4)	
176 <b>Cadenza 2</b>	177 <b>S2:\ESC</b>	177-82 <b>R1:\TM3</b>	182-87 <b>R1:\C 1.1</b>

### Ritornello 1

Having viewed the formal design of this movement, it is time to discuss the specific details within, beginning with the exposition. The P Zone extends through the first seven measures of the movement and is made up of only one module, ending on an IAC in tonic, as shown in Figure 2-13.

Figure 2-13. Outline of Symphonie Concertante C40 R1:\P, R1:\TR, and R1:\MC1.

EXPOSITION			
First Ritornello (R1)	Primary Theme Zone	Transition	
<i>Measures</i>	1-7	7-12	12
<i>H &amp; D Name</i>	<b>R1:\P 1.1</b>	<b>R1:\TR 1.1</b>	<b>R1:\MC1</b>
<i>Cadence</i>	IAC	HC	I:HC
<i>Key</i>	E $\flat$ Major		
<i>Melody Instrument(s)</i>	Violins	Violins	

TR (mm. 7-12) contains one module over a tonic pedal, ending with R1:\MC1 (I:HC); a second-level default MC according to Hepokoski and Darcy. The MC is approached in mm. 10-11 with tonic harmony and arrives in m. 12 with dominant harmony.

The second half of R1 begins with a TMB, as diagramed in Figure 2-14. The first module of the TMB (mm. 13-16) begins in B $\flat$  major, the dominant. The second module (mm. 17-20), in which the violins and oboe play the melody, concludes with a PAC in the dominant. Shaded in gray is the second MC in R1, a fourth-level default (I:PAC) according to Hepokoski and Darcy. The third module of the TMB begins in tonic (E $\flat$  Major) and concludes with a PAC, the EEC. The C Theme finishes R1 and prepares the movement for the first solo (S1).

Figure 2-14. Outline of Symphonie Concertante C40 R1:\S, R1:\EEC, and R1:\C.

EXPOSITION						
First Ritornello (R1)	Trimodular Block as Secondary Theme Zone					Closing Theme Zone
<i>Measures</i>	13-16	17-20	20	20-28	28	28-33
<i>H &amp; D Name</i>	R1:\TM1	R1:\TM2	R1:\MC2	R1:\TM3	R1:\EEC	R1:\C 1.1
<i>Cadence</i>		PAC	V:PAC	PAC	I:PAC	IAC
<i>Key</i>	B $\flat$ Major			E $\flat$ Major		
<i>Melody Instrument(s)</i>	Violins	Violins and Oboe		Violins		Violins and Oboe

### Solo 1 and the second half of Solo 2

S1 and S2 begin with the P Zone before moving to TR, as indicated in Figure 2-15. In S1, the P Zone contains two modules, S1:\P 1.1 and S1:\P 1.2, and finishes with a HC and PAC respectively. In S2, the P Zone consists of one module that restates S1:\P 1.1, though truncated. Additionally, the HC in S1 is altered to an IAC in S2.

Figure 2-15. Outline of Symphonie C40 S1:\P, S1:\TR, S1:\MC, S2:\P, S2:\TR, and S2:\MC.

EXPOSITION		Transition			
First Solo (S1)		Primary Theme Zone		Transition	
Measures	34-39	39-44	56	53-55	55-56
H & D Name	S1:\P 1.1	S1:\P 1.2	S1:\MC	R1:\TM1	S1:\TR 1.2
Cadence	HC	PAC	V:IAC	PAC	IAC
Key	E $\flat$ Major				B $\flat$ Major
Melody Instrument(s)	Oboes	Oboes and Horn		Violins and Oboe	Oboes
Repetition of Thematic Material		33-44 = 136-41			

RECAPITULATION		Transition			
Second Solo (S2)		Primary Theme Zone		Transition	
Measures	136-41	141-47	146	141-47	146
H & D Name	S1:\P 1.1	S2:\TR 1.1	S2:\MC	HC	I:HC
Cadence	IAC				
Key	E $\flat$ Major				
Melody Instrument(s)	136-38 Oboes 139-41 Violas	141-43 Violins 143-44 Oboes 144-45 Violins 145-46 Oboes 146-47 Violins			
Repetition of Thematic Material	34-36 = 136-38				

The transition in S1 contains four modules: S1:\TR 1.1, Cadenza 1, R1:\TM1, and S1:\TR 1.2. The first module (mm. 44-52) ends on a half cadence in tonic with the violins playing the melody. The second module (m. 52) is an improvised cadenza, which in the concerto style is an unusual move. A cadenza should occur near the conclusion of the whole movement, not in the middle of the exposition.<sup>46</sup> The theme in the third module (mm. 53-54) is from R1:\TM1, the final two measures that were part of a four-measure phrase. This module concludes with a PAC in tonic. The final module in S1:\TR (mm. 55-56) modulates to the dominant and ends with an IAC, a third-level default MC (V:IAC). In S2, the transition contains one module (mm 141-147) that finishes with a second-level default MC (I:HC); the thematic material restates the first three measures from S1:\P 1.1. The other three modules in S1 are absent in S2. The conclusion of TR in S1 and S2 allows the S Zone to begin.

In S1, the S Zone (mm. 57-79) contains four modules: S1:\S 1.1, S1:\S 1.2, S1:\S 1.3, and S1:\S 1.4 as indicated in Figure 2-16. The first module, in which the cello presents the main melodic material, ends on a half cadence in the dominant key. The second module also ends on a half cadence, with the main melodic material played by the violins. In the third module, the melodic content divides between the cello and violins, ending on an IAC. The final module's thematic material separates between the oboes and violins, ending with S1:/EEC. The C Zone follows the EEC and concludes S1 with a

---

<sup>46</sup> The opening movement to Beethoven's Fourth and Fifth Piano Concertos are prime examples of a movement having a cadenza at the beginning of the movement instead of the end (a cadenza does appear at the end of the movement in each concerto). Also, symphonies no. 6 (*Le Matin*), no. 7 (*Le Midi*), and no. 8 (*Le Soir*) by Joseph Haydn each contain cadenzas in their expositions.

