Storm and Stress, Form and Process
C.P.E. Bach, Josef Haydn, and the Symphony in the Early 1770s

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Through the haze of two centuries, the late eighteenth century looks like a conservative and homogenous period of musical history. The fact that two of the best-developed methods of music analysis, Schenkerian analysis and Formenlehre, are supposed to apply uniformly to music of this era and only questionably to music that falls fifty-or-so years outside of it in either direction, reinforces this perception. But it could not be further from the truth: viewed in its proper context, the late eighteenth century was a tumultuous period of rapid change in music. This is especially apparent in the remarkable concentration of musical energy that occurred in an explosive period of invention around the early 1770's, often referred to as music's "*Sturm und Drang*" period. The excitement of new possibilities in instrumental music is apparent in the symphonic output of two of the most prominent composers of the period, C.P.E. Bach and Joseph Haydn. Bach and Haydn represent, in more than one way, opposite poles of the German-speaking world—North versus South, heir to a dignified musical dynasty versus young pioneer of new instrumental genres. But in confronting the problem of evoking extreme emotions through the medium of the symphony, they come up with what are in many ways remarkably similar solutions.

No single established method from the canons of musicology and music theory is sufficient for getting a comprehensive grasp on this music, but a hybrid method of analysis drawing on Schenkerian methods and the form-functional analytical method of William Caplin[1] reveals much of the craft and artistry of Bach and Haydn as symphonists. Janet Schmaldfelt made the first attempt to reconcile these seemingly hostile approaches to the music of the later eighteenth century.[2] Her work shows that, as analytical methods, the Schenkerian approach and Caplin's Schoenbergian approach are not as incompatible as one might expect from their origins in the work of two polemical adversaries of the early twentieth century. Where the two methods overlap, they agree, and where they disagree it is usually a difference of emphasis not a real dispute in the content of respective analyses. I will apply this hybrid methodology to two exemplary finales from Haydn's E minor "*Trauersymphonie*" (no . 44), and the fifth of Bach's Six Symphonies for Baron van Swieten (B minor), written in 1773.

Haydn's Sturm und Drang Style, Bach's Berlin Symphonies, and Bach's Unusual Approach to Form

Much has been written about the so-called *Sturm und Drang* period in Haydn's symphonic oeuvre, a period from about 1768–1773 that features minor key works,

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[1] *Classical Form: A Theory of Formal Functions for the Music of Haydn, Mozart, and Beethoven* (Oxford: Oxford Univ. Press, 1998).
[2] "Towards a Reconciliation of Schenkerian Concepts with Traditional Theories of Form." *Music Analysis* 10:3 (1991), 233–287.

adventurous formal procedures, and dramatic textural devices. In general, it is a period of experimentation with compositional techniques that produced some of Haydn's most compelling symphonies.[3] It seems likely that the unfamiliar logic of C.P.E. Bach's use of form, whether witnessed through his sonatas or symphonies, stimulated some of Haydn's musical experiments of the 1770's, as we can see from the unusual run-on movement in symphony no. 45 and Haydn's experimentation with unusual formal procedures in symphony no. 44.

James Webster notes that use of run-on movements in Haydn's instrumental music is a prominent feature of this period, and becomes a lasting trait of his style thereafter.[4] There are a number of examples in Haydn's keyboard sonatas, trios, and string quartets from 1770 onward, but only one example in the symphonies, the double-finale of the "Farewell" symphony (no. 45), one of the most unique works to come out of the *Sturm und Drang* period. Run-on movements are a pervasive feature of C.P.E. Bach's symphonies. Though they occur in almost every one of Bach's symphonies, an example that Haydn was very likely to have been exposed to was the E minor symphony of Bach's Berlin period, Wq. 178. This symphony was published and widely known, including in Vienna.[5]

The difference between Bach's and Haydn's conceptions of form is also suggestive in connection with the unusual formal procedures Haydn adopts in the *Trauersymphonie*. If Haydn had studied Bach's E minor Berlin symphony (Wq. 178) he would have been struck by the formal procedure of the first movement: Bach cycles through a series of distinct thematic ideas three times, without repeated sections, the principal theme appearing at the mediant and the dominant but not returning to the original key until after the structural cadence, at which point it initiates the transitional coda (which modulates to the relative major).[6] This is a typical formal scheme in Bach's symphonies, but it evades our usual, Vienna-centric, classifications of formal types.

A survey of Bach's symphonies reveals that he had a different conception of form than Haydn: while ordinary sonata form is prevalent in his works, it seems to be

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[3] H.C. Robbins Landon, *Haydn: Chronicle and Works, Vol. II: Haydn at Esterháza, 1766–1790* (Bloomington: Indiana Univ. Press, 1978); Larry Todd, "Joseph Haydn and the *Sturm und Drang*: A Revaluation," *Music Review* 41 (1980), 172–196.

