

NON-TONIC BEGINNINGS: A “PROBLEM”
IN SELECTED PIANO SONATAS BY
LUDWIG VAN BEETHOVEN

by

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A thesis submitted to the Graduate Council of
Texas State University in partial fulfillment
of the requirements for the degree of
Master of Music
with a Major in Music Theory
August 2017

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DEDICATION

I would like to dedicate my work to my parents, who have always supported my goals and aspirations.

ACKNOWLEDGEMENTS

I would first like to thank my thesis committee chair Dr. Cynthia I. Gonzales of the School of Music at Texas State University. Dr. Gonzales always made the time to meet with me to edit my thesis. There were times we met almost every single day of the week and times she even met me during the weekend. Dr. Gonzales has also helped me become a step closer to the music theorist I dream of one day becoming. She has taught me how to be a better writer, a better researcher, a better teacher, a better performer. Basically, she has made me a better well-rounded musician. I know I have a lot more to learn about being a successful music theorist, but because of her, I have exponentially progressed. I am blessed to have met her at the St. Louis SMT conference in 2015. Since then, my life has forever changed. I could not have imagined having a better advisor and mentor. Dr. Gonzales' patience, care, motivation, dedication, and inspiration has helped me achieve many of my goals. I hope to one day be just like Dr. Gonzales.

I would also like to acknowledge Dr. Rebecca Eaton of the School of Music at Texas State as the second reader of this thesis. I am gratefully indebted to her for her time and valuable comments/edits on this thesis. Dr. Eaton was always available to help me whenever I had a question about my research. She also provided me with helpful writing tips and ideas that helped me to better explain my topic. I would also like to thank her for all of the academic and life advice she provided, and for her honesty and immense knowledge. Dr. Eaton has been a great model of an exceptional music theorist and music theory professor.

I would also like to thank Dr. John Schmidt of the School of Music at Texas State as the third reader of this thesis. Dr. Schmidt help me connect some of my thesis musical examples to a similar musical works, in order to help support normative 18th century practices and widen my research from a different perspective.

My sincere thanks also goes to Dr. Graham Hunt, Dr. George Chave, and Dr. John Solomons of the School of Music at the University of Texas at Arlington. Dr. Hunt, Dr. Chave, and Dr. Solomons fully prepared me with the music theory knowledge and piano skills I needed in order to succeed as a music theory graduate student. Also, they all enlightened my Beethoven and disability research interests.

Finally, I am blessed to have a family that encourages me to achieve things I once thought were impossible. They have been with me every step of my musical journey. I am thankful for their continuous support. I would not have been able to achieve this accomplishment without them. Thank you.

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I. INTRODUCTION

What Is a Non-Tonic Beginning?

Perceiving the tonal center is imperative to comprehend a tonal piece. The tonic triad “is most frequently the first event you hear in a tonal piece.”¹ Charles Rosen hypothesizes that “material presented [within a movement] outside the tonic must have created, in the eighteenth century, a feeling of instability which demanded to be resolved.”² When a listener expects to hear tonic harmony initiating a piece, how much more so is this “feeling of instability” when the piece *begins* “outside the tonic?” A “non-tonic beginning,” whether in an introduction or primary theme, refers to an opening that begins on a chord other than the tonic, using one of two techniques:

- 1) it starts in the tonic key, but on a chord other than the tonic, or
- 2) it starts in an entirely different key (“wrong-key” entrance).

L. Poundie Burstein claims that Heinrich Schenker acknowledged the “dramatic potential” of non-tonic beginnings and their “ability to enhance tonal fluidity.”³

Non-tonic beginnings in the 19th century are not unusual, as music during the Romantic Period engages in more formal and harmonic freedom than that of the Classical Period. For example, in Frédéric Chopin’s Mazurka in A Minor Op. 17, no. 4 (composed and published 1832-33), a clear tonic harmony arrives only at the first perfect authentic cadence in m. 20. The 4-m. introduction features a sustained A-F dyad that accompanies

¹Michael R. Rogers, *Teaching Approaches in Music Theory: An Overview of Pedagogical Philosophies*, 2nd ed. (Carbondale: Southern Illinois University Press, 2004), 47.

²Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven* (New York: W. W. Norton & Company, Inc., 1998), 73.

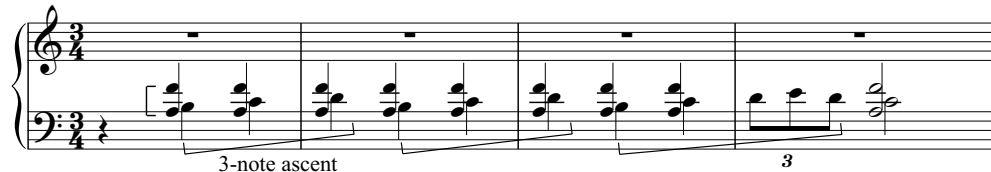
³L. Poundie Burstein. "Unraveling Schenker's Concept of the Auxiliary Cadence," *Music Theory Spectrum* 27, no. 2 (2005): 159.

a three-note ascending scalar pattern (Ex. 1).⁴ In retrospect, the opening harmony might be interpreted as $ii^{\sharp 4}_2$ or VI_6 .⁵

EXAMPLE 1. Chopin, Mazurka in A Minor, Op. 17, no. 4, mm. 1 - 4 (1831-33).

Introduction

Lento ma non troppo



a: $ii^{\sharp 4}_2$ -----
 VI_6 -----

Non-Tonic Beginnings in Mozart and Haydn Piano Sonatas

During the Classical Period, however, harmonic syntax adhered to “the rule that every piece should start with the tonic and the assumption that [tonic] harmony should also underlie the first downbeat.”⁶ This practice is so pervasive that amongst all the movements in the 18 piano sonatas by Wolfgang Amadeus Mozart (1756-1791), only one presents a non-tonic beginning: Piano Sonata in B \flat , K. 281, iii (mm. 1-8). It features an 8-m. parallel period that begins with $V^{\sharp}_3 - i$ in C minor, but cadences in B \flat major (Ex. 2). The basic idea (b.i.) starts with a two-beat unit that sequences down by step to arrive on tonic: $V^{\sharp}_3/ii - ii - V_6 - I$. A half-cadence (HC) ends the antecedent (m. 4). The consequent

⁴The abbreviations for *measure* have been adapted from William Caplin’s *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (Oxford: Oxford University Press, 1998).

⁵Burstein, “Unraveling Schenker’s Concept of the Auxiliary Cadence,” 171. Burstein cites Noden-Skinner and Cone as other scholars who have analyzed the opening of Chopin’s Op. 17, no. 4. Burstein interprets the opening chord as $ii^{\sharp 4}_2$, whereas Noden-Skinner and Cone interpret it as VI_6 .

⁶Danuta Mirka, “Topics and Meter” in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka. (New York: Oxford University Press, 2014), 369.

begins similarly with an ornamented version of the antecedent and concludes with a complete perfect authentic cadence (PAC) as indicated by the bracket beneath the score (mm. 7-8). Although it displays a non-tonic beginning, the tight-knit phrase structure of this parallel period follows normative 18th-century practices.

EXAMPLE 2. Mozart, Piano Sonata in B \flat Major, K. 281, iii, mm. 1 - 8 (1774).

Parallel Period

Antecedent (a)

Allegro

b.i.

c.i.

seq. down by step

B \flat : V $\frac{6}{5}$ /ii ii V $\frac{6}{5}$ I I $_6$ IV ii $_6$ I V($\frac{4}{3}$ $\frac{3}{2}$) V $\frac{6}{5}$ /ii HC

Consequent (a')

b.i.

c.i. [cad.]

5

ii 6 V $\frac{6}{5}$ I 6 I 6 IV 6 V I PAC

Like Mozart, Joseph Haydn (1732-1809) wrote only one movement with a non-tonic beginning amongst his 51 piano sonatas: Piano Sonata Hob XVI: 30, ii, *Adagio*. The first movement, clearly in A major, concludes with V $_7$ arpeggios that do not resolve, but rather segue into the *Adagio*'s non-tonic beginning: first-inversion C \sharp -major block chords that tonicize F \sharp minor (Ex. 3). The *Adagio*, a loosely-knit movement with an ambiguous tonal center, resembles the third movement of Beethoven's Op. 101, which I explore in more detail in Chapter II. This movement also concludes on the dominant of A major in order to prepare the arrival of the third movement.

EXAMPLE 3. Haydn, Piano Sonata in A Major, Hob.XVI: 30, ii, mm. 1 - 2 (1776?).

Adagio

A: (f#: V₆ ----- V₆[♯] i V)

Non-Tonic Beginnings in Beethoven Piano Sonatas

While Mozart and Haydn's piano sonata movements feature only one non-tonic beginning each, Roger Kamien writes that "certain kinds of non-tonic settings of primary tones—notably dissonant settings—are more common in Beethoven piano sonatas than in those of Haydn or Mozart."⁷ Ludwig van Beethoven (1770-1827)—known for incorporating tonal, thematic, and formal anomalies into his music—includes abrupt modulations to distantly related keys and themes restated in unexpected keys.⁸ Of 108 distinct piano sonata movements composed by Beethoven, I found that sixteen feature an unquestionable non-tonic beginning (Table 1). Of these sixteen, twelve begin on a non-tonic harmony but in the right key, while four begin in the wrong key (Table 2). Amongst the former, four of the sonata movements begin with an introduction while eight begin with main themes. Amongst the latter, two sonata movements begin with an introduction and two are movements that serve as an introduction to the subsequent movement. In addition to the sixteen movements listed in Table 1, those with harmonically ambiguous

⁷Roger Kamien, "Non-Tonic Settings of the Primary Tone in Beethoven Piano Sonatas," *Journal of Musicology* 16.3 (1998): 381.

⁸Lewis Lockwood, *Beethoven: Studies in the Creative Process* (Cambridge: Harvard University Press, 1992), 169.

non-tonic beginnings, such as a single-line melody or an incomplete triad, appear in Table 3.

TABLE 1. Beethoven's Piano Sonata Movements with Non-Tonic Beginnings.

