Kerri Kotta

ON RHETORIC OF THE MAIN KEY AREA IN THE FIRST-MOVEMENT EXPOSITION
The Case of Early Beethoven

Abstract

The topic of this article is the rhetorical and formal design of the main key area of the sonata exposition in early Beethoven. The harmonic task of the main key area of the former is to articulate the tonic of the main key and then to start moving away from it. The abandonment of the tonic is also reflected in the intensification of the musical expression. In the process of intensification, it is possible to determine the place where the new, rhythmically more animated action space is irreversibly formed. I refer to this place as the "dramatic turning point" (DTP). DTP is a crucial change in texture or a place where the textural features of the new rhythmically animated action-space have all finally taken shape.

If we observe DTP as one of the central dramatic events of the main key area of sonata exposition, it is possible to describe the main key area as a dramatic journey to DTP and then to medial caesura (MC). DTP is most likely to appear in three places: (1) with the last harmony of the main theme or with the beginning of the transition; (2) with the structural dominant of the transition or a few measures before its arrival; or (3) with the rhetorical gesture immediately preceding MC. Depending on its location, a DTP can be predictive, reactive or confirmatory. Determination of DTP allows us to explore how the form as a scheme manifests itself as a musical narrative.

Keywords

Formenlehre, dramaturgy of form, rhetoric, Beethoven, sonata form

1. *Introduction*

Discussing the large-scale forms of instrumental music of the late 18th-century one cannot overlook rhetoric. According to Bonds, "the instrumental work was seen as a wordless oration, and its form was viewed not so much as a harmonic or thematic plan but as an ordered succession of thoughts" (Bonds 199, p. 53). Musical rhetoric was not just a question of artistic expression. It was also involved in building up the formal structure, especially at the deeper level of form. This is illustrated, for example, by Forkel according to whom "the precepts for joining individual notes and chords into individual phrases are part of musical grammar, just as the precepts for joining multiple individual phrases are a part of musical rhetoric" (Forkel 1788, p. 21; Bonds 1991, p. 72). It follows that "grammar and rhetoric, although closely related, operate on different hierarchical levels [...]. While grammar provides the essential building blocks of music, it is rhetoric that governs the large-scale concatenation of these units into a complete movement" (Bonds 1991, p. 72).

Modern analysis recognizes the ambivalent relationship between form and rhetoric. On the one hand, rhetoric highlights aspects of the harmonic (tonal) structure and, as such, it is primarily related to the expressive aspect of the work. On the other hand, rhetoric participates in the creation of a structural hierarchy. The participation manifests itself, for example, in the structural cadence. Often, a more developed formal unit, e.g. the secondary theme of the sonata form, displays several cadences of which only the last features the structural one. The latter is related to the completion of the formal unit. As a harmonic progression, however, it is not necessarily different from the preceding non-structural cadences. The difference is often rhetorical: the arrival of the goal harmony of the structural cadence is usually predicted or accompanied by an increase in dynamics and rhythmic activity. Often the goal harmony is further strengthened through several repetitions of the concluding cadential gesture or through a pedal point following the cadence. Thus, it paradoxically appears that these are expressive qualities, i.e. first and foremost non-structural aspects that define the structural importance of a cadence.

The topic of this article is the rhetorical and formal design of the main key area of the sonata exposition in early Beethoven. According to Hepokoski and Darcy, the central rhetorical event in the main key area of the two-part exposition is the medial caesura (MC) completing the area. Discussing its common characteristics, Hepokoski and Darcy present four musical aspects that usually participate in its articulation. The aspects are:

(1) "energy gain", i.e. intensification of musical expression, which usually characterizes the second part of the main key area of sonata exposition, (2) arrival to the structural dominant, the goal harmony of the main key area (and also that of transition), (3) "locking" of that dominant in the post-cadential pedal point or codetta, which is usually accompanied by further intensification of musical expression, and (4) the actual caesura, i.e. a stop or general pause that completes the whole rhetorical gesture (Hepokoski-Darcy 2006, p. 30).

All the events described above participate in the process in which the original action space characterizing the musical unfolding of the first half of the main key area is converted into a new type of unfolding characterizing the second half. This study attempts to shed light on how the transformation enacts itself out: when and how it begins, how it unfolds and how its different stages are related to the formal structure of the main key area of sonata exposition. Discussing these topics, I borrow from the analytical vocabulary of Hepokoski and Darcy (concerning musical rhetoric) (Hepokoski-Darcy 2006) and that of Caplin (concerning musical form) (Caplin 1998, 2013), but I will also introduce some new concepts.

Since this is a preliminary study, only Beethoven's Opp. 1–22 and Op. 49, i.e. the works composed up to 1800, form the basis of the study. I further limited my analysis to the first movements, mainly because of their greater variability in character compared to the other movements of the sonata cycle. It is the high variability of musical character that makes the first movements especially suitable for this kind of analysis.

2. *The Main Key Area and the 'Dramatic Turning Point' (DTP)*

The harmonic task of the main key area of the sonata exposition is to articulate the tonic of the main key and then to start moving away from it. In the case of non-modulating transitions, the tonic is replaced with the dominant of the main key whereas, in the case of modulating transitions, it is usually replaced with the dominant of a new key. The abandonment of the tonic is also reflected in the intensification of the musical expression. This is also mentioned by Rosen, who says that both most important harmonic events of the exposition — modulation to the dominant and a final cadence on the dominant — are "characterized by an increase in rhythmic animation" (Rosen 1971, p. 99). Although the process by which music acquires more intense expression may involve a significant portion of the main key area it is possible to determine the place where the new, rhythmically more

animated action space is irreversibly formed. In this discussion, I refer to this place as the "dramatic turning point" (DTP).

Since DTP refers to an aspect that is not systematically discussed in the analysis of form, it might be good to emphasize what DTP is *not*, before saying what it is. DTP is not a climax of the intensification process taking place in the transition although it may sometimes coincide with it, especially when most of the features of the new action space are formed exactly at the moment of culmination. Nor is it a rhetorical articulation of a point of formal division, e.g. the beginning of the transition, although it may sometimes coincide with it. Similarly, it is not a rhetorical articulation of a prominent event in the tonal or harmonic structure, e.g. a moment which marks the beginning of the modulation which will eventually lead to the establishment of a new key. Above all, DTP is a crucial change in texture or a place where the textural features of the new rhythmically animated action-space have all finally taken shape. Hence, the determination of DTP depends first and foremost on the so-called external characteristics of music, primarily on dynamics and rhythm. As such, DTP, although reflecting the tonal structure, should be understood as a purely surface phenomenon.

The two most important features of DTP are (1) the establishment of rhythm as a dominating expressive element of music, and (2) consistently louder dynamics. Usually, the dominance of rhythm means its acceleration, the replacement of longer notes with shorter ones, but it may also refer to a rhythmic consolidation of voices, i.e. a chordal texture, or the emergence of a metric aspect as an expressive category (syncopation, insistently regular meter or formal division, etc.). However, the dominance of rhythm as the central expressive element is not enough to articulate DTP, this must be accompanied by a *forte* dynamic which often arrives together with the increase in rhythmic activity, but can occasionally appear later.

