Michael Haydn, Mozart, and the Invention of Sonata-Rondo

Jason Yust, BOSTON UNIVERSITY

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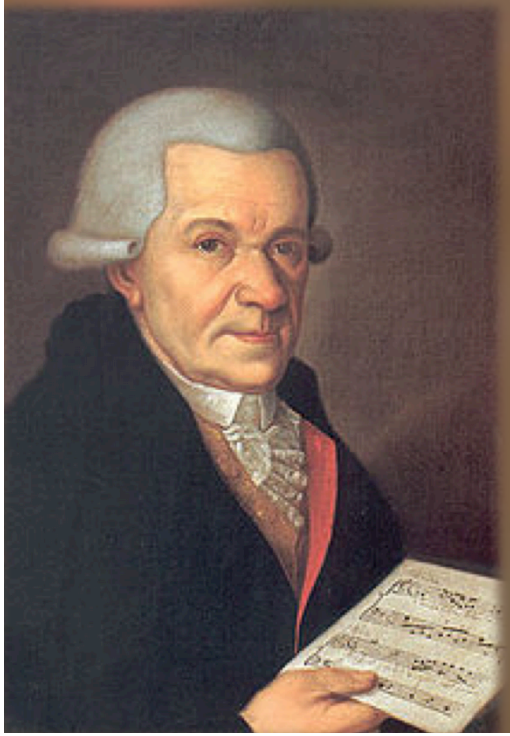


Outline

(1) The invention of sonata-rondo: Mozart vs. Michael Haydn

Previous research, Early examples: Mozart K.157 (1772), K.191 (1774), Haydn Symphony no. 4 (1763)

(2) Form as a language and formal grammar

Chomsky's hierarchy of formal grammars

Regular grammars for sonata and rondo forms

Context-free grammars for rondo forms

(3) The Mozart-Haydn exchange (yes, but not *that* Haydn!)

Haydn's early rondo forms

Nine-part rondo and the double-region couplet

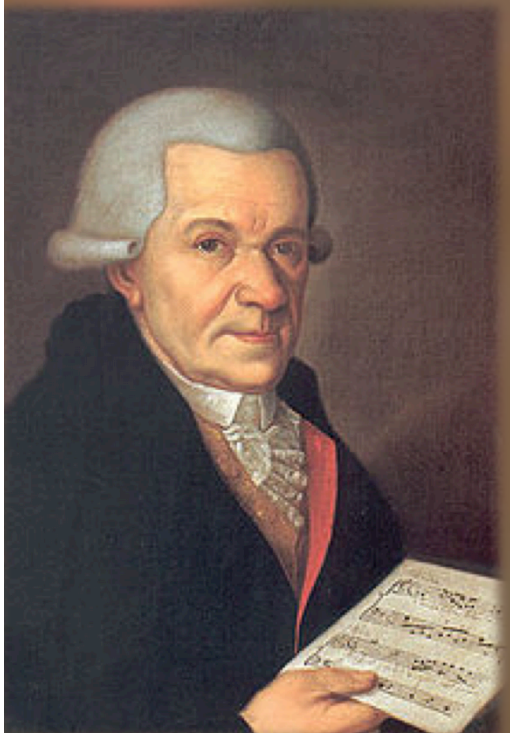
Postcadential extensions to main theme

Smoothing of formal boundaries

Expansion of subordinate theme group

The Invention of Sonata-Rondo: Mozart vs. Haydn (vs. Haydn)

Previous research
Early examples (Mozart K.157, J.M. Haydn Symphony 4)
Catalogs of Early Sonata-Rondos



Previous research on the origins of sonata-rondo

Malcolm Cole: Surveys many composers, favors traditional idea of Mozart as inventor. Cites Mozart K.157 String Quartet (1772–3) as earliest example, as well as K.281 Piano Sonata and K.191 Bassoon Concerto.

Cole 1964. "The Development of the Instrumental Rondo Finale from 1750 to 1800." PhD diss., Princeton University.

Cole 1968–70. "The Rondo Finale: Evidence for the Mozart-Haydn Exchange?" *Mozart-Jahrbuch* 16: 242–56.

Stephen Fischer: Argues for F. J. Haydn as inventor, defines sonata-rondo very broadly (includes developmental couplets).

Fischer 1981. "Sonata Procedures in Haydn's Symphonic Rondo Finales of the 1770s." In *Haydn Studies: Proceedings of the IHC, 1975,* ed. Larsen, Serwer, and Webster: 481–7. (Norton)

Fischer 1992. "Further Thoughts on Haydn's Symphonic Rondo Finales." *Haydn Yearbook 1992*, 85–107.

Mark-Evans Bonds: Proposes F.J. Haydn Op. 17/1 (1771) as an early example.

Bonds 1988. "Haydn's False Recapitulations and the Perception of Sonata Form in the Eighteenth Century" PhD diss., Harvard University.

Previous research on the origins of sonata-rondo

Joel Galand: Argues against single inventor, composers were "exploiting formal possibilities that were in the air." Examples from Steffan, but none that demonstrably predate Mozart. (Other examples are not sonata-rondos but sonata-form finales with a "rondo" designation.)

Galand 1990. "Rondo-Form Problems in Eighteenth- and Nineteenth-Century Instrumental Music, with Reference to the Application of Schenker's Form Theory." PhD diss., Yale University.

Galand 1995. "Form, Genre, and Style in the Eighteenth-Century Rondo." *Music Theory Spectrum* 17/1: 27–52.

Galand 2008. "Some Eighteenth-Century Ritornello Scripts and their Nineteenth-Century Revivals." *Music Theory Spectrum* 30/2: 239–82.

Definition of a Sonata-Rondo

(1) Begins with a **sonata exposition** (Refrain–couplet where the couplet includes a subordinate theme).

* This is very common in the mid-1700 rondos and *not* a sufficient condition!

(2) End of subordinate theme followed by refrain **in the tonic key** with **no repeat of the exposition**. This is what marks the form as a **rondo** type.

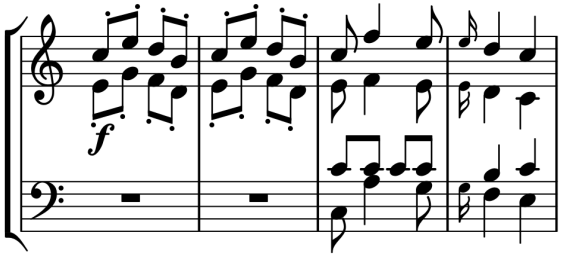
* Returns of the main theme in a *non-tonic* key and expositional repeats are generic indicators of sonata type.

(3) Subordinate theme returns as a final couplet, transposed to the tonic key. This is the essential **sonata**-like feature of the sonata rondo.

* Small amounts of transposed cadential material occasionally occur in ordinary rondos—Ex. J.C. Bach Op. 1/4 (1763), Boccherini A major Concerto, G.475 (1760s–1770s?), J.M. Haydn Symphony no. 3 (1761). Mozart K.157 String Quartet might also belong to this category.

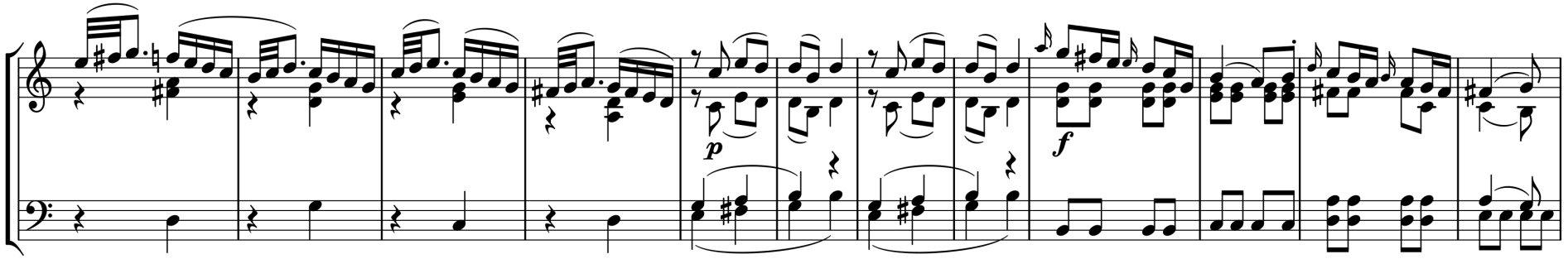
Example: Mozart, String Quartet K.157 (1772)

Main Theme:

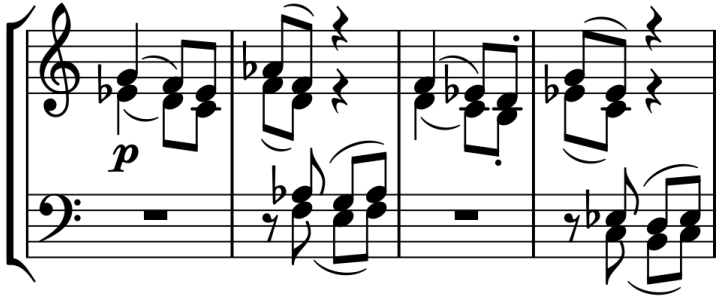


etc. . . .