[4] *Haydn's Farewell Symphony and the Idea of Classical Style* (Cambridge: Cambridge University Press, 1991), 186–194.

[5] Charles Burney recounts that Johann Hasse of Vienna was an admirer of this symphony. (ref?)

[6] Hepokoski and Darcy (*Sonata Theory*, 265) treat these as false recapitulations within a usual sonata-form model. This view is a distortion of the symphonic movements that Bach writes under this formal scheme. These movements lack repeats, so the assigning the EEC is arbitrary. Furthermore, the "recapitulations" initiate self-standing sections often with complete or partial rotations of the thematic material, and in this sense are unlike what we would call false recapilations in Haydn (nor do they have the character of false recapitulations). In one case, the fifth of the Wq. 182 symphonies, [. . .] Hepokoski and Darcy do not address the E minor Berlin Symphony, Wq. 178, but in this case wrenching the formal scheme into the usual sonata mold by means of "false recapitulations" is particularly untenable, since there would be no real recapitulation (the theme appears in the tonic key only in the modulatory coda, and the other appearances are in the mediant and dominant, not the subdominant).

contextualized differently in his universe of formal options than in the Viennese one that serves as the ground truth for most *Formenlehre*. Bach's forms can be classified into three types, all of which are articulated by repetitions of a principal theme in different keys, with subsidiary thematic material following the statements of the principal theme in a regular order.[7] The simplest type is the *parallel binary*.[8] In this form, which is relatively well represented in Bach's symphonies and sonatas, there are two parts, each beginning with the same principal theme. The first part modulates to a secondary key area; the second part states the theme in the secondary key and modulates back to the primary key. The principal theme never returns to the original key, however, except possibly in a coda. There is usually identifiable subsidiary thematic material that follows the principal theme in a regular order, in which case the form has a charmingly simple dual symmetry: the translational symmetry of the thematic material, P–S / P–S, contrasts with the mirror symmetry of the key areas, Tonic–Non-tonic / Non-tonic– Tonic, so that each theme is heard exactly once in each key.

Ordinary sonata form, as it tends to be used by Bach, can be seen as an extension of the parallel binary. Like the parallel binary, sonata form states the principal theme at the beginning of the first part in the tonic and in a contrasting key at the beginning of the second part, but the subsidiary material that follows this contrasting statement of the theme, rather than resolving conclusively in the tonic key, ends with a half cadence or a non-tonic authentic cadence, and a third rotation of thematic material follows with the principal theme returned to the tonic key (i.e., the recapitulation).

Bach's third formal type is the one used in the E minor Berlin symphony (Wq. 182), a more variable option resembling his modulating rondos.[9] It is usually a first-movement form in the symphonies (as in Wq. 178). Like the parallel binary and sonata forms, the different sections are articulated by means of repeating the principal theme in different keys. It is repeated three or more times, and in three or more keys. The sections initiated by non-tonic statements may be more developmental in character, but there are no repeated sections, no explicit binary framework, and no distinct development section. The theme often reappears in the tonic at the end, either to

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[7] This is precisely Hepokoski's and Darcy's "rotational principle." (*Elements of Sonata Theory*, 16n.5, 611–614).

[8] Charles Rosen, in *Sonata Forms* (Revised Edition, New York: W.W. Norton, 1988), 22 describes this form and refers to it as "simple binary," an unfortunate designation, since it encourages us to conflate this important and distinct formal design with every binary form other than th rounded binary. Hepokoski and Darcy (*Elements of Sonata Theory*, 353–387) call it the "Type II Sonata," recognizing it as its own formal design and a significant alternative to standard ("Type III") sonata form. Their arguments in favor of recognition of the form, as well as their many examples, are persuasive, and need not be rehearsed here.

[9] Bach's symphonies also have at least one example—the second movement of Wq. 182 no. 5 in B minor—of a "sonata without development" (Hepokoski and Darcy's Type I). This movement is similar to a parallel binary, the only difference being that the repetition at the beginning of the second part begins as an exact repetition in the tonic key.

initiate a complete recapitulation-like section, or simple as a coda (as in Wq. 178) or closing statement.[10]

Form in Bach's symphonies thus demonstrates a clear and well-defined system that is distinct from the world of formal options that we find in Haydn and Mozart's instrumental music. The system has its own logic, and should be understood on its own terms.