PAC. In these three symphonie concertantes presented in this study, C40 is the only one to contain a C Zone in the solo portion of the exposition. In S2, the S Theme (mm. 147-77) includes six modules: S1:\S 1.1, S2:\S 1.1, S2:\S 1.2, S2:\S 2.1, S2:\S 3.1, and Cadenza 2. The first module corresponds directly with that in S1:\S. The second through fifth modules present new thematic material split among the violins, cello, horn, and oboe. The final module is the main cadenza for the movement. Once the soloist(s) plays the trill (on the second scale degree), the orchestra arrives on a PAC, the ESC, which signals the end of S2.

Figure 2-16. Outline of Symphonie C40 S1:\S, S1:\EEC, S1:\C, S2:\S, and S2:\ESC.

EXPOSITION		Secondary Theme Zone				Closing Theme Zone	
First Solo (S1)						79-86	86-90
Measures		57-62	62-66	66-71	72-79	79	
H & D Name		S1:\S 1.1	S1:\S 1.2	S1:\S 1.3	S1:\S 1.4	S1:\EEC	S1:\C 2.1
Cadence		HC	HC	IAC	PAC	V:PAC	PAC
Key		B $\flat$ Major					
Melody Instrument(s)		Cello	Violins	66-68 Cello 68-71 Violins	72-74 Oboes 74-75 Violins 76-79 Oboes		79-80 Violins 81-82 Horns 83-86 Cello
Repetition of Thematic Material		57-62 = 147-52					

↕

RECAPITULATION		Secondary Theme Zone					
Second Solo (S2)						176	177
Measures		147-52	152-57	157-63	163-68	176	177
H & D Name		S1:\S 1.1	S2:\S 1.1	S2:\S 1.2	S2:\S 2.1	Cadenza 2	S2:\ESC
Cadence		HC	IAC	PAC	PAC	PAC	I:PAC
Key		E $\flat$ Major					
Melody Instrument(s)		Cello	152-54 Violins 154-57 Cello	157-59 Horns 159-60 Oboes 160-61 Violins 161-62 Oboes 162-63 Violins	163-68 Oboes 168-70 Violins 170-72 Cello 172-76 Violins	Soloists	
Repetition of Thematic Material		57-62 = 147-52					

### Ritornello 2 and the first half of Solo 2 (Development)

The development follows S1, and as in *Symphonie Concertante* C32, includes Ritornello 2 (R2) and the first half of Solo 2 (S2). R2 consists of the link and preparation zones, as shown in Figure 2-17. The link section (mm. 90-98) contains material from R1:\P 1.1, recomposed to the dominant key. The material in the Preparation Zone (mm. 98-106) restates the final two measures of R1:\TM1 and the first couple of measures from R1:\TM2 from R1 twice. In both cases, the violins and oboes present the main melodic content.

Figure 2-17. Outline of *Symphonie Concertante* C40 R2.

DEVELOPMENT	Second Ritornello (R2)	
<i>Measures</i>	90-98	98-99      100-06
<i>H &amp; D Name</i>	<b>Link</b>	<b>Preparation Zone</b>
<i>Correspondence in Exposition</i>	<b>R1:\P 1.1</b>	<b>R1:\TM1      R1:\TM2</b>
<i>Key</i>	B $\flat$ Major	
<i>Melody Instrument(s)</i>	Violins	Violins and Oboe    Violins and Oboe
<i>Repetition of Thematic Material</i>	1-9 = 90-98	15-16 = 98-99      17-20 = 100-02 18-19 = 103-04

The Central Action Zone (mm. 106-133) consists of four modules with the first obtaining its material from S1:\P 1.1 and modulating back to tonic, much earlier than a typical development that changes key towards the end of the development. The first two measures of the second module restate the final measures of R1:\P 1.1; the rest of the thematic material in the second module (along with the third and fourth modules) contain new material, as shown in Figure 2-18. S2:\TI makes up final part of the development, the re-transition zone (mm. 133-136). The thematic material is new, as with the majority of the S2.

Figure 2-18. Outline of Symphonie Concertante C40 S2 and S2:\TI.

DEVELOPMENT	Second Solo (S2)				
<i>Measures</i>	106-17	117-21	121-27	128-33	134-36
<i>H &amp; D Name</i>	Central Action Zone				S2:\TI
<i>Correspondence in Exposition Key</i>	S1:\P 1.1 E $\flat$ Major	New Material	New Material	New Material	Retransition Zone R1:\P 1.1
<i>Melody Instrument(s)</i>	106-13 Solo Strings 114-16 Oboes	117-121 Violins and Oboe	121-24 Oboes 124-27 Strings	128-31 Strings 132-33 Violins and Oboe	134-36 Horns
<i>Repetition of Thematic Material</i>	34-38 = 106-17	7-8 = 117-18			

### Ritornello 3

R3 concludes Symphonie Concertante C40, as seen in Figure 2-19. The material found in R3 (mm. 177-87) comes from two locations, R1:\TM3 and the R1:\C 1.1. In both cases, the entire orchestra shares the load for the melodic content that finishes the movement. Of the three symphonie concertantes in this study, C40 is the shortest at only 187 measures.<sup>47</sup>

Figure 2-19. Outline of Symphonie Concertante C40 R3.