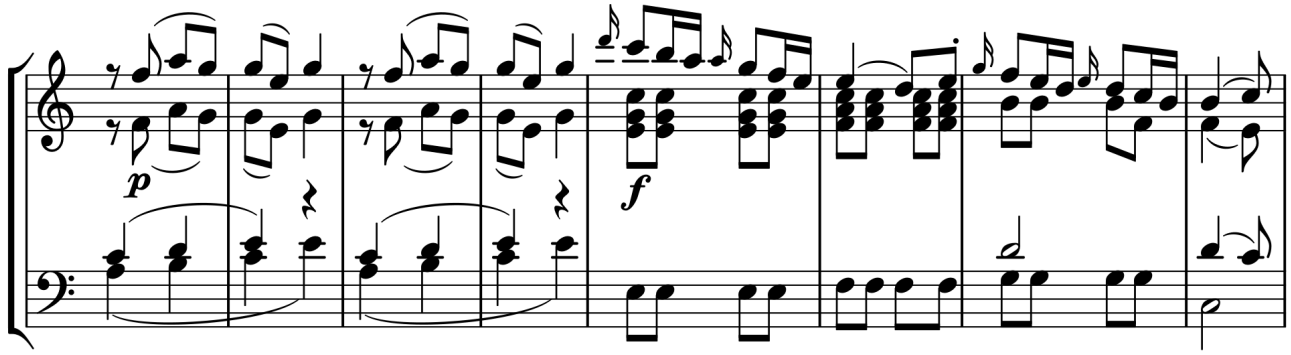
Trans.–ST:



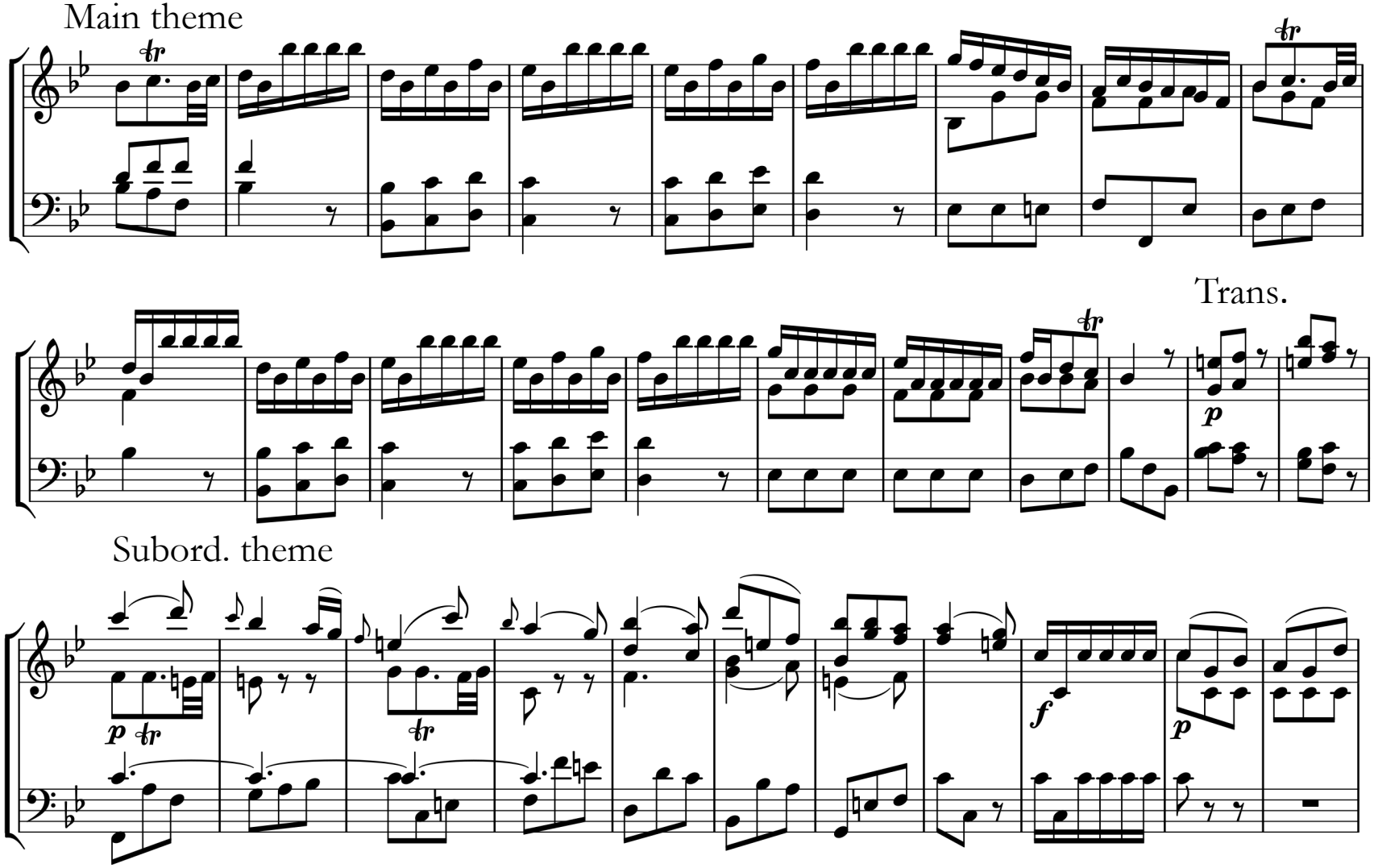
Interior Theme:

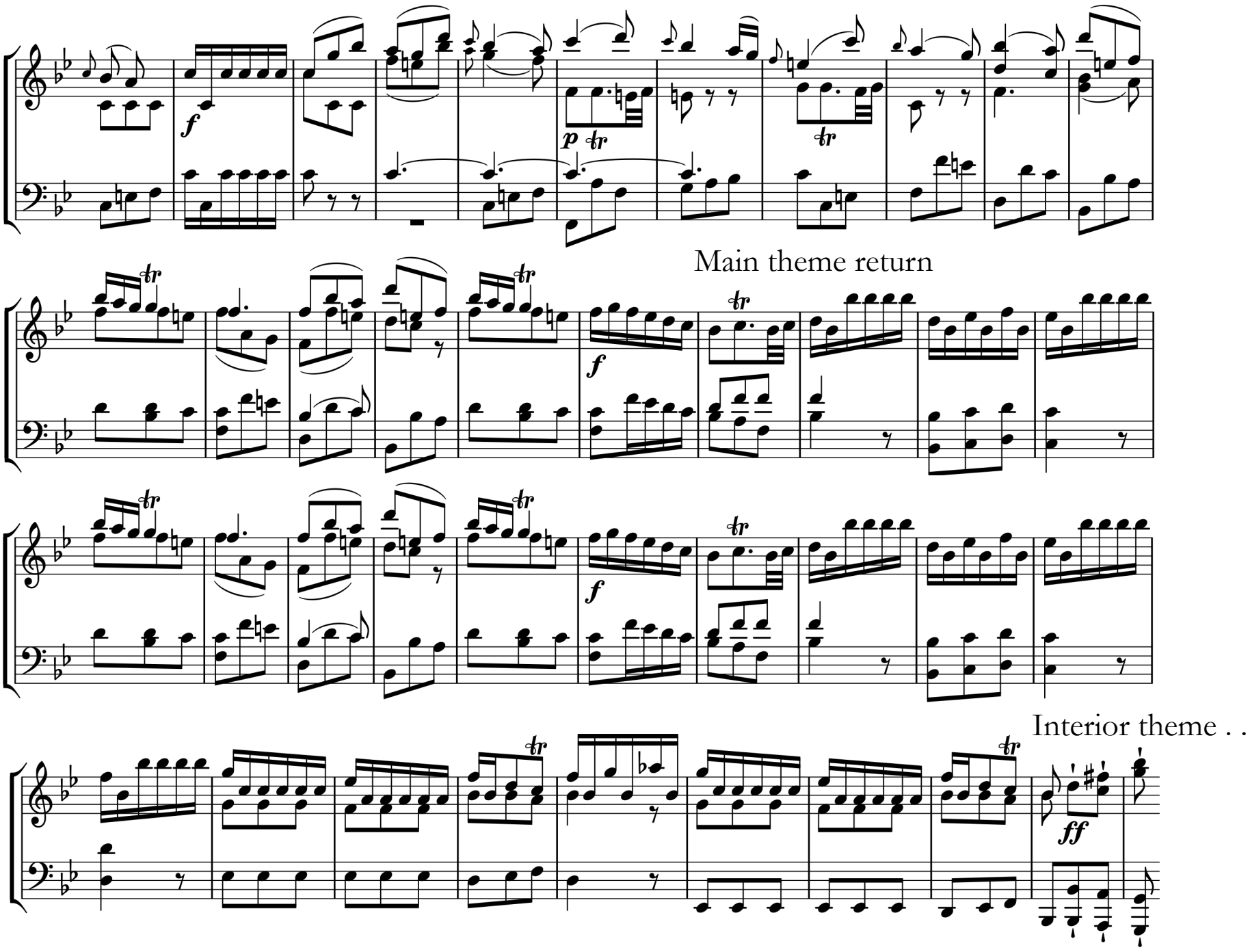


Trans.–ST Recap.:

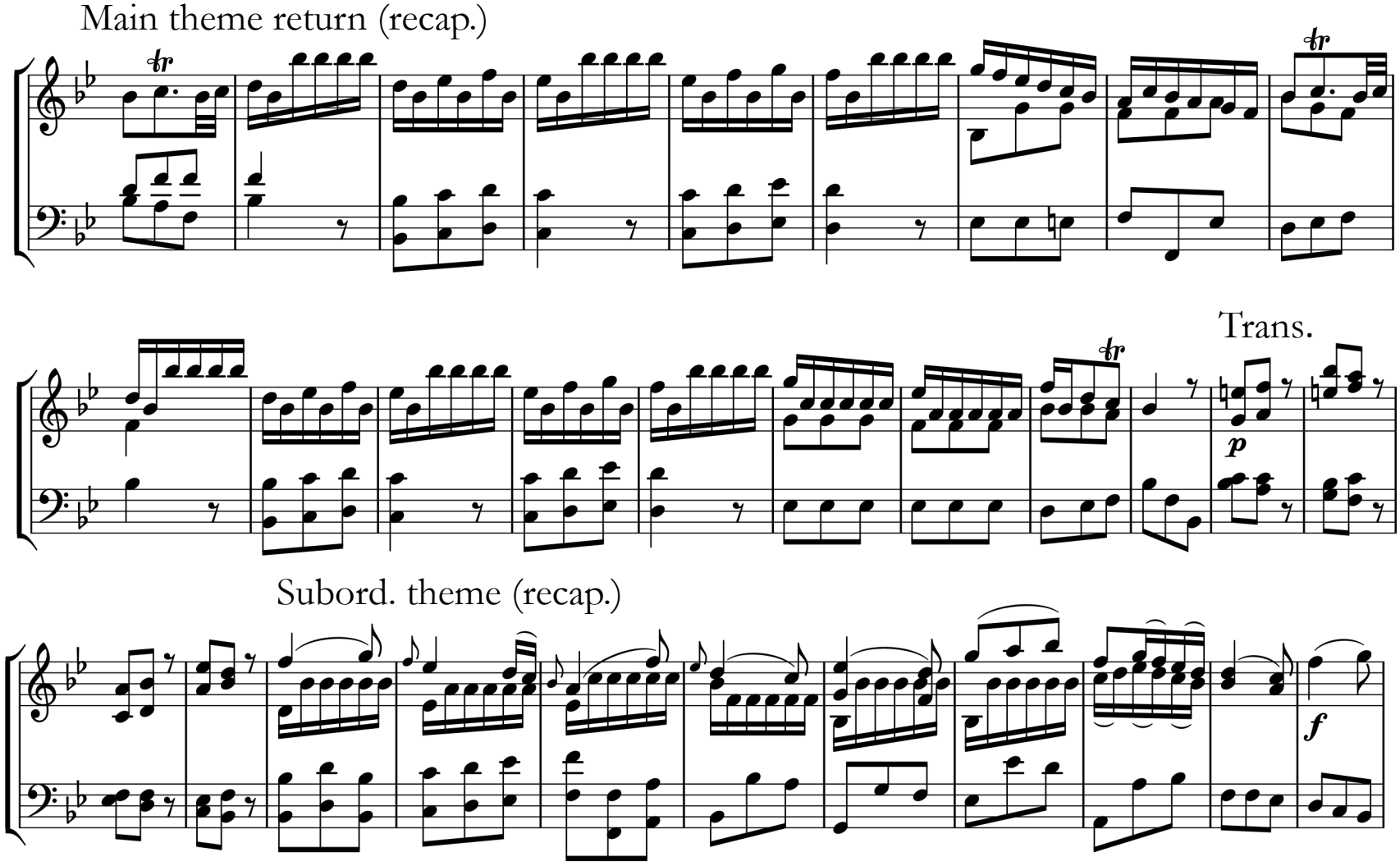


Example, J.M. Haydn, Symphony no. 4 (1763)