In two movements of the *Trauersymphonie* Haydn experimented with a formal type characteristic of Bach's system, the parallel binary. The parallel binary does not occur Bach's E minor Berlin symphony, but it does occur in his Berlin symphonies Wq. 174–176, also circulated widely though only in manuscript copies. While it is impossible to know if Haydn encountered any of these symphonies, the D major Berlin symphony, Wq. 176, is particularly interesting with respect to Haydn's symphonic experiments of the early 1770's. Like the E minor Berlin symphony, the D major symphony features run-on movements, between not only the first two but the second and third movements as well. Furthermore, the second movement of the D major symphony is a remarkable (and very transparent) example of the parallel binary form. Rather than calling for exact repeats, Bach writes out repeats of each of the two sections in pizzicato. The first section modulates to the relative major, but the second section does not begin by simply restating the theme in this key; rather, it transforms the tonal context of the theme so that it begins on the dominant of an unstable E minor. The second part follows the first part thematically almost measure-for-measure (the only exception is a one-measure extension preceding the final cadence of the first section which is left out of the second), but transforming the tonal context throughout. The repeat of the second part is followed by a short modulatory coda that begins by restating the principal theme in the tonic key (much like the first movement of the E minor Berlin symphony).

If Haydn had encountered Bach's D major Berlin symphony and taken an interest in the drama it creates through what would have been to Haydn very surprising and unfamiliar procedures, it would neatly explain some of the outstanding features that

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[10] Hepokoski and Darcy (*Elements of Sonata Theory*, 265) try to account for these forms as eccentric variations on the usual sonata form. In some cases (such as the first movements of Wq. 182 no. 3 and no. 5) the notion of a subdominant recapitulation is plausible (though it would seem odd that Bach uses it so frequently and never with expositional repeats, which he uses in his standard sonata form movements). In other instances the sonata interpretation is forced and implausible. The first movement of Wq. 182 no. 1 (in G major) restates the theme in D major and C major before a final recapitulation in G major. The presence of four distinct sections cannot be accommodated under the banner of Type III sonata form. Hepokoski's and Darcy's interpretation ignores the last, tonic key, restatement in favor of C major as the beginning of the recapitulation proper. However, the symmetry of the four sections is essential to the form; it is most accurately described as a parallel binary embedded within another parallel binary. That Bach constructed the movement in this way is obvious from the close thematic correspondences from parts 1 to 3 and 2 to 4. The correspondences from part 1 to 2 (and 3 to 4) are much weaker. (Indeed, part 2 introduces new thematic material in meas. 47–58 that is repeated verbatim in transposition in part 4, exactly in the manner of a sonata second theme. It would be absurd to assign the first instance of this material to a development section).

lead to the remarkable stylistic shift of the *Sturm und Drang* period, a shift that had lasting consequences for Haydn and for the Viennese classical style in general. Of course, there certainly are other plausible explanations, among them the fact that Haydn is reported to have studied a collection of Bach's sonatas (though when and which sonatas is unclear[11]).

Comparing and Hybridizing Schenker's Method with Caplin's

Caplin's and Schenker's analytical techniques share one remarkable feature: They are both have a recursive hierarchical character, integrating longer spans of music on roughly the same principles used to explain the components of those spans.[12] Since the two recursive procedures are based upon very different musical features, the question naturally arises: Do the two recursive procedures conflict with one another?, do they agree?, or, are they like strangers passing in the night, independent in their own sphere? In fact, they cannot be entirely without mutual consequence, because they share a common recognition of certain musical features, such as cadences and key areas. And it turns out—perhaps surprisingly, perhaps not—that they tend to strongly agree at points where they both have a stake.

In Caplin's theory, only the most general categories of formal labels—initiating, continuational, concluding, and framing functions—generalize recursively. For instance, "antecedent" and "presentation" functions only exist at the level of theme, but every level has characteristic initiating functions. Caplin de-emphasizes this recursive character (see n. 13 above), but I will emphasize it here both to highlight

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[11] See A. Peter Brown, *Joseph Haydn's Keyboard Music: Sources and Style* (Bloomington: Indiana University Press, 1986), 218.

[12] Caplin, in his article "The Classical Cadence: Conceptions and Misconceptions," (*Journal of the American Musicological Society* 57/1 (2004), 51–117), claims that the *non-*recursive character of his method distinguishes it from Schenkerian analysis (or the Lerdahl and Jackendoff reformulation of Schenkerian analysis). This is misleading because both methods are recursive and non-recursive in roughly the same ways—the *resulting interpretations* have a recursive character while the *justifications* for those interpretations do not necessarily. In Caplin's method, the interpretations are assignments of beginning, middle, and end functions to spans of music. At this level of generality, the interpretation is strictly recursive (every level has its own beginnings, middles, and endings). It is the *justification* for calling something, say, an ending, that depends upon the level of analysis. For example, a cadence is a suitable ending for a theme, but a subordinate theme, which is an ending in the context of an entire exposition, cannot be described as a "cadence": the reasons for both of these being "endings" is different because of the level at which they function. The same is true of Schenkerian analysis: the nature of the interpretation, a description of line and counterpoint in the context of a prevailing harmony, is the same at every level, but the reasoning that leads to a particular interpretation changes considerably depending on the level. For example, at the foreground all sorts of embellishments—turns, échappés—are possible, but at the deeper middleground the possibilities are pared down to passing tones and upper neighbors because the middleground lacks the rhythmic and prosodic features of the foreground that can justify a variety of ways of contextualizing dissonance.

points of agreement with Schenkerian analysis and to draw attention to instances in which the same sorts of compositional devices (repetition, fragmentation) express the same type of function at different levels.