DTP can manifest itself in different ways. In the most recognizable form, it displays a contrast in character. This happens when the features of the new rhythmically animated action space — a new level of rhythmic density and *forte* — appear all at once. If DTP articulates the beginning of a new formal section the contrast is even bigger. Alternatively, DTP can also mark the place where the main features of the new action space which have already begun to appear earlier are finally established. Such DTP can also be referred to as "prepared DTP". Compared to the contrast in character, the prepared DTP is less prominent as a rhetorical event, especially when the final formation of the main features of

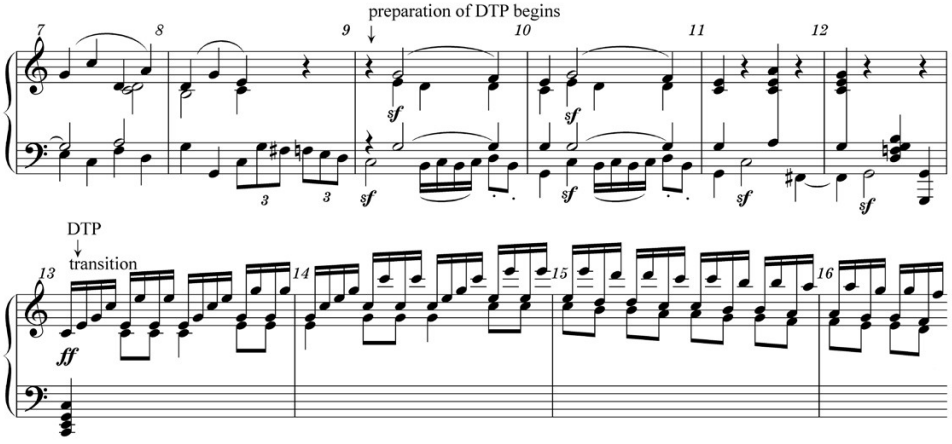
the new action space happens in a formally insignificant place. In some rare cases, it is almost impossible to point out a specific place where the main features of the new action space are finally established, mostly due to the smooth development showing multiple gradual changes each of which can hypothetically represent DTP. In this case, one can speak about "evaded DTP".

Although DTP is my own invention, the idea itself is not new. Perhaps the closest to DTP is the concept of the "crisis" of the secondary theme of the sonata form developed by Lev Mazel'. Mazel' says that many of the first movement's secondary themes include a developmental phase appearing in the second half of the theme. This is the area where the secondary theme becomes more active, shows growth in dynamics and introduces contrasting elements, often taken from the previous sections, i.e. main theme and transition. According to Mazel', the reactivation of music in the second half of the secondary theme can be understood as a "crisis point" (contrast in character) or a "crisis area" where the musical character undergoes a significant change. Mazel' discusses the secondary theme of the first movement of Mozart's Symphony in C major, KV 551, as an example of the first, and the secondary theme of the first movement of Mozart's Symphony in G minor, KV 550, as the second type (Mazel' 1979, pp. 383-84). There is no fundamental difference between the concepts of DTP and that of the "crisis" if not to keep in mind that the "crisis" stands for a specific dramatic stage of the secondary theme and therefore includes not only the surface rhetoric (as DTP does) but also changes in tonal structure (Mazel' speaks of sudden modulations to subdominant or parallel key that accompany the "crisis").

In harmony, a similar way of thinking manifests itself in the concept of "crux" developed by Ralph Kirkpatrick. When discussing the sonatas by Domenico Scarlatti, Kirkpatrick uses the concept to refer to the places in a sonata trajectory where "the closing tonality is being made clear, either by the establishment of its dominant [...] or more rarely by a preliminary cadence to the closing tonic" (Kirkpatrick 1968, p. 255). Similarly, DTP stands for the place where the rhetoric of the new action space is securely established and the returns to the previous action space no longer occur.

3. *Examples*

An example of clearly articulated DTP as a contrast in character can be found in the Piano Sonata in C Major, Op. 2 no. 3 (Ex. 1). Its main theme (mm. 1–8, not shown in the example) features a sentence (Caplin 2013, p. 60). The presentation includes mm. 1–4 and continuation mm. 5–8. Because of insufficient articulation of closure in m. 8 — the latter shows imperfect authentic cadence (IAC) instead of perfect authentic cadence (PAC) — the continuation is repeated in mm. 9–13 (Caplin 1998, pp. 44-45; Caplin 2013, p. 139). Within these measures, the DTP preparation[1] begins *sforzando* on the second beat of every measure to emphasize the syncopation, and *legato* in mm. 7–8 is replaced with *portato* in mm. 11–12. The energy accumulated in mm. 9–12 bursts forth in m. 13 with a huge dynamic contrast and a sharp increase in rhythmic activity (quarter notes are replaced with sixteenths). To this is added a change of thematic material. Thus, in terms of musical rhetoric, m. 13 establishes a new action space which remains unchanged until the end of the main key area in m. 26.



Example 1, Ludwig van Beethoven, Piano Sonata in C Major, Op. 2 n. 3, First movement, mm. 7–16

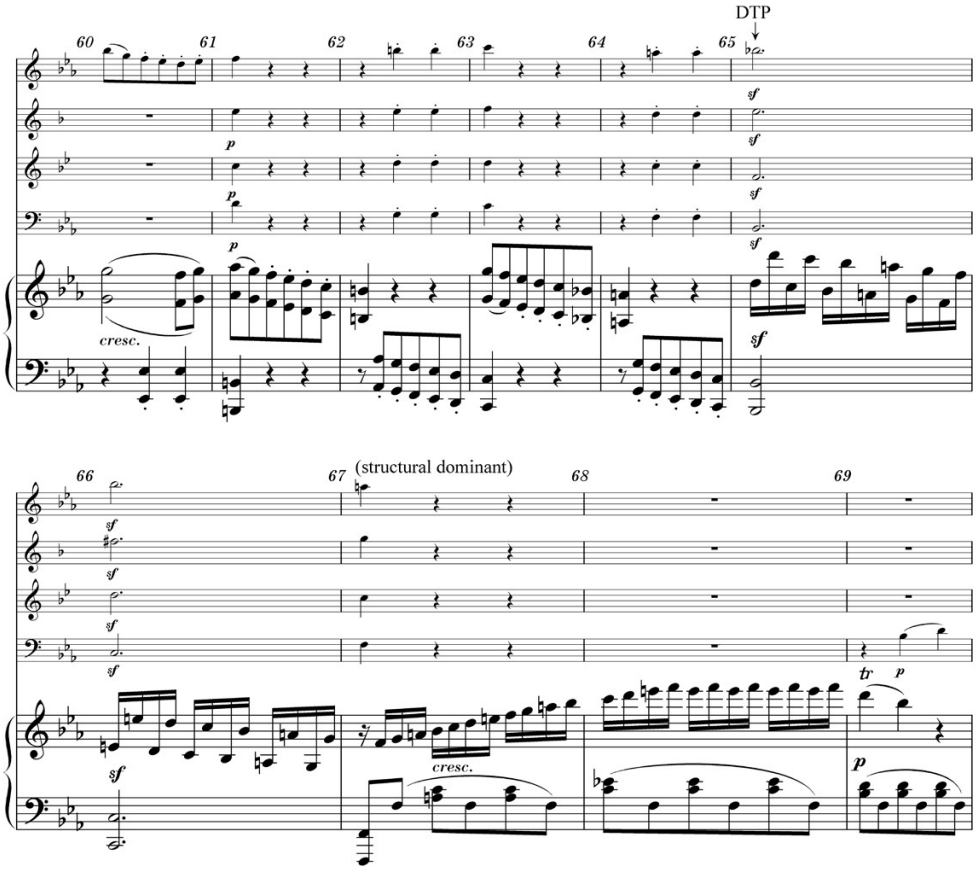
More often, DTP marks the place where the main features of the new action space — rhythm as a dominating expressive element and *forte* in

1 Under DTP preparation I mean the area prior to DTP where DTP specific characteristics gradually appear.

dynamics — have finally taken shape. As such, it can arrive almost unnoticed, especially when the features of the new space are gradually prepared, and their final formation happens in a structurally insignificant place. The Quintet for Piano and Wind Instruments in E flat major, Op. 16, provides an example. After the slow introduction (mm. 1–21), the main theme, constructed as a compound period, is presented (mm. 22–52). The antecedent shows a sentential design (mm. 22–37) and is played by the piano alone. This is followed by a somewhat contracted consequent, now with other instruments added (mm. 38–52). Because of formal overlap, m. 52 also functions as the beginning of the transition. This is the measure where the preparation of DTP starts: rhythmic activity increases (triplets in the left hand of the piano) and a regular hypermeter is established. The latter can be understood particularly because of the contracted consequent which precedes the transition and, for a moment, interrupted by the regularity of phrases. But since the beginning of the transition shows a soft dynamic and it has not established the rhythm as a central expressive element, m. 51 does not articulate DTP.