Main theme return
Interior theme . .

Example, J.M. Haydn, Symphony no. 4 (1763)



Michael Haydn's Sonata-Rondo Finales (to 1786)

Date	MH	Piece	Interior Th. 1	Interior Th. 2
1763	62	Symphony no. 4 (B-flat)	Submediant	—
1776	207	Violin Concerto (A maj.)	*Minore*	Submediant
1780–2	316	String Quartet (B-flat)	Submediant	Subdominant
1782–8	412	String Quintet (B-flat)	Submediant	Subdominant
1783	335	String Duo no. 1 (C maj.)	Submediant–Mediant	—
1783	337	String Duo no. 3 (F maj.)	Submediant	—
1783	340	Symphony no. 26 (E-flat)	Submediant	Mediant
1784	367	String Quintet (F maj.)	Submediant	Subdominant
1784	393	Symphony no. 29 (D min.)	Subdominant	Development
1785	407	Serenade (D maj.)	Subdominant	—
1786	411	String Quintet (F maj.)	Subdom.–Dev.	—

Mozart's Early Sonata-Rondo Finales (1772–6)

Date	K	Piece	Interior Th. 1	Interior Th. 2
1772	157	String Quartet 4 (C maj.)	*Minore*	—
1773	181	Symphony no. 23 (D maj.)	*Minore*	—
1774	191	Bassoon Concerto (B-flat)	Submediant	*Minore*
1774	281	Piano Sonata 3 (B-flat)	Submediant	Subdominant
1775	204	Serenade no. 5	*Minore*	— (two-tempo)
1775	216	Violin Concerto 3 (G maj.)	Submediant	*Minore* (two-tempo)
1775	219	Violin Concerto 5 (A maj.)	Submediant	*Minore*
1775	284	Piano Sonata 6 (mvt. 2)	Development	—*
1775–6	102	Symphony 52 (C maj.)	Subdominant	—
1776	236	Piano Concerto 6 (B-flat)	Submediant–Mediant	—
1776	246	Piano Concerto 8 (C maj.)	Submediant	—

* Recapitulatory refrain omitted

Mozart's Early Sonata-Rondo Finales (1776–7)

Date	K	Piece	Interior Th. 1	Interior Th. 2
1776	247	Divertimento 10 (F maj.)	Submediant	Subdominant
1776	250	Serenade ("Haffner")	Submediant	Subdominant
1776	251	Divertimento 11 (D maj.)	*Minore*	—
1776	254	Piano Trio 1 (B-flat)	Subdominant	—*
1776	269	Rondo for Violin & Orch.	Development (Subdom.–Submed.)	—
1777	271	Piano Concerto 9 (E-flat)	Dev.–Subdom.	—
1777	271i	Violin Concerto (D maj.)	Submediant	—
1777	285	Flute Quartet 1 (D maj.)	Subdominant	—
1777	287	Divertimento 15 (B-flat)	Subdominant	—
1777	309	Piano Sonata 7 (C maj.)	Subdominant	—*
1777	311	Piano Sonata 9 (D maj.)	Subdom.–Submediant	—

* Recapitulatory refrain omitted

Mozart's Early Sonata-Rondo Finales (1779)

Date	K	Piece	Interior Th. 1	Interior Th. 2
1778	299	Flute & Harp Concerto	Subdominant	—*
1778	302	Violin Sonata 19	Development	—
1778	296	Violin Sonata 17 (C maj.)	Submediant–Subdom.	—*
1778	306	Violin Sonata 23 (D maj.)	Development	—* (two-tempo)
1778	310	Piano Sonata 8 (A min.)	*Maggiore*	—
1778	313	Flute Concerto 1 (G maj.)	Submediant–Subdom.	—
1779?	242	Piano Concerto 7 (F maj.)	Submediant	Subdominant*
1779	320	Serenade ("Posthorn")	Submediant	—
1779	334	Divertimento 17 (D maj.)	Submediant	Subdominant*
1779	364	Sinfonia Concertante	Subdominant	—
1779–1781?	365	Piano Concerto 10	Submediant	Development*

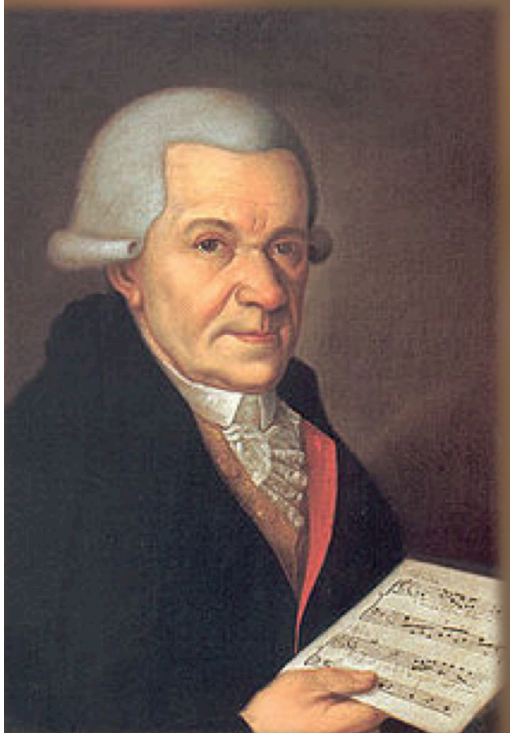
* Recapitulatory refrain omitted

Form as a language and formal grammar

Chomsky's Hierarchy

Regular (Type-3) grammars for sonata and rondo

Context-free (Type-2) grammar for rondo



Chomsky's Hierarchy

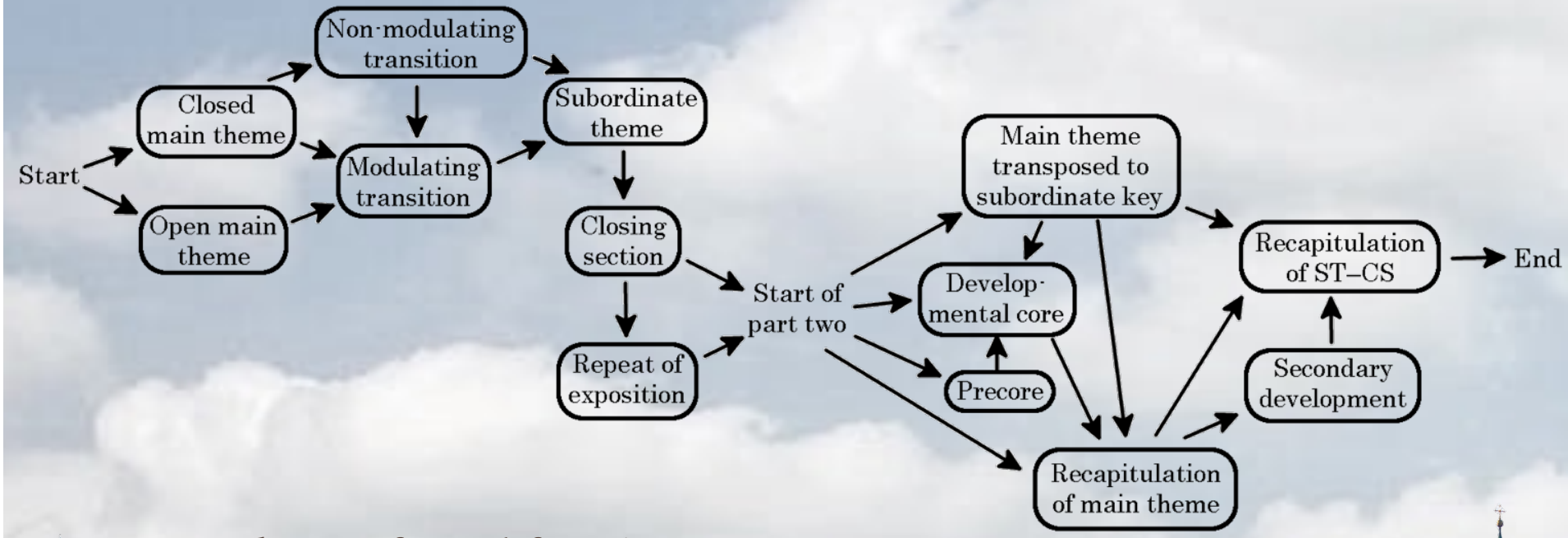
Formal grammar: Rule system for generating well-formed sentences

Type-3 grammar (regular): "Finite-state automaton," like a Markov chain process. Only temporally adjacent states are related.

Type-2 grammar (context-free): "Phrase-structure grammar," can created a nested hierarchical structure, represented by a parse tree.

Type-1 grammar (context-sensitive): Applicability of rules may depend on adjacent elements.

