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Haydn Revisited: Compositional Atavism in the Keyboard Sonatas and Trios

A supporting document submitted in partial satisfaction of the requirements for the degree

Doctor of Musical Arts in Music

by

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September 2021

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Haydn Revisited: Compositional Atavism in the Keyboard Sonatas and Trios

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ABSTRACT

Haydn Revisited: Compositional Atavism in the Keyboard Sonatas and Trios

by

Ariella Siu-Yin Mak-Neiman

The wide-ranging contributions of Austrian composer Franz Joseph Haydn (1732-1809) embody the aesthetic priorities of the *stile galant* and mark the beginning of a pivotal era in the history of music. However, Haydn's music, furnishing prototypes for the symphonic, string quartet, and sonata genres as we recognize them today, often falls prey to one of the enduring conundrums of modern reception history: namely, an expectation of his works, tinted by retrospective associations with fellow "classical" composers born up to five decades later, that neglects his compositional roots in an earlier aesthetic.

Invoking the seminal treatise *Der vollkommene Capellmeister* (1739) of contemporary theorist Johann Mattheson, this study argues for a recontextualization of Haydn in light of the earlier traditions from which he emerged. It explores Haydn's influences, contemporary keyboard instruments, and aesthetic priorities; his structural and compositional choices in the context of musical genres still very much in flux; and their implications for a historically-informed performative approach to his keyboard sonatas and trios.

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Introduction

History has graciously and unequivocally cemented the stature of Austrian composer Franz Joseph Haydn (1732-1809), extolling him for his pivotal role in the development of Western music. Frequently hailed as the father of both the symphony and the string quartet, and credited with transforming the classical sonata into the form we know today, Haydn's contributions can hardly be said to have gone unacknowledged.

Yet, the period of time commonly known as the "Classical" era, typically considered to span the mid-18th through early-19th centuries, yielded a rich hierarchy of musical protagonists to which Haydn's chronological proximity has complicated his revered position in history and colored the modern-day reception of his music. The glory of a pioneer is most fully realized in his immediate wake. As others build and expand upon an initial prototype, time is often not kind to the pioneer, forever associated with a primitive prototype now overshadowed by the newer, glorified archetype of another. In this narrative, the particular positioning of Haydn's aforementioned contributions establishes him as a composer at the beginning, rather than at the culmination, of the "Classical" era.

As a result, Haydn frequently finds himself considered in the context of composers born up to five decades later: Muzio Clementi, Wolfgang Amadeus Mozart, Ludwig van Beethoven, Johann Nepomuk Hummel, and Anton Diabelli, to name a few. [See Figure 1.] The revolutionary changes in music over this period, many pioneered by Haydn himself, exacerbate the effects of this predicament. Yet, despite Haydn's numerous contributions to the subsequent generation of composers, it is critical to assess and interpret his music in light of what came before: the influences that shaped him, and the traditions in which he was steeped. Composers of the late-16th to mid-17th centuries – such as Domenico Scarlatti,

Johann Sebastian Bach, Georg Philipp Telemann, George Frideric Handel, and, particularly, Carl Philipp Emanuel Bach – were, in fact, the ones to set this stage.

The following discussion argues for a recontextualization of Haydn: his influences, his choices in the context of musical genres still very much in flux, and the appropriate performative approaches and treatment of his music in light of the traditions from which he emerged.

Background

The historiography of music – or the study and writing of music history – grapples constantly with the inherent challenges presented by its earlier quest for a unified, comprehensive presentation of historical figures, movements, and events. This approach, while prevalent across many historical disciplines, left a particularly tenacious legacy in the field of Western music history. The traditional construct of a historical narrative emerged from this quest, confronted immediately by obstacles ranging from factual discrepancies and omissions to irreconcilable paradoxes and the caveats of subjective value judgments.

Historical narrative, while furnishing an accessible format for information transmission, has been repeatedly criticized by historians throughout the 19th and 20th centuries – beginning with Johann Gustav Droyesen, Leopold von Ranke, and Carl Dahlhaus, to name a few – for its propensity to cram multilayered, sometimes contradictory, currents and storylines into a single "fictitious continuum."

¹ Carl Dahlhaus, *Foundations of Music History*, trans. J.B. Robinson (Great Britain: Cambridge University Press, 1983), 11.

Fortunately, scholarship has since delved deeply into the musicological and cultural nuances underpinning these categorizations, and today's historical picture is certainly richer and more gradated than before. Historians of the late 20th century have sought to enliven the "continuum" with increasingly broader approaches, infusing the existing narrative with interdisciplinary and cross-sectional perspectives that not only permitted, but embraced, the idea of a multifaceted and fragmented understanding of history.

At the same time, as Lydia Goehr observes, "Paradigms can continue to exert influence even after they have fallen from power. They do this by serving in our historical memory as the traditional standards against which we measure our new paradigms and constantly assert their difference." Certain delineations generated by historical narrative continue to serve their organizational function, and attempting to erase their existence or purpose is not the goal of the forthcoming discussion. Rather, this study positions itself very much within the context of this paradigm, aiming to identify within the current setting the ways in which Haydn aligns with the aesthetic priorities of those who came before.