If the textural changes which accompany DTP appear gradually, then DTP must be determined at the place where the main characteristics of the new action space irreversibly evolve. Such a place, in my opinion, is m. 65, just before the arrival of the structural dominant in m. 67, and it is marked by a rhythmic consolidation of instrumental parts (dotted half notes) and a sudden emanation of the sixteenths in the right hand of the piano (Ex. 2). Why is m. 65 the most suitable candidate for DTP? Firstly, it establishes the sixteenths as the central rhythm of the new action space. Secondly, it introduces *sforzando* articulation which, in this context, is in alignment with that of a *forte* dynamic. Thus, this is the measure where the central characteristics of the new action space are finally formed. Thirdly, the character established at m. 65 remains practically unchanged until the end of the transition (m. 83). Two relapses to the piano in m. 69 and 73 are not permanent and are immediately followed by dynamic growth[2].

2 Because of the relapses and the fact that *forte* seems to be finally secured only from m. 75 onward, one can perhaps see m. 75 as a viable candidate for DTP. It seems to me, however, that m. 75 does not articulate so much the rhetorical turn (in the way music unfolds) as it represents the beginning of the next (and the last) stage in the continuous intensification of music.



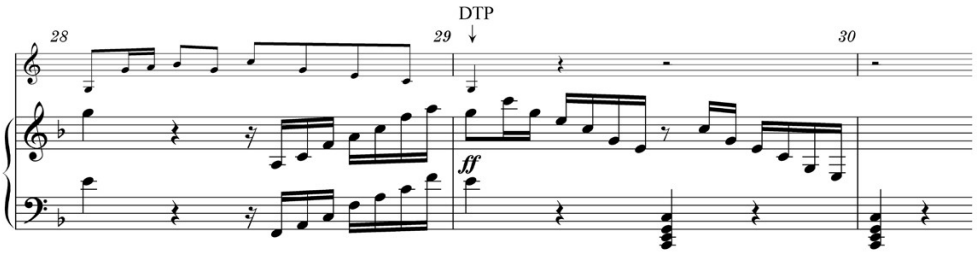
Example 2, Ludwig van Beethoven, Quintet for Piano and Wind Instruments in E flat Major, Op. 16, First movement, mm. 60–69

In some cases, it is possible that DTP arrives relatively late, only together with the "hammer-blows" preparing the MC at the end of the transition. The Sonata for Horn and Piano in F major, Op. 17, represents an example of such late arriving DTP. There is a musical motto at the beginning of the first movement (mm. 1–2), which is immediately followed by the main theme, that displays a sentential design (mm. 3–11)[3]. Its final cadence displays the return of the motto, after which the main theme is repeated, now the horn playing the melody (mm. 12–20). The repetition introduces the sixteenths (see piano accompaniment) which represent the central rhythmic element of the new action space. Since they are accompanied by soft dynamics, m. 12 does not articulate DTP, but the beginning of its textural

3 The situation here is subtler; m. 3 can be thought of as a new idea when we arrive to the end of the phrase. But initially, mm. 3–4 can be understood as a gentle response to mm. 1–2. I thank the anonymous reviewer for pointing it up.

preparation. The second statement of the main theme shows a more regular formal design compared to the first statement — it lacks the extension in the continuation characterizing the original layout of the theme in mm. 3–11. This also indicates that the preparation of DTP is underway.

Whereas the central rhythmic elements of the new action space (the sixteenths) are introduced relatively early, the arrival of the *fortissimo* and that of DTP has been postponed to the end of the transition (m. 29). It makes the preparation of DTP quite long. The beginning of the transition (mm. 21–30) does not show a change in character in terms of surface rhetoric. The next change takes place only in m. 24 where the sixteenths which have been dominating the right hand of the piano begin to articulate the bass. As a result, a sense that one is abandoning a stable ground is strengthened. This textural change is finally accompanied by a long-awaited *crescendo* that leads to the "hammer-blows" (m. 29), which also articulate DTP (Ex. 3).



Example 3, Ludwig van Beethoven, Sonata for Horn and Piano in F Major, Op. 17, First movement, mm. 28–30

The preparation of a DTP is not always as continuous as shown in the previous example. It is possible that it will be preceded by a series of changes in character. Since these changes are not permanent — sooner or later the original character will be restored — so they cannot function as DTP. Quite often their task, however, is to predict the actual DTP, which will arrive later. A suitable example of this kind of predictive change can be seen in the Piano Trio in E flat major, Op. 1 no 1. Its main theme (mm. 1–9) is followed by a codetta (mm. 10–13). The cadential gesture articulating the end of the codetta introduces the musical features that usually accompany DTP — acceleration of rhythm (sixteenths), *crescendo* and chordal accompaniment (m.

12). However, these changes are not permanent, and the original character will be restored in m. 13. The idea of the restoration is further emphasized by a "feminine" type of ending of the cadence, the appoggiatura gesture in the upper voice of the piano at the beginning of m. 13, as if wishes to soften the decisive *forte* character of the cadence the latter acquires in m. 12.

Thus, m. 13 does not articulate DTP, but the first action in a series of events which finally lead to DTP. Although the change introduced in m. 12 is short-lived, it triggers some features that 'push' music closer to DTP: the movement is more mobile and the phrasing more regular compared to the main theme in mm. 1–9[4]. The sixteenths emerge once more, though without dynamic support, in mm. 17–19, but, again, they fail to survive, and quarters and eighths restore their prominence as basic rhythmic values in m. 21 (together with the initial thematic material). Harmonically, this retention is articulated by the tonic pedal point (see also the discussion in Hepokoski-Darcy 2006, pp. 91-92)[5]. Although the actual DTP seems to arrive unexpectedly at m. 25 (Ex. 4), this is only locally so. In a broader perspective, it is prepared by the change in character in m. 12 as well as by the sixteenths appearing in mm. 17–19.

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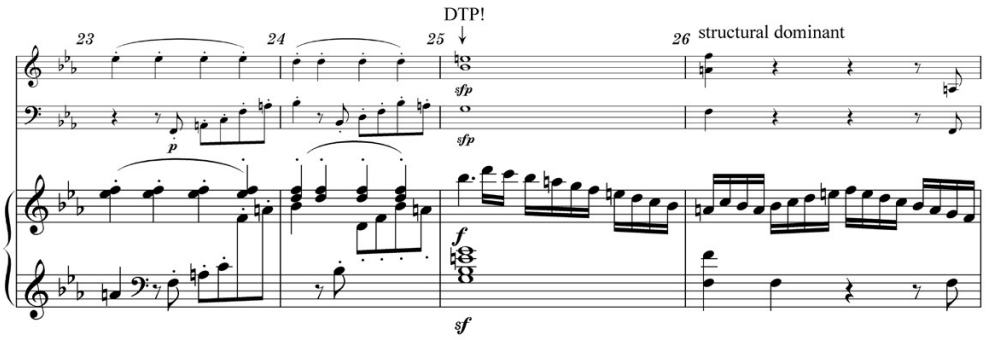
4 Since m. 1 can be interpreted in two ways, as either an upbeat to m. 2 or the real first measure, the metrical structure of the whole main theme shows a certain ambiguity. It is not clear whether the first hypermeasure (presentation) includes mm. 1–4 or 2–5, i.e. which should be considered strong or weak measures in this region, mm. 1 and 3 or 2 and 4. Similarly, it remains unclear at the beginning of the continuation whether the second hypermeasure includes measures 5–8 or 6–9. However, such ambiguity is missing in mm. 13–21, which demonstrate a strict regularity in phrasing.