18th-Century Sonata Forms: Regular Grammar

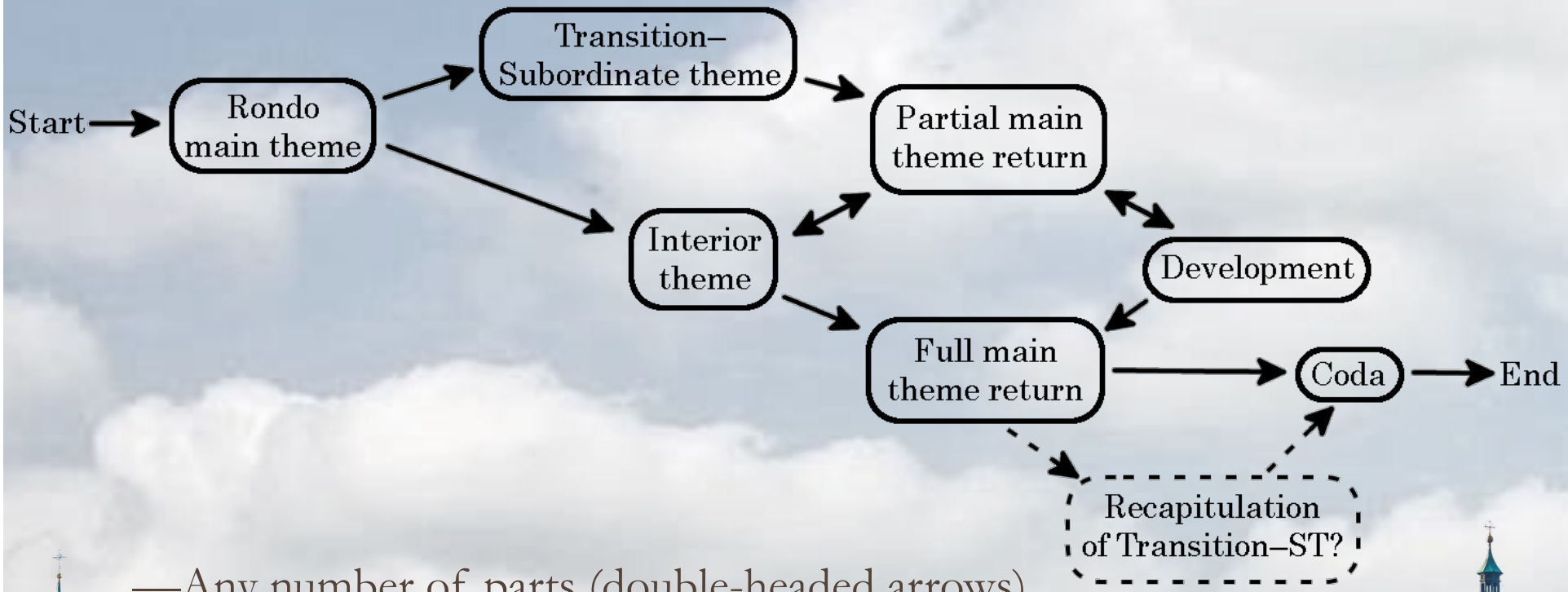


—Nodes are formal functions.

—Any path through the network creates a possible form.

—Machine "forgets" earlier states.

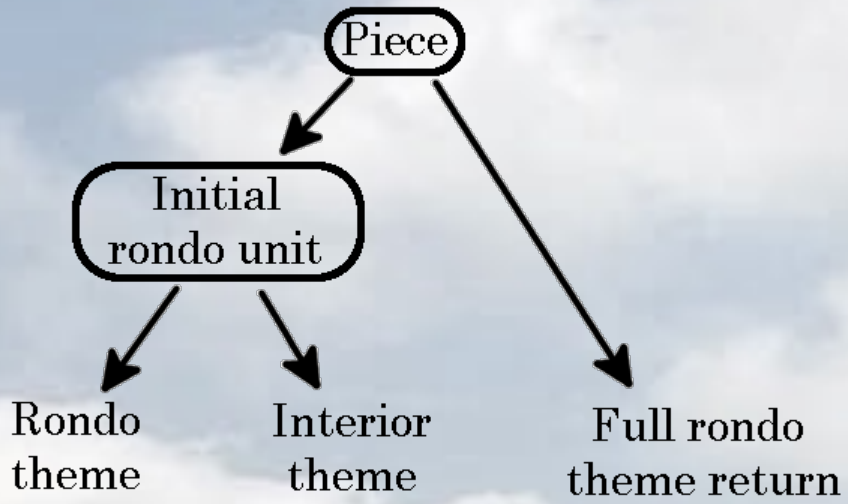
Modular Forms (Ternary and Rondo): Regular Grammar



—Any number of parts (double-headed arrows)

—Recapitulation **cannot be included** (no way to prevent a recapitulation without an exposition).

Parse tree for a ternary form

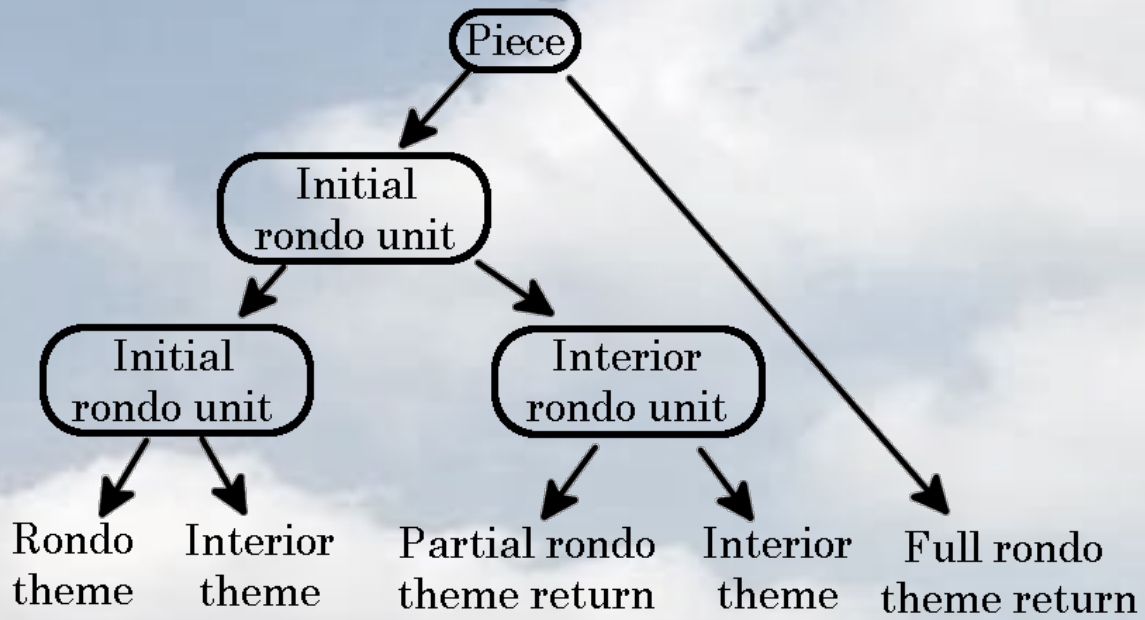


Rules:

Piece = Initial rondo unit + Full rondo return

Initial rondo unit = Rondo theme + interior theme

Parse tree for a five-part rondo



Rules:

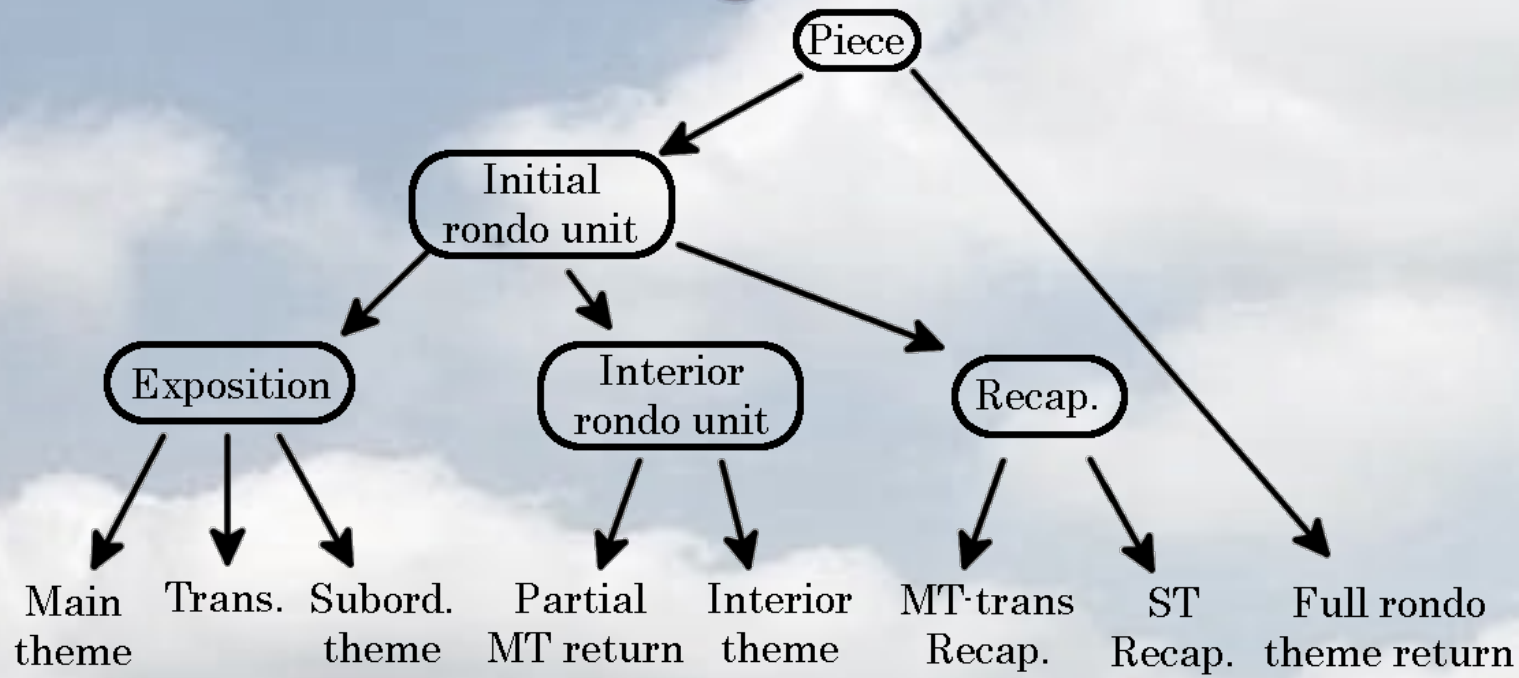
Piece = Initial rondo unit + Full rondo return