Year Composed	Sonata	Opus	Movement and Key	Tempo	Common Title
1796	4	7	*iv: E \flat	Rondo, Poco Allegretto e grazioso	Grand Sonata
1800/01	12	26	*ii: A \flat	Scherzo, Allegro molto	
1801	15	28	*iii: D	Scherzo, Allegro vivace	Pastoral
1801/02	16	31, no. 1	*iii: G	Rondo, Allegretto	
1801/02	17	31, no. 2	*i: d	Largo – Allegro	The Tempest
1802	18	31, no. 3	*i: E \flat	Allegro	The Hunt
1804	21	53	Δ ii: C	Introduzione, Adagio molto	Waldstein
1804/06?	23	57	*iii: f	Allegro ma non troppo - Presto	Appassionata
1809	24	78	*ii: F \sharp	Allegro vivace	Partiturae Interpretacion, à Thérèse
1809/10	26	81a	*iii: E \flat	Vivacissimamente	Les Adieux, Das Wiedersehen (Le Retour)
1816	28	101	*i: A Δ iii: a *iv: A	Allegretto, ma non troppo Adagio, ma non troppo, con affetto Allegro	
1817/18	29	106	Δ iv: B \flat	Largo-Allegro-Allegro risoluto	Hammerklavier
1821	31	110	Δ iii: a \flat	Adagio ma non troppo	
1821/22	32	111	*i: c	Maestoso	

TABLE 2. Types of Non-Tonic Beginnings in Beethoven's Piano Sonatas.

Non-tonic Beginnings	Introduction to the Main Theme	Main Theme	Previous Movement as an Introduction
In the Right Key (n=12), <i>indicated in TABLE 1 with *</i>	4	8	0
In the Wrong Key (n=4), <i>indicated in TABLE 1 with Δ</i>	2	0	2

TABLE 3. Beethoven's Harmonically Ambiguous Non-Tonic Beginnings.

Year Composed	Sonata	Opus	Movement and Key	Tempo	Common Title	Why Ambiguous?
1795	3	2, no. 3	iii: C	Scherzo, Allegro		single-line melody
1796/98	5	10, no. 1	iii: c	Finale, Prestissimo		single-line melody
1796/98	7	10, no. 3	iv: D	Rondo, Allegro		IV sounds like tonic
1801	14	27, no. 2	ii: D \flat	Allegretto	Sonata Quasi Una Fantasia	V sounds like tonic
1801	15	28	i: D	Allegro	Pastoral	single-pitch leads to V $_7$ /IV
1809/10	26	81a	i: E \flat	Adagio – Allegro	Les Adieux, Das Lebewohl (Les Adieux)	incomplete triad
1814	27	90	i: e	Mit Lebhaftigkeit und durchaus mit Empfindung und Ausdruck		III sounds like tonic

This thesis engages the unquestionable non-tonic beginnings of Op. 31, no. 3, i and Op. 101, i and iii-iv through three analytical lenses: 1) Caplin's Formal Function Theory, 2) Hepokoski and Darcy's Sonata Theory, and 3) Straus's Disability Framework.⁹ With respect to the first, I analyze main themes to determine if non-tonic beginnings affect phrase structures. With respect to the second, I explore the development and recapitulation to determine if non-tonic beginnings affect thematic rotation. With respect to the third, I navigate through each of Straus's disability phases in my analyses.

⁹William Earl Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998). 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). Joseph N. Straus, *Extraordinary Measures: Disability in Music* (New York: Oxford University Press, 2011).

The Norms of Caplin's Formal Function Theory

Before looking at piano sonatas with non-tonic beginnings, one must discuss normative 18th-century openings in order to contextualize the extraordinary elements associated with non-tonic openings. The norm for the exposition is to begin “with a *primary theme* or *primary idea* (P) in the tonic that sets the emotional tone of the whole work.”¹⁰ According to Caplin, “the most important function is *tonic*, the central harmony of a key, the one to which all others ultimately relate and derive their meaning.”¹¹

Beethoven's On-Tonic Beginnings

Beethoven's piano sonata movements Piano Sonata Op. 2, no. 1, i; Piano Sonata Op. 2, no. 1, ii; and Piano Sonata No. 8 in C Minor, Op. 13, i exemplify normative tight and loose-knit procedures with an on-tonic beginning. The opening phrase of Beethoven's Piano Sonata Op. 2, no. 1, i (1795), was recognized as a musical sentence early in the 20th century by Arnold Schoenberg (1874-1951).¹² Caplin regards this excerpt as “the most archetypal manifestation of the *sentence* form in the entire classical repertory”:¹³ a tight-knit 8-m. phrase that begins with a tonic chord arpeggio (Ex. 4). A 2-m. basic idea followed by its restatement creates the 4-m. presentation function (mm. 1-4). The continuation (mm. 5-8) leads to a HC. The second movement of the same sonata, Op. 2, no. 1, based on Beethoven's earlier Piano Quartet No. 3 in C Major, ii (1785), contains an exemplary model of an 8-m. tight-knit parallel period that places a

¹⁰Hepokoski and Darcy, *Elements of Sonata Theory*, 18.

¹¹Caplin, *Classical Form*, 23.

¹²Arnold Schoenberg, *Fundamentals of Musical Composition*, eds. Gerald Strang and Leonard Stein (London: Faber & Faber, 1967), chaps. 5 and 8.

¹³Caplin, *Classical Form*, 9. See also Caplin's Example I.I on page 10.

concludes with a PAC.

While the previous examples model conventional tight-knit sentence and parallel period theme-types, the introduction to Piano Sonata No. 8 in C Minor, Op. 13, i (1798), begins on tonic harmony and features two modulating sentences (Ex. 6): one tight-knit, the other loose-knit. The former (mm. 1-5) modulates from C minor to E♭ major and ends with a PAC (m. 5). The latter (mm. 5-10) modulates back to C minor and spans 6-mm. instead of 4-mm. Although the presentation phrase fits the 2-mm. model, the continuation expands through liquidation and a deceptive resolution. The phrase modulates back to C minor and concludes with a dominant arrival (m. 10) that prepares the entrance of the main theme in C minor.

Beethoven's Non-Tonic Beginnings Outside Piano Sonatas

Having presented three examples of movements that begin on the tonic harmony, I will now analyze two excerpts of a non-tonic beginning from Beethoven's non-piano instrumental repertoire: String Trio in E♭ Op. 3, vi, and Symphony No. 1 in C Major, Op. 21, i. According to Elaine Sisman, Beethoven models his String Trio (1792-1796) on Haydn's String Quartet in E♭ Op. 20, no.1, iv (1772), making "more explicit Haydn's off-tonic opening."¹⁵ While I agree that Beethoven opens with a non-tonic beginning, I disagree with Sisman's non-tonic labeling of Haydn's opening chord. The opening phrase of Haydn's String Quartet (mm. 1-6) is a compressed parallel period that opens with an on-tonic E♭ prolongation (Ex. 7). While Haydn's opening features a 6-m. phrase, the opening phrase of Beethoven's String Trio is a tight-knit 8-m parallel period that begins

¹⁵Elaine Sisman, "'The Spirit of Mozart from Haydn's Hands': Beethoven's Musical Inheritance," in *The Cambridge Companion to Beethoven*, ed. Glenn Stanley (Cambridge: Cambridge University Press, 2000), 53.

with vii°_7 in E^\flat (Ex. 8).¹⁶

EXAMPLE 6. Beethoven, Piano Sonata in C Minor, Op. 13, i, mm. 1 - 10 (1798).

Introduction

Modulating Sentence (mm. 1-5)

Presentation b.i. b.i. Continuation

Grave

$\text{c: i} \quad 6 \quad \text{V}^\circ_6 \quad \text{i} \quad \text{vii}^\circ_7/\text{V} \quad \text{V} \quad \text{vii}^\circ_2 \quad \text{V} \quad \text{vii}^\circ_3 \quad \text{i} \quad \text{vii}^\circ_2 \quad \text{V} \quad \text{vii}^\circ_3 \quad \text{V}_6 \quad \text{vii}^\circ_2 \quad \text{V} \quad \text{vii}^\circ_3 \quad \text{V}$

Modulating Sentence (mm. 5-10) Presentation b.i.

$\text{vii}^\circ_3/\text{V} \quad \text{V}_6 \text{V}^\circ_3/\text{iv} \quad \text{iv}_6 \quad \text{E}^\flat: \text{ii}_6 \quad \text{V}_7 \quad \text{I} \quad \text{PAC} \quad \text{ii}^\circ_3 \quad \text{vii}^\circ_6/\text{vi} \quad \text{Fm}$

b.i. Expanded Continuation

$\text{B}^\circ \quad \text{C}^\circ_7 \quad \text{A}^\circ \quad \text{Cm}_7 \quad \text{D} \quad \text{vii}^\circ_3/\text{vi} \quad \text{c: vii}^\circ_3$

$\text{vii}^\circ_7 \quad \text{V}_7 \quad \text{iv}_6 \quad \text{V}_7 \quad \text{V}_7 \quad \text{VI} \quad \text{ii}^\circ_3$

deceptive resolution

V°_4

V_7

Dominant Arrival

EXAMPLE 7. Haydn, String Quartet in E \flat Major, Op. 20, no. 1, iv, mm. 1 - 6 (1772).

Parallel Period

Antecedent
Presto b.i. c.i. Consequent b.i. c.i.

E \flat : I ----- V $\frac{6}{5}$ V $\frac{6}{5}$ I IAC I ----- ii $\frac{6}{5}$ V $\frac{6}{5}$ I PAC

EXAMPLE 8. Beethoven, String Trio in E \flat Major, Op. 3, vi, mm. 1 - 8 (1792-96).

Parallel Period

Antecedent b.i. c.i. Consequent b.i. c.i.

E \flat : vii $\frac{7}{b}$ I ii $\frac{6}{5}$ V $\frac{6}{5}$ V HC vii $\frac{7}{b}$ I ii $\frac{6}{5}$ V $\frac{6}{5}$ I PAC

As Sisman notes, Beethoven also models his Symphony No. 1 in C Major, Op. 21, i, on Haydn's Symphony No. 97 and Mozart's Symphony No. 41. Sisman states that he "derives the most striking effects of his first movement" from Haydn.¹⁷ This symphony, "a strong but not radical first essay into the highly competitive world of the most public genres," not only starts with V $\frac{6}{5}$ IV, but also delays establishing C major as its tonal center until m. 13.¹⁸ The first 4-mm. allude to the keys of F major (m. 1-2) and G

¹⁶Opening with a vii $\frac{7}{b}$ chord alludes to Beethoven's Piano Sonata Op. 57, iii, where the first chord is vii $\frac{7}{b}$ in the tonic key.