The term "classical" itself has historically presented a problematic misnomer. Initially denoting the idealized arts, literature, and architecture of ancient Greek and Roman civilizations, it came to refer more loosely to the broad concept of a traditional standard, instituting itself as a label for the period in which the idea of a "classical" canon – an established, revered body of works – was retrospectively applied in the years that followed. As is the case with all such designations, the apparent simplicity of the term "classical" belies the extensive changes and widely-varied output belonging to this span of time; and its earlier ubiquity has inculcated the stubborn influence, as observed by Dahlhaus, of "creating

² Lydia Goehr, "Writing Music History," *History and Theory* 31, no. 2 (1992): 182.

expectations regarding ... thematic material, motivic elaboration, and formal articulation – we subject (works) to an aesthetic for which they were not intended and against which they most often fall short."³

Additionally, Leonard Meyer points out that a desire for linear succession within the realm of music history manifested in a historiographical tendency to trace a lineage of influences and predecessors.⁴ Over time, this approach generated a legacy of broad chronological demarcations and an accompanying consolidation of individuals and repertoire within these retroactively constructed eras.

A temporally linear framework, however, carries evolutionary implications, likely borrowed from scientific methodology. Within in a paradigm of progressive linearity, those who came later tend to align more closely with the musical priorities of modern-day scholars and practitioners. As such, the imposition of anachronistic priorities serves to rewrite history, retroactively giving rise to the exclusion or transmogrification of the actors' roles within it, and inevitably tinting the lens through which we assess the aesthetics of those who preceded them. The shadow of Beethoven, for instance, a luminary commonly deemed to epitomize the peak of the "Classical" era, hovers not only over his successors, but, by virtue of his impact on reception history, centuries later, over his predecessors as well.

Such influence owes its magnitude to additional factors besides mere temporal serendipity. Many of Beethoven's signature contributions – unprecedentedly dissonant harmonies, sharp dynamic contrasts, wide registral contrasts, large-scale expansions in length and instrumentation – were immediate and striking to the layman. Within the realm of

³ Ibid., 6.

⁴ Leonard Meyer, *Style and Music: Theory, History, and Ideology* (Philadelphia: University of Pennsylvania Press, 1989), 99.

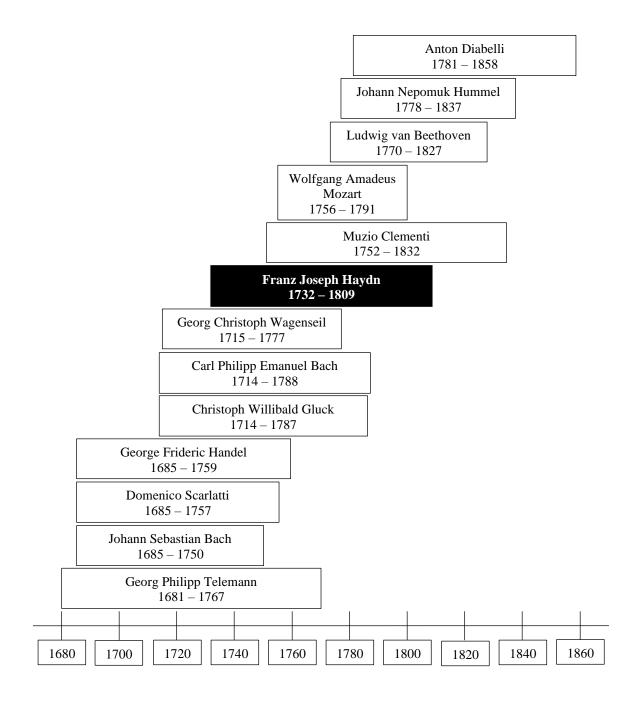
keyboard literature, his innovations symbiotically inspired and were augmented by the critical structural changes that simultaneously transpired across the instruments themselves.

In contrast, developments in the realm of structure, generally lacking the immediacy of sensory novelties, tend to sit within the purview of those in the know. Haydn's contributions rest predominantly in this vein, as he is retrospectively credited with revolutionizing the genres of the piano sonata, piano trio, string quartet, and symphony. Stylistically, he spent much of his early period piecing together his own compositional training, drawing deeply from the traditions preceding and surrounding him. His career, while ultimately rich in success and recognition, followed a similarly gradual trajectory, in stark contrast to the meteoric rise of a child prodigy such as Mozart. Although his exceptional lifespan enabled him to witness numerous developments in the genre of keyboard instruments over the last 20 years of his life, the bulk of his keyboard contributions had already been composed in the decades before, with the clavichord or harpsichord in mind – instruments that had been in existence for more than three centuries prior. As such, while Haydn's works laid the foundation for many of the musical structures recognized today as the backbone of the "Classical" period, his temporal position at the cusp of a new era, in combination with the comparatively understated nature of both his contributions and his career, have cumulatively relegated him to a quiet purgatory between the "Baroque" and "Classical" eras.

Despite Haydn's rather uncomfortable relationship with these artificial delineators, however, it is not the intent here to argue against their general usefulness, but rather to contribute an alternative vantage point within this framework that delves into his desired aesthetic and its performative ramifications. I will begin with a brief look at Haydn's

background, including an examination of his education and career, contemporary instruments, and musical influences. The subsequent discussion will then examine the ways in which Haydn's keyboard music aligns with the aesthetic priorities, structural considerations, and compositional devices of previous generations, concluding with a summary of contemporary ornamentation practices that bear particular relevance to the argument at hand. Along the way, I will incorporate ideas for the practical application of these principles, with regard to the examples provided, and beyond.

Figure 1: Contemporary context of Haydn's lifespan



Historical Context

The exploration of such a context necessitates a brief biographical overview, with a concentration on the more embryonic stages of Haydn's musical development, a survey of the contemporary keyboard instruments potentially at his disposal, and a discussion of his compositional influences and predecessors.