The recursive character of Schenkerian analysis is analogous to the recursive character of formal functions; both can be described as assigning beginning, middle, and ending functions to musical material. In Schenkerian analysis these are linear-harmonic entities: such as tonic with an active note, passing tone harmonized by dominant, tonic resolution.

To the extent that both theories invoke and explain the same musical features, they can be said to agree or disagree to the extent that they assign them the same kinds of functions. For instance, both theories hold the cadence to be inviolate as an ending, and distinguish the unresolved character of half-cadences and imperfect cadences from the capacity of the PAC to effect closure at a larger scale. Here, the theories agree: they interpret the same musical features in exactly the same way. Because Caplin's theory assigns a higher priority to tonal/harmonic factors than traditional *Formenlehre*, there are numerous such points of agreement with Schenkerian analysis. For instance, Caplin's "tonic prolongation" and "standing on the dominant" are recognized in analogous forms in Schenkerian analysis, and they are treated in the same way.

There are also numerous places where the two analytical methods differ in fundamental ways. Schenker's deep concern with abstract manifestations of counterpoint and line is not shared by Caplin, whereas the aspects of thematic design that concern Caplin are dismissed by Schenker. In these facets the theories cannot be said to agree with or contradict one another, because they are interpreting distinct musical features. It is here that applying both methods of analysis simultaneously pays off. Schenkerian analysis determines the linear process that is most important for structuring the tonal content of each formally defined section. The nature of that linear process (whether it occurs in the bass or an upper voice, whether it is passing or neighboring, what voice-leading level it belongs to, etc.) tells us more about its character than the broad harmonic classifications of Caplin's theory. The linear process can also be complete within that section or incomplete and dependent upon the content of adjacent sections. In the former case, we can call the process *contained*, in the latter *continuous*. We will also further distinguish *large-scale-continuous* linear processes that are significant in structuring the content of a section but are initiated or completed in non-adjacent formal sections. The principal process for a section, however, is never a large-scale-continuous one, because the large-scale process is to far removed from the actual content of the section.

Analysis of the two symphonic finales of the early 1770's by Haydn and C.P.E. Bach below illustrates the features of Caplin's method and its hybridization with Schenker's discussed above—specifically some of the recursive features of Caplin's theory, distinctions between self-contained and continuous sections, and large-scale-continuous linear processes. We will also see how each theory adds complementary information to the other that is essential in bridging the gap from technical analysis to hermeneutic interpretation of the work.

The Finale of Haydn's "Trauersymphonie," no. 44

Haydn's finale to the *Trauersymphonie* is an astonishing study in economy of materials: the opening basic idea is based on a single, simple motive, and this motive pervades

almost every moment of the work in some form. Furthermore, there is a sequential aspect to almost every large-scale formal function of the piece. The presentation of the opening sentence (Fig. 1), for instance, uses sequential repetition (rather than one of the two more common options, exact repetition or statement-response; see Caplin 1998, 35–40). Haydn's compositional economy is reminiscent of well-known features of some of Beethoven's works, but this aspect of the *Trauersymphonie*, to my knowledge, is unprecedented for its time. In terms of compositional craft, we must ask how Haydn avoids monotony and achieves variety and a sense of forward motion with such limited musical ingredients.
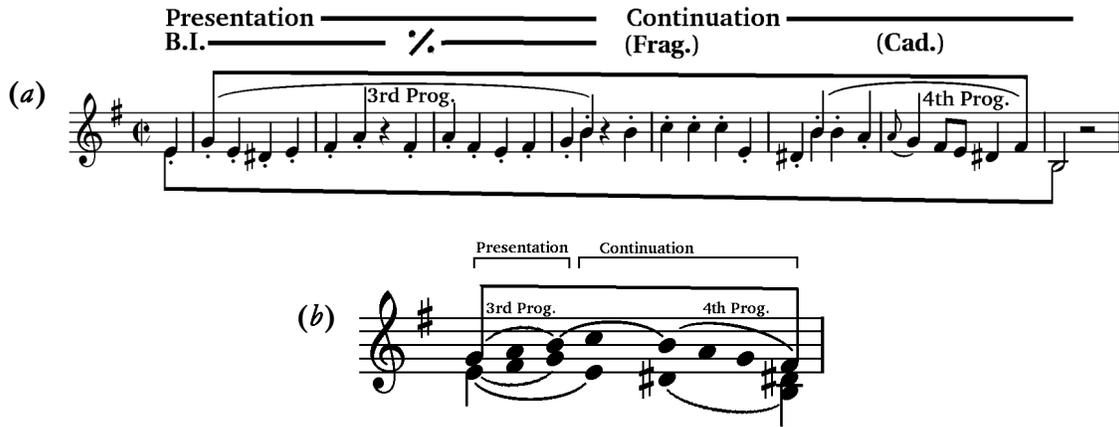
Figure 1: (a) Haydn's main theme with analytical annotations and (b) a Schenkerian analysis.