Initial rondo unit = Initial rondo unit + Interior rondo unit

Initial rondo unit = Rondo theme + interior theme

Interior rondo unit = Partial rondo theme return + Interior theme

Parse tree for a sonata-rondo



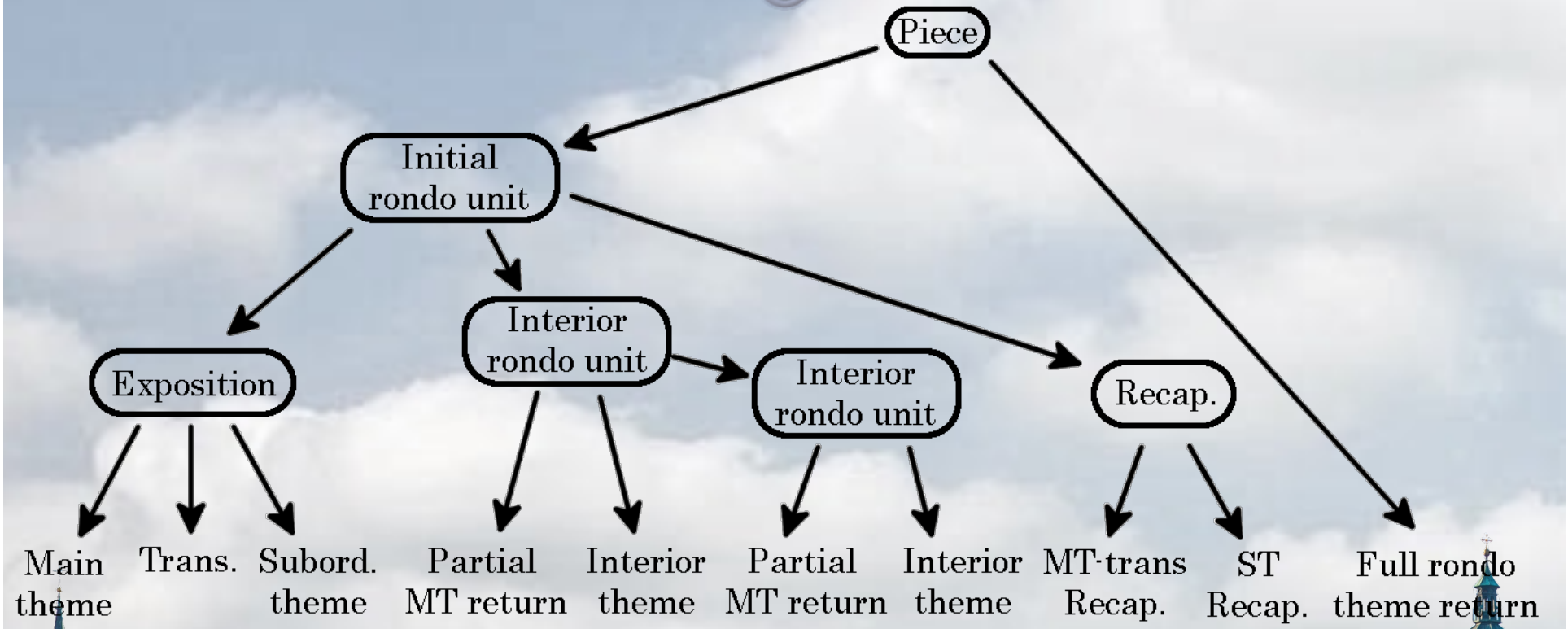
New Rules:

Initial rondo unit = Exposition + Interior rondo unit + Recap.

Exposition = . . .

Recap. = . . .

Parse tree for a nine-part sonata-rondo



(Same rules)

See also . . .
Organized Time: Rhythm, Tonality, Form
Oxford University Press, Forthcoming

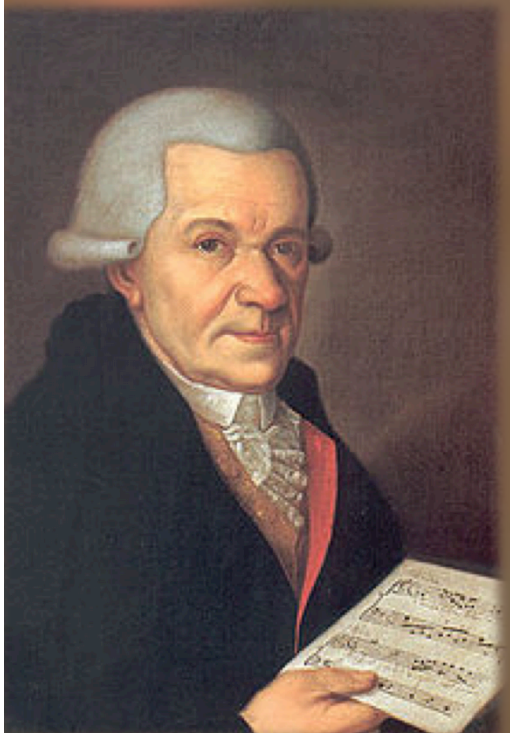
The Mozart–(Michael) Haydn Exchange

Haydn's early rondo forms

The early importance of the nine-part model

The first couplet as extension of the main theme

The double-region couplet



Interior themes in Haydn's and Mozart's Rondos

Two interior themes

- Haydn often includes two interior themes in early rondos
- Mozart's early use of the **nine-part** sonata-rondo form in K. 281 (1774); K.216, K.219 (1775); K.247, K.250 (1776) can be traced to this practice.
- Haydn adopts the nine-part form in his A maj. Violin Concerto (1776)
- Mozart's **double-region couplets**—K.236 (1776), K.311 (1777); K.296, K. 313 (1778)—may derive from nine-part rondo
- Haydn adopts double region couplets in MH.335 (1783), MH.411 (1786)

The first theoretical description of sonata-rondo, Riecha (1824), describes **nine-part** sonata-rondo. The Trans.–ST treated as an extension of the main theme, abridged in middle sections. (Cole 1969)

J.M. Haydn, Early Rondo Finales

Date	MH	Piece	Couplet 1	Couplet 2	Couplet 3	Couplet 4
1760?	50	Symphony 9 (D maj.)	Trans.–ST	Subdom.		
1761	37	Symphony 2 (C maj.)	Trans.–ST	Subdom.		
1763	26	Symphony 3 (G maj.)	Trans.–ST	Subdom.		
1763	62	Symphony 4 (B-flat)	Trans.–ST	Submed.	Recap.	
1764	68–9	Symphony 8 (D maj.)	Dominant	Subdom.	Submediant	
1767	86	Serenade (D maj.)	Trans.–ST	*Minore*	Subdom.	Trans–ST

First and last couplets as main theme extensions

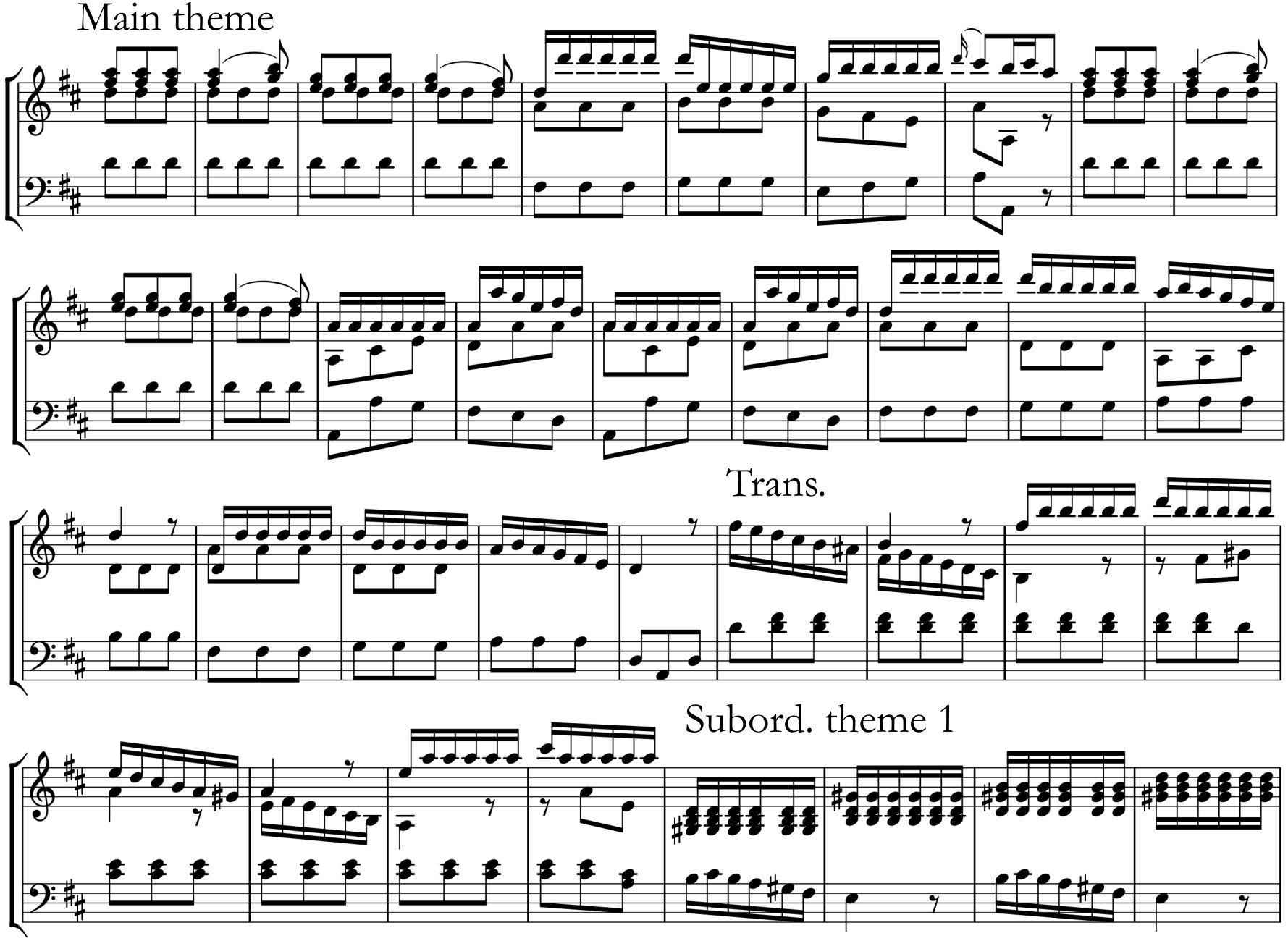
Some of Mozart's early sonata-rondos treat the ST complex as an extension of the main theme.