Education and Career

Haydn was born in 1732 to Mathias and Maria (Koller) Haydn, in the small, rural village of Rohrau, Austria. He was a precocious child, demonstrating a promising voice, and at the age of five, he left home with his cousin, Johann Mathias Franck, to study in Hainburg at the Church of Saints Philip and James, where Franck served as the school principal. At the Church of Saints Philip and James, Haydn sang in the choir; achieved a basic level of proficiency on the clavier, violin, and kettledrum; and obtained his initial exposure to contemporary sacred works, both vocal and instrumental.

At the age of eight, Haydn was recruited by Karl Georg Reutter to Vienna as a chorister at the Cathedral of Saint Stephen, where Reutter served as *Kapellmeister* (chapel master). At Saint Stephen's, choristers were considered purely as such: they received extensive training in singing and sight-reading, as well as in the rudiments of clavier, violin, and organ playing, but none at all in harmony or counterpoint, and during his time there, Haydn had very few lessons with Reutter himself. However, as a chorister he performed constantly, both at the Cathedral and at the court of Emperor Charles VI. During this time, he

undoubtedly studied and performed sacred works of contemporary composers such as Johann Joseph Fux, Antonio Caldara, Georg Christoph Wagenseil, and Giuseppe Bonno.⁵

Haydn's success at St. Stephen's came to an end when his voice broke in his late teens, and he was unceremoniously dismissed in late 1749, at the age of 17. The generalized nature of his education had equipped him with only a fledgling theoretical foundation and no more than a functional level of fluency on any instrument besides his temporarily dysfunctional voice. By this point, however, his aspirations to compose had become clear, and he took it upon himself to piece together his own theoretical education. Initially taken in by an acquaintance, he carved out a meager living based on odd jobs: arranging music, teaching, and participating in nightly outdoor concerts.

Within about a year, Haydn was able to afford an old clavier and the meager rent for a tiny garret in a shared house. In this house also lived a Spanish family, who engaged Haydn as the clavier teacher and accompanist of their elder daughter, Marianne. Through this connection, Haydn made the acquaintance of Marianne's singing teacher, well-known Italian composer Niccolò Porpora.

The eager Haydn, likely around 21 years of age by this point, entreated Porpora to take him on as a pupil in exchange for services as a musical valet.⁶ Porpora reluctantly acquiesced, and from him, Haydn received the systematic instruction and compositional feedback that he so craved. Through Porpora, Haydn came into personal contact with established composers such as Wagenseil, Bonno, and Christoph Willibald Gluck. He also

⁵ Karl Geiringer, *Haydn: A Creative Life in Music*, 3rd ed. (Berkeley and Los Angeles: University of California Press, 1982), 21.

⁶ Oxford Music Online, s.v. "Haydn, (Franz) Joseph" (by Georg Feder and James Webster), https://doi.org/10.1093/gmo/9781561592630.article.44593 (accessed June 29, 2020). James Webster estimates that Haydn's period with Porpora must have taken place around 1753-1754, as Porpora did not arrive in Vienna until late in 1752, and Haydn had attained an accomplished level of composition by the mid 1750s.

emerged from this time with a significantly better command of Italian and the Italianate style of singing.

While the precise timeline is not clear, we do know that at some point in the first half of the 1750s, Haydn acquired and studied copies of Fux's *Gradus ad Parnassum*, David Kellner's *Treulicher Unterricht im Generalbass*, and Johann Mattheson's *Der vollkommene Capellmeister*. These copies remained in Haydn's personal collection, with extensive annotations revealing the depth in which they were studied. The contents of these treatises collectively illustrate the aesthetic framework from which Haydn's creative pursuits emerged.

During this time, Haydn also encountered the first set of six sonatas, most likely Wq. 48, by C.P.E. Bach, about whom he later recalled to Georg August Greisinger that "whoever knows me thoroughly must discover that I owe a great deal to Emanuel Bach, that I understood him and studied him with diligence."

The mid to late 1750s proved a pivotal time for Haydn, in terms of both compositional output and professional success. Many of his early sonatas and keyboard trios were composed during these years, and his active teaching duties likely inspired a number of his shorter compositions. During this time, Haydn gradually ascended the social hierarchy of musical circles, finally, in 1759, earning an appointment as music director and *Kammercompositeur* (chamber composer) for the Count Karl Joseph Franz von Morzin.

When this appointment came to an end two years later, in 1761, Haydn was immediately engaged as vice Kapellmeister by Prince Paul Anton Esterházy – a defining

⁷ Geiringer, *Haydn: A Creative Life*, 29-30.

⁸ Georg August Greisinger, *Biographische Notizen über Joseph Haydn* (Leipzig: Breitkopf & Härtel, 1810), quoted and translated in *Oxford Music Online*, "Haydn, (Franz) Joseph" (Feder and Webster).

moment that marked for Haydn the beginning of three decades in service at the Esterházy court. Although Prince Paul died the following year, he was succeeded by his brother, Prince Nicolaus Esterházy, who possessed an avid interest in the arts and a partiality toward Haydn in particular, promoting him to Kapellmeister in 1766. During Haydn's tenure with the Esterházy family, primarily in the city of Eisenstadt, he was entrusted with a wide range of responsibilities and, somewhat unusually, granted special dispensation to have his works published outside the court. As such, many of his works from this time, particularly the keyboard sonatas and trios, also enjoyed circulation in both public and private spheres and, arguably, may have been written with such performances in mind.