5 In my opinion, the beginning of the transition starts at m. 13. Another option is to see it beginning at m. 21. If we consider the last option, then the section in mm. 13–21 preceding it should be seen as a codetta following the main theme. But the main theme (mm. 1–9) already has a codetta that corrects the metrical ambiguity of the main theme in mm. 10–13. Then why do we need another codetta? Moreover, the section in mm. 13–21 shows a more mobile character and a gradual increase in rhythmic activity which refer to the character of the transition rather than that of a codetta. I think that here again we are dealing with a formal reinterpretation: the beginning of mm. 13–21 acts as a true transition (rhetorically), but, at some point, the music is as if it abandoned this idea and provided another beginning by reintroducing the motives of the main theme and starting the actual modulation (from m. 21 onward).



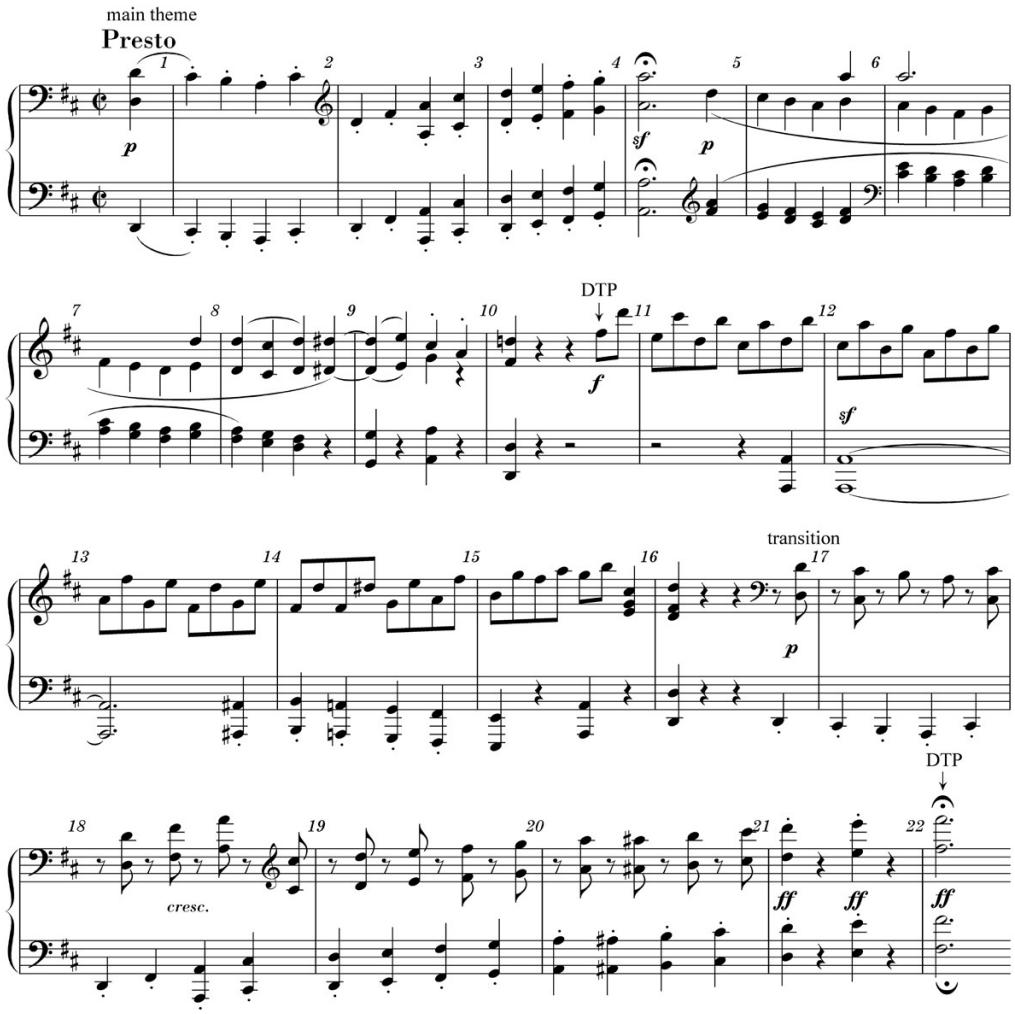
Example 4, Ludwig van Beethoven, Piano Trio in E flat Major, Op. 1 n. 1, First movement, mm. 23–26

4. *The Main Key Area with Two DTPs*

Usually, the main key area features a single transformation in terms of its textural unfolding. This means that an action space articulating the beginning of the main key area will be replaced at some point with a rhythm-dominating new space usually articulating the second half of the area. Sometimes, however, the main key area may display two cycles of textural unfolding, in which an initial action space is replaced with a rhythm-dominating space. Such a design results in two DTPs. Typically, the first cycle presenting the first DTP corresponds to the main theme, whereas the second cycle presenting the second DTP, corresponds to the transition. Although the DTP is a purely surface phenomenon, its structural importance is dependent on the harmonic structure (in case we must weigh the structural importance of several DTPs within a single composition). The first DTP usually articulates the tonic or dominant of the main key, whereas the second DTP articulates the dominant of a new key. Since the principle task of the main key area is to articulate the departure from the tonic, the second DTP is dramaturgically superior. Sometimes, the two DTPs (and the two cycles of textural unfolding) may be the result of an apparent double medial caesura and a trimodular block (Hepokoski-Darcy 2006, pp. 170-76). In the latter case, the question arises as to whether the second cycle belongs to the main key area or does it already represent the beginning of the secondary key area.

An example that shows two DTPs in the main key area occurs in the Piano Sonata in D major, Op. 10 no. 3. The first textural transformation occurs immediately after the presentation of the main theme written as a period (mm. 1–10). Unlike the main theme, the restatement of its consequent (mm. 11–16)

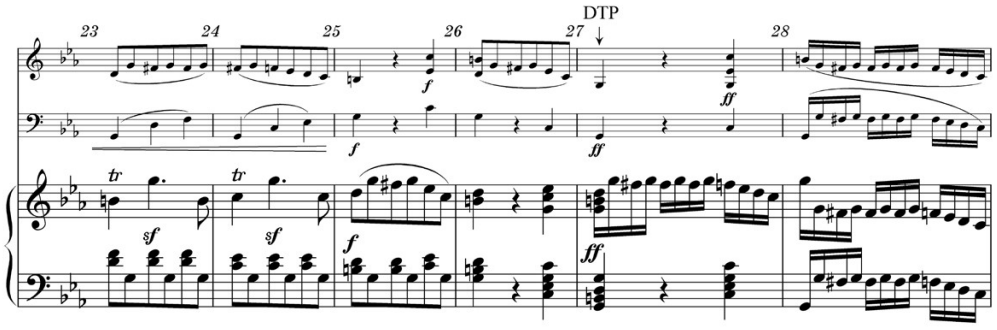
contains a loud dynamic (*forte*) and a faster rhythm (the quarters are replaced with eighths). Since it is not the most important event in terms of musical dramaturgy of the main key area (as a textural change, it arrives too early and is involved in articulating the main key tonic, i.e. not the goal harmony of the main key area), it is cancelled by the "new beginning" which restores the *piano* dynamic and the basic idea of the main theme at the beginning of the transition in m. 17. This is followed by a *crescendo*, which now leads to the second DTP in m. 21. But even here, (if viewed) in terms of MC, it may be seen as premature[6].