RECAPITULATION	Third Ritornello (R3)	
<i>Measures</i>	177-82	182-87
<i>H &amp; D Name</i>	R1:\TM3	R1:\C 1.1
<i>Cadence</i>	PAC	IAC
<i>Key</i>	E $\flat$ Major	
<i>Melody Instrument(s)</i>	Orchestra	Orchestra
<i>Repetition of Thematic Material</i>	23-28 = 177-82	28-33 = 182-87

To summarize C40, the form, as with C32, resembles ritornello form rather than a Type 5 Sonata. C40 includes a cadenza in S1, the only symphonie concertante to feature such. Also, this movement has nine soloists, the most of any symphonie concertante in this study.

<sup>47</sup> C32 is made up of 215 measures and C41 at 227.



## Symphonie Concertante C41 in E $\flat$ Major

### Ritornello 1

Johann Christian Bach composed Symphonie Concertante C41 in 1770. Scored for two solo clarinets, two solo horn, solo bassoon, and orchestra, the work contains three movements: Allegro assai, Larghetto, and Minuetto. This analysis will focus on the formal design of the Allegro assai movement shown in Figure 2-1. The shaded regions in Figure 2-20 designate the three tutti ritornellos (Ritornello 1 is the tutti portion of the exposition, Ritornello 2 begins the development, and Ritornello 3 concludes the recapitulation), while the non-shaded areas are the three solo sections (Solo 1 is the solo portion of the exposition, Solo 2 is the remainder development, and Solo 3 is the solo portion of the recapitulation). The formal design of the exposition, development, and recapitulation are shown in Figure 2-21a, Figure 2-21b, and Figure 2-21c respectively; the shaded regions in these figures designate structural cadences.

Figure 2-20. Formal design of Symphonie Concertante C41, i, Allegro assai.

EXPOSITION		DEVELOPMENT		RECAPITULATION	
R1	S1	R2	S2	R3	
1-59	60-116	116-133	134-151	152-212	212-227

Figure 2-21a. Formal design of Symphonie Concertante C41, i, exposition.

EXPOSITION						
RITORNELLO 1 (R1)						
1-10 <b>R1:\P 1.1</b> E $\flat$ MAJOR	11-19 <b>R1:\TR 1.1</b>	19-23 <b>R1:\TR 1.2</b> B $\flat$ MAJOR	23 <b>R1:\MC1</b>	23-27 <b>R1:\TM1</b>	27-34 <b>R1:\TM2 1.1</b>	34-38 <b>R1:\TM1 2.1</b>

EXPOSITION						
R1 cont.						SOLO 1 (S1)
38 <b>R1:\MC2</b>	38-44 <b>R1:\TM3 1.1</b> B $\flat$ MAJOR E $\flat$ MAJOR	44-50 <b>R1:\TM3 2.1</b> E $\flat$ MAJOR A $\flat$ MAJOR	50-57 <b>R1:\TM3 2.2</b> E $\flat$ MAJOR	57 <b>R1:\EEC</b>	57-59 <b>R1:\C 1.1</b>	60-68 <b>S1:\P 1.1</b>

EXPOSITION						
S1 cont.						
68-74 <b>S1:\P 2.1</b>	75-83 <b>R1:\TR 1.1</b>	83-87 <b>R1:\TR 1.2</b> B $\flat$ MAJOR	87 <b>S1:\MC</b>	87-91 <b>S1:\S 1.1</b>	91-95 <b>S1:\S 2.1</b>	95-99 <b>S1:\S 3.1</b>

EXPOSITION				
S1 cont.				
99-104 <b>S1:\S 3.2</b> B $\flat$ MAJOR E $\flat$ MAJOR	104-107 <b>S1:\S 3.3</b> E $\flat$ MAJOR B $\flat$ MAJOR	107-12 <b>S1:\S 4.1</b> B $\flat$ MAJOR E $\flat$ MAJOR	112-16 <b>S1:\S 4.2</b> E $\flat$ MAJOR B $\flat$ MAJOR	116 <b>S1:\EEC</b>

Figure 2-21b. Formal design of Symphonie Concertante C41, i, development.

DEVELOPMENT				
RITORNELLO 2 (R2)			SOLO 2 (S2)	
116-22 <b>Link</b>	122-28 <b>Preparation Zone</b>	128-33	134-38 <b>Central Action Zone</b>	138-49
<b>New Material</b> B $\flat$ MAJOR	<b>R1:\TM3 2.1</b>	<b>R1:\TM3 2.2</b>	<b>S1:/S 1.1</b>	<b>New Material</b> C MINOR
				149-51 <b>S2:\TI</b> <b>Retransition Zone</b> <b>New Material</b> E $\flat$ MAJOR

Figure 2-21c. Formal design of Symphonie Concertante C41, i, recapitulation.

RECAPITULATION			
SOLO 2 (S2)			
152-60 S1:\P 1.1 E $\flat$ MAJOR	160-66 S1:\P 2.1	167-75 R1:\TR 1.1	175-82 S2:\TR 1.1

RECAPITULATION			
S2 cont.			
182 S2:\MC	183-87 S1:\S 1.1	187-91 S1:\S 2.1	191-95 S1:\S 3.1

RECAPITULATION			
S2 cont.			
195-200 S1:\S 3.2 E $\flat$ MAJOR A $\flat$ MAJOR	200-03 S1:\S 3.3 A $\flat$ MAJOR E $\flat$ MAJOR	203-08 S1:\S 4.1 E $\flat$ MAJOR A $\flat$ MAJOR	208-12 S1:\S 4.2 A $\flat$ MAJOR E $\flat$ MAJOR

RECAPITULATION			
S2 cont.	RITORNELLO 3 (R3)		
212 S2:\ESC	212-18 R1:\TM3 2.1 E $\flat$ MAJOR	218-25 R1:\TM3 2.2	225-27 R1:\C 1.1

Having viewed the formal design of this movement, it is time to discuss the specific details within, beginning with the exposition. The P Zone consists of one module that extends through the first ten measures of the movement, as shown in Figure 2-22. A PAC in m. 7 precedes a cadential extension that features a tonic pedal in the bass.