Haydn spent the majority of his adult life in Eisenstadt, remaining there until the death of Prince Nicolaus in 1790. Thereafter, he divided his next few years between Vienna and London, settling in Vienna in 1795 and remaining there until his death in 1809. This final period of Haydn's life yielded a rich compositional output, albeit one largely in the sacred, operatic, and large instrumental genres beyond the scope of the discussion at hand.

Instruments

The concept of a single, designated instrument for the performance of a keyboard work is one of 19th-century origin, emerging around the time of the homogenization of the modern piano. Prior to this time, such works were commonly interchangeable among keyboard instruments, including the clavichord, harpsichord, virginal, clavicytherium, and fortepiano, among others. Publishers applied general terms such as "cembalo" or "clavecin," or even listed as many as possible, so as to appeal to the broadest audience. Nevertheless, clear differences exist in the strengths and capabilities of each early keyboard instrument, and

a composer almost certainly had a specific instrument in mind when writing – dictated by factors such as personal or dedicatee preference, convenience, or availability. While such information by no means suggests that the performance of a given work need be limited to the instrument in mind, it furnishes a deeper perspective on the work: namely, the composer's desired aesthetic and the context in which it should be considered and compared.

The majority of Haydn's keyboard writing is well suited to the uniform texture of the harpsichord, with isolated touch-sensitive indications suggesting that the clavichord also factored into his compositional choices. Stylistic indications in his works from 1780 onward, however, supplemented by their dedications and the overall timeline of Haydn's travels, point strongly toward the fortepiano as the instrument of choice in Haydn's later keyboard sonatas and trios.

It would be safe to assume that, prior to his time at Esterháza, Haydn had access only to the clavichord and harpsichord, as well as the organ for church work. He began studying the harpsichord during his early years, at the Church of Saints Philip and James, and through his adolescence he clearly acquired enough proficiency to teach and take on odd jobs after leaving the Cathedral of St. Stephen. During this freelancing period in the 1750s, the clavier he was able to afford was most likely a clavichord; a clavichord, quite possibly the same one, was also observed in his home in the late 1780s, and it is likely that Haydn used this personal clavichord for the majority of his compositional work. However, his pupils were typically harpsichord students, and in light of the fact that many of his early sonatas were written with a pedagogical purpose, it is also probable that the harpsichord played a sizable role in his conception of these works.

⁹ Howard Pollack, "Some Thoughts on the 'Clavier' in Haydn's Solo Claviersonaten," *The Journal of* Musicology 9 (Winter 1991): 78.

At Esterháza, Haydn would have had access to a range of instruments within the harpsichord family (clavichords, spinets, etc.). Given that, until the marriage of Prince Nikolaus II to the Princess Marie Hermenegild in 1783, there was no known patron at the Esterházy court with the interest or proficiency to perform any of Haydn's sonatas, musicologist Howard Pollack contends that Haydn likely wrote most of them for himself to perform for the entertainment of the court. 10 In this case, while probably conceived at his personal clavichord, these sonatas may have been performed on a clavichord, harpsichord, or conceivably even a fortepiano, if one happened to be brought in for an occasion. While Pollack references some unsubstantiated accounts loosely suggesting that a fortepiano may periodically have made a court appearance, the first definitive evidence of Haydn acquiring one of his own appears only in October 1788, quite late in his tenure at Esterháza, when Haydn wrote to his publisher requesting (successfully) an advance to purchase a new Schanz fortepiano. 11 It is important to note, however, that by this point, the bulk of Haydn's keyboard sonatas, and approximately half of his keyboard trios, had already been composed. He encountered multiple fortepianos during his time in London in the early 1790s, eventually acquiring a Longman and Broderip fortepiano in 1795 and an Erard dating from 1801. The late sonatas, as well as the trios composed from 1788 onward, appear to have been written with the fortepiano in mind.

In light of the fact that Haydn acquired his fortepiano in the late 1780s, it is fairly indisputable that at least some of his works from this point forward were conceived around his new instrument. At what point, however, the fortepiano came to play a dominant role in Haydn's compositional conception has been a subject of longstanding debate. The majority

¹⁰ Ibid., 81.

¹¹ Ibid., 79.

of his keyboard works carry the broad designation of "cembalo or clavicembalo," with the specific "fortepiano" designation only making its first appearance in 1790, in the Sonata in E-flat major, Hob. XVI:49, "Genzinger"; indeed, in a letter to its dedicatee, Marianne von Genzinger, Haydn specifically recommends a Schanz fortepiano for the sonata's performance.¹² In addition, the dedicatees of his other late sonatas - Katharina and Mariann Auenbrugger, as well as Therese Jansen Bartolozzi, were skilled fortepianists. It should be noted that while the Auenbrugger sisters' renown on the fortepiano dates from the late 1780s, the set of sonatas dedicated to them is dated 1780, begetting the question of whether they (and Haydn) had yet turned their attention to the fortepiano by start of the decade. It is entirely conceivable that Haydn began composing with the fortepiano in mind before he managed to acquire one himself, particularly if he garnered some sporadic exposure to the instrument at Esterháza. Pollack contends that markings appearing as early as the mid 1770s – indicating sudden dynamic contrasts, forte-to-piano appoggiaturas, melodic octaves, and thicker textures – while not exclusive of a harpsichord, are more conducive to, and therefore suggestive of, the hammer action, greater sustaining power, and fuller volume of the fortepiano. As such, it would be prudent to consider the sonatas from the Anno 1776 set (Hob. XVI: 27-32), as well as the keyboard trios from 1784 (Hob. XV: 5-8) onward, on an individualized basis for hints about the instrument for which each was most likely intended.