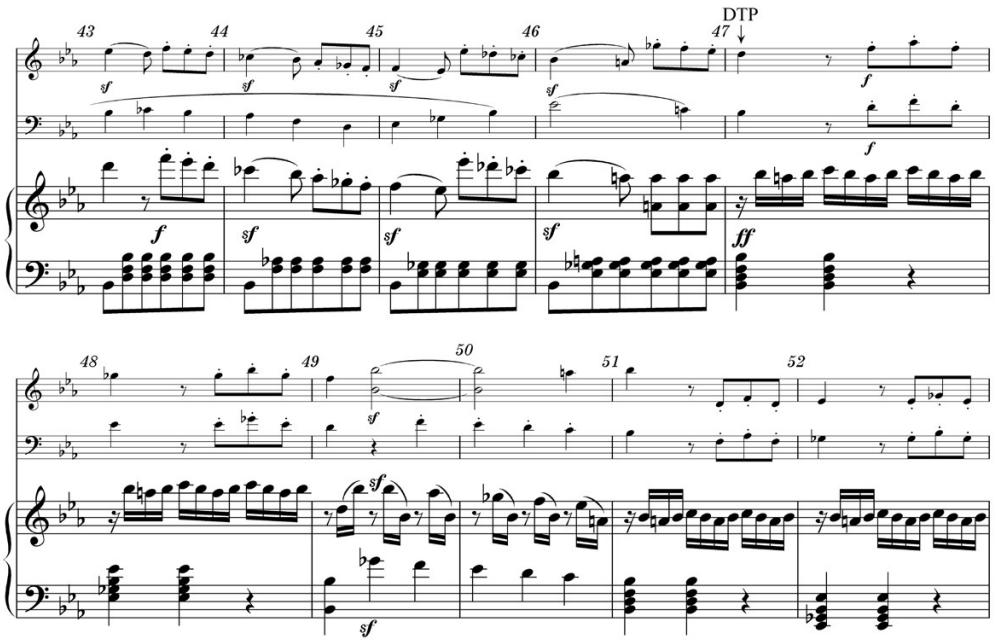
Example 5, Ludwig van Beethoven, Piano Sonata in D Major, Op. 10 n. 3, First movement, mm. 1–22

6 Hepokosky and Darcy provide a discussion of this exposition (Hepokoski-Darcy 2006, p. 176) which is, in its turn, related to the topic of the tonal layout (Rosen 1988, p. 247).

The Piano Trio in C minor, Op. 1 no. 3, provides another example. The second section (mm. 11–30) begins as a theme, but then behaves much like a transition: dominant arrival in m. 19 is followed by a dominant lock (mm. 19–30) during which the intensity of musical expression begins to grow. Quite like MC, the dominant lock is closed by powerful "hammer-blows" (mm. 27–30) which also articulates the DTP: this is where the original action space is completely abandoned, and the new space established (Ex. 6a, mm. 23–28). This, however, is cancelled by the return of the motives of the main theme and a sudden drop to *piano* from m. 31 onward. The situation here is quite close to the situation described in Ex. 5 (see its mm. 16–17). The main difference, however, is that in Ex. 6a the first DTP accompanies a situation which is characteristic to the end of the transition (dominant harmony, "hammer-blows") whereas, in Ex. 5, the first DTP reintroduces the consequent phrase concluding with a PAC in the main key. This is the different context which makes the first DTP to look unexpected and less "significant" in Ex. 5 compared to Ex. 6a. The first DTP is followed by a new section (mm. 31–57) that articulates the transformation again (now in a new key), as if trying to overwrite the previous cycle. In the Trio the second DTP is articulated in m. 47 (Ex. 6b, mm. 43–52), at the "hammer-blows" that prepare the next MC, which finally arrives at m. 57. Similar examples with double DTPs can be found in the first movements of Op. 12 no. 1, (mm. 21 and 41–42) and Op. 22 (mm. 11 and 16).



Example 6a, Ludwig van Beethoven, Piano Trio in C minor, Op. 1 n. 3, First movement, mm. 23–28



Example 6b, Ludwig van Beethoven, Piano Trio in C minor, Op. 1 n. 3, First movement, mm. 43–52

5. *Problems in Identification of DTP*

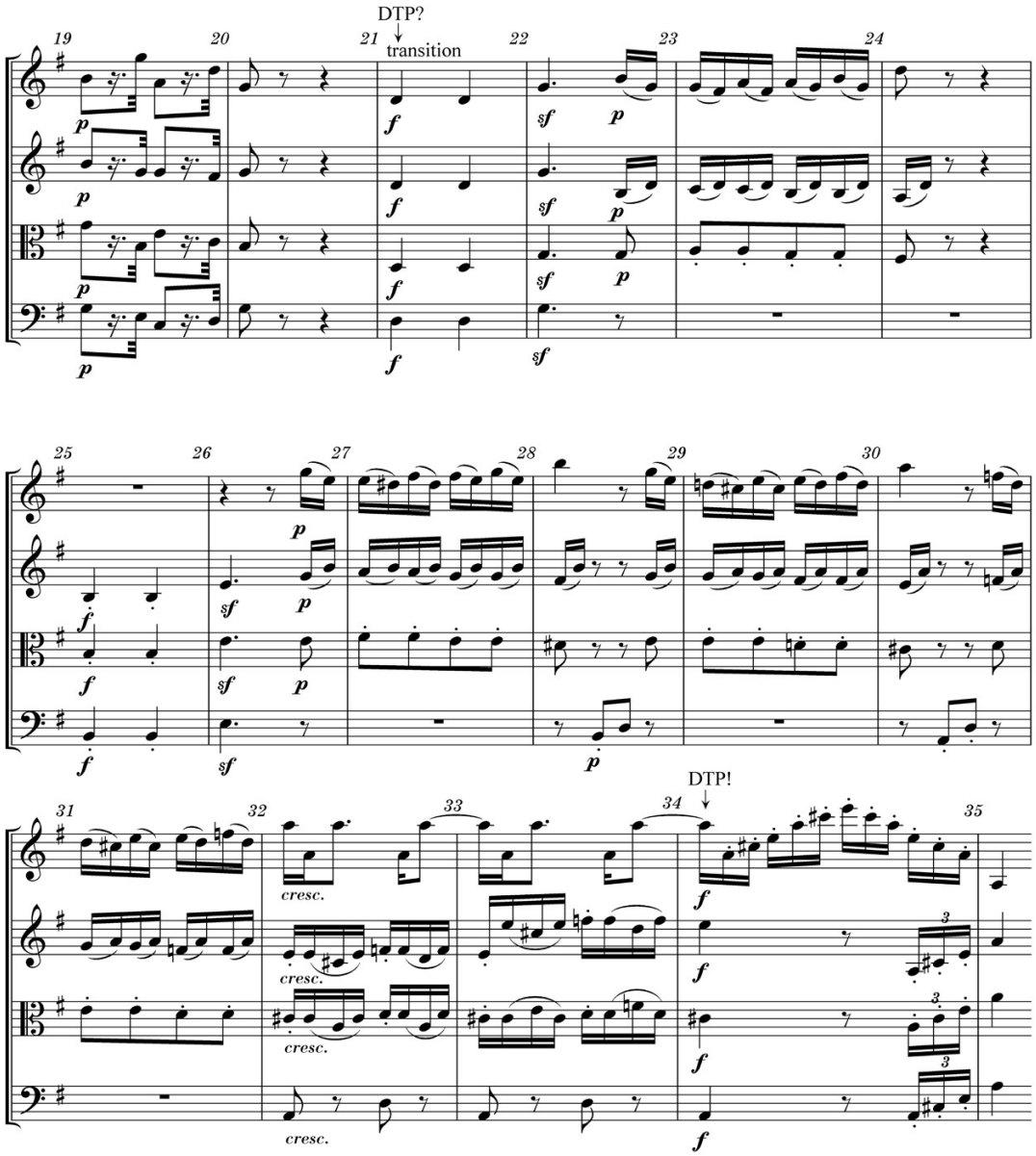
Sometimes a uniform character of the main key area makes it difficult to determine the location of a DTP. If the main key area does not show substantial changes in texture (rhythm) and dynamics, how is it possible to determine the location of DTP at all? In such instances, I suggest that the position of DTP is determined primarily by the harmonic design or, more precisely, by the arrival of structural harmony. Since the arrival of structural harmony is usually articulated by a pedal point or a series of cadence-like gestures strengthening the harmony (in other words, the arrival of structural harmony features a stop in terms of harmonic movement), the focus shifts away from harmony as the signifier of musical narrative to the other elements of music, including dynamics and rhythm. It means that even though there may not be any changes in terms of textural (i.e. rhythmic) unfolding, the end of the harmonic movement changes the way we listen to the music, which, in its turn, allows the dynamics and rhythm to become more significant at the foreground level.