Figure 2-22. Outline of Symphonie Concertante C41 R1:\P, R1:\TR, and R1:\MC1.

EXPOSITION				
First Ritornello (R1)	Primary Theme Zone	Transition		
<i>Measures</i>	1-10	11-19	19-23	23
<i>H &amp; D Name</i>	<b>R1:\P 1.1</b>	<b>R1:\TR 1.1</b>	<b>R1:\TR 1.2</b>	<b>R1:\MC1</b>
<i>Cadence</i>	PAC	HC	HC	V:HC
<i>Key</i>	E $\flat$ Major	B $\flat$ Major		
<i>Melody Instrument(s)</i>	Violins	Violins	Violins	

TR (mm. 11-23) contains two modules. The first begins in the tonic key over a dominant pedal in the bass. The second module starts in the dominant (the only TR to modulate to the dominant among three symphonie concertantes in R1) and ends with R1:\MC2, a first-level default (V:HC).

The second half of R1 begins with a TMB, as shown in Figure 2-23. The first module makes up R1:\TM1, ending with a half cadence. R1:\TM2 follows and consists of two modules, both concluding with a PAC; the last cadence serves as a third-level default MC (V:PAC). R1:\TM3 contains three modules. The first two modules share common thematic material. The main difference between the two is that R1:\TM3 1.1 begins in the dominant and finishes in the tonic while R1:\TM3 2.1 starts in the tonic and ends in the subdominant. The change of keys is done via a down-by-fifth sequence (B $\flat$  to E $\flat$  and then to A $\flat$ ). The final module of R1:\TM3 opens in the tonic and concludes the TMB with the R1:\EEC. The C Zone (mm. 57-59) follows the EEC and ends R1.

Figure 2-23. Outline of Symphonie Concertante C41 R1:\S, R1:\EEC, and R1:\C.

EXPOSITION		Trimodular Block as Secondary Theme Zone						Closing Theme Zone	
First Ritornello (R1)		34-38		38		38-44		57	
Measures		23-27	27-34	34-38	R1:TM1	R1:MC2	R1:TM3 1.1	44-50	50-57
H & D Name		R1:TM1	R1:TM2 1.1	R1:TM1 2.1	HC	V:PAC	PAC	R1:TM3 2.1	R1:TM3 2.2
Cadence			PAC	PAC				HC	PAC
Key		B $\flat$ Major					38-40 B $\flat$ Major 40-44 E $\flat$ Major	44-46 E $\flat$ Major 46-50 A $\flat$ Major	E $\flat$ Major
Melody Instrument(s)		Violins	Violins	Violins			Violins	44-47 Violins 48-50 Violins and Oboe	50-55 Violins and Oboe 56-57 Oboes and Clarinet
									Oboes and Clarinet

### Solo 1 and the second half of Solo 2

The P Zone in S1 (mm. 60-74) consists of two modules (S1:\P 1.1 and S1:\P 2.1) that end with a PAC and IAC respectively, as indicated in Figure 2-24. S1:\P does not quote any material from R1:\P. In S2, the P Zone also separates into two modules that correspond directly with those in S1. TR in both S1 and S2 consists of two modules. In S1, the transition begins in tonic and restates in full R1:\TR 1.1 and R1:\TR 1.2. The final module modulates to the dominant and ends on a half cadence, a first-level default MC (V:HC) according to Hepokoski and Darcy. In S2, the first module of TR starts in the tonic and restates the material from S1. The final module in S2:\TR contains new material and concludes with a fourth-level default MC (I:PAC).

Figure 2-24. Outline of Symphonie C41 S1:\P, S1:\TR, S1:\MC, S2:\P, S2:\TR, and S2:\MC

EXPOSITION					
First Solo (S1)	Primary Theme Zone		Transition		
Measures	60-68	68-74	75-83	83-87	87 S1:MC V:HC
H & D Name	S1:P 1.1	S1:P 2.1	R1:TR 1.1	R1:TR 1.2	
Cadence	PAC	IAC	HC	HC	
Key	E♭ Major		B♭ Major		
Melody Instrument(s)	Clarinets	Clarinets	Violins	Violins	
Repetition of Thematic Material	60-68 = 152-60	68-74 = 160-66	11-19 = 75-83	19-23 = 83-87	
<div><div>↕</div><div>↕</div><div>↕</div></div>					
RECAPITULATION					
Second Solo (S2)	Primary Theme Zone		Transition		
Measures	152-60	160-66	167-75	175-82	182 S2:MC I:PAC
H & D Name	S1:P 1.1	S1:P 2.1	R1:TR 1.1	S2:TR 1.1	
Cadence	PAC	IAC	HC	PAC	
Key	E♭ Major				
Melody Instrument(s)	Clarinets	Clarinets	Violins	Violins	
Repetition of Thematic Material	60-68 = 152-60	68-74 = 160-66	75-83 = 167-75		

S1:\S and S2:\S divide into seven modules, as indicated in Figure 2-25. The thematic material in S1:\S does not restate any found in R1. The first two modules end with a

PAC and the third with an IAC. The final four modules are similar in that they contain the same material; the final pair (sixth and seventh modules) quotes the first pair (fourth and fifth modules). The only difference is that S1:\S 4.2 consists of an extra measure because the I $\frac{4}{4}$ -V-I progression at the end of S1:\S 3.3 occupies two measures, while in S1:\S 4.2 it spans three measures. Also, the tonal center moves down by fifth to E $\flat$  major twice, once from mm. 103-105 and mm. 111-113; between the two, the key is in B $\flat$  major. The cadence at the end of the final module is the EEC. S2:\S modules correspond directly with those in S1, only recomposed to tonic. As in S1, the key in S2 also moves down by fifth to A $\flat$  major in mm. 199-201 and mm. 207-209. Before the arrival of the ESC, there should be a cadenza; however, this is not the case in this movement. Of the three symphonie concertantes in this study, this is the only one not to feature a cadenza of any kind. The PAC in m. 212 is the ESC in S2.