Among the earlier keyboard works, of additional uncertainty is the question of whether it was the clavichord or the harpsichord inspiring Haydn's intentions for a given work or set. Few stylistic indications exist within his works to make a clear case for one or another, but sporadic, post-1765 markings indicative of touch sensitivity suggest a partiality

¹² Ibid., 77.

toward the greater degree of control afforded by the clavichord. In contrast to the plucking mechanism of the harpsichord, the prototypal hammer mechanism of the clavichord retains contact between the wedge-shaped tangent and the string until the key is fully released, enabling a small degree of dynamic control and responsiveness to touch-sensitive indications such as *portato* or *tenuto*. The majority of affordable clavichords in the 18th century, however, were fretted, with different strike points used to produce multiple pitches on a given string. The limitation incurred by this arrangement was that certain pitches could not be sounded simultaneously; as a result, clavichord writing often features thinner textures within multi-voice chords. The omission of pitches alone, however, cannot truly be used to argue for one instrument or another. In all likeliness, given Haydn's familiarity and access to both the clavichord and harpsichord, his sonatas predating the 1780s probably accounted for performance on both instruments, albeit with varying predilections among them for one instrument or another.

Finally, insofar as such aesthetics could reveal themselves on the earlier keyboard instruments predating the fortepiano, it is no surprise that Haydn's pre-London works align with the Viennese school of keyboard playing, although musicologist Bart van Oort identifies a marked effort in Haydn's works of the 1790s to incorporate elements of the English style. While the primary distinctions between Viennese and English aesthetics only came to fruition in the fortepiano trend occupying the last third of the 18th century, these manifestations reflect the priorities of their respective regions stemming from decades prior. Essentially, the Viennese aesthetic of Haydn's day prioritized a delicate, well-articulated, and facile sound, later facilitated by highly-effective damper mechanisms and lighter keyboard

¹³ Bart van Oort, "Haydn and the English Classical Piano Style," Early Music 28 (February 2000): 74.

actions. Van Oort observes that, as late as 1828, Austrian composer and pianist Johann Nepomuk Hummel still referred to non-legato as the default touch 14 – a standard eventually eclipsed by a growing partiality to the sweeping melodies and sustained harmonies that universally consumed the contemporary aesthetic from the mid 1800s onward. The dichotomy between the Viennese and English aesthetics can be traced, at least in part, to a difference in the culture of public performance. While church and court performances, such as those of Haydn, dominated the landscape of continental Europe throughout the 18th and early-19th centuries, the allure of the concert hall had already taken root in England, and our modern-day aesthetic reflects the legacy of the fuller sound necessitated by those less intimate venues.

Certainly, the concurrent existence of these conflicting aesthetics has, to a degree, obfuscated the context within which individual works or sets of works should be interpreted, often resulting in broad, composer-based categorizations that assign one aesthetic or the other to an entire compositional output. As Haydn's trajectory illustrates, such generalizations can, in performance practice, result in the erroneous application of English devices to works intended for harpsichord, and vice versa.

With this in mind, given the focus of the study at hand, it will be the pre-London, Viennese priorities of Haydn's early and middle periods that will concern us here.

¹⁴ Johann Nepomuk Hummel, *Ausführliche theoretisch-practische Anweisung zum Piano-Forte-Spiel* (Vienna: T. Haslinger, 1828), quoted and translated in van Oort, "Haydn," 78.

Influences and Predecessors

It has already been noted in the foregoing discussion that, during the formative years of Haydn's newfound independence, he supplemented his shaky theoretical foundation with the texts of Fux, Kellner, and Mattheson, as well as the early keyboard sonatas of C.P.E. Bach. The shorter treatises of Fux and Kellner, written in 1725 and 1737, respectively, primarily address the fundamentals of rhythm, ground bass, counterpoint, harmonization, imitation and fugue, and related practical matters. Mattheson's comprehensive *Der vollkommene Capellmeister*, however, published in 1739 at five times the length of Kellner's text and 10 times that of Fux's, extends beyond mere compositional technique. In addition to a complete discussion of technique and style, *Der vollkommene Capellmeister* expounds upon philosophical matters of music in relation to God, nature, and classical oration; and furnishes insights into contemporary aesthetics and performance practice, including issues of ornamentation, improvisation, and idiomatic instrumental considerations.

From Mattheson's extensive treatise, I will identify here a few items of relevance to Haydn's compositional style. This ensuing assembly of Mattheson's observations is by no means comprehensive; rather, the intent is to provide a concise overview of specifically those points most pertinent to the theoretical and aesthetic milieu surrounding Haydn in the early stages of his development.

According to Mattheson, the process of composition should be considered as a twopart skillset: the first half determined by mastery of invention, and the second half comprising the three inseparable components of disposition, elaboration, and ornamentation (or embellishment).¹⁵ Conceiving "invention" as a synthesis of inspiration, experience, and

¹⁵ Johann Mattheson, *Der vollkommene Capellmeister* (Hamburg: Christian Herold, 1739), 235.

good taste, Mattheson transposes *loci topici* – guiding principles and devices from the literary realm – to the context of musical invention. Of particular interest here are the *notationalis* and *exemplorum* categories fueling Mattheson's nod to the tradition of rhythmic modes and isorhythm, compositional practices dating back to the 12th-century organum of Notre Dame and advanced by Masses and motets throughout the mid 1400s. *Notationalis* encompasses the external representation of music: the notation that gives rise to techniques of variation, permutation, and repetition. To this category, Mattheson also assigns the *ars combinatoria* (art of combination), which offers the possibility of invention through the combination of discrete, common components. *Exemplorum* pertains to the practice of imitating or borrowing from other composers, to which Mattheson gives his tacit approval, with the caveat that "one must pay interest on what is borrowed." In a practical sense, Mattheson advocates the osmotic assembly of an arsenal of special rhythmic and melodic formulae, demonstrating how such common elements can be combined to produce an original invention.