The Piano Sonatas Op. 13 and Op. 14 no. 2, represent such a group of works. In Op. 13, the dramatic character dominates both the main theme and transition which constitute almost one uninterrupted line. There are two stops in terms of harmonic movement — in mm. 27–37 and mm. 43–49

— which both contain a dominant pedal point and are the viable candidates for the "dominant lock" preparing the MC. The first pedal point is on the dominant of the main key (C minor) and despite the *sforzandos* shows *piano* in dynamics. Instead of "hammer-blows" that frequently articulate the end of such a pedal point, it is followed by a series of modulations accompanied by a *crescendo*. This negates it as a true "dominant lock". The modulating section leads to a new dominant (now in E flat minor) which stabilizes at m. 45, mostly due to the descending *sforzandos* figures strengthening the B flat harmony in the right hand and the persistence of B flat in the bass. This is also the place where the focus shifts away from harmony and allows the rhythm to penetrate the surface as a dominating element. Therefore, m. 45 also articulates DTP.

Op. 14 no. 2 shows a somewhat similar example although its character is different. There are no changes before the arrival of the structural dominant in m. 19, and even after that the rhythmical and textural changes are almost unnoticeable (sextuplets in the upper voice). But as the sextuplets are the result of the end of the harmonic movement taking place one measure before (one can even say that musical inertia or the kinetic "energy" of music created through harmony is now expressed in the activation of the rhythm), it is again possible to talk about the shift from harmony to rhythm and thus the articulation of DTP.

Sometimes the difficulties of determining the DTP can arise because of the similar character of the main theme and transition. The String Quartet in G major, Op. 18 no. 2, provides an example. The transition begins at m. 21 (Ex. 7) and is relatively strongly articulated: the *piano* dynamic is replaced with a *forte* and the texture displays homorhythmic voices in unison. As such, m. 21 could represent DTP, because the main characteristics which usually accompany DTP — the dominance of rhythm and *forte* — are present. At the same time, the motive which starts this transition is closely related to the basic idea of the main theme, both in terms of thematic material as well as of articulation of the home key. In addition, m. 21 shows no rhythmic acceleration. As a result, the beginning of the transition does not seem to introduce a new musical context but rather a variation of the main theme. Tonally, the turn (new key) takes place in m. 25, but it is not accompanied by any change in texture. A new rhythmic element (triplets) arrives only at the end of the transition in mm. 34–35. Since the triplets also introduce a *forte* and they are related to the articulation of the dominant key (the goal harmony of the main key area), those measures should be understood as DTP.



Example 7, Ludwig van Beethoven, String Quartet in G Major, Op. 18 n. 2, First movement, mm. 19–35

6. *On the Rhetorical Design of the Main Key Area*

If we observe DTP as one of the central dramatic events of the main key area of sonata exposition, it is possible to describe the main key area as a dramatic journey to DTP and then to MC. This journey is illustrated in Fig. 1. It includes three stages: (1) the first stage corresponds to the area in which the initial action space is established, (2) the second to the

preparation and final formation of the new space (DTP), and (3) the third to the area in which the new space is safely secured and stabilized. Thus, in terms of musical character, one can speak of a relatively stable, unstable, and stable phase which can be referred to as pre-DTP, DTP[7], and post-DTP space, respectively.

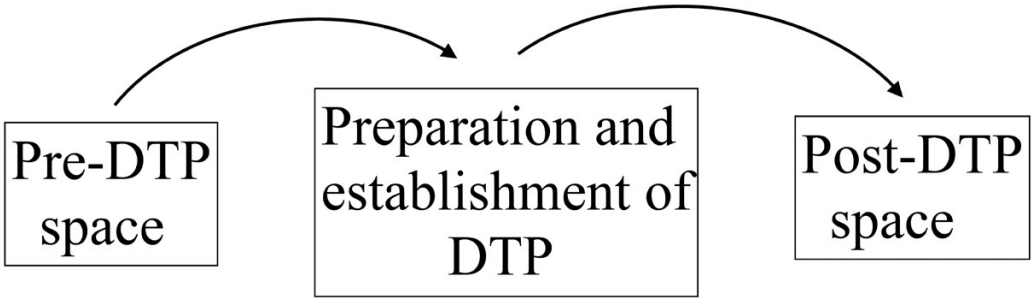
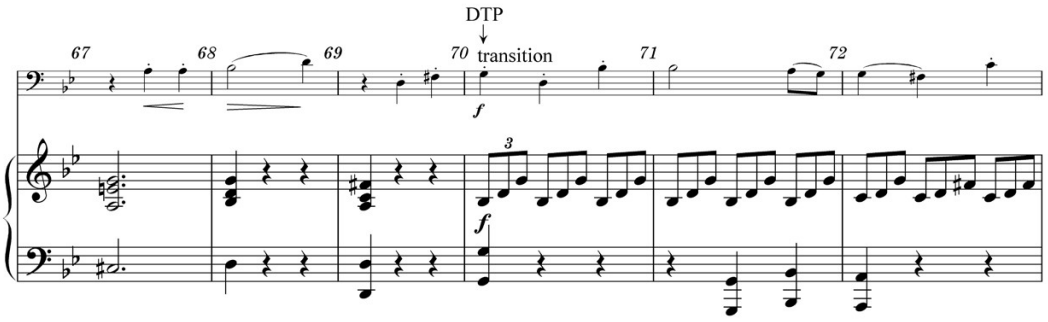