Figure 2-25. Outline of Symphonie Concertante C41 S1:\S, S1:\EEC, S2:\S, and S2:\ESC.

EXPOSITION	
<b>First Solo (S1)</b>	
<i>Measures</i>	87-91 91-95 95-99 99-104 104-107 107-12 112-16 116
<i>H &amp; D Name</i>	S1:\S 1.1 S1:\S 2.1 S1:\S 3.1 S1:\S 3.2 S1:\S 3.3 S1:\S 4.1 S1:\S 4.2
<i>Cadence</i>	PAC PAC PAC IAC PAC IAC PAC
<i>Key</i>	B $\flat$ Major 99-102 B $\flat$ Major 103-04 E $\flat$ Major 104-05 E $\flat$ Major 106-07 B $\flat$ Major 107-10 B $\flat$ Major 112-13 E $\flat$ Major 114-16 B $\flat$ Major
<i>Melody Instrument(s)</i>	Clarinets and Bassoon
<i>Repetition of Thematic Material</i>	87-91 = 183-87 91-95 = 187-91 95-99 = 191-95 99-104 = 195-200 104-07 = 200-03 107-12 = 203-08 112-16 = 208-12
<b>RECAPITULATION</b>	
<b>Second Solo (S2)</b>	
<i>Measures</i>	183-87 187-91 191-95 195-200 200-03 203-08 208-12 212
<i>H &amp; D Name</i>	S1:\S 1.1 S1:\S 2.1 S1:\S 3.1 S1:\S 3.2 S1:\S 3.3 S1:\S 4.1 S2:\S 4.2
<i>Cadence</i>	PAC PAC PAC IAC PAC PAC IAC
<i>Key</i>	E $\flat$ Major 195-98 E $\flat$ Major 199-200 A $\flat$ Major 202-03 E $\flat$ Major 203-06 E $\flat$ Major 207-08 A $\flat$ Major 208-09 A $\flat$ Major 210-12 E $\flat$ Major
<i>Melody Instrument(s)</i>	Clarinets and Bassoon
<i>Repetition of Thematic Material</i>	87-107 = 183-203 91-95 = 187-91 95-99 = 191-95 99-104 = 195-200 104-07 = 200-03 107-12 = 203-08 112-16 = 208-12



### Ritornello 2 and the first half of Solo 2 (Development)

The development, as in Symphonie Concertante C32 and C40, includes R2 and the first half of S2, as shown in Figure 2-26.

Figure 2-26. Outline of Symphonie Concertante C41 R2, S2, and S2:\TI.

DEVELOPMENT	Second Ritornello (R2)			Second Solo (S2)		
<i>Measures</i>	116-22	122-28	128-33	134-38	138-49	149-51
<i>H &amp; D Name</i>	<b>Link</b>	<b>Preparation Zone</b>		<b>Central Action Zone</b>		<b>S2:\TI</b>
<i>Correspondence in Exposition</i>	<b>New Material</b>	<b>R1:\TM3 2.1</b>	<b>R1:\TM3 2.2</b>	<b>S1:/S 1.1</b>	<b>New Material</b>	<b>Retransition Zone</b>
<i>Key</i>	B $\flat$ Major			C Minor		E $\flat$ Major
<i>Melody Instrument(s)</i>	Violins			Clarients and Bassoon		Violins and Oboe
<i>Repetition of Thematic Material</i>		44-50 = 122-28	50-57 = 128-33	91-95 = 134-38		

The development begins with a link that does not restate material from the exposition. In the preparation zone that follows, the thematic material quotes R1:\TM3 2.1 and R1:\TM3 2.2, now played in the dominant as opposed to tonic. The central action zone (S2) restates thematic material S1:/S 1.1, played in the submediant instead of the dominant. The last part of the central action zone contains new material, also in the submediant. The final part of the development is the retransition (S2:\TI), whose thematic material is new and begins in tonic.

### Ritornello 3

R3 concludes this movement, as shown in Figure 2-27. R3 restates R1:\TM3 2.1, R1:\TM3 2.2, and R1:\C 1.1, the last three modules of R1.

Figure 2-27. Outline of Symphonie Concertante C41 R3.

RECAPITULATION	Third Ritornello (R3)		
<i>Measures</i>	212-18	218-25	225-27
<i>H &amp; D Name</i>	<b>R1:TM3 2.1</b>	<b>R1:TM3 2.2</b>	<b>R1:C 1.1</b>
<i>Cadence</i>	DC	PAC	IAC
<i>Key</i>	E $\flat$ Major		
<i>Melody Instrument(s)</i>	212-15 Violins 216-18 Violins and Oboe	218-23 Violins and Oboe 224-25 Oboes and Clarinet	Oboes and Clarinet
<i>Repetition of Thematic Material</i>	44-50 = 212-18	50-57 = 218-25	57-59 = 225-27

To summarize C41, it is unusual in that the soloists are not string instruments, but rather wind instruments. S1:\S and S2:\S both modulate, but conclude in the same key in which they started. Unlike the other two symphonie concertantes, C41 does not contain a cadenza, neither improvised nor written out. One similarity among the three symphonie concertantes is the fact that all three use ritornello form instead of the Type 5 Sonata form.