To this end, Mattheson devotes extensive sections of his treatise to the examination of both rhythm and melody. In his view, rhythm alone controls a melody's destiny, able through its various machinations to adapt a church song to a dance, or vice versa.¹⁷ [See Figure 2.]

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¹⁶ Ibid., 131.

¹⁷ Ibid.

Figure 2: Converting a melody from a minuet to a chorale (Mattheson, Der vollkommene Capellmeister, 163)



He further expounds on 26 types of poetic meters (the *Spondaeus, Pyrrhichius, Iambus*, etc.) in the context of music, detailing their rhythmic patterns in terms of long and short syllables in a manner reminiscent of the rhythmic modes.¹⁸ [See Figures 3-4.]

¹⁸ Ibid., 164-170.

Figure 3: The Spondaeus, Pyrrhichius, Iambus, Trochaeus rhythmic patterns (Mattheson, *Der vollkommene Capellmeister*, 164)



Figure 4: The combination of Iambus and Trochaeus rhythmic patterns (Mattheson, *Der vollkommene Capellmeister*, 165)



This concept of composition as the original assembly of discrete, common components gives rise to a rhythmically and melodically unified composite, owing in no small part to the prioritization of recognizable thematic elements. We will return to this point later to examine the manifestations of this technique in Haydn's highly-motivic compositional style.

As rhythm controls the destiny of melody, melody, in Mattheson's view, serves as the origin of harmony.¹⁹ Noting that monophony preceded polyphony, Mattheson highlights the fact that the former, unlike the latter, can be performed by a single voice, aligning melody with nature and harmony with art (implying even a level of artifice), as he questions the

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¹⁹ Ibid., 135.

value of music that disregards natural inclination in favor of manmade rules. On these grounds, he vehemently opposes the prioritization of harmony over melody often found in multi-voice chorales of the 17th and early-18th centuries. In this way, Mattheson aligns himself with the *stile galant* movement, burgeoning at the time of his writing, with its aesthetic priority on simplicity and transparency in music.

As such, the model he presents relegates harmony to a supporting role, furnishing emphasis for emotions propagated, first and foremost, by the melody. To this end, he dedicates an entire chapter to painstakingly expounding upon four basic requisites of melody: lightness, clarity, fluidity, and sweetness (or charm). ²⁰ Mattheson equates lightness with simplicity: in his view, a melody that is light will be facile in nature, not too long, and contained within a limited range. He advocates the inclusion of familiar elements, contending that familiarity is essential to the perception of both ease and pleasure. For the purpose of clarity, he prescribes that a work (or movement) should be guided by a single overarching character or style, with precise attention to meter, structural divisions, and cadences. At the same time, his rules of fluidity dictate that excessive punctuating rests or cadences should be avoided, with clear rhythms and gradual cadential approaches complementing the natural, well-apportioned course of each phrase. Finally, Mattheson suggests that the sweetness, or charm, of a melody is best served by vocally-conducive movement in steps or small intervals, facile but colorful runs and melismatic figures, and a clear relationship among themes or sections. As we will see later, the foregoing elements are not only incorporated, but epitomized, in the early- and middle-period keyboard sonatas and trios of Haydn.

²⁰ Ibid., 138.

Furthering the invention of melody are considerations pertaining to vertical structure and overall form. Within *loci topici*, the distinction between *partium* and *totius* characterizes the decisions that a composer must make as to the number and type of parts that should comprise the vertical texture. Of note here are a few key observations that Mattheson makes with regard to two- and three-part textures.

Mattheson devotes significant attention to three-part (trio) pieces, as he considers them, in essence, a compositional tour de force, requiring even more skill than works involving more voices. ²¹ He identifies three categories that materialized through the height of the *galant* era: the concertato, the Italian duet (with bass), and the French trio. Each of these sets two voices over a bass line. Mattheson advises the same prioritization of melody and singability for the bass line as for a top voice; at the same time, however, he acknowledges that the slower vibrations of the bass's deeper register necessitate larger intervals, and he cautions against excessively engaging the bass in imitation or ornamentation. Structurally, over this bass line, the concertato sets a simple treble melody underlaid by an active accompanying middle voice, while the Italian duet features two imitative vocal lines.

The subgenre of direct relevance to the current discussion, however, is the French trio, epitomized, according to Mattheson, by works of Telemann and Jean-Baptiste Lully. This arrangement is ideally led by a charming treble melody, under which, Mattheson emphasizes, a modest harmonizing middle voice should engage in only a limited degree of imitative interplay or embellishment. As we will see, it is upon this model that Haydn based the majority of his keyboard trios.

²¹ Ibid., 344.

Complementing the considerations of vertical structure are those pertaining to form. The *loci topici* classifications of *generis* and *speciei* refer to the overarching genus or genre (e.g. a dance melody), and the further subcategorization, termed the species (e.g. a solo minuet). Mattheson delves extensively into a discussion of dance forms – minuets, gavottes, bourrées, marches, gigues, and more – forms commonly featured in contemporary dance suites of Mattheson's time. These popular dance forms he extols here for their simplicity and their potential for embodying the traits of lightness, clarity, fluidity, and charm: all of his chosen requisites of good melody making.