As a sentence, Haydn's main theme (Fig. 1) has two form-functional components, the presentation and continuation. Each is self-contained, the presentation being based on a tonic third progression and the continuation on a dominant fourth progression. The two linear progressions combine to make an interrupted 3-line. As we will see below, this interruption is only resolved on scale of the entire piece, making this a large-scale-continuous process. The repetition of the main theme that follows this (meas. 9–18), as is characteristic for Haydn's symphonic writing, does not form a period with the first statement of the theme because both end in half-cadence. As a result, the only authentic cadence in the tonic key occurs at the end of the recapitulation, a feature that heightens the drive and intensity of the movement.

Because the varied repetition of the main theme is not a periodic construction on Haydn's part, it demands a different interpretation. Here we note one of the formal functions of exact repetition in Caplin's theory: in the sentence theme-type, repetition defines an the initiating function (presentation). Haydn's exposition uses exact repetition of a higher order, the repetition of an entire theme as opposed to a simple basic idea. Remarkably, the transition and subordinate theme that follow exhibit one of the characteristics that can express continuation function in a sentence: harmonic sequence.[13] The transition is a sequence built out of the basic idea while the subordinate theme is a sequence in invertible counterpoint constructed from the motives of the main theme's continuation phrase. The subordinate theme also includes

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[13] *Classical Form*, 41–42.

the only conclusive cadence (PAC in III) of the exposition, making the entire exposition an expanded sentence-like form.

Haydn's subordinate theme (Fig. 2) is also interesting in this connection. The "loose-knit" theme occupies meas. 29–37 and is partially repeated (taking advantage of the invertible counterpoint) at meas. 38–42. The repetition of these 4–5 measures of material establishes a parallelism between the first part of the theme group, meas. 29–37, which ends in half-cadence, and the second part, meas. 38–50, which ends with the essential PAC for the exposition. In other words, the subordinate theme is an expanded period (with meas. 43–47 as an interpolation). What is most remarkable is that this period, though it represents the most tight-knit possible theme type[14], embeds the continuational characteristics that make a sentence-like structure out of the entire exposition. The expanded "basic idea" is a sequence, and the drive to cadence is accomplished by a fragmentation that is built into the interpolation (meas. 43–47).[15] Here a simple repetitive canonic idea generates one-measure units, in contrast to the two-measure units of the sequence.

Figure 2: The subordinate theme of Haydn's finale with analytical annotation

As mentioned above, Haydn's finale is in the *expanded parallel binary* form. Caplin treats pieces in this form as sonatas with the main theme omitted from the recapitulation.[16] This is somewhat misleading, in that Caplin's sonata form is the

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[14] Caplin points out that it is all but impossible to use the period as the contrasting middle of a small ternary. (*Classical Form*, 75, 268n.16)

[15] "Fragmentation" is the process of proportionally reducing the size of melodic units (usually by half). See *Classical Form*, 41.

[16] *Classical Form*, 173–174.

expansion of a small ternary (i.e., "rounded binary"), but the parallel binary is clearly not "ternary" in Caplin's sense—there is no way to separate the second part into self-standing sections corresponding to development and recapitulation. Instead, the form of Haydn's finale and other pieces like it should be explained as an expansion of a small binary form, analogous to sonata as expanded small ternary. And yet, one feature of Haydn's finale (which it shares with other exemplars of this form) that argues in favor of Caplin's treatment of this as a deviant sonata form is the clearly developmental mode in which Haydn restates the theme after the double bar. (Fig. 3) Caplin gives us the tools to understand this, however, without appealing to ternary form: the second part is a *fusion* of functions, development⇒recapitulation, analogous to the second half of the sentence theme type, which fuses continuation (a middle function) and cadence (an ending function).

Figure 3: (a) The beginning of the developmental core from Haydn's finale, and (b) a Schenkerian graph of the passage.