This is similar to the nine-part non-sonata rondo in Michael Haydn's D major Serenade, MH.86 (1767)

Examples:

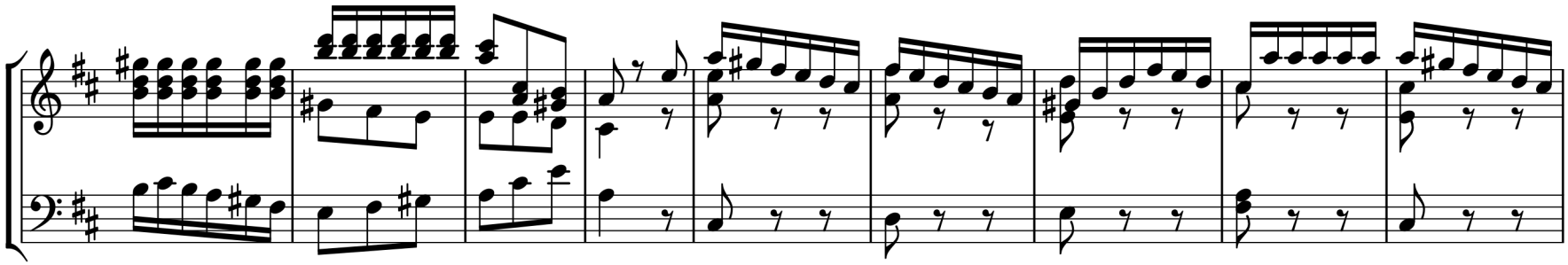
- Michael Haydn, MH.86 Serenade
- Mozart, Bassoon Concerto K.191

Michael Haydn: Serenade in D, MH.86, Finale (1767)

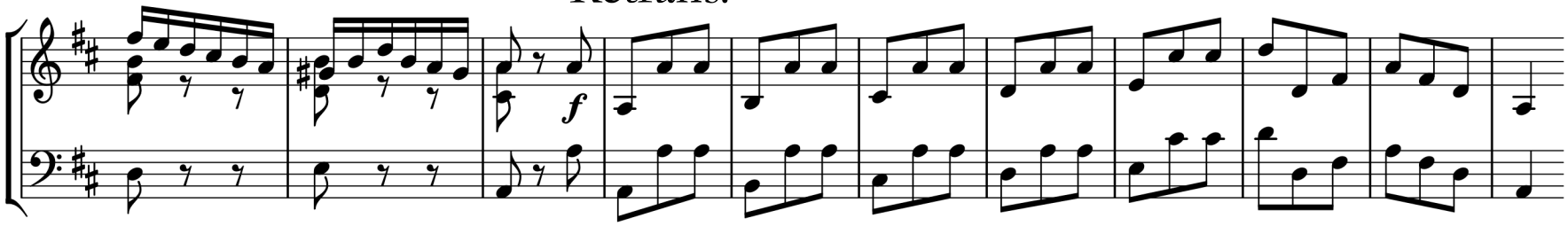


Michael Haydn: Serenade in D, P.87, Finale (1767)

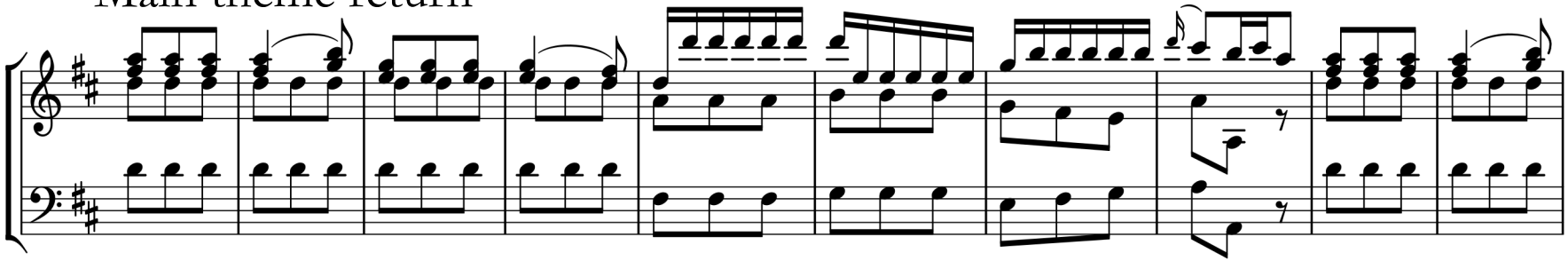
Subord. theme 2



Retrans.

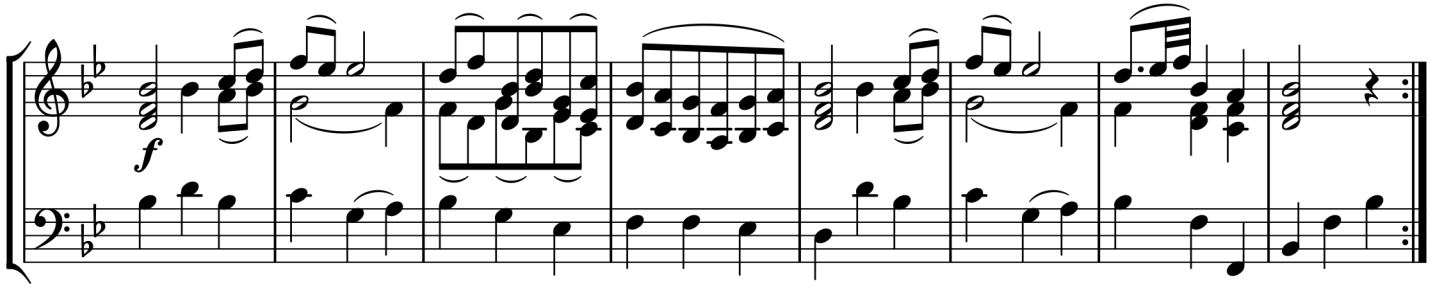


Main theme return

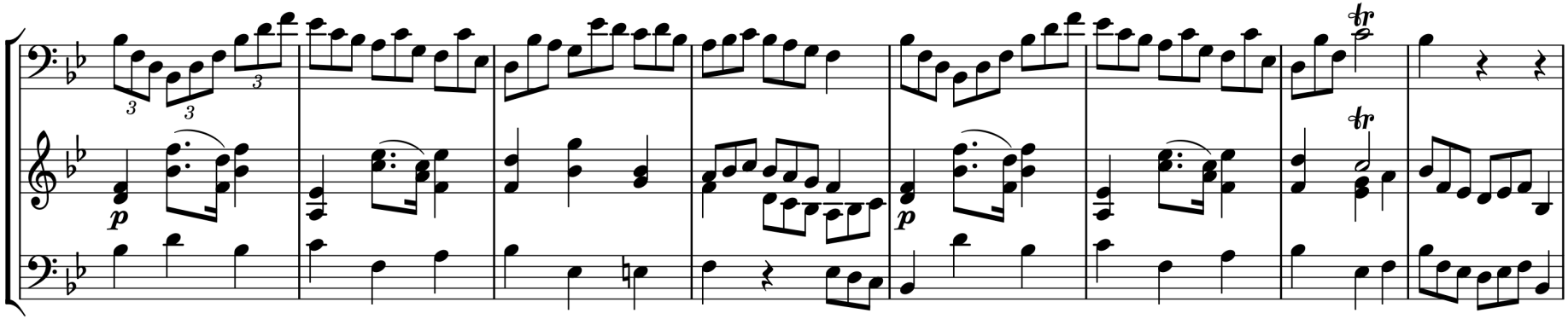


Mozart, Bassoon Concerto, K.191, Finale (1774)

Main theme (A part):



Main theme var.:

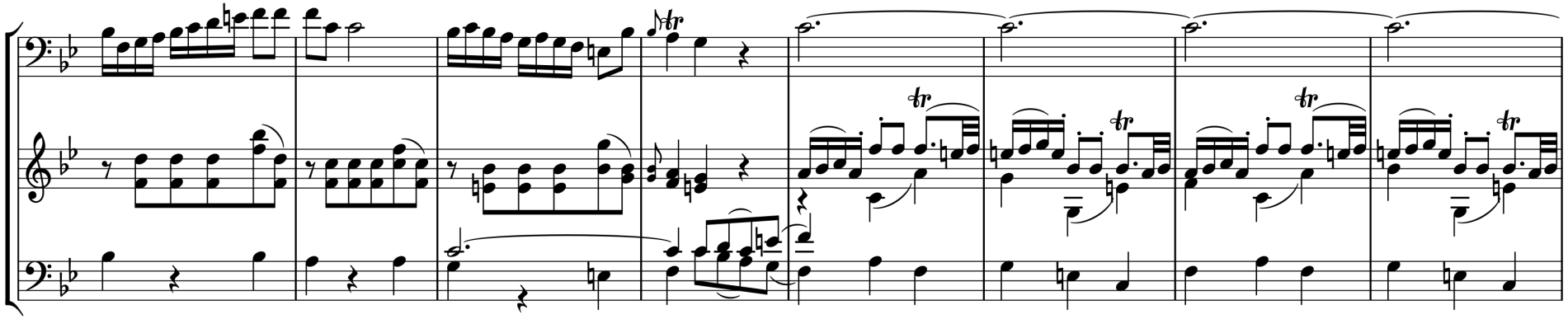


Mozart, Bassoon Concerto, K.191, Finale (1774)

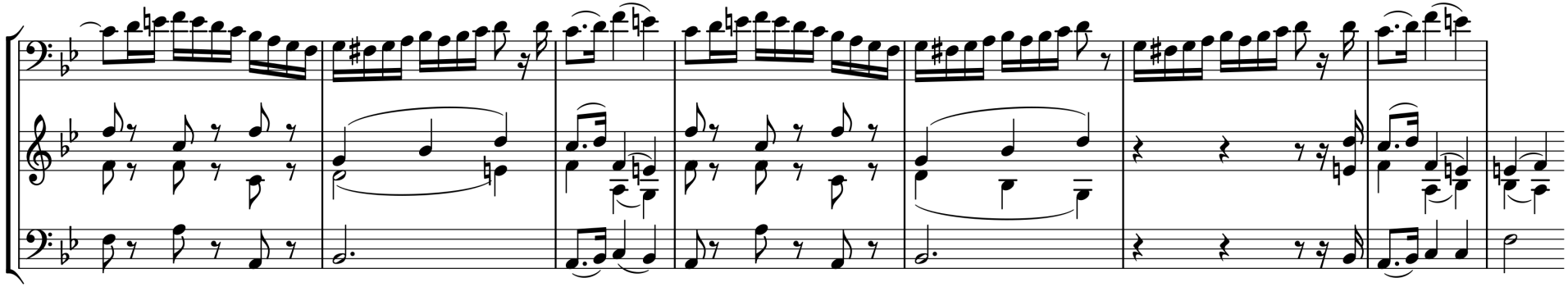
First couplet

Trans.