¹⁷Sisman, "The Spirit of Mozart from Haydn's Hands: Beethoven's Musical Inheritance," 55.

¹⁸Lewis Lockwood, *Beethoven's Symphonies: An Artistic Vision* (New York: W. W. Norton & Company, Inc., 2005), 5.

major (mm. 3-4). This 4-mm. phrase is a nonconventional theme type without an initiating function that sounds much like a succession of cadences (Ex. 9).

EXAMPLE 9. Beethoven, Symphony No. 1 in C Major, Op. 21, i, mm. 1 - 4 (1799-1800).

Introduction

Adagio molto

C: V₇/IV IV V₇ vi V₇/V ----- V

Table 4 lists, in chronological order, six selected works that have been discussed thus far. The list includes the first piano sonata movement with a non-tonic beginning (Op. 7), as well as the selected piano sonata movements I examine in Chapter II (Op. 31, no.3 and Op. 101). This comparison suggests that Beethoven explored non-tonic beginnings in his piano sonata repertoire more exclusively in his middle and late period.

TABLE 4. A Comparison of Dates from Tonic and Non-Tonic Beginnings in Selected Works.

Year Composed	Title	Opening Chord and Harmony
1785	Piano Quartet No. 3 in C Major, ii	Tonic: I
1792-96	String Trio in E \flat Op. 3, finale	Non-Tonic: vii $^{\circ}$ ₇
1795	Piano Sonata No. 1 in F Minor, Op. 2, no. 1, i-ii	Tonic: i Tonic: I
1796-97	Piano Sonata No. 4 in E \flat Major, Op. 7, iv	Non-Tonic: V ₇
1798	Piano Sonata No. 8 in C Minor, Op. 13, i	Tonic: i
1799-1800	Symphony No. 1 in C Major, Op. 21, i	Non-Tonic: V ₇ /IV
1801-02	Piano Sonata No. 18 in E \flat , Op. 31, no. 3, i	Non-Tonic: ii $^{\sharp}$
1815-16	Piano Sonata No. 28 in A Major, Op. 101, iii-iv	Non-Tonic: V $^{\sharp}$ ₇ Non-Tonic: V ₇

Straus's Disability Framework

Now that I have briefly demonstrated normative phrase structures through some of Beethoven's piano sonatas and presented what non-tonic beginnings are through

analyses of a Beethoven string trio and symphony, I will explore the openings of Beethoven's Piano Sonata Op. 31, no. 3, i and Piano Sonata Op. 101, iii-iv in Chapter II in order to discuss the correlation between non-tonic beginnings, nonconventional theme-types, and the rotation of themes. In addition to analyzing phrase structure and thematic rotation, I further examine the effects of non-tonic beginnings by using Straus's Disability Framework. In *Extraordinary Measures: Disability in Music*, Straus illustrates "Disability Overcome" as a musical narrative. Straus adapts the four disability phases proposed by disability scholars David Mitchell and Sharon Snyder: 1) identifying deviance, 2) marking it problematic, 3) bringing it from the periphery to the center, and 4) repairing it.¹⁹ Straus believes Beethoven's goal for the endings of certain pieces was a "sense of overcoming," while others end in tragedy.²⁰ Straus gives an example of a musical narrative and applies Mitchell and Snyder's four phases, which I indicate in brackets:

The music begins with a relatively straightforward assertion of key. Early on, usually within the first sixteen measures, a chromatic note (i.e., a note from outside the principal, diatonic scale) is stated in a rhetorically charged manner [1: *Identifying deviance*] that marks it for attention [2: *Marking it problematic*]. In the music that follows immediately, the chromatic note is abandoned, and the music proceeds as if it had never occurred; the normality of the music is apparently unaffected. Later in the work, that chromatic note becomes the focal point for harmonic and formal disruptions that increase in intensity [3: *Bringing it from the periphery to the center*]. Finally, near the end of the work, the chromatic note is normalized in some way and subsumed into the diatonic frame [4: *Repairing it*].²¹

¹⁹David T. Mitchell and Sharon L. Snyder, *Narrative Prosthesis: Disability and the Dependencies of Discourse* (Ann Arbor: University of Michigan Press, 2014), 47-64.

²⁰Joseph N. Straus, *Extraordinary Measures: Disability in Music* (New York: Oxford University Press, 2011), 67.

²¹Straus, *Extraordinary Measures*, 51.

I apply Straus's musical narrative to non-tonic beginnings in Beethoven's piano sonatas by navigating through the four phases in each of my analyses. In this context, a non-tonic beginning is the musical "problem." Within Beethoven's compositions, "disability could be overcome or, in musical terms, ... the tonally abnormal could be normalized."²² The four-phase cycle begins with a deviance that becomes problematic and seeks to be normalized. As the deviance is brought from the periphery to the center, it is repaired at the end of the composition through the use of sonata form. Though Beethoven himself could not heal or repair his personal, emotional, and health struggles, some of his compositions reach triumph as noted by Straus. Whether his compositions feature global and/or local level cycles of the four phases, they usually reach phase four by the end of the movement or complete symphony/sonata.

Straus's work helps to recognize that a disability can be overcome in a musical composition. The various anomalies or harmonic contexts accompanying a non-tonic beginning take on a mission to overcome the problem and subsume it after being repaired. Beethoven "prepares the ear for an expected goal, then deviates at the last minute to a new one," and in the end repairs or explains the effects that occur with the deviations.²³ As Lewis Lockwood believes, Beethoven hoped to "stir large audiences to emotional depths they had not [yet] experienced."²⁴ Though some of Beethoven's musical inspiration, no doubt, came from Haydn and Mozart, Lewis Lockwood claims that Beethoven adopted a desire to effect audience emotions from Friedrich Schiller. Schiller's dramas "astonished the public with their power of expression and messages of

²²Straus, *Extraordinary Measures*, 51.

²³Lockwood, *Beethoven's Symphonies*, 185.

²⁴*Ibid.*, 21-2.

social unrest.”²⁵ Opening a movement with a non-tonic beginning in the 18th-century, therefore, must have astonished the audience and affected their emotions from the very start of the piece. In the chapters that follow, I analyze Beethoven’s Piano Sonata Op. 31, no. 3, i and Piano Sonata Op. 101, iii-iv to reveal how non-tonic beginnings may effect phrase structures, the rotation of themes, and to uncover where the problematic non-tonic beginning is finally repaired. Charles Rosen states that “today, our harmonic sensibilities have become coarsened by the tonal instability of music after the death of Beethoven, and the strength of this feeling is perhaps difficult to recapture.”²⁶

²⁵Ibid., 21.

²⁶Rosen, *The Classical Style*, 73.

II. AN ANALYSIS OF TWO NON-TONIC BEGINNINGS

FROM BEETHOVEN'S PIANO SONATAS

In this chapter, I analyze selected movements from Piano Sonata Op. 31, no. 3 and Op. 101 to discover the correlation among 1) non-tonic beginnings and their phrase structures, 2) the phrase structure of the themes that follow, and 3) non-tonic beginnings and the rotation of themes in the development and recapitulation. I mark the non-tonic beginning as problematic and explore the effects of the deviance before it is repaired in the coda. In Op. 31, the non-tonic beginning alters phrase structure, but not thematic rotation. In Op. 101, the non-tonic beginning modifies the phrase structures of the first and third movement; however, the fourth movement features conventional theme-types. The non-tonic beginning does affect the thematic rotation in development, but not in the recapitulation.

Piano Sonata Op. 31, no. 3, i

The Exposition: 1) Identifying the Deviance

I begin by examining a sonata whose main theme starts on a non-tonic chord in the correct key. Beethoven's Piano Sonata Op. 31, no. 3, i, mm. 1-8, identifies the deviance by not only opening with a predominant harmony but also with a nonconventional theme-type (Ex. 10). Tovey, Kamien, and Caplin recognize that the movement opens with a non-tonic beginning (F-A \flat -C-E \flat), though they disagree whether the first chord is ii \sharp or IV with an added sixth.²⁷ This nonconventional theme-type explores new ground for Beethoven, as, according to Caplin, "starting a classical sonata

²⁷Kamien, "Beethoven Piano Sonatas," 388. Donald Tovey, *A Companion to Beethoven's Pianoforte Sonatas* (London: Associated Board of the Royal Schools of Music, 1931), 130. Caplin, *Classical Form*, 113.

with the pre-dominant harmony of a cadential progression is a radical procedure, one that looks forward to the romantic style.”²⁸

EXAMPLE 10. Beethoven, Piano Sonata in E \flat Major, Op. 31, no. 3, i, mm. 1 - 17 (1801-02).

Nonconventional Theme:
Incomplete Expanded Cadential Progression

Allegro

8 ECP repeated with register transfer in both clefs

12

This nonconventional opening (mm. 1-17) is in a main theme group that consist of three distinct parts (mm. 1-17; 18-25; 25-32). The first part (mm. 1-8) contains three units: a repeated 1-m. dotted rhythm (mm. 1-2), a repeated 2-m. block-chord motive (mm. 3-6), and a cadential idea (mm. 7-8). By beginning with a repeated 1-m. motive on a non-tonic harmony, mm. 1-2 feature elements of a continuation rather than a presentation or antecedent. The repeated 2-m. block-chord motive (mm. 3-6) features an

²⁸Caplin, *Classical Form*, 113.

ascending chromatic parallel sixth: A \flat -F, A \flat -G \flat (F \sharp), B \flat -G. The cadential idea (mm. 7-8) prolongs the dominant harmony that concludes with the first instance of a root-position tonic chord, signaling a PAC (m. 8). Together these three units of mm. 1-8 contribute to the problematic opening by omitting an initiating function: a starting function that defines tonic. Without an initial tonic, the remaining harmonic sequence recalls an incomplete expanded cadential progression (ECP). According to Caplin, an ECP has a cadential function that begins with the cadential progression (I $_6$) and spans 4-mm.;²⁹ however, this ECP not only opens the movement but also starts on ii $^{\flat}_5$ and stretches to 8-mm.