The first part of the developmental core (Fig. 3) is remarkable from a compositional standpoint. Along with the pre-core, it restates the main theme, as per the demands of the parallel binary form, but does so in a way characteristic of a sonata development, appropriate to the piece's general fixation on the process of emasculating the violent main theme. This sequential treatment of the theme is distinguished from the transition of the exposition in that it sequences a six-measure unit built out of three

repetitions of the basic idea, rather than a simple two-measure unit. At the same time, Haydn achieves a sense of heightened instability through use the dissonant and chromatic harmony.[17]

Figure 3(b) shows that the sequential development of the main theme outlines a rising third progression in the bass, leading from A minor to C major. This greatly expanded rising third progression reflects the original four-measure presentation phase of the main theme itself, especially since both are self-contained processes with respect to their formal functions (both of which are also initiating functions). This motivic use of a rising third progressions at different structural levels is a nice example of what Schenker calls a "hidden repetition." Here is serves to complement the thematic link between the beginnings of the two parts of the movement with a deeper structural link. Also, the fact that this formal section has a *bass* linear progression as its principal linear process (unlike any part of the exposition) lends it an additional destabilizing effect (accentuated by the added dissonance and chromaticism).

Figure 4 provides a broad Schenkerian characterization of the entire movement. A somewhat unusual feature of the analysis is the interpretation of the main theme as an interruption resolved only at the end of the movement. This expresses the fact that the lack of a tonic PAC in the exposition (which is not unusual in Haydn's symphonies) is designed to intensify the tension leading up to the eventual final cadence and extend this tension back to the very beginning of the piece.[18] As we will see below, Haydn further manipulates this tension at the end of the exposition in some extraordinary ways, showing that these effects are certainly a reflection of the composer's explicit intent.

The most salient feature of the analysis in Fig. 4 is the first middleground elaboration of the fundamental line, a sixth progression tracing a motion from a superposed inner voice. This large-scale process bears a significant relationship to the initial motivic third progression of the main theme. As a descending sixth progression from a registrally transferred inner voice, it is the inversion of a rising third progression. In that sense there is a hidden repetition connecting these motions at very different structural levels. However, this sixth progression outlines the lower tonic third, which occurs in the main theme as a more directly harmonic interval, opposed to the horizontalized upper third. The unfolding of the lower third in the deep middleground therefore complements the unfolding of the upper third in the main theme.

Table 1 lists the major formal sections of the piece and their associated linear processes. The large formal units, exposition and development⇒recapitulation, are continuous, sharing a motion from a superposed inner voice that structures most of the piece's content (as well as the *Urlinie*, whose activity mostly occurs in second part).

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[17] Interestingly, the harmonic progression here is a chromatic version of the progression that generates the sequence of the subordinate theme. However, Haydn works *against* the inherent sequence suggested by the descending-fifths harmonic progression in his treatment of the core as a six-measure sequence by ascending fourth.
[18] Note also that the transition begins by repeating the basic idea at its original pitch level, so this interruption shares the parallelism between the interrupted line and its resumption with more familiar examples of interruption (in major-mode sonata forms or rounded binary forms).

On the other hand, the next level of formal units, the themes and transitions, are all self-contained. This means that Haydn's compositional method tends to wed thematic and tonal processes at the level of theme and theme group, giving the piece a sharp clarity of design at this level.
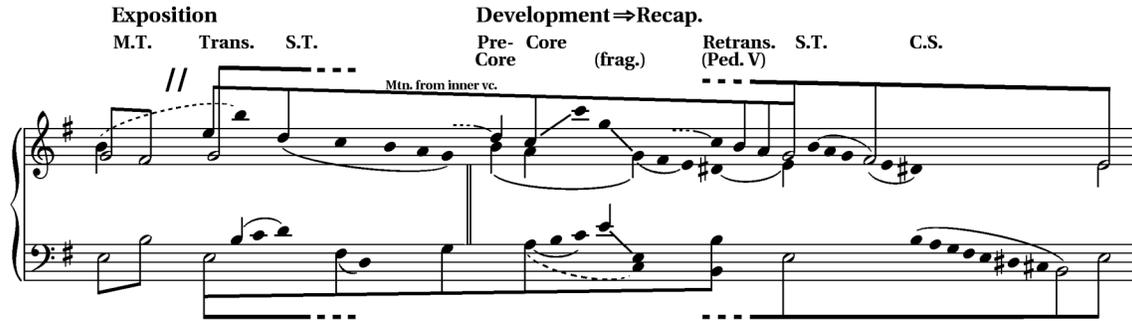

Figure 4: A middleground analysis of Haydn's finale, with form-functional labels. The analysis omits post-cadential material in both parts, which is inessential to the overall structure.

Table 1: Linear processes associated with formal sections in Haydn's finale. Sections not marked "continuous" in the second column are self-contained. (N.b., "MfIV" = "motion from inner voice.")