## CHAPTER IV

### COMPARATIVE ANALYSIS

The first two chapters presented analyses of first movements from the Triple Concerto by Ludwig van Beethoven and from three symphonie concertantes by J.C. Bach. The present chapter will summarize the formal designs in the Bach works and compare them to the Beethoven, Op. 56. Due to the scope of this study, only three of Bach's 15 symphonie concertantes were analyzed. Even though this is a small sample, certain features are common among them. Other features are not shared, and still others are shared by two but not the other. Regardless, the features to be discussed fall into one of three categories: formal design of a zone (cadences and modulations), number of modules, and thematic repetition. The number of measures in a module is not included because the tempo of C40's first movement, marked Andante, is slower than the others and thus gives an imbalanced representation.

#### Symphonie Concertantes

Among the three symphonie concertantes, certain characteristics are common to all, as listed in Figure 3-1. In the exposition, R1:\TR always concludes with a half cadence, whether in the tonic or dominant. A trimodular block represents R1:\S, allowing for more thematic material to be presented in this section. The modulation within R1:\S precedes the final cadence, which is always a PAC in the dominant. The exposition's R1:\C always contains one short module. In S1, a modulation to the

dominant is consistent in S1:\TR, which affects the MC level of default. S1:\S thematic material does not come from the first ritornello and is new. In addition, the final cadence in S1:\S is always a PAC. In the development, R2 begins in the dominant and makes use of the link and preparation zones. The thematic material in R2 always restates a section from R1. Also, R2 contains three modules in all three concertantes. S2 consists of the central action, which includes a modulation, and S2:\TI begins in the tonic key and utilizes the retransition zone. In addition, S2:\TI contains one module, which is short. As expected, the recapitulation's S2:\TR quotes the corresponding material from S1:\TR. Just as S2:\TR quotes S1:\TR, S2:/S also restates thematic material from S1:\S and its final cadence is a PAC. The final portion of the recapitulation (R3) uses thematic material restating the end of R1:\S and all of R1:\C.

Figure 3-1. Features common among the symphonie concertantes.

EXPOSITION (R1 and S1)				
R1:\TR	R1:\S	R1:\C	S1:\TR	S1:\S
Final Cadence (HC)	Trimodular Block Modulation Final Cadence (PAC)	Modules (I)	Modulation (V)	No Correspondence to R1 Final Cadence (PAC)
DEVELOPMENT (R2 and S2)				
R2	S2			
Begins in the dominant Uses link and preparation zones Material from R1 Modules (3)	Uses the Central Action Zone Modulation S2:\T1 is Retransition Zone, begins in tonic, and consists of 1 module			
RECAPITULATION (S2 and R3)				
S2:\TR	S2:\S	R3		
Correspondence to S1	Correspondence to S1 Final Cadence (PAC)	Correspondence to R1:\S and R1:\C		

While some characteristics are consistent among the concertantes, others are distinctive, as indicated in Figure 3-2, which builds on Figure 3-1 by adding the category “no common features.” The number of modules by far is the greatest variable. For example, S1:\TR and S2 have two (C41), three (C32), or four (C40) modules. In the exposition, S1:\S ranges between two and seven modules; in S2:\S the range is between four and seven. The recapitulation’s S2:\P, the number of modules consists of zero (C32), one (C40), and two (C41) modules. Another aspect not related to the number of modules is that in S1:\TR, the MC is a different cadence type in each concertante: PAC (C32), IAC (C40), and half cadence (C41). In all, a common feature that is not found consistently among the symphonie concertantes are the number of modules.

Figure 3-2. No common features in symphonie concertantes along with common features.

EXPOSITION (R1 and S1)		R1:TR	R1:S	R1:C	S1:TR	S1:S
Common among the three concertantes		Final Cadence (HC)	Trimodular Block Modulation Final Cadence (PAC)	Modules (I)	Modulation (V)	No Correspondence to R1 Final Cadence (PAC)
No common features					Modules Final Cadence	Modules

DEVELOPMENT (R2 and S2)		R2	S2
Common among the three concertantes		Begins in the dominant Uses Link and Preparation Zones Material from R1 Modules (G)	Uses the Central Action Zone Modulation S2:TI is Retransition Zone, begins in tonic, and consists of 1 module
No common features			Modules in Central Action Zone

RECAPITULATION (S2 and R3)		S2:P	S2:TR	S2:S	R3
Common among the three concertantes			Correspondence to S1	Correspondence to S1 Final Cadence (PAC)	Correspondence to R1:S and R1:C
No common features		Modules		Modules	

The last two figures have shown formal events that are shared and those that are distinct among the three symphonie concertantes. Figure 3-3, which builds on Figure 3-2, lists events found in two symphonie concertantes but not the other. In the exposition, R1:\P ends with either an IAC or a PAC. In terms of modules, R1:\P has either one or four. R1:\TR does not have a modulation in two concertantes but does modulate to the dominant in the other. This affects the MC: it is either a second-level default (I:HC) or a first-level (V:HC). Since the modulation does not occur in two concertantes, R1:\TR, R1:\S provides that harmonic contrast. Unrelated to the modulation, the number of modules in the secondary theme zone is either three or four. R1:\C ends with a PAC or an IAC.

More often than not, S1:\P does not repeat thematic material from the first ritornello. Also, the final cadence is a PAC or an IAC. In addition, the number of modules in S1:\P is either two or three. S1:\TR uses either a third-level default MC (V:PAC) or a first-level (V:HC). Also, the thematic material restates the first ritornello in two symphonie concertantes. In S1:\S, a modulation does not occur; however in one symphonie concertante, the key changes to the tonic (this S1:\S begins and ends in the dominant). S1:\C does not exist in two symphonie concertantes, but does so in C40.