Mattheson frequently references the minuet as a simple and manageable entry point for composers:

"A minuet should serve as a primary example, so that one can see what such a little thing has within it, when it is not a bad creation, and learn to apply sound judgment on both small and more important matters."²²

"One should consider all the French dance songs and melodies, of which those as small as the minuets require their own style of writing just as much as the largest overtures; I ask you to consider them with attention to their order, uniformity, and divisions ... I know great composers ... who have

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²² Ibid., 224. "Zur Probe solls fürs erste einem Menueten gelten, damit iedermann sehe, was ein solches kleines Ding im Leibe hat, wenns keine Misgeburt ist, und damit man von geringen Sachen auf wichtigere ein gesundes Urtheil fällen lerne." (Translation mine.)

gleaned more from this style than from all other styles of writing and have frequently drawn ideas from it."²³

Despite their popularity throughout the 17th and early-18th centuries, dance forms, and dance suites in general, had begun to cede territory to other genres by the time of Haydn's self-tutelage in the 1750s. Mattheson's didactic musings, however, offer insight into the fact that Haydn, as a fledgling composer, incorporated an extraordinary number of minuet movements into his keyboard compositions.

Within the category of dance forms, Mattheson additionally touches briefly on the chaconne and passacaglia. In his estimation, these sibling subgenres constitute the greatest of the dance forms, with the greater freedom afforded to the passacaglia making it the more desirable of the two.²⁴ We will later examine one of Haydn's earliest keyboard sonatas, Hob. XVI:46, featuring an atavistic slow movement that synthesizes elements ascribed by Mattheson to both the chaconne and the passacaglia.

A composer's choice of form, of course, pertains directly to the music's function and desired style, or, in terms of *loci topici*, principally the *causas formalis* and *descriptionis*. Mattheson identifies two intersecting planes of function and style. The first differentiates three categories of music: church, theatre, and chamber, which correspond not to the location of a performance, but rather, to its spiritual, secular, or domestic function.²⁵ Along his second

²³ Ibid., 92. "Man betrachte ... alle Franssosische Tanz Lieder und Melodien, so klein als Sie auch sein mögen, bis auf die Menuetten, die eben sowol, als die grossesten Ouverturen, ihre eigne Schreibs Art erfordern; man berrachte Sie, fage ich, mit Aufmerdsamkeit, welche seine Ordnung, Gleich sormigkeit und richtige Abschnitte darin zu sinden sind ... Ich kenne grosse Komponisten, die aus diesem ... Styl mehr, als aus allen andern Schreib Arten gesammlet, und haussige Einfalle daraus geschospsset haben." (Translation mine.)
²⁴ Ibid., 233.

²⁵ Ibid., 71.

plane, he plots a continuum of high, middle, and low styles, defined jointly by a work's emotion and its underlying motivation. These, he carefully stresses, constitute a secondary tier of classifications that appear in different guises within church, theatre, and chamber settings alike:

"I want to venture a comparison. One has heavy, spirited, and light wines. These are not regional species, but types and characteristics that are produced almost everywhere: they make merely a secondary classification, and not a primary order and genus like the Madeira, Champagne, and Mosel varietals."²⁶

Within these styles of high, middle, and low, Mattheson emphasizes the *galant* priority on naturalness – that is, that music must, above all, be conveyed in a manner natural to its predetermined style. For example, a work in the elevated "high" style should employ rhythms and textures that convey majesty, a work in the "middle" style should engage pleasant and flowing melodies, and a work in the "low" style should prioritize simplicity in all facets and remain largely unembellished.

Of interest as well are the correlations that Mattheson draws between style and emotion, bearing in mind his acknowledgment that many emotions, depending on their motivations, may be conveyed accordingly in all three styles.²⁷ Dance songs, a genre often

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²⁶ Ibid. "Ich will ein Gleichniß wagen. Man hat schwere, geistige und leichte Weine, das find aber keine Lands Arten, fondern nur gewisse Gattungen und Eigenschafften, die sast allenthalben hervorgebracht warden: Sie machen bloß eine Neben-Zweilung, seine solche haupt Ordnungen und Geschlecter, als Madera, Champagne und Mosel Gewächse." (Translation mine.)

²⁷ Ibid., 72.

mistakenly associated with that which is trifling or base, may well share elevated emotions such as happiness or love when inspired by pure intentions.²⁸ However, Mattheson admonishes that emotions such as anger and vengeance, frequently masquerading as noble expression, should, in fact, be considered low emotions stemming from weakness.

The works of Haydn that we shall explore here predominantly occupy the domestic and chamber realms, within which Haydn adheres safely to the range of "high" and "middle" emotions as defined by Mattheson. His numerous dance movements, even the most vivacious among them, uniformly exhibit a joyous, flowing quality, with frequent opportunities for embellishment; and it is arguably impossible to bring to mind an angry Haydn sonata. Indeed, it is logical that a young composer, aspiring to the social circle of the nobility and ultimately serving the court for the majority of his career, would cultivate a style that carefully avoided any associations with the "low" or the base.

With regard to the second half of the compositional process, Mattheson regards "disposition" as the proper ordering of parts, both throughout a work and within a melody in particular. In both contexts, he stresses a connection between music and classical oration. On a macro level, Mattheson delves into the six components of a classical oration (the prologue, narration, proposal, corroboration, rebuttal of opposing points, and conclusion), relating them to the structural ordering of music. Within these components, he discusses in detail the importance of "*incisionen*," or incisions: specifically, musical sections and caesuras.²⁹ Through parallels drawn between music and rhetoric, he delineates the beginnings of what we have come to know as periodic phrase structure, categorizing the relationships between

²⁸ Ibid., 71-73.