Subord. theme



(EC – One more time)



Key schemes: Nine-part and related rondos

MH.38	1764	MT	IT (ST?)	Ref.	IT	Ref.	IT	Ref.		
Serenade		D maj.	**Dom.**	HK	**SD**	HK	**Rel.**	HK		
MH.87	1767	MT	Tr.–ST	Ref.	IT	Ref.	IT	Ref.	Tr.–ST	Ref.
Serenade		D maj.	**Dom.**	HK	*Min*	HK	**SD**	HK	**Dom.**	HK
K.281	1774	MT	Tr.–ST	Ref.	IT	Ref.	IT	Ref.	Tr.–ST	Ref.
P. Sonata		B-flat	**Dom.**	HK	**Rel.**	HK	**SD**	HK	**HK**	HK
K.216	1775	MT	Tr.–ST	Ref.	IT	Ref.	IT	Ref.	Tr.–ST	Ref.
Vln. Conc.		G maj.	**Dom.**	HK	**Rel.**	HK	*Min*	HK	**HK**	HK
K.219	1775	MT	Tr.–ST	Ref.	IT	Ref.	IT	Ref.	Tr.–ST	Ref.
Vln. Conc.		A maj.	**Dom.**	HK	**Rel.**	HK	*Min*	HK	**HK**	HK
MH.219	1776	MT	Tr.–ST	Ref.	IT	Ref.	IT	Ref.	Tr.–ST	Ref.
Vln. Conc.		A maj.	**Dom.**	HK	*Min*	HK	**Rel.**	HK	**HK**	HK
K.247	1776	MT	Tr.–ST	Ref.	IT	Ref.	IT	Ref.	Tr.–ST	Ref.
Divert'o		F maj.	**Dom.**	HK	**Rel.**	HK	**SD**	HK	**HK**	HK
K.250	1776	MT	Tr.–ST	Ref.	IT	Ref.	IT	Ref.	Tr.–ST	Ref.
Serenade		D maj.	**Dom.**	HK	**Rel.**	HK	**SD**	HK	**HK**	HK

Key schemes: Nine-part and related rondos

K.247	1776	MT	Tr.–ST	Ref.	IT	Ref.	IT	Ref.	Tr.–ST	Ref.
Divert'o		F maj.	**Dom.**	HK	**Rel.**	HK	**SD**	HK	**HK**	HK
K.250	1776	MT	Tr.–ST	Ref.	IT	Ref.	IT	Ref.	Tr.–ST	Ref.
Serenade		D maj.	**Dom.**	HK	**Rel.**	HK	**SD**	HK	**HK**	HK
K.311	1777	MT	Tr.–ST	Ref.	IT		IT	Ref.	Tr.–ST	Ref.
P. Sonata		D maj.	**Dom.**	HK	**SD**		**Rel.**	HK	**HK**	HK
K.296	1778	MT	Tr.–ST	Ref.	IT		IT	Ref.	Tr.–ST	Ref.
Vn. Sonata		D maj.	**Dom.**	HK	**Rel.**		**SD**	HK	**HK**	HK
K.313	1778	MT	Tr.–ST	Ref.	IT		IT	Ref.	Tr.–ST	Ref.
Fl. Conc.		D maj.	**Dom.**	HK	**Rel.**		**SD**	HK	**HK**	HK

Double-Region Couplet

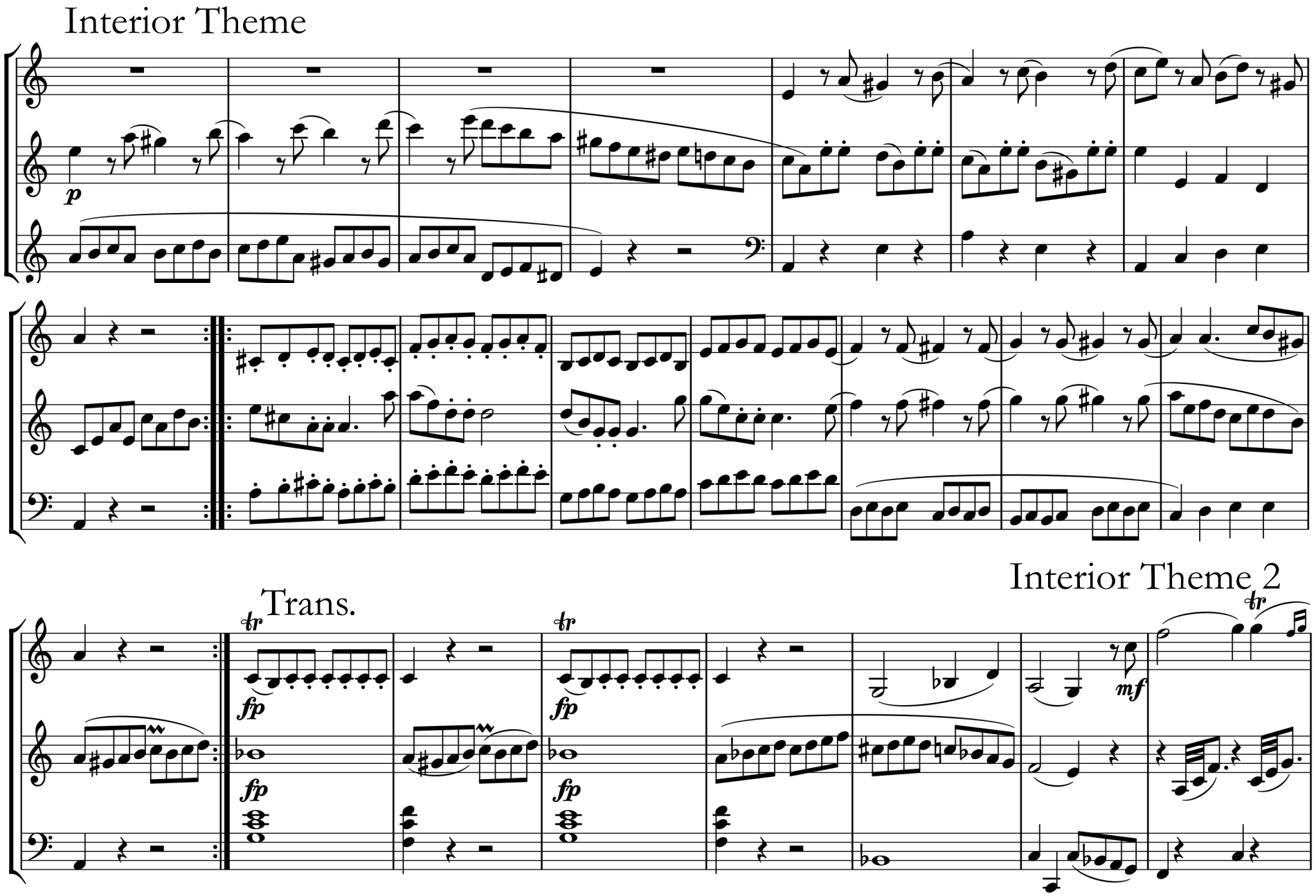
Caplin (1998) notes that Mozart's sonata-rondos often include *double-region couplets*, couplets in two parts in different contrasting keys.

This may be understood as the suppression of the third refrain in a nine-part rondo, much as Mozart often suppresses the third refrain in his seven-part sonata-rondos (i.e., Hepokoski/Darcy "Type $4^{1\text{-exp}}$")

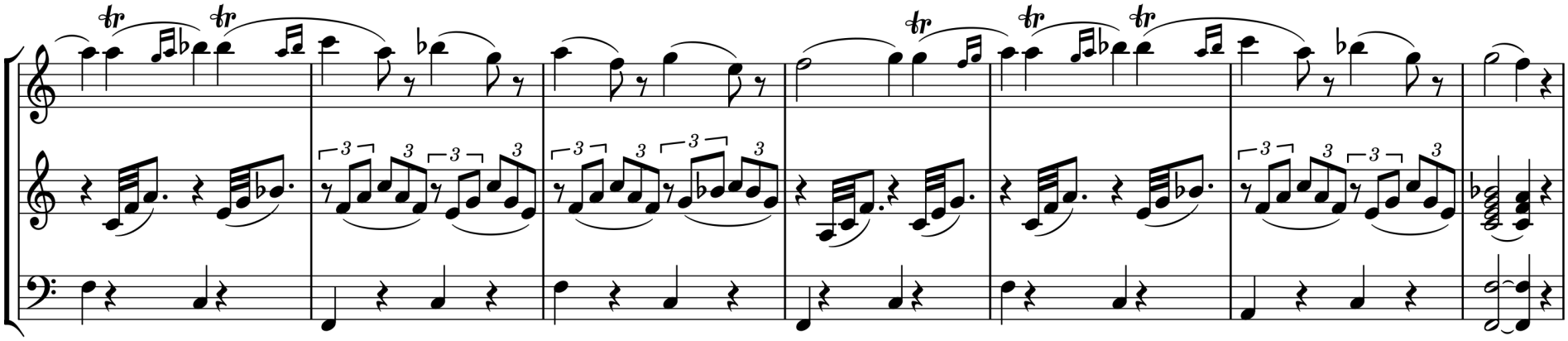
Examples: Mozart, Piano Concerto no. 6, K.236 (1776), Piano Sonata in D major, K.311 (1777), Violin Sonata K.296, Flute Concerto no. 1, K.313 (1778)