In the development, R2 does not contain a modulation in two symphonie concertantes. When a modulation is present, it is to the submediant (every R2 begins in the dominant). In the central action zone, the thematic material corresponds to material found in S1 in two symphonie concertantes; the other symphonie concertante consists of new material. The retransition zone's source of thematic material does not restate any found in the exposition; but when it does, it states R1:\P. In S2:\P, two symphonie



concertantes repeat the thematic material from S1:\P. In addition, the final cadence is either an IAC or a PAC. The final cadence in S2:\TR is either a half cadence or a PAC, affecting the MC; two symphonie concertantes have a second-level default MC (I:HC) and the other a fourth-level (I:PAC). Also, S2:\TR contains one module in two concertantes. S2:\S does not modulate in two symphonie concertantes; however, in one the modulation is to the subdominant. In addition, the final module leads to the cadenza, which occurs in two symphonie concertantes. In fact, one symphonie concertante has two cadenzas (the first occurs in the first solo). R3 contains either three modules or two. Two symphonie concertantes have an IAC as the final cadence, otherwise it is a PAC. In all, Figure 3-3 is the summary for these three symphonie concertantes. Using this information, the comparison to the Triple concerto can begin.

Figure 3-3. A typical symphonie concertante.

EXPOSITION (R1)		
	R1:P	R1:C
Common among the three concertantes		Modules (1)
No common features		
Common between two but not the other	Modules (1) Final Cadence (PAC)	Modules (3) Final Cadence (PAC)

EXPOSITION (S1)		
	S1:P	S1:C
Common among the three concertantes		No Correspondence to R1 Final Cadence (PAC)
No common features		Modules
Common between two but not the other	Modules (2) No Correspondence to R1 Final Cadence (PAC)	No Modulation No C Zone

DEVELOPMENT (R2 and S2)		
	R2	S2
Common among the three concertantes	Begins in the dominant Uses Link and Preparation Zones Material from R1 Modules (3)	Uses the Central Action Zone Modulation S2:TI is Retransition Zone, begins in tonic, and consists of 1 module
No common features		Modules in Central Action Zone
Common between two but not the other	No Modulation	Correspondence to S1 in Central Action Zone No Correspondence in Retransition Zone

RECAPITULATION (S2 and R3)		
	S2:P	R3
Common among the three concertantes		Correspondence to R1:S and R1:C
No common features	Modules	Modules
Common between two but not the other	Correspondence to S1 Final Cadence (IAC)	No Modulation Cadenza Modules (3) Final Cadence (IAC)

### Symphonie Concertantes and the Triple Concerto

The same three features that were used to describe the symphonie concertantes—formal design of a zone, number of modules, and thematic repetition—will now be applied to the Triple Concerto. The features that are common between the symphonie concertantes (SC) (common to all three symphonie concertantes) and the Triple Concerto (TC) are shown in Figure 3-4a (exposition) and Figure 3-4b (development and recapitulation). The shared features are few: the final cadences of R1:\TR, R1:\S, S1:\S, and S2:\S/S3:\3; a trimodular block replacing a S Theme Zone; modulations in both S1:\TR and S2; repetition of thematic material in R2, S2:\TR (SC)/S3:\TR (TC), S2:\S (SC)/S3:\S (TC), and R3 (SC)/R4 (TC); and S2:\TI (SC)/R3 (TC) begins in tonic. Entirely missing in all of this is the fact that the number of modules is never a shared feature.

Figure 3-4a. Comparison between the Symphonie Concertantes and Triple Concerto (Exposition)

EXPOSITION (R1)		
	R1:\TR	R1:\S
Common among the three concertantes	Final Cadence (HC)	Trimodular Block Final Cadence (PAC)
Triple Concerto	Final Cadence (HC)	Trimodular Block Final Cadence (PAC)

EXPOSITION (S1)		
	S1:\TR	S1:\S
Common among the three concertantes	Modulation (V)	Final Cadence (PAC)
Triple Concerto	Modulation (vi)	Final Cadence (PAC)

Figure 3-4b. Comparison between the Symphonie Concertantes and Triple Concerto (Development and Recapitulation).

R2 and S2 Development in Concertantes R2 part of Exposition, S2 Development, and R3 part of Recapitulation in Triple Concerto			
	R2	S2	S2:TI (SC), R3 (TC)
Common among the three concertantes	Material from R1	Modulation	Begins in tonic
Triple Concerto	Material from R1	Modulation	Begins in tonic

S2 and R3 Recapitulation in Symphonie Concertantes R3, S3, and R4 Recapitulation in Triple Concerto			
	S2:TR (SC), S3:TR (TC)	S2:S (SC), S3:S (TC)	R3 (SC), R4 (TC)
Common among the three concertantes	Correspondence to S1	Correspondence to S1 Final Cadence (PAC)	Correspondence to R1:S
Triple Concerto	Correspondence to S1	Correspondence to S1 Final Cadence (PAC)	Correspondence to R1:S

The main difference between the symphonie concertantes and the Triple Concerto is the treatment of R2, S2, R3, and R4. In the symphonie concertantes, R2 and S2 were part of the development: R2 comprised the link and preparation zones, S2 the central action and retransition zones. In the Triple Concerto, R2 functions as the conclusion to the exposition. The role of S2 is that of the whole development; all four zones are found in S2. The purpose of R3 in the symphonie concertantes is the conclusion of the recapitulation, while the Triple Concerto is that of the beginning of the recapitulation. R4 is present in the Triple concerto, serving as the conclusion to the recapitulation (R4 is absent in the symphonie concertantes).

In summary, the symphonie concertantes and the Triple Concerto share only a few features. Of the three categories discussed at the beginning of this chapter, only the number of modules is not assigned between the two genres.