Formal Area	Main Linear Process	Large-Scale-Continuous Linear Process
Exposition	Initiation of MfIV **(continuous)**	Initiation of *Urlinie*
Main Theme	Tonic 3rd-prog. G–B	Interruption of *Urlinie*
Transition	Tonic 5th-prog. E–B	Descent E–D in MfIV
Subord. Theme	5th-prog. in III	First part of bass ascent, E–F♯–G
Dev.⇒Recap.	Completion of MfIV **(continuous)**	Complete *Urlinie*
Pre-Core		Descent D–C in MfIV
Core (first part)	Bass 3rd-prog. in II, A–B–C	
Core (second part)	8ve-prog's in inner voices (G, E)	Completion of bass ascent to B
Retransition		Completion of MfIV C–B–A–G
Subord. Theme	4th-prog. in dom.: B–A–G–F♯	First descent of *Urlinie*, G–F♯
Closing Section	Bass 8ve-prog. on dom.	

On the other hand, *large-scale continuity* is also a feature of the design, both in the form of large-scale-continuous processes (processes that unfold over multiple formal sections) and the continuous character of the major formal division in the piece. This large-scale continuity is not so much an independent compositional act because it is built into the formal type itself. As pointed out above, the form juxtaposes the translational symmetry of the thematic material with the mirror symmetry of the tonalities, so that each theme appears twice, each time in a new tonal setting. The translational symmetry leads to a formal boundary at the midpoint of the piece, whereas the reflectional symmetry leads the tonal analysis to identify this formal

boundary as a moment of relatively high tonal suspense, far removed from the initiation and completion of the large-scale tonal processes evolving in the music.

It would obviously be wrong to say in a case like this that the two analytical techniques disagree about where the "real" structural boundaries of the piece are. Both locate the correct boundary points for one compositional feature, the thematic rhetoric or the tonal rhetoric. That the boundaries are different reflects a significant aspect of the musical design, that tonal processes create an element of continuity across thematic boundaries that prevent sectionalization. Saying that the deep middleground sixth progression is a "large-scale-continuous process" expresses precisely this fact.

The most striking moment of the piece comes at the end of recapitulation of the subordinate theme, shown in Fig. 5. The recapitulation is a straightforward transposition of the theme up to this point, with only the omission of some redundancy in the theme as it appeared in the exposition. The staccato leaping tenths in the violins that appear at m. 133 should constitute a two measure PAC, according to the model of the exposition, but instead Haydn alters and extends the pattern to five measures so that in m. 137 it arrives at the dominant instead of the tonic, thwarting the powerful expectation of structural closure for the entire movement at this moment. This unraveling of the cadence provokes a new idea. The grinding eighth notes in the violins come from the beginning of the closing material, but here they perpetuate the standing on the dominant that ended the subordinate theme rather than drawing out a postcadential tonic pedal. Over these relentless eighth notes Haydn resuscitates the canonic motive from the end of subordinate theme (where it's function as a fragmentation was to heighten the drive to the cadence to a feverish pitch), augmented in duration and in register to create a powerful and devastating hammering on the unshakeable dominant.

Figure 5: The end of the subordinate theme in the recapitulation of Haydn's finale.

As a result of the thwarted cadence, Haydn undertakes a highly unusual formal procedure and recapitulates the closing section (meas. 142–151), which is inherently postcadential, *before* there is any authentic cadence on the tonic. Thus the formal function of this material radically changes, even though it is essentially a verbatim

transposition (intensified by some additional orchestration) from the exposition. This section also has an important structural function, shown in Fig. 5, which is to transfer the bass of the dominant down an octave into its proper register before resolving it. The closing theme is also based on the canonic motive that ended the subordinate theme, but here accelerated into half-measure units obliterating the original dotted rhythm to create the effect of a rising gyre, furiously spiraling towards apotheosis. And indeed, apotheosis is already built into the closing material that has been assimilated into the subordinate theme, in the form of the intense registral expansion brought about by the contrary lines in meas. 147–148 (from meas. 55–56).

We have found a number of compositional features that contribute to the *Sturm und Drang* character of Haydn's finale. At this point, we should return to our motivating question, How does Haydn achieve forward motion and avoid monotony despite an economy of materials? In short, Haydn weaves the seemingly ever-present motive into a continually evolving narrative that reaches complete resolution only at the end of the movement. Each moment of the piece expresses motion towards proximate goals through techniques like fragmentation and linear progression, and each proximate goal leaves some tonal or formal process active. In other words, through its *hierarchical* nature, the formal and tonal design of the classical style manifests a deep analogy with literary narrative that gives this music its marked dramatic and rhetorical character.

The Finale of Bach's B minor Symphony, Wq. 182, no. 5

C.P.E. Bach's Six Symphonies, Wq. 182, written to the commission of Baron Von Sweiten, are a study in musical extremes. Repeated attacks of aggressive angular lines from the violins might be interrupted by intensely dissonant harmony in a torturous adagio, a languorous lyrical adagio might give sudden way to a frenetic and unpredictable presto. Bach frequently exploits run-on movements to accentuate the harsh contrasts in affect. (Witness the transitions from the first to second movements in nos. 1 and 3, and the transitions from second to third in nos. 2, 4, and 5).