Figure 1 is a synopsis of the disability narrative phases (row 1) and their correlation to large formal sections (row 2). The subsequent rows identify specific measure numbers, phrase structures, keys and harmonies, and cadences. As already

Correlation of Straus's adaptation of Mitchell & Snyder:	1: Identifying deviance					2: Marking it problematic	
Exposition (mm. 1-88)	Main Theme Group (MTG): 1		(repeated with register transfer in both clefs)	Main Theme Group: 2	Main Theme Group: 3	Transition (Starts with MTG 1 motives in tonic minor)	Sub. Theme & Closing Section
Measures	1-8	8-9	10-17	18-21; 22-25	25-32	33-45	46-64; 64-88
Initiating harmony	ii $^{\flat}_5$		ii $^{\flat}_5$	Tonic pedal	I	ii $^{\flat}_5$	I $_6$ I
Phrase Structure	Incomplete ECP	(lead -in)	Incomplete ECP	(quotes MTG 1 motives)	Extended Cont.	Extended Cont.	ECP & group of codettas
Key & Cadences	E \flat : PAC		E \flat : PAC	E \flat : Elided cad. (EC)	E \flat :	E \flat : - B \flat : HC	B \flat : PAC EC PAC

FIGURE 1. Beethoven's Piano Sonata No. 18 in E \flat Major, Op. 31, no. 3, i, Exposition.

²⁹Caplin, *Classical Form*, 45-46.

indicated, main-theme group 1 (mm. 1-8) is an incomplete ECP that ends with a PAC. A lead-in (mm. 8-9) prepares the repetition of the anomalous non-tonic beginning. This restatement of main-theme group 1 (mm. 10-17) exhibits register transfer of the first and second motive, and concludes with a second PAC.

The non-tonic beginning affects main-theme groups 2 and 3 (Ex. 10.2) by replacing initiating functions with medial functions and beginning each group with an

EXAMPLE 10.2. Beethoven, Piano Sonata in E \flat Major, Op. 31, no. 3, i, mm. 18 - 32 (1801-02).

Main-Theme Group 2
Like a Continuation

(MTG 2 repetition)

(IV) I ii $_7$ vii $_7$ I)

tonic pedal -----

Main-Theme Group 3
Cont.

23

(I elided) V $_7$

(extension)

27

I V $_7$ o $_7$

evaded cad.

30

V $_7$)

initial quote of motives from main-theme group 1. Main-theme group 2 (mm. 18-25) features motives from main-theme group 1 over a repeating tonic pedal, as if to compensate for the non-tonic opening. Now in an even higher register, the repeated 1-m. dotted rhythm expands the descending interval, though the dotted rhythm is promptly set aside. Main-theme group 3 (mm. 25-32) also omits an initiating function. An elided cadence (m. 25) follows with a “one more time” harmonic progression that features liquidation of the ascending semitone and leads into the transition.

Transition: 2) Marking it Problematic

The non-tonic beginning from main-theme group 1 returns on four more occasions throughout the movement, including its expected return in the recapitulation. The first, a modulating transition (m. 33-45), engages modal mixture to start with ii^{\flat} —varying the initial ii^{\flat} harmony—and expands the phrase through repetition of the 2-m. block-chord texture from the main-theme (Ex. 11). I mark it problematic because the non-tonic beginning returns by disguising itself in the minor mode and initiates yet another nonconventional theme-type. Its phrase structure, looser than the main theme, is no longer two statements of the block-chord motive but four. Like the main theme, the transition omits an initiating function, repeats fragments, and expands the block-chord motive. The transition destabilizes the home key and prepares the subordinate key of the exposition by ending with a HC in the dominant key, B^{\flat} major. The cadential idea confirms the modulation to B^{\flat} major and recalls the descending intervals from mm. 1-2.

EXAMPLE 11. Beethoven, Piano Sonata in E♭ Major, Op. 31, no. 3, i, mm. 33 - 45 (1801-02).

Nonconventional Theme:
Incomplete Expanded Cadential Progression

Example 11 shows a musical score for measures 33-45. The key signature is E♭ major (three flats). The time signature is 3/4. The score is written for piano. The bass line includes the following chord labels: Eb, ii°₅, ct°₇, ii°₇, ii°₅, ct°₇, ii°₇, G°₇, D_♭, G°₇, D_♭, B_♭: Ger+₆, Ger+₆, V, and HC.

The Development: 3) Bringing it from the Periphery to the Center

The second restatement of the non-tonic beginning occurs in the development (mm. 89-136) as an exact quote of the exposition (Ex. 12). Hepokoski and Darcy identify four typical ways to launch a development based on its thematic source. This development brings the deviance from the periphery to the center because it defies all normative boundaries by quoting the main theme in the tonic key, rather than in a contrasting key (Figure 2). It almost sounds like a third statement of the exposition, a

EXAMPLE 12. Beethoven, Piano Sonata in E♭ Major, Op. 31, no. 3, i, mm. 89 - 96 (1801-02).

Nonconventional Theme:
Incomplete Expanded Cadential Progression

Example 12 shows a musical score for measures 89-96. The key signature is E♭ major (three flats). The time signature is 3/4. The score is written for piano. The bass line includes the following chord labels: Eb, ii°₅, Ger+₆, vi°₄, and Ger+₆.

“premature reprise” or a “false recapitulation.” The development abandons an exact quotation of the main theme by exploiting the G \flat /F \sharp enharmonicism and exchanging A \sharp for A \flat to form a Ger+6 (mm. 92-93) that prepares a resolution to C minor (m. 94).

Correlation of Straus’s adaptation of Mitchell & Snyder:	3: Bringing it from the periphery to the center
	Devo. (mm. 89-136) (Starts with main theme motivic content)
Measures	89-136
Initiating harmony	ii \sharp
Phrase Structure	Expanded Continuation
Key & Cadences	E \flat : - Cm: - C: - F - B \flat - E \flat - A \flat :

FIGURE 2. Beethoven’s Piano Sonata No. 18 in E \flat Major, Op. 31, no. 3, i, Development.

While its first key area is unexpected, the development is more traditional and tonicizes multiple keys, which traverse a pattern of descending fifths that arrive at the home key E \flat major in m. 126, before quickly departing away from it: C minor (mm. 96-100) to the parallel major, C major (mm. 101-114), F major (114-121), B \flat minor (122-124), E \flat major (mm. 125-126), to A \flat major (mm. 127-136).

In contrast to the exposition (mm. 1-88), the development (mm. 89-136) is short: the exposition’s 88 measures compared to the development’s 48. Typically, a development ends on dominant harmony to prepare the recapitulation; however, this development cannot end on the expected V $_7$ /E \flat because the non-tonic beginning returns at the start of the recapitulation (V $_7$ prepares I, not a predominant harmony). The tonic chord in m. 126 promptly turns into a V $_7$ (m. 127), resolves to A \flat , and turns A \flat to an F-minor chord. As the problem is still not fixed by the end of the development, the

retransition prepares for the recapitulation to enter on the pre-dominant harmony of ii by concluding with 7-mm. of ii₆ that feature three different realizations (mm. 130-136).

While the non-tonic beginning affected phrase structure, prompting nonconventional theme-types, it did not alter the rotation of themes. According to Hepokoski and Darcy's Sonata Theory, themes in the development occur in the same order as in the exposition (main theme – P, transition – TR, subordinate theme – S, and closing section – C). This development adheres to the norms of Sonata Theory in that themes from the exposition, specifically the main theme and closing section, occur in the same order. Thereby, the non-tonic beginning does not affect thematic rotation.

The Recapitulation: Attempting to Repair It

The third statement of the non-tonic beginning occurs in the recapitulation (m. 137) where it seeks to be repaired (Ex. 13), though it omits the E_b from the pre-dominant harmony in mm. 1-2 (Figure 3). The recapitulation, also fully rotational, includes all of the themes of the exposition in order (P, S, C), but omits the transition (TR), as if to avoid a redundant repetition of main theme material. As expected, the subordinate theme returns transposed to the tonic key and lengthens its own expanded cadential progression with a deceptive resolution before ending with a PAC (m.170-190). The closing section also returns rewritten in the tonic key (m. 190-219), but ends with an unsatisfactory A_b chord (m. 219), leaving the problem unresolved. I cross out the words "Repairing It" in Figure 3, because the problem was not repaired in the recapitulation.

EXAMPLE 13. Beethoven, Piano Sonata in E \flat Major, Op. 31, no. 3, i, mm. 137 - 153 (1801-02).

Nonconventional Theme:
Incomplete Expanded Cadential Progression

137-143: $E\flat$: ii_6 , ct_7 , I_4 , V_7 , I

144-147: ECP repeated exactly (octave change)

148-153: ct_7 , I_4 , V_7 , I , PAC

Correlation of Straus's adaptation of Mitchell & Snyder:	4: Repairing H				
Recap. (mm. 137- 219)	Main Theme Group: 1		(quotes MTG 1 motives)	Main Theme Group: 2 & 3	Sub. Theme & Closing Section
Measures	137-144	144- 145	146-153	154-161 161-169	170-190-219
Initiating harmony	ii_6		ii_6^{\sharp}	Tonic prolongation I	I_6 I
Phrase Structure	Incomplete ECP	(lead -in)	(ECP)		ECP & group of codettas
Key & Cadences	$E\flat$: PAC		$E\flat$: PAC	$E\flat$: EC	$E\flat$: PAC EC PAC

FIGURE 3. Beethoven's Piano Sonata No. 18 in E \flat Major, Op. 31, no. 3, i, Recapitulation.

The Coda: 4) Repairing It

The final non-tonic main theme statement occurs in the coda (m. 220) as an incomplete expanded cadential progression transposed to the subdominant key, attempting to repair the problem (Ex. 14). The main theme, being an atypical 8-m. phrase in the exposition, expands to 16-mm. by stretching the 2-m. block-chord motive. As the

EXAMPLE 14. Beethoven, Piano Sonata in E \flat Major, Op. 31, no. 3, i, mm. 220 - 246 (1801-02).