Figure 1, Dramaturgical journey of the main key area

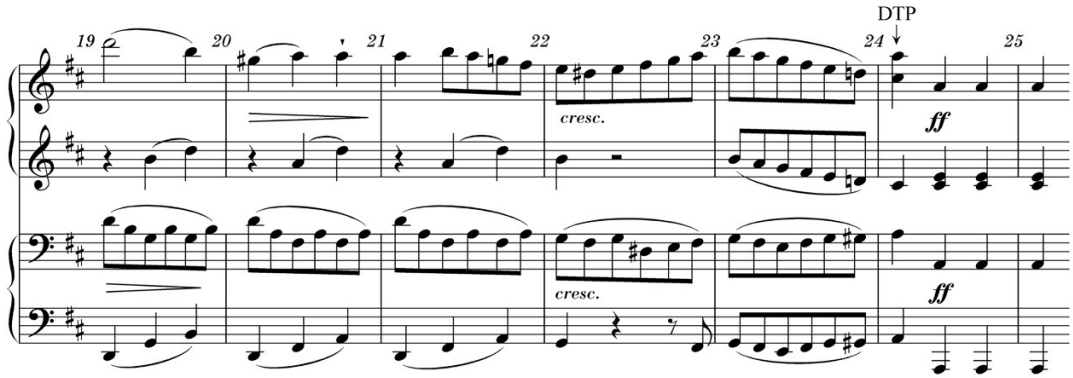
Although the rhetorical design of the main key area includes all three stages, the length of each stage can be different. As already mentioned, the fundamental textural transformation may occur suddenly, and then the second phase becomes essentially a point, the instantaneous "break" of the first phase into the third phase. At the same time, a broader context should be considered in this case. As already said, sometimes such a sudden change can be predicted by musical events which precede it, as it happens, for example, in Op. 1 no. 1 (see again Ex. 4), and, in this case, these events already represent the second stage that prepares DTP. However, the second stage is manifested as a point in the Cello Sonata in G minor, Op. 5 no. 2. After a lengthy introduction, the main theme is presented in mm. 45–70. There is a formal overlap between the main theme and the transition in m. 70: the tonic harmony of the final cadence of the main theme functions also as the initial harmony of the transition (Ex. 8). The overlap is articulated by a sharp and sudden change in character, which also represents DTP, because it dominates the remainder of the main key area.

7 The DTP space (or the second stage) includes both the preparation (if present) and final formation of the new space (i.e. the DTP itself). Hence, the term DTP-space refers to an area and not to a point.



Example 8, Ludwig van Beethoven, Sonata for Violoncello and Piano, Op. 5 n. 2, First movement, mm. 67–72

However, if the formation of the new character takes place in the very end of the transition, shortly before MC, then the third stage or post-DTP space may, similarly to the second stage, remain rather short. The Piano Sonata in D major for Four Hands, Op. 6, provides an example. After the main theme (mm. 1–12, not shown), the transition begins. It introduces new thematic material, but no substantial contrast in character. The latter appears in mm. 24–25 ("hammer-blows"), being prepared by a short crescendo in mm. 22–23 (Ex. 9). Since all the main characteristics of DTP — the dominance of the rhythm and *forte* — appear only in m. 24, there is no other way to locate DTP than to place it in the very end of the transition. Similar examples include the first movements of Op. 17 (see also Ex. 3), Op. 9 no. 1, Op. 11, Op. 18 nos. 1, 2, 5. It is also possible to locate DTP in a similar way in Op. 19.



Example 9, Ludwig van Beethoven, Sonata for Piano in Four Hands, Op. 6, First movement, mm. 19–25

7. *Rhetorical design related to form*

As the examples above demonstrate, DTP is most likely to appear in three places: (1) with the last harmony of the main theme (i.e., the first harmony of the transition) in the case of overlap, or with the beginning of the transition; (2) with the structural dominant of the transition, or a few measures before its arrival; or (3) with the rhetorical gesture immediately preceding MC (usually the "hammer-blows"). In Beethoven's first-movement expositions up to Op. 22, all these variants appear quite equally, as shown in Tab. 1.

It follows that there are three possible configurations that can be formed between the rhetorical design and the formal structure in the main key area of the sonata exposition.

In the first configuration, the arrival of DTP coincides with the beginning of the transition. Since the main theme and transition are often linked by an overlap, the arrival of DTP similarly coincides with the last harmony of the cadence that closes the main theme. Such DTP may be briefly prepared in the main theme (e.g., by a *crescendo* accompanying its final cadence), but it may also arrive unexpectedly as a contrast in character. After the arrival of DTP, the new character is kept unchanged until the end of the transition, although the intensity of the musical expression may continue to grow. This type of configuration between rhetorical design and form can be found in Op. 2 no. 2, Op. 2 no. 3, Op. 4, Op. 5 nos. 1 and 2, Op. 9 no. 2, Op. 15, Op. 18 no. 4, Op. 20 and Op. 21.

In the second configuration, DTP is articulated in the transition, usually shortly before or exactly at the arrival of the structural dominant. Here, too, DTP can be prepared (the preparation of such a DTP usually does not begin before the transition) or — in rare cases — can arrive unexpectedly. The character no longer changes after the arrival of DTP, although the structural dominant that comes shortly after such DTP may be articulated by a sudden drop to a *piano*. The *piano*, however, is followed immediately by a *crescendo* and a further confirmation of the character established in DTP. This type of configuration between rhetorical design and form can be found in Op. 1 no. 1, Op. 3, Op. 7, Op. 10 no. 2, Op. 11, Op. 12 no. 3, Op. 16, Op. 18 nos. 3 and 6, Op. 49 no. 2[8].

8 A somewhat more problematic example that could be associated with this group would be the Violin Sonata in A major, Op. 12 no. 2. The main problem here is the lack of contrast between the main theme and transition which makes it difficult to locate DTP (see also Ex. 7).

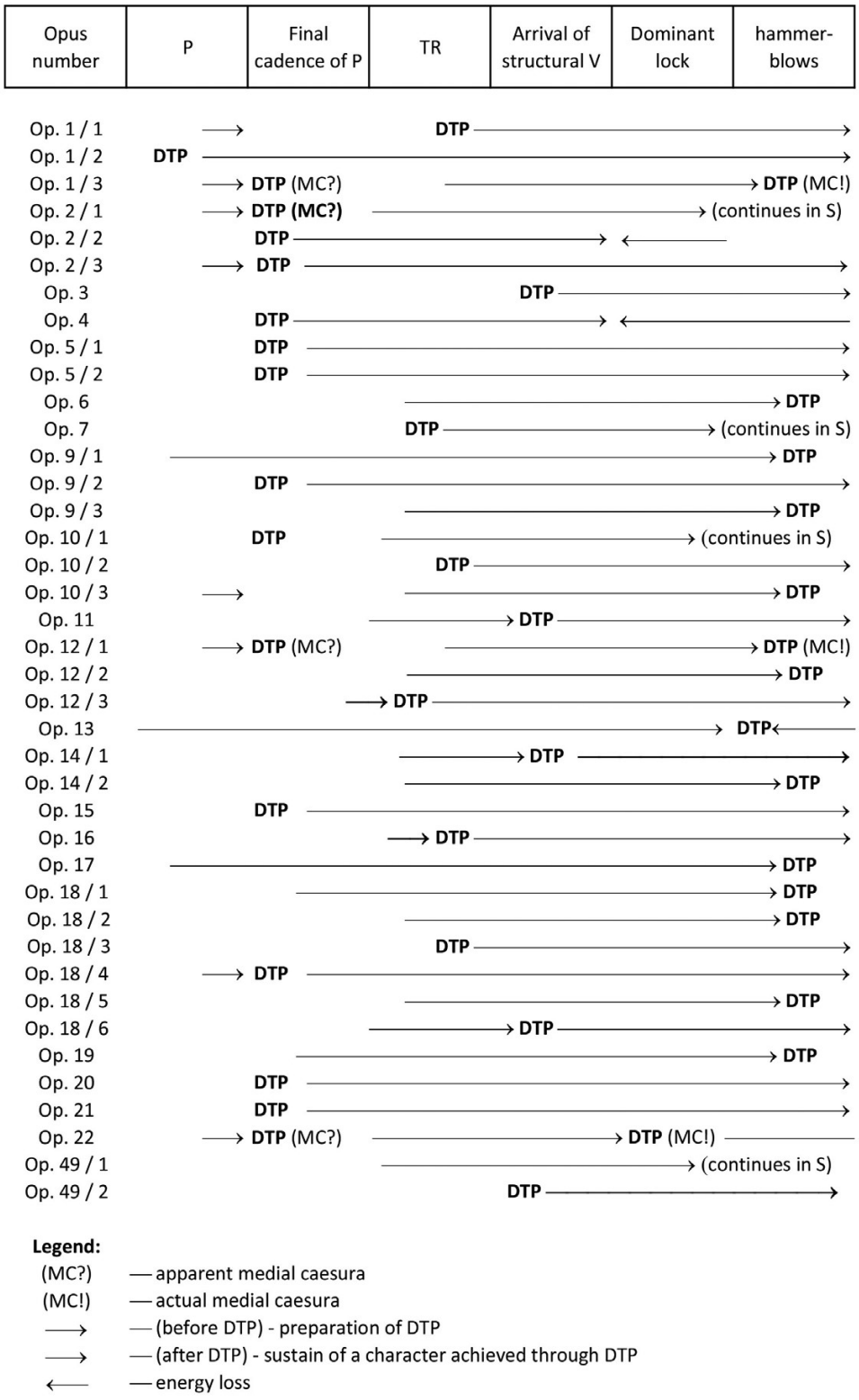


Table 1, DTP in the main key area of the first movement of Beethoven's Opp. 1–22 and Op. 49