## CHAPTER V

### CONCLUSION

The point of departure for his study was Alfred Einstein's suggestion that the symphonie concertante genre was the forerunner to the multiple-instrument concerto. After a careful formal analysis of three symphonie concertantes by Johann Christian Bach and the Triple Concerto by Ludwig van Beethoven, the conclusion is that the only similarity is presence of multiple soloists. The form of the concertantes is completely different than that of the Triple Concerto. First, the symphonie concertantes use ritornello form; the Triple Concerto uses Hepokoski and Darcy's Type 5 Sonata form (standard concerto form). Second, the soloists in the symphonie concertantes seldom restate ritornello themes, whereas in the Triple Concerto it is a common feature. For example, in the concertantes, only one or two modules from R1 are restated in S1; the rest of S1 is new material. In the Triple Concerto, there are only a few instances where the material in S1 is new (S1:\TR, S1:\TM3, and S1:\DE). Third, the development in the symphonie concertantes contains R2 and the first half of S2, while the Triple Concerto's development consists of only S2 (R2 finishes the exposition). Fourth, the recapitulation in the symphonie concertantes includes the second half of S2 and all of R3, while the Triple Concerto's recapitulation comprises R3, S3, and R4. Fifth, the cadenzas appear in the symphonie concertantes but not the Triple Concerto. Sixth, the symphonie concertantes do not contain display episodes, while the Triple Concerto does. Finally

the symphonie concertantes follow a simple tonic-dominant-tonic key scheme, while the Triple Concerto's key scheme is more complex.

Of course, more study is needed. Only three of Bach's 15 symphonie concertantes were analyzed, which is a small portion of the hundreds of symphonie concertantes written by other composers. Perhaps the formal design of those by Mozart and Haydn reveal a better connection between the symphonie concertante and the multiple-instrument concerto.

## BIBLIOGRAPHY

- Bach, Johann Christian. Edited by Ernest Warburton. *The Collected Works of Johann Christian Bach*, vols 30, 31, and 40. New York: Garland Publishing, 1984.
- Bach, Johann Christian. *The Concerted Symphonies of John Christian Bach: Three Symphonies in Score*. Florida State University, 1963.
- Bach, Johann Christian. *Sinfonia Concertante for Violin and Violoncello*. London: Ernst Eulenburg, Ltd., 1950.
- Beethoven, Ludwig van. *Concerto in C Major, Opus 56 For Violin, Cello, Piano, and 2<sup>nd</sup> Piano (reduction of the Orchestra)*. New York: International Music Company, 1987.
- Beethoven, Ludwig van. *Complete Piano Concertos in Full Score*. New York: Dover Publications, Inc, 1983.
- Brook, Barry S. "The 'Symphonie Concertante': An Interim Report." *The Musical Quarterly* 47, No. 4 (Oct. 1961): 493-516.
- Brook, Barry S. "The Symphonie Concertante: Its Musical and Sociological Bases." *International Review of the Aesthetics and Sociology of Music* 25, No. 1/2 (June-Dec. 1994): 131-148.
- Caplin, William E. *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*. New York: Oxford University Press, 1998.
- Fiske, Roger. *Beethoven Concertos & Overtures*. London: British Broadcasting Corporation, 1970.
- Gärtner, Heinz. *Johan Christian Bach: Mozart's Friend and Mentor*. Translated by Reinhard G. Pauly. Portland, OR: Amadeus Press, 1994.
- Geiringer, Karl. *The Bach Family: Seven Generations of Creative Genius*. New York: Oxford University Press, 1954.
- Green, Douglass M. *Form in Tonal Music: An Introduction to Analysis*. New York: Holt, Rinehart and Winston, Inc., 1965.



- Hepokoski, James and Warren Darcy. *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*. New York: Oxford University Press, 2006.
- Hopkins, Antony. *The Seven Concertos of Beethoven*. Aldershot: Scolar Press: 1996.
- Keefe, Simon P. ed. *The Cambridge Companion to the Concerto*. Cambridge: Cambridge University Press, 2005.
- Layton, Robert, ed. *A Guide To The Concerto*. Oxford: Oxford University Press, 1996.
- Plantinga, Leon. *Beethoven's Concertos*. New York: W.W. Norton & Company, 1999.
- Russakovsky, Alexander. "The tonal strategy in Beethoven's Triple Concerto Op. 56". D.M.A. diss., University of California, Santa Barbara, 2000.
- Sadie, Stanley. "The Wind Music of J.C. Bach." *Music & Letters* 37, No. 2 (April 1956): 107-117.
- Simon, Edwin J. "A Royal Manuscript: Ensemble Concertos by J.C. Bach." *Journal of the American Musicological Society* 12, No. 2/3 (Summer-Autumn 1959): 161-177.
- Terry, Charles Sanford. *John Christian Bach*. 2<sup>nd</sup> ed. London: Oxford University Press, 1967.
- Tovey, Donald Francis. *Essays in Musical Analysis: Concertos and Choral Works*. London: Oxford University Press, 1935/1981.
- White, Joseph Addison, Jr. "The Concerted Symphonies of John Christian Bach: Volume I: Analytical Study of the First Movements Volume II: Three Symphonies in Score (Edited by Joseph A. White, Jr.)" Ph.D. diss., University of Michigan, 1958.

## **VITA**

Juan Carlos Gutierrez was born in Monterrey, Nuevo Leon, Mexico on August 28, 1984, the son of Dr. Juan Carlos Gutierrez Sr. and Maria Olga Gutierrez. Before he was two, his family migrated to Houston, Texas for a chance at a better life in the United States. After completing his work at The Woodlands High School, The Woodlands, Texas, in 2003, he entered The University of Texas at Arlington to study mechanical engineering. After deep thought, he changed his major to music in 2004 (his greatest passion). He received the degree of Bachelor of Music in Composition/Theory from The University of Texas at Arlington in 2009. In August of 2009, he entered the Graduate College of Texas State University-San Marcos to study music theory.

Permanent Address: 63 Marblewood Place

The Woodlands, Texas 77381

This thesis was typed by Juan C. Gutierrez.