Nonconventional Theme:
Incomplete Expanded Cadential Progression

The musical score for Example 14 consists of five systems of music, each with a treble and bass staff. The key signature is two flats (B-flat and E-flat). The time signature is 3/4. The score includes various chord symbols and annotations:

- Measure 220:** Chords are labeled as $Ab:$, ii_6^{\flat} , ct_7^{\flat} , ii_6^{\flat} , V_4^{\flat}/IV , and iv_6^{\flat} .
- Measure 227:** Chords are labeled as vii_6^{\flat}/V , i_6^{\flat} , V_4^{\flat}/IV , ii_6^{\flat} , ct_7^{\flat} , and I_6^{\flat} . Below the staff, it says "Eb: vii_6^{\flat} ".
- Measure 234:** Chords are labeled as V_7 , I , and ii_6^{\flat} . Below the staff, it says "PAC". A "lead-in" annotation is present above the staff, and "ECP repeated in tonic" is written above the staff.
- Measure 238:** Chords are labeled as ii_6^{\flat} , ct_7^{\flat} , I_6^{\flat} , ct_7^{\flat} , I_6^{\flat} , and ct_7^{\flat} .
- Measure 244:** Chords are labeled as I_6^{\flat} , V_7 , and I . Below the staff, it says "PAC".

main theme repeats in the tonic key (mm. 237-246) the problem caused by the non-tonic beginning is repaired with a PAC (m. 246) in the home key (Figure 4). Motivic content from the third main theme group follows (mm. 246-253) and the coda concludes with a perfect authentic cadence (m. 253) that closes the movement, confirming the problem was repaired. The problem eventually repairs itself as “the narrative of disability overcome unfolds within the conventional outline of the sonata form.”³⁰

Correlation of Straus’s adaptation of Mitchell & Snyder:	4: “Repairing it”	4. Repairing it
Coda (mm. 220- 254)	(starts with MTG 1 motives)	Main Theme Group: 1 & 3
Measures	220-235	237-246 246-253
Initiating harmony	ii ⁶ ₅	ii ⁶ ₅ I
Phrase Structure	Expansion of Incomplete ECP	Incomplete ECP
Key & Cadences	A ^b : - E ^b : PAC	E ^b : PAC PAC

FIGURE 4. Beethoven’s Piano Sonata No. 18 in E^b Major, Op. 31, no. 3, i, Coda.

The formal sections of this movement each restate the main-theme group 1’s non-tonic beginning and its nonconventional theme-type. The transition also recalls this non-tonic beginning, though the subordinate theme does not. Instead, the subordinate theme (mm. 46-53; 170-190), motivated by the main theme, also presents an expanded cadential progression; however, this ECP begins with an initial tonic harmony. The phrase starts with a first-inversion tonic chord and ends with a PAC. Like the main theme, an ornamented version follows (mm. 57-64; 183-190). After an elided PAC closes the

³⁰Straus, *Extraordinary Measures*, 62.

repetition of the subordinate theme (m. 64; 190), a post-cadential closing section follows with a group of codettas. Interestingly, the same ending leads both to the repetition of the exposition and to the start of the development, where the second non-tonic occasion occurs in m. 89.

The non-tonic beginning does not affect the rotation of themes in this sonata movement, which contains three full rotations (Exposition: P/TR – S/C, Development: P/~~TR~~ – S/C, Recapitulation: P/~~TR~~ – S/C). As if to constantly remind us of the problem, the non-tonic beginning triggers almost all of the principal sections to start not only with a non-tonic chord, but also without an initiating function. Even though the problematic non-tonic beginning is not normalized by returning within a conventional theme type of the main theme or beginning with the tonic chord, Straus believes that this form “emerges from a desire to create and resolve musical tension on the largest scale” and that it is the medium through which the tonal problem is normalized.³¹ In other words, the deviance is repaired (phase four) because it participates in a form that resolves tonal problems through its normative three-part structure (ABA’) and was the basis for the 18th-century.

Piano Sonata Op. 101, i

Among Beethoven piano sonatas, only two movements function as introductions to a subsequent movement.³² The third movement in Beethoven’s Piano Sonata Op. 101 (*Adagio, ma non troppo, con affetto*) is an introduction to the fourth (*Allegro*). After the HC at the end of the third movement (m. 20) anticipates the start of the *Allegro*, the main theme from the first movement returns as an interpolation. Before exploring more fully

³¹Straus, *Extraordinary Measures*, 62.

³²As seen in Chapter I, Table 2.

the third and fourth movements, I will examine the first (*Allegretto, ma non troppo*) because it starts the first phase of the disability narrative cycle, which restarts in the third movement. Figure 5 summarizes the four phases as they start and restart in Op. 101. The first movement's main theme (i: mm. 1-6) begins the cycle by identifying the deviance. The cycle continues in this same movement reaching phase 3; however, the movement concludes without repairing the deviance. The cycle begins again in the third movement, progresses through all four phases, and concludes in the fourth.

Straus's adaptation of Mitchell & Snyder				
	1. Identifying the deviance	2. Marking it problematic	3. Bringing it from the periphery to the center	4. Repairing it
Cycle starts	i: mm. 1-6	i: mm. 35-36	i: mm. 55-60	-----
Cycle restarts	iii: mm. 1-6	iii: mm. 21-28 iv: mm. 29-32	iv: mm. 81-90	iv: 114-117 iv: mm. 359-361

FIGURE 5. Beethoven's Piano Sonata No. 28 in A Major, Op. 101.

The Exposition: 1) Identifying the Deviance

This monothematic movement omits normative elements of traditional sonata form; it does not create a secondary theme space, therefore, the cycle does not reach phrase 4. The incomplete cycle that departs in the first movement (mm. 1-6) contains two deviances: 1) a basic idea that prolongs the dominant, and 2) a truncated parallel period that omits its final cadential idea. As you can see in Ex. 15, E major (the V of tonic, A major) opens the main theme. The initiating harmony of the main theme, i: mm. 1-4, starts on E major, the dominant of tonic A major.³³ Because of this non-tonic beginning,

³³My abbreviation for the opening six measures from the first movement is i: mm. 1-6 (i: mm. 1-4 for the first four, and i: mm. 1-2 for the first two).

this 4-mm. phrase features a nontraditional antecedent that prolongs the dominant rather than the tonic. Two measures of dominant pedal in the lower voice are answered by 2-mm. of tonic pedal in an interior voice. The phrase concludes with an HC that leads to the expected restatement of the basic idea labeled MT “repeated” in Figure 6. Other compositional features in the antecedent include the right-hand ascending parallel thirds that form a wedge with the descending chromatic tenor line in the basic idea; the

EXAMPLE 15. Beethoven, Piano Sonata in A Major, Op. 101, i, mm. 1 - 8 (1815-16).

Truncated Parallel Period

Etwas lebhaft und mit der innigsten Empfindung
Allegretto, ma non troppo

Antecedent

Antecedent

Truncated Consequent

(new phrase)

deceptive cadence

Correlation of Straus's adaptation of Mitchell & Snyder:	1. Identifying the deviance		
1 st Movement: Exposition (mm. 1-33)	Main Theme	(MT “repeated”)	MT repetition truncated
Measures	1-4	5-6	“7-8”
Initiating harmony	V	V	
Phrase Structure	Antecedent	Basic idea	No contrasting or cadential idea
Key & Cadences	A: HC	A: deceptive cadence	No PAC

FIGURE 6. Beethoven's Piano Sonata No. 28 in A Major, Op. 101, i, Main Theme.

contrasting idea answers with descending parallel tenths.³⁴ The return of the basic idea (mm. 5-6) concludes with a deceptive cadence, truncating the main theme. No cadential idea arrives in mm. 7-8 to complete the parallel period.

After the truncated main theme, a modulating two-part transition (mm. 7-16; 16-25) leads directly to the closing section (mm. 25-33). In Sonata Theory, the transition is an energy-gaining zone that leads to a medial caesura (V:HC), which then launches the secondary theme in the new key. Part one of this transition, however, resolves deceptively (m. 16). Part two of the transition seeks to reach a medial caesura to begin the secondary theme, but instead arrives on an elided PAC in the dominant key (m. 25), which fulfills the expectations of an essential expositional closure (EEC).³⁵ In normative practice, “producing the EEC is the generically assigned task of the S-idea(s).”³⁶ Hepokoski and Darcy state that “[i]f there is no medial caesura, there is no secondary theme.”³⁷ The result is a continuous exposition. Without a medial caesura or a secondary theme, what appears to be the EEC indicates the close of the transition. The PAC elides with the exposition’s closing section (mm. 25-34).

³⁴The wedge contour in this movement replicates not only the contrary motion, but also the beginning pitches from J.S. Bach’s Fugue in E minor, BWV 548, mm. 1-3, as pointed out by Cynthia I. Gonzales. These compositional features return in the fourth movement of Op. 101.

Bach, Fugue for Organ in E Minor, BWV 548, mm. 1 - 3 (ca. 1725).

Wedge



³⁵Hepokoski and Darcy, *Elements of Sonata Theory*, 18.

³⁶*Ibid.*, 18.

³⁷*Ibid.*, 52.

The Development: 2) Marking it Problematic

The main theme basic idea permeates—either in whole or as a fragment—the entire development, resulting in a half rotation. Though now in E major, the development (mm. 35-58) initially quotes i: mm. 1-2, reminding us of the problematic deviance. A 1-m. syncopated block-chord motive recalls the syncopation from the transition and follows with a second statement of the basic idea before it leads to further fragmentation of the main theme in other tonal regions. As expected, the retransition (mm. 52-54) prepares the return of the main theme in the tonic key with an imitative sequence that leads to the dominant.

The Recapitulation: 3) Bringing it from the Periphery to the Center

The recapitulation defies expectations by stating the non-tonic beginning in the tonic minor, which results in an off-tonic false-recapitulation.³⁸ This creates a double-recapitulation effect that allows the deviance to be brought from the periphery to the center in two ways: 1) the non-tonic beginning occurs in the tonic minor as pre-recapitulatory material (mm. 55-57), and 2) the non-tonic beginning returns at the start of the recapitulation in the tonic key (mm. 58-60). The former launches a *wrong* key recapitulatory rotation. As for the latter, it launches in the *right* key, though only the basic idea from the antecedent, i: mm. 1-2, returns in the major mode.