In the third configuration, a DTP coincides with the concluding gesture of the transition (usually the "hammer-blows" or a rhetorical variant of it). This kind of DTP is usually sufficiently prepared; as a rule, the preparation starts at the beginning of the transition, but there are also works where it starts in the main theme (Op. 9 no. 1 and Op. 17). This type of configuration between rhetorical design and form can be found in Op. 6, Op. 9 nos. 1 and 3, Op. 10 no. 3, Op. 14 no. 2, Op. 17, Op. 18 nos. 1, 2, 5, Op. 19.

A possible fourth configuration can be found when a DTP is first articulated at the end of the main theme and then again at the end of the transition, as discussed above. The works that show two equivalent candidates for DTP include Op. 1 no. 3, Op. 12 no. 1, Op. 22. In addition, there exists a variant, especially in minor mode works, where the main theme articulates the first DTP, but because of the weak articulation of MC, the second DTP arrives only somewhere in the secondary key area, usually only shortly before the Essential Expositional Closure (EEC) (Hepokoski-Darcy 2006, pp. 120-124) or together with it. Such examples include Op. 2 no. 1 and Op. 10 no. 1. But also Op. 49 no. 1 can be considered a representative of this group (albeit it lacks a clear DTP in the main key area and therefore the whole exposition can be seen as a single cycle of textural unfolding).

Although a purely surface phenomenon, DTP, as textural event, cannot be separated from the formal structure — its dramaturgical meaning is highly dependent on its location. Depending on its location, a DTP can be predictive, reactive or confirmatory. A predictive DTP is related to the above-described first configuration of form and rhetorical design, where DTP articulates the beginning of the transition and — due to frequent overlap between the end of the main theme and the beginning of the transition — the end of the main theme as well. Although the aspect of articulating the end of the main theme is important for such a DTP, often the sudden change in character is even more important for the future, since it rhetorically predicts changes that will take place in harmonic structure, especially a departure from the main key.

A DTP which is articulated already at the beginning of the transition gives the impression that the main key's "gravity" cannot be overcome so easily, and it is often associated with high "energy consumption". This impression is often exacerbated by the fact that after the articulation of DTP, the main key is often held for a long time (see, for example, the beginning of the transition of the Cello Sonata, Op. 5 no. 2, or that of the First Symphony, Op. 21, which both are deeply rooted in tonic). Here, one can speak metaphorically of a "launching rocket": in order to overcome the gravity of the Earth (i.e., the main key), the rocket (music) must acquire a

certain level of inertia ("kinetic energy"). In music, this energy accumulation is usually expressed through a sudden increase in dynamics and overall intensification of texture, i.e. DTP. Here, DTP functions as an "energy input", a metaphorical runoff, whose inertia manifests itself in a harmonic modulation or destabilization, which will happen somewhat later.

A reacting DTP arrives with the half cadence that articulates the structural end of the transition, or just before it. In this case, DTP is a rhetorical equivalent to what is happening in the tonal structure. Since the reacting DTP is in sync with the harmonic structure, it can also be said that such DTP always marks the musical "present". Reacting DTP may have several semantic connotations. If it is rhetorically prepared (gradual intensification of music which finally manifests itself in DTP), the connectedness between rhetorical design (and DTP) and harmonic structure is quite strengthened. Usually, such DTP starts already at the beginning of the transition, but unlike the predictive DTP, the changes in character in the transition are proportional to tonal structure, i.e. not very prominent at the beginning and more substantial at the departure from the main key. However, if the reacting DTP is not prepared in advance, it may give the impression that modulation from the main key was not planned or it came unexpectedly; see, for example, Op. 1 no. 1 (Ex. 4), where surface rhetoric reacts to leaving E flat major as if with a shock.

A confirming DTP arrives only with the final gesture of the transition ("hammer-blows"), i.e. immediately before the general pause that stands for MC. As such, it further emphasizes what has happened in harmonic structure (i.e., the abandonment of the tonic). It can be said that the situation here is quite the opposite of the so-called predictive DTP. In the predictive DTP, the change in character became the "energy input" which gradually enables harmony to become more unstable. In the confirmatory DTP, on the contrary, the intensification of harmony is the "input" which results in changes in musical rhetoric. In the "energetic" sense, the confirmatory DTP is a "surplus" of musical inertia (energy) generated by harmony: at the end of the harmonic progression that is articulated by the arrival of the structural dominant, the "energy" (musical inertia) accumulated by the harmonic progression throws on the surface as rhythmic activity and loud dynamics.

The strategic importance of the DTP as a rhetorical event is similarly related to its location in form. The predictive DTP is usually well articulated, often expressed as a contrast in character that is only briefly prepared (or not prepared at all). The reactive DTP can be expressed as a contrast in character (analogous to the predictive DTP) or, quite differently, as an

endpoint of a long-prepared process that does not necessarily need to be highlighted as a locally prominent rhetorical event. The confirmatory DTP has always been prepared, but its location just before the MC makes it often rhetorically more outstanding than reactive DTP, which is otherwise prepared in the similar way.

8. *Conclusions*

What could be the benefits of such an analysis? Firstly, it lets us explore the so-called narrativity of form, i.e. how the form as a scheme manifests itself as a musical narrative. More specifically, it allows us to highlight the characteristic formal features of a musical work and, at the same time, to explain the presence and behaviour of these features. According to the location of DTP or the beginning of its preparation, one can say whether the form (tonal structure) "opens", in terms of its rhetoric, quickly or rather reluctantly. This, in turn, informs us about how the musical "story" is going to be told. Although they are beyond the scope of this article, specific relationships between the rhetoric and form in the main key area have also an impact on the musical dramaturgy of secondary key area and, later, the entire movement.

Secondly, such an analysis has also a pedagogical value. It does not discuss form as a scheme but also shows how form unfolds in time. Since the analysis concentrates on the musical elements that are also practically important for performers, it can inspire different performer's understanding of the compositions and, consequently, their performances.

DTP and the rhetorical events surrounding it create, aside from formal and structural articulations, an imaginary character who reacts or "takes positions" in relation to form and tonal structure. Since rhetoric and form are interdependent, one can analyse form through rhetoric and vice versa. This is a preliminary study that opens several analytical perspectives. As already suggested, the relationships between rhetorical design and formal structure can be applied in the same way to the secondary key area, which forms a kind of response to the main key area. Analogous to the latter, the secondary key area, as a rule, also includes at least one place where the way of musical unfolding goes through fundamental changes and which can then also be interpreted as DTP. However, unlike the first part of the sonata exposition, the second part is longer and more developed, which is why the analytical tools developed in this article should be somewhat adapted. Here, it is possible to move on to even larger formal structures until the

whole work is discussed. It should go hand in hand with expanding the analytical repertoire.

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