²⁹ Ibid., 180-195.

phrases, linking these relationships to each form of grammatical punctuation, and identifying their musical corollaries.

At the same time, it is important to remember that the "classical" concept of precise structural symmetry had not yet taken root at the time of Mattheson's writing, or, indeed, even by the time of Haydn's early compositions in the 1750s and 1760s. Rather, as reflected in Mattheson's treatise, the composition of instrumental music still centered heavily around the original human instrument, the voice, and its respective, text-based, compositional genres. Poetry, as well as oration, dictated the musical style of these genres; as such, it was not uncommon to have syllables and meters varying from line to line, as in recitative. This narrative style translated to instrumental music and is apparent in the early phrase structures of composers such as C.P.E. Bach and Haydn. Our ensuing discussion will further explore this lineage, as well as the ways in which the clear structural articulation and punctuation of Haydn's phrases and musical utterances reflect the overall prioritization of rhetoric outlined by Mattheson.

Mattheson's remaining components of the compositional process, elaboration and ornamentation, pertain similarly to the development of a creation's basic ideas, with elaboration notated in advance by the composer, and ornamentation determined, often improvised, by the performer. In Mattheson's view, inventive skill and elaborative skill tend to be mutually exclusive: an individual proficient in one frequently lacks aptitude for the other. He provides, however, that the ability to extensively elaborate is not a requisite for successful composition; rather, it is far more desirable to fail to elaborate than to overdo it.

³⁰ Ibid., 242.

With regard to ornamentation, essentially the final stage of the creative process, Mattheson contends that, while a composer should contribute some degree of embellishment, it is primarily his responsibility to provide the opportunity for it.³¹ Indeed, in both the sonatas and trios of Haydn, melodies are often presented with relatively sparse textures. In the context of this tradition, these melodies clearly necessitate embellishing contributions from the performer. To this end, Mattheson details a selection of ornamentation practices, although limiting his list to the more longstanding traditions. We shall explore these, along with the more extensive observations of C.P.E. Bach, in the concluding discussion of contemporary performance practice.

The second son of J.S. Bach, as well as the godson of Telemann, Carl Philipp's personal zeal for historical preservation, in combination with an evolving style and an understandable desire to leave his own legacy, positions him (like Haydn), within the highly-transformative 18th century, as a pivotal link between the old and the new.³² By the 1750s, he had secured his first court appointment, as harpsichordist to Frederick the Great, and was truly coming into his own, having published his first set of keyboard sonatas (Wq. 48) in 1742, his second set (Wq. 49) two years later, and a number of miscellaneous instrumental solos, trios, and concertos along the way. While we know that Haydn studied and deeply revered a set of C.P.E. Bach's early keyboard sonatas, it is unlikely, at least within his period of self-education in the early 1750s, that Haydn encountered Bach's major treatise, *Versuch über die wahre Art das Clavier zu spielen*: although the treatise made its first appearance in Berlin in 1753, it was not until around 1760 that even the first part of the treatise made its

³¹ Ibid., 244.

³² Christoph Wolff, "C.P.E. Bach and the History of Music," *Notes: Quarterly Journal of the Music Library Association* 71 (December 2014): 197-218.

way to Vienna.³³ It is certainly possible that Haydn obtained a copy at a later time, but this would be pure speculation, as this text was not among those preserved in his estate.

Nevertheless, from his intensive study of Bach's early sonatas, Haydn clearly gleaned many things from the compositions themselves, and Bach's treatise thereby furnishes additional insight into the priorities of both Haydn and the contemporary musical aesthetic of the mid-18th century. We will examine here the prototypical function that Bach's early works provided for Haydn, in addition to the relevant performative implications of his extensive essay.

On a final note, while there is no direct evidence that Haydn encountered Domenico Scarlatti while the latter was still alive, no discussion of early keyboard sonatas can easily omit mention of Scarlatti's prodigious output in this genre. Dating from 1742 until 1757, the final year of Scarlatti's life, these sonatas share similar textures, forms, and priorities with the early keyboard works of Haydn, furnishing additional insight into the compositional trends surrounding Haydn during his most formative years.

Having established this overview of the historical milieu surrounding him in the first half of his life, the remaining study will explore these late-17th and early-18th century manifestations in Haydn's keyboard sonatas and trios through the 1780s – including parallels with the music of his contemporaries – and their implications for modern-day interpretation and performance practice.

³³ Oxford Music Online, "Haydn, (Franz) Joseph."

Contemporary Aesthetic Priorities

My examination of Haydn's aesthetic alignment with the traditions of the prior century will first consider his work in accordance with the contemporary musical priorities reflected in the writings of Mattheson. In so doing, I will establish the overarching aesthetic framework within which specific elements of Haydn's compositional atavism manifested, in order to substantiate and contextualize the preservation of this aesthetic in modern performance.

To begin with, such priorities are reflected in the *stile galant* criteria enumerated by Mattheson with regard to melody: that is, the emphasis on lightness, clarity, fluidity, and sweetness. Mattheson's concept of *der Leichtigkeit*, or facility, emanates from the categories of lightness and sweetness (or charm).³⁴ Mattheson equates facility with naturalness, asserting that composers should strive to avoid anything "forced, posturing, and too farfetched."³⁵ To this end, he advocates that a composer should put himself in the place of