In contrast to the exposition, the truncated parallel period in the recapitulation reduces further to include only the basic idea. The bass line in m. 60 continues to ascend and leads to an exact return of mm. 9-32 in mm. 61-84. The first root-position tonic chord (also the first I:PAC) of the piece arrives well into the recapitulation (m. 77): it is as if the

³⁸Hepokoski and Darcy, *Elements of Sonata Theory*, 226-228.

piece attempts to avoid tonic. With the first I:PAC arrives until the recapitulation, Tovey states that the entire movement “powerfully illustrates the vital difference between being on the dominant and in the dominant.”³⁹ The elided V:PAC (mm. 24-25) returns as an elided I:PAC (mm. 76-77).

As in the continuous exposition, the recapitulation suppresses the secondary theme. The main theme and transition, unable to produce the essential structural closure (ESC), results in a sonata that “falls short of its generic mission to provide the requisite tonal resolution with the only action-space, S, that is capable of providing it.”⁴⁰ The elided I:PAC (mm. 76-77) represents the ESC, in hope of still providing a cadence in the tonic key. Even though the deviance is not yet repaired, the closing section (mm. 77-85) leads directly to the coda (mm. 85-102).⁴¹

The Recapitulation: No Repair

Not only does this movement evade traditional sonata form, but its recapitulation (like the exposition) also makes no attempt to repair the basic idea or to present a full parallel period. The non-tonic beginning, only as a basic idea, does not affect the rotation of themes in the recapitulation. The transition and closing section return complete, resulting in a full rotation. The non-tonic beginning does, however, affect the phrase structure of the main theme, and the parallel period is truncated even further in the recapitulation. The deviance remains unresolved, leaving the subsequent movements to repair it.

³⁹Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 205.

⁴⁰Hepokoski and Darcy, *Elements of Sonata Theory*, 247.

⁴¹Caplin, *Analyzing Classical Form*, 520. Caplin describes the start of the coda to be the point where the music in the recapitulation no longer corresponds to the exposition.

Op. 101, iii-iv

Third Movement: 1) Identifying the Deviance

The deviance, left unresolved within the first movement, restarts the four phases of the disability narrative by partially embedding itself amongst the third and fourth movements. The opening of Op. 101, iii identifies the deviance in three ways. First, the main theme includes a concealed repetition of i: mm. 1-2. Second, this movement starts in the wrong key of A minor rather than A major, the key of the fourth movement. Third, a non-tonic harmony (V₆) initiates the main theme. A summary of this deviance appears in Figure 7, which includes the main theme's phrase structure and cadences.

Correlation of Straus's adaptation of Mitchell & Snyder:	1. Identifying the deviance	
3rd Movement: Introduction (mm. 1-20)	A minor instead of A major (concealed repetition of i: mm. 1-2)	
Measures	1-4	5-8
Initiating harmony	V	iii
Phrase Structure	Sentence (R=1/2N)	Sentence (R=1/2N)
Key & Cadences	a: HC	C: PAC

FIGURE 7. Beethoven's Piano Sonata No. 28 in A Major, Op. 101, iii, Main Theme.

Beethoven conceals the repetition of i: mm. 1-2 by returning it in a new register featuring a new harmonic context with a different rhythmic structure. Schoenberg describes the return of melodic content in a different rhythmic pattern as “the longing felt by two souls that are most closely and intimately bound but still are far apart.”⁴² Modified from A major to A minor, the soprano line from i: mm. 1-2 weaves into the bass line and

⁴²Heinrich Schenker, *Piano Sonata in A Major, Op. 101: Beethoven's Last Piano Sonatas, An Edition with Elucidation*, trans. and ed. John Rothgeb, vol. 4 (New York: Oxford University Press, 2015), 68.

i: mm. 1-2's alto into the soprano (with partial adjustments to modal scale degrees). By switching the original soprano and alto voices to the bass and soprano, respectfully, the ascending thirds from i: mm. 1-2 are now ascending sixths. The bottom staff in Ex. 16 highlights the embeddedness of i: mm. 1-2 with stemless notes.

EXAMPLE 16. Beethoven, Piano Sonata in A Major, Op. 101, iii, mm. 1 - 8 (1815-16).

Langsam und sehnsuchtvoll
Adagio, ma non troppo, con affetto

Sentence (R=1/2N)
Presentation

b.i. b.i.

Continuation

a: $V_6 \frac{4}{3}$ i $V_4^6 \frac{4}{2}$ i₆ i iv₆ iv N₆ i₆ V_3^4 i $V(\frac{4}{3} \frac{5}{3})$ HC

6 — 6 —

Sentence (R=1/2N)
Presentation

b.i. b.i.

Continuation

cadential

C: iii (V_3^4) I (V_3^4) IV₆ (iv₆) V₇ V₇ $V(\frac{4}{3} \frac{5}{3})$ I₆ ii₆ V₇ I

PAC

The phrase structure of mm. 1-4 is a tight-knit sentence (R=1/2N). After the HC (m. 4), the G[#] alters to G^b and foreshadows the forthcoming PAC in C major. Tovey states that the method of altering a dominant chord from major to minor, so as to facilitate a

modulation was, by this point in time, a technique established in Beethoven's style.⁴³ The next phrase, in C major, does not complete a compound period. Instead, the second phrase (mm. 5-8) is another sentence ($R=1/2N$) with new material that recasts different contours from i: mm. 1-2. This phrase reconstructs the wedge from the two inner voices to the outer voices, though the upper voice features ascending leaps and not stepwise motion.

Third and Fourth Movement: 2) Marking it Problematic

As if a transition, m. 9 initiates an energy gaining zone by increasing surface-level activity (m. 9-14). The texture thickens (m. 14-16) before the transition-like material modulates back to A minor (m. 17). The final 4-mm. prolong the dominant and end on a HC (mm. 17-20). This transition-like energy-gaining section leads to three dominant arrivals that attempt to introduce the fourth movement. Rather than concluding with a V_7 that initiates the fourth movement's main theme, the first dominant arrival is weak (m. 20); it initiates an unanticipated E major "themeless and timeless" cadenza (m. 20).⁴⁴ After the short cadenza, a complete return of i: mm. 1-4 in the correct key of A major (mm. 21-24) interrupts to delay further the arrival of the fourth movement, marking the deviance as problematic (Ex. 17). Labeled in Figure 8, the extension of i: mm. 1-4 (mm. 25-28) leads to the second dominant arrival, which intensifies to V_7 . Finally, the third dominant arrival reiterates V_7 as block-chords over a dominant trill (Ex. 18). This V_7 truly marks the deviance as problematic as it creates an additional 4-m. introduction (mm. 29-32) to the fourth movement, before launching the main theme in m. 33.

⁴³Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 209.

⁴⁴*Ibid.*, 210.

EXAMPLE 17. Beethoven, Piano Sonata in A Major, Op. 101, iii, mm. 21 - 28 (1815-16).

Antecedent

b.i. c.i.

21

A: V ----- I ----- V(♯) HC

25 extension frag.

Presto

V(♯) HC I I I V V₇

Dominant Arrival

Correlation of Straus's adaptation of Mitchell & Snyder:	2. Marking it problematic		
Between 3rd and 4th movement	Return of i: mm. 1-2 as an interruption	Additional introduction in the correct key	
Measures	21-24	25-28	29-32
Initiating harmony	V		V ₇
Phrase Structure	Antecedent	Extension	4-m. themeless intro.
Key & Cadences	A: HC	Dominant arrival	A: elided PAC

FIGURE 8. Beethoven's Piano Sonata No. 28 in A Major, Op. 101, iii-iv.

EXAMPLE 18. Beethoven, Piano Sonata in A Major, Op. 101, iv, mm. 29 - 32 (1815-16).

Introduction

**Geschwinde, doch nicht zu sehr,
und mit Entschlossenheit**
Allegro

A: V₇ -----

The problematic deviance, still unresolved, continues in the fourth movement wherein it is finally repaired. Not only is the fourth movement in sonata form, but it also starts with a conventional 8-m. theme-type whose basic idea prolongs the tonic harmony. By beginning with normative 18th-century practices, the deviances begin to be repaired. Figure 9 summarizes the formal sections of movement iv with their themes, measure numbers, and structural cadences, aligning the recapitulation underneath the exposition.

		: Exposition				:	Development
Themes:	Intro.	MT	TR	ST	CS		Fugue
Measures:	29-32	33-65	65-80	80-90	91-113		113-231
Keys:		I	I - VV	V		I.....
Structural Cadences:			PAC	MC	EEC	PAC	HC
		Recapitulation					Coda
		MT	TR	ST	CS		
		232-252	252-269	270-280	280-302		303-361
		I	IV - II	I		I
			PAC	MC	ESC	PAC	PAC

FIGURE 9. Beethoven's Piano Sonata No. 28 in A Major, Op. 101, iv, Sonata Form Diagram.

The main theme itself is a small ternary form (mm. 33-65), which, according to Caplin is “one of the most important forms in all of classical instrumental music.”⁴⁵ The main theme's A (Ex. 18.2) features a tight-knit compound period (mm. 33-48). The compound antecedent's basic idea (mm. 33-36), composed as invertible counterpoint, inverts in the compound consequent (mm. 41-44): the antecedent's structural descending tenths return as descending sixths in the consequent. These contrapuntal structures

⁴⁵Caplin, *Classical Form*, 71.

EXAMPLE 18.2. Beethoven, Piano Sonata in A Major, Op. 101, iv, mm. 33-48 (1815-16).

Main Theme's A - Compound Period

Antecedent: Sentence
Presentation
b.i.

Continuation
b.i.

A: I (tonic prolongation)

Consequent: Sentence
Pres.
b.i.

Cont.
V₇/V V HC I

44
V(⁴ 7) I
PAC

reference baroque counterpoint and foreshadow the development's fugue. The contrasting middle section (B) prolongs the dominant harmony while changing the texture (mm. 49-56); this looser phrase presents a nontraditional ending that segues immediately into the main theme's A'. Material from A returns in A' (mm. 57-65), though A' only restates the compound consequent's basic idea with an altered contrasting idea that ends with an elided PAC.

The transition prepares for the subordinate theme to begin in the key of E major. The transition (mm. 65-80), comprised of three units, fragments the main theme's basic idea. The first unit (mm. 65-69), which features the basic idea's melodic contour as an

imitated melody, ends with an elided cadence. The second (mm. 69-76) repeats mm. 65-69 and extends to end with a HC in E major. The third features four codetta-like sub-phrases that alternate between V_7 and I (mm. 77-80).

Fourth Movement: 3) Bringing it from the Periphery to the Center

As indicated in Figure 10, the subordinate theme (mm. 81-90) brings the deviance from the periphery to the center by starting with an unaccompanied right hand in B major (A-G \sharp -F \sharp -G \sharp -A as its first five pitches), instead of E major. Attempting to immediately repair the wrong-key entrance, the second statement of the subordinate theme is in E major (mm. 87-90), harmonized as a horn call with open 5ths. After the subordinate theme ends on a PAC (m. 90), the closing section (mm. 91-113) repeats the content of mm. 65-80, but because of the evaded cadence in m. 104, the phrase extends by repeating mm. 100-102 with a change in register (mm. 104-106). A new “cadence-theme” follows and concludes the exposition (mm. 106-113).⁴⁶

Correlation of Straus's adaptation of Mitchell & Snyder:	3. Bring it from the periphery to the center
4th Movement	Subordinate theme (mm. 114-231)
Measures	mm. 81-90
Initiating harmony	V
Phrase Structure	2 Compressed Sentences
Key & Cadences	B: PAC - E: PAC

FIGURE 10. Beethoven's Piano Sonata No. 28 in A Major, Op. 101, iv, Subordinate Theme.

The development (mm. 114-231) attempts to repair the deviance by recasting the melody from i: m. 1 in A major, as highlighted with arrows in Ex. 19. If repaired, a

⁴⁶Tovey, *A Companion to Beethoven's Pianoforte Sonatas*, 212.

complete restatement in A major would feature the pitches G[#]-A-B-C[#]-E-B; however, the deviance’s repair fails as it omits the final three notes: it ascends to D[♯] rather than E, as seen in Figure 11 (because the deviance was not repaired, I have crossed out the words “Repairing It”). The opening sentence (mm. 114-122) further delays the repair as it abandons the expected PAC in A major to arrive instead on a i₆ chord.

EXAMPLE 19. Beethoven, Piano Sonata in A Major, Op. 101, iv, mm. 114 - 122 (1815-16).

Sentence

Presentation 114 b.i. b.i. Continuation

A: V I₆ V₆ I IV I₆ IV -- 6 V₆ i₆
abandoned
PAC

Correlation of Straus’s adaptation of Mitchell & Snyder:	4. Repairing it
4th Movement	Development (mm. 114-231)
Measures	114-122
Initiating harmony	V
Phrase Structure	Sentence
Key & Cadences	A: abandoned PAC

FIGURE 11. Beethoven’s Piano Sonata No. 28 in A Major, Op. 101, iv, Development.

The development continues with the foreshadowed fugue, which derives its thematic content from the main theme’s basic idea’s head motive. As the development rotates thematic content from the main theme, transition, and closing section, but omits

the subordinate theme, the result is a double half rotation. Following the development's fugue, the 4-mm. retransition (mm. 228-231) prepares the return of the main theme.

Fourth Movement: 4) Repairing It

The goal of the recapitulation (mm. 232-303) is to repair the deviances from the previous movements that have woven themselves into the fourth. The recapitulation begins with the main theme in A major and closes with an elided cadence that initiates the transition, now rewritten in the subdominant key. The transition ends by modulating to the tonic and leads to the subordinate theme in m. 270. The recapitulation ends by quoting the exposition's closing section (mm. 280-302), now transposed to A major. The deviance does not affect the rotation of themes in the recapitulation, as all of the exposition's themes in their expected keys and phrase structures return, resulting in a full rotation. It appears as if the deviances are, at last, being repaired: the recapitulation closes with a *pianissimo* PAC (m. 302) that features thin texture and repairs the problem through the use of its traditional sonata form (Figure 12). This PAC is reinforced by the PACs in the coda. The satisfying *fortissimo* PAC (m. 359) that prolongs the tonic until m. 361 closes the movement (Ex. 20).

Correlation of Straus's adaptation of Mitchell & Snyder:	4. Repairing it	
4th Movement	Recapitulation	Coda
Measures	302	355-361
Initiating harmony		I
Phrase Structure		2-mm. codettas + 3-mm. of final tonic
Key & Cadences	A: PAC	A: PAC

FIGURE 12. Beethoven's Piano Sonata No. 28 in A Major, Op. 101, iv, Coda

EXAMPLE 20. Beethoven, Piano Sonata in A Major, Op. 101, iv, mm. 354 - 361 (1815-16).

Sentence

By the end of the fourth movement, the two deviances from the first movement (i: mm. 1-6) are repaired but not normalized. The basic idea (i: mm. 1-2), which prolongs the dominant, never returns to begin on-tonic. The truncated parallel period (i: mm. 1-6), also, does not recur with a complete consequent phrase. The fourth movement, however, repairs the deviances by beginning on-tonic with a conventional phrase structure and with its traditional sonata form, as “the narrative of disability overcome unfolds within the conventional outline of sonata form.”⁴⁷

⁴⁷Straus, *Extraordinary Measures*, 62.

III. CONCLUSION

Beethoven battled a lifelong preoccupation with his health, enduring multiple disabilities: deafness, psychiatric problems, and conditions affecting his gastrointestinal, respiratory, and musculoskeletal systems. Though Beethoven could not repair his physical disabilities, Straus claims Beethoven's music "confronts tonal problems (symbolically representing disabilities) in a variety of ways and with a variety of outcomes."⁴⁸ With Beethoven, "disability is to be struggled with and, if possible, overcome, and his works often take on the personality of the Heroic Overcomer."⁴⁹

Beethoven's music can be analyzed with narratives about disability overcome. According to Straus, musical narratives of disability overcome became prominent in Beethoven's middle period compositions, which Beethoven used to introduce a different approach of overcoming disability through a personal heroic endeavor.⁵⁰ Straus explores narratives about overcoming disability by adapting Mitchell and Snyder's four stages, as Straus believes that "music contrasts its normative content...with a disruptive, deviant intrusion whose behavior threatens the integrity and normal functioning of the musical body."⁵¹ Straus takes Schoenberg's belief that "unrest was inherent in the very material of music"⁵² and applies this to the four phases by agreeing that it is the piece's task to "solve the problem and reestablish balance and rest."⁵³

⁴⁸Straus, *Extraordinary Measures*, 60.

⁴⁹*Ibid.*, 64.

⁵⁰*Ibid.*, 51.

⁵¹*Ibid.*, 48-49.

⁵²Arnold Schoenberg, *The Musical Idea and the Logic, Technique, and Art of Its Presentation*, ed. and trans. Patricia Carpenter and Severine Neff, foreword by Walter M. Frisch (Bloomington: Indiana University Press, 2006), 62.

⁵³*Ibid.*, 49.

Straus identifies the deviance as a non-diatonic pitch and explores how sonata form repairs it. Instead, I label the deviance as a non-tonic beginning found in Beethoven piano sonata movements. When a piece begins with an off-tonic harmony that delays establishing the true tonal center, our sense of tonic is further questioned; therefore, movements with a non-tonic beginning are problematic when compared to 18th-century normative practices. From the very start of a piece, “the tonic must make great efforts to prevail.”⁵⁴ Schoenberg states that “every tone which is added to a beginning tone makes the meaning of that tone doubtful. If, for instance, G follows after C, the ear may not be sure whether this expresses C major or G major, or even F major or E minor; and the addition of other tones may or may not clarify this problem.”⁵⁵ When the tonic key is questioned, then it “must wander through all regions and prevail” through the use of sonata form, and “prove itself and [reestablish] a state of rest.”⁵⁶

In selected movements in Piano Sonata Op. 31, no. 3, and Piano Sonata Op. 101, I explored the relationship between non-tonic beginnings and their phrase structure, the correlation between non-tonic beginnings and the rotation of themes, and the connection of the non-tonic beginning phrase and the phrase structures of the themes that follow. The non-tonic beginning in Op. 31, no. 3, i, a nonconventional theme-type, did affect the phrase structures in the themes that followed, as each omitted an initiating function. The non-tonic beginning, however, did not affect the thematic rotation in the development or

⁵⁴Arnold Schoenberg, *The Musical Idea and the Logic, Technique, and Art of Its Presentation*, ed. and trans. Patricia Carpenter and Severine Neff (New York: Columbia University Press, 1995), 105, 107. As cited in Straus, *Extraordinary Measures*, 50.

⁵⁵Arnold Schoenberg, “New Music, Outmoded Music,” in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (London: Faber & Faber, 1984), 123. As cited in Straus, *Extraordinary Measures*, 49.

⁵⁶*Ibid.*

recapitulation. Even though the non-tonic beginning returns four more times in the movement, the deviance itself is not normalized: it neither starts on tonic nor returns as a conventional theme-type. Through the use of sonata form, though, the deviance is repaired in the coda.

The non-tonic beginning and truncated parallel period of Op. 101, i: mm. 1-6, left unrepaired, returns in the third and fourth movements. The deviances are not normalized by starting on tonic nor returning as a completed parallel period; rather, they are repaired by a concealed repetition in the fourth movement, which is in sonata form. The non-tonic beginning affects the phrase structures of the first and third movement; however, the fourth movement features conventional theme-types. The non-tonic beginning does affect the thematic rotation in development, but not in the recapitulation.

So, at least in these two pieces, non-tonic beginnings affect phrase structures, but they do not affect the rotation of themes in the recapitulation. Even though the non-tonic beginning does not return normalized in the tonic key or in a conventional theme-type, the deviance is repaired through the use of traditional sonata form. As mentioned before, Straus believes “sonata form, with its inherent thrust toward normalization, becomes the medium through which tonal problems...may be heroically overcome in triumph, or treated as a subject for high or low comedy, or allowed to create musical disruptions that are scarcely recuperable.”⁵⁷

In order to anticipate future research of non-tonic beginnings, the belief that sonata form repairs the deviance prompts the following question: how is the non-tonic beginning repaired if the movement is not in traditional sonata form? A central task of

⁵⁷Straus, *Extraordinary Measures*, 62.

traditional music theory “is to distinguish between well-formed, properly functioning, normal musical bodies, and ill-formed, poorly functioning, abnormal musical bodies.”⁵⁸ Straus states that themes, harmonies, tonality, and form in a musical work are like the blood, skin, and limbs of a body.⁵⁹ Musical form, however, can be seen as the cohesive force that makes a living body whole and centrally controlled.⁶⁰ Sonata form functions as the normality of musical form, a form that used to be seen as a *conventional mold* or a *normative container* with “an arrangement of bounded spaces.”⁶¹ In other words, this traditional form type repairs the non-tonic beginning deviance with its confined three-part structure. How might the non-tonic beginning be repaired in other forms that also repeat entire sections, such as a scherzo and trio, a rondo, a sonata without a development, or a sonata that repeats formal sections that are normally not repeated? Four Beethoven piano sonata movements that display one of these characteristics are Piano Sonata in E♭ Major, Op. 7, iv; Piano Sonata in D Major, Op. 28, iii; Piano Sonata in F Minor, Op. 57, iii; and Piano Sonata in F♯ Major, Op. 78, ii. Within these selected movements, is the deviance transferred to/from a subsequent movement, as in Op. 101? Where is the deviance repaired—if at all—the form does not feature a recapitulation or a coda? Future research can explore where the four adapted disability stages occur, so as to determine if the problem is repaired by the time the movement ends. I will end my thesis by briefly discussing the phrase structure of the non-tonic beginning of these four movements.

⁵⁸Straus, *Extraordinary Measures*, 103.

⁵⁹*Ibid.*, 105.

⁶⁰*Ibid.*, 105.

⁶¹*Ibid.*, 110.

The first example, Piano Sonata in E \flat Major, Op. 7, iv (1796-97), is a rondo.

Caplin lists two types of classical era rondos: the *five-part rondo* (ABACA) and the *sonata-rondo* (ABACABA). The main theme, or opening *refrain*, is an 8-mm. parallel period that starts with V $_7$ in E \flat (Ex. 21). In a five-part rondo the opening refrain returns twice, and in a sonata-rondo the refrain returns thrice. Regardless, “refrains contain essentially the same material.”⁶² In this movement, the refrain returns thrice as an exact return of mm. 1-8. A fourth return occurs in the coda, though transposed exactly up a half-step. Mm. 1-8 are never normalized to begin on-tonic, leaving the deviance to be repaired through a different format (since this movement is also not in sonata form).

EXAMPLE 21. Beethoven, Piano Sonata in E \flat Major, Op. 7, iv, mm. 1 - 8 (1796-97).

Parallel Period

Rondo
Poco Allegretto e grazioso

The musical score for Example 21 is presented in two systems. The first system, labeled 'Antecedent', spans measures 1 through 7. It begins with a whole rest in the bass clef and a half note E \flat in the treble clef. The melody consists of a half note E \flat , a quarter note G \flat , a quarter note A \flat , a quarter note B \flat , a quarter note C \flat , a quarter note D \flat , a quarter note E \flat , and a half note F \flat . The bass line consists of a half note E \flat , a quarter note G \flat , a quarter note A \flat , a quarter note B \flat , a quarter note C \flat , a quarter note D \flat , a quarter note E \flat , and a half note F \flat . The second system, labeled 'Consequent', spans measures 5 through 8. It begins with a half note E \flat in the bass clef and a half note E \flat in the treble clef. The melody consists of a half note E \flat , a quarter note G \flat , a quarter note A \flat , a quarter note B \flat , a quarter note C \flat , a quarter note D \flat , a quarter note E \flat , and a half note F \flat . The bass line consists of a half note E \flat , a quarter note G \flat , a quarter note A \flat , a quarter note B \flat , a quarter note C \flat , a quarter note D \flat , a quarter note E \flat , and a half note F \flat . The score includes harmonic analysis below the notes: Eb: V $_7$ (I) V I V $\frac{3}{4}$ I V($\frac{4}{3}$ $\frac{5}{3}$) V $_7$ HC. The second system includes harmonic analysis: V $_7$ (I) V 7 I ii $_6$ V($\frac{6}{4}$ $\frac{7}{3}$) I PAC.

⁶²Caplin, *Classical Form*, 231.

The second example, Piano Sonata in D Major, Op. 28, iii (1801), is a scherzo and trio, which, according to Caplin, is a “variant style of the minuet and features a faster tempo and a livelier character.”⁶³ This ABA’ movement places a trio between the scherzo and its restatement. The scherzo opens with a 4-m. introduction followed by a 4-m. expanded cadential progression. The ambiguous introduction features a single F# displaced by an octave in each measure (Ex. 22). The repeated F# creates tonal uncertainty. It leaves the listener to question the relationship between the repeated F#s

EXAMPLE 22. Beethoven, Piano Sonata in D Major, Op. 28, iii, mm. 1 - 8 (1801).

Nonconventional

Scherzo

Allegro vivace

introduction ECP

D: ? I ii₆ V₇ I PAC

and the movement’s tonal center: is this F# the root, third, fifth, or seventh? The PAC in D major confirms the tonality (m. 8). An exact repetition follows transposed in A major and ends with a second PAC (mm. 9-16). In normative practices of a scherzo and trio formal structure, the scherzo repeats after the trio.

Like Op. 101, iv, the third example, Piano Sonata in F Minor, Op. 57, iii (1804-05), is a movement linked to the previous movement. The interior movement, in D \flat major, ends unusually with a LT $^{\circ}$ ₇/V. Without the second to third movement segue, the third movement’s initiating harmony (vii $^{\circ}$ ₃) sounds more abrupt (Ex. 23). This F minor

⁶³Caplin, *Classical Form*, 219.

movement features an introduction (mm. 1-19) that prepares the arrival of tonic and the start of the main theme until m. 20. Though in sonata form, this movement omits repeating the exposition. Instead, the development and recapitulation are repeated. Is this an effect of the non-tonic beginning?

EXAMPLE 23. Beethoven, Piano Sonata in F Minor, Op. 57, iii, mm. 1 - 20 (1804-05).

Introduction

Sentential

(2nd movement)

Allegro ma non troppo

95 *secco* *attacca l' Allegro* introduction

1

Db: ii₆ V LT^o₇/V f: vii^o₃

Presentation b.i. b.i. Continuation

6

vii^o₇

12 Extension

V dominant arrival

17 (Main Theme)

elided AC

The fourth example, Piano Sonata in F# Major, Op. 78, ii (1809), is a sonata without a development.⁶⁴ According to Caplin, Mozart is the composer who most frequently utilizes this formal structure.⁶⁵ The opening phrase (mm. 1-4) starts with an It⁺⁶ and ends with a HC in the tonic key (Ex. 24). This phrase begins without an initiating function, displaying a sense of starting in the middle. The non-tonic beginning returns

EXAMPLE 24. Beethoven, Piano Sonata in F# Major, Op. 78, ii, mm. 1 - 12 (1809).

Nonconventional

Allegro vivace

F#: It⁺₆ V 4 I₆ ii 6 vii° V HC

throughout the movement. When analyzed as a sonata without a development, I cannot identify the correlation between the non-tonic beginning and the rotation of themes in the development; however, the rotation of themes in the recapitulation are altered in order to avoid the same structure as the exposition.

From Straus's four disability narratives (disability overcome, disability accommodated, balance lost and regained, and the fractured body), I focused my research on disability overcome and followed the four disability narrative phases that Straus adapts from Mitchell and Snyder. Further research might include applying the other three narratives (disability accommodated, balance lost and regained, and the fractured body)

⁶⁴Hepokoski and Darcy, *Elements of Sonata Theory*, 344.

⁶⁵Caplin, *Classical Form*, 216.

to Beethoven's piano sonatas with non-tonic beginnings—like the four pieces I just briefly discussed—that are not in traditional sonata form.

I would also like to conduct empirical research, testing the awareness of the listener, asking if they think the non-tonic beginning phrase is the start of the exposition, or if they have a sense that the music is starting in the middle or at the end. The listener would not be told that the short excerpt is the non-tonic beginning of the exposition. Testing if the non-tonic beginning displays a certain type of emotion or affect can also tie in with the awareness of the listener. Further research might also include if certain musical topics are associated with non-tonic beginnings, or analyzing non-tonic beginnings via a Schenkerian approach to show where the *kopfton* arrives.

While empirical research on the aural effects of non-tonic beginnings and the application of different disability narratives to non-tonic openings not in traditional sonata form might help to further explain the problematic effects of non-tonic beginnings, this thesis analyzes two pieces with a disability overcome narrative that follows Mitchell and Snyder's four phases adapted by Straus. This thesis reveals that non-tonic beginnings affect phrase structures but not always the rotation of themes, and are not normalized but, instead, repaired at the end of a piece that is in traditional sonata form. Schoenberg states that in order to symbolize the construction of the formal organization of music, "one ought to think of a living body...that one such whole body could be the tonality of a piece of music."⁶⁶ According to Schoenberg, pieces begin with a sense of rest and balance, but are disrupted by a tonal problem that brings unrest and imbalance.⁶⁷ When

⁶⁶Schoenberg, *The Musical Idea and the Logic, Technique, and Art of Its Presentation*, 105.

⁶⁷Straus, *Extraordinary Measures*, 49.

the tonal problem resolves it restores balance and rest, leaving “its metaphorical body fully intact.”⁶⁸ The tonal problem created by non-tonic beginnings questions the tonal center and affects phrase structure. This deviance returns throughout the piano sonata movement, or subsequent movements, until repaired. Non-tonic beginnings, however, begin with unrest and imbalance. Through the reparations of this deviance, rest and balance are restored.

⁶⁸Straus, *Extraordinary Measures*, 50.

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