The affect of the finale to no. 5 of the set is decidedly *Sturm und Drang*. This movement also shares some significant features with the final of Haydn's "*Trauersymphonie*": both are written in the extended parallel binary, and both rely on a limited repertoire of motivic material.

Bach's theme (Fig. 6(a)) goes to exceptional means in its expression of violence and frenzy. The first eight measures (the basic idea) carry out a very unusual dissonant voice exchange (ninth to seventh) before resolving the highly unstable $^4_2$ position chord that begins the movement. The theme is a compound sentence written in R = 2N measures (a "real" measure is two notated measures[19]). The basic idea is made up of two parts, the first in meas. 1–4 and the second in meas. 5–8, all of which is stated in a dominant version in meas. 9–16. Unlike Haydn's theme, Bach's is continuous; the initial ascent that serves as the principal linear process of the presentation is completed only four measures into the continuation.

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[19] See *Classical Form*, 35.

Figure 6: (a) The main theme of Bach's finale with analytical annotations, and (b) a Schenkerian analysis showing the theme's main linear processes.

Bach recomposes this main theme as the subordinate theme (Fig. 7(a)). It remains a sentence, but exhibits numerous "loosening" devices.[20] The basic idea is reduced from a compound to a simple idea, but it is repeated three times rather than two. In addition, the process of fragmentation begins late in the continuation, the cadential and continuation functions are "de-fused" (they occur separately), and the cadential function is extended.

The Schenkerian analysis tells a completely different story about the relationship between these two themes, though. While in form-functional terms the main theme has been unraveled in its transformation into subordinate theme, it has been *mollified* in tonal terms. Bach has removed the dissonant voice exchange and replaced it with a reassuring tonic pedal. The continuous linear processes that propel the main theme forward have been replaced with simple self-contained processes, bringing order and clarity to the chaotic opening material.

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[20] See *Classical Form*, 99–111.

Figure 7: (a) The subordinate theme of Bach's finale, and (b) a Schenkerian graph showing its main linear processes

Again, both perspectives, though divergent, are correct in their separate spheres. Bach follows the demands of form-functional rhetoric in loosing his subordinate theme, because this is precisely what provides the appropriate liquidation of materials to make a convincing drive into the cadence of the first part. The tonal rhetoric, in which an unruly theme is tamed, is entirely consistent with this and in fact works in coordination with it to produce a satisfying cadence for the first part, (and ultimately to set up further disorientation for the beginning of the second part).

The beginning of the second part of Bach's finale (Fig. 8) appears at first blush to be a simple tonally contrasting restatement of the theme from the beginning of the first part. However, Bach does not simply transpose the theme; he transforms it, in fact, in significant and consequential ways. The theme begins with a transformation of the mediant into an applied dominant. The repetition of the basic idea is not up a step, though, but down a third. (A fact obscured by the revoicing of the first chord). As a result of these changes, two dissonant voice exchanges now occur rather than one, and together they trace out a fifth progression in the bass whose role is to undermine the resolving mediant of the first part. The linear process is now self-contained to the

presentation phrase, but because it occurs in the bass (like in Haydn's development), the theme is considerably more volatile than the original.

Figure 8: (a) The restatement of the main theme at the beginning of the second part of Bach's finale, and (b) a Schenkerian graph.

Despite reputations, Bach's style in this instance is more "classical," at least in the extra-musical sense. Despite the affect being expressed, Bach maintains the neat proportions and balance of the sections. While Haydn deconstructs his main theme at the beginning of the second part with the usual developmental techniques of tonal liberation and dismantling of thematic organization, Bach for the most part preserves the theme's tidy formal organization while undermining it through more tonal and contrapuntal means.

Conclusions

Bach and Haydn, despite their vastly different musical backgrounds, were working along parallel tracks in the early 1770's, seeking to press their art as far as it could go in intensity of expression. And in the pieces examined above, they arrived at some

surprisingly similar means towards these compositional ends. In part this may reflect a direct influence of Bach's style (of which expressiveness and a concern for affect are persistent attributes) upon Haydn in this period. Regardless, this music belies any notion that Haydn's classical style was all grace and charm.

The combination of Schenkerian analysis with William Caplin's form-functional analysis, pioneered by Janet Schmalfeldt, proves powerful in maximizing the hermeneutic payoff of these otherwise rather technical methods. In the analyses above we found that the mixture of techniques even gives rise to a new level of description where formal sections can be continuous or self-contained. We have also found that while there is some overlap between the two theories, there is no contradiction between that that prevents one from applying both to the same music.

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