Michael Haydn also adopted this procedure in his String Duo no. 1, MH 335 (1783) and String Quintet in F major, MH411 (1786)

Mozart, Violin Sonata, K. 296 (1776)

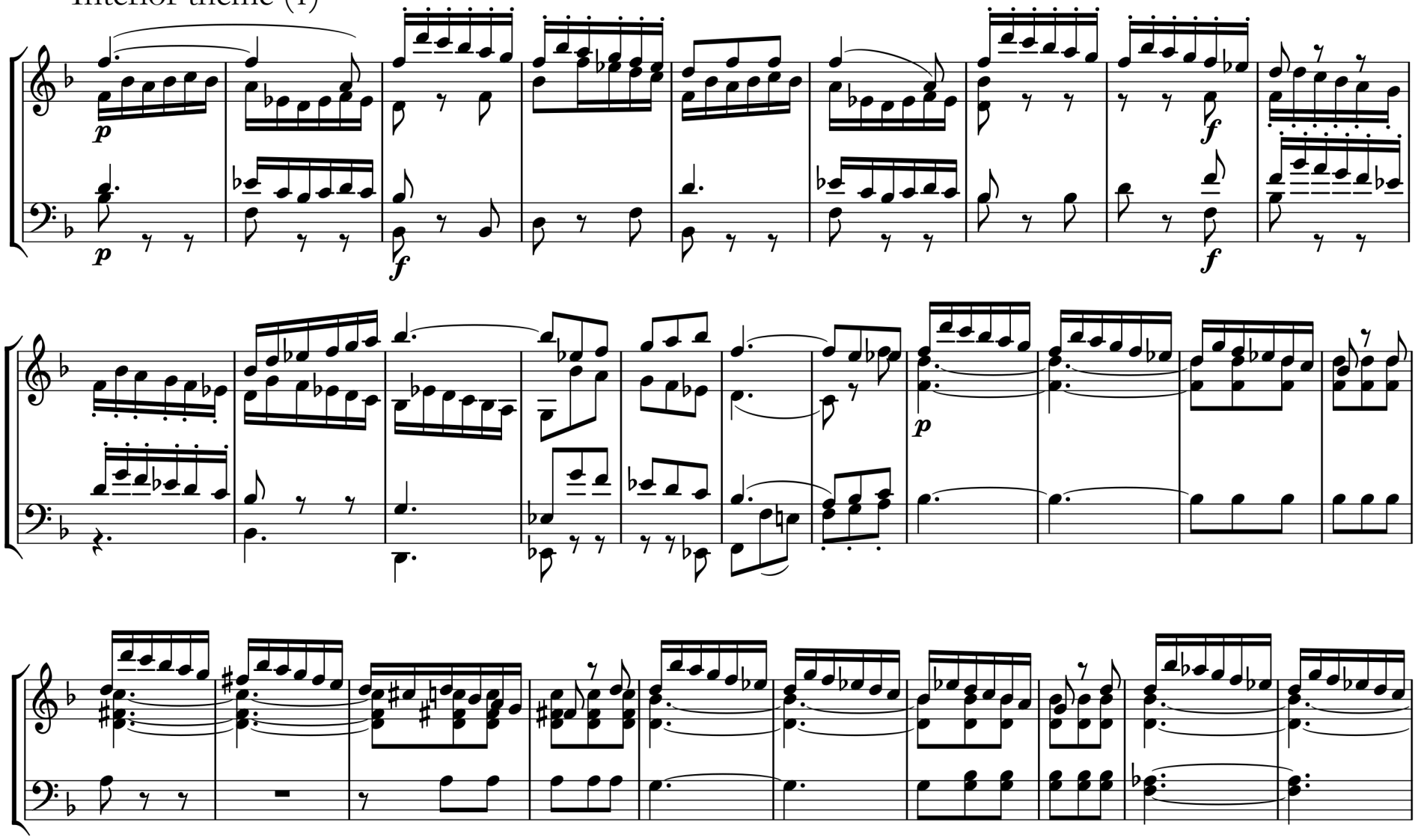


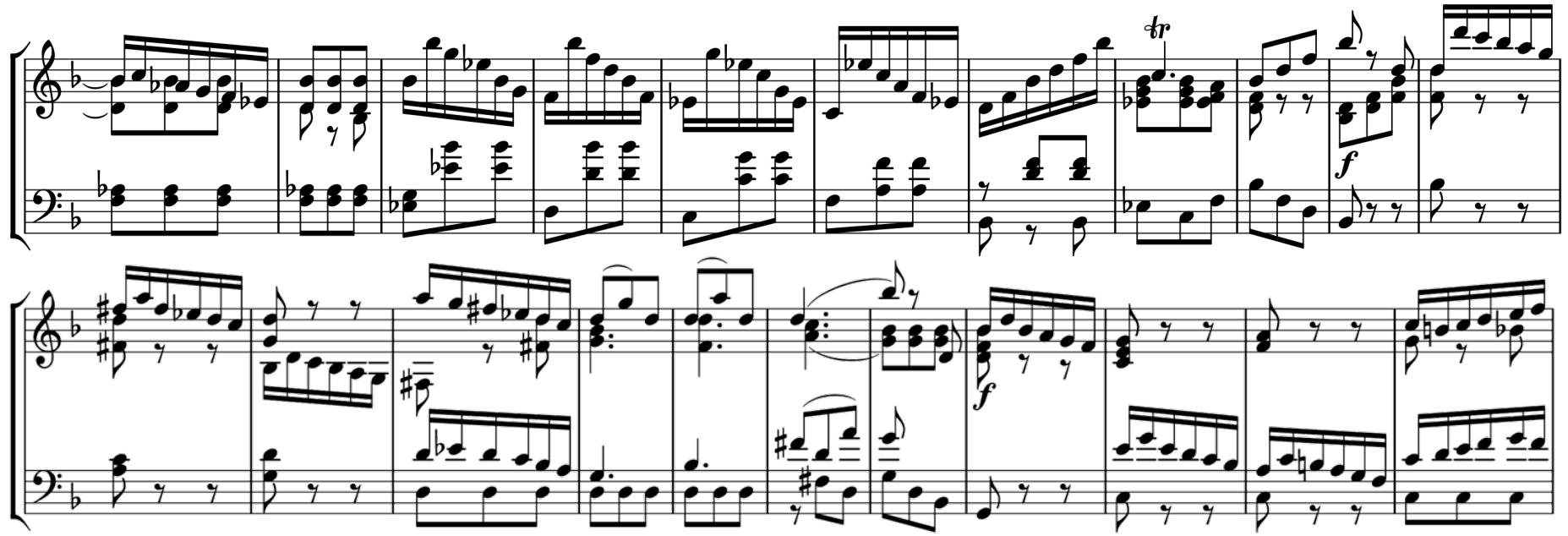
Mozart, Violin Sonata, K. 296 (1778)



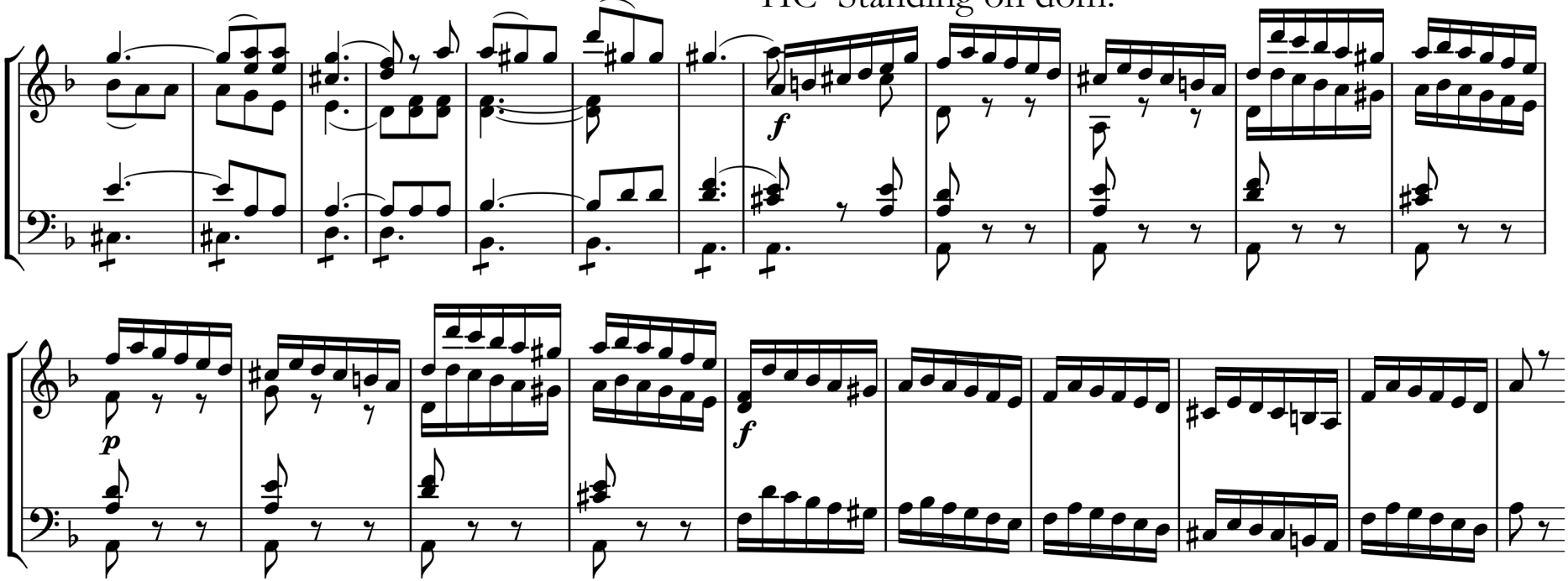
Michael Haydn, Quintet in F major, MH.411 (1786)

Interior theme (1)





HC–Standing on dom.



Conclusions

- Michael Haydn's rondos of the 1760s may have served as a model for Mozart's early sonata rondos
  - —Sonata-rondo (recap. of the subord. theme)
  - —Subordinate theme complex as a main theme extension
  - —Two interior themes (7-part modular rondo – 9-part sonata-rondo)
- Mozart developed the sonata-rondo form intensively between 1774–1778 and subsequently served as a model for Haydn
  - —Nine-part sonata rondo
  - —Double-region couplets
- Sonata-rondo is an important milestone in the development of form as a musical language
  - —Type 2 (context-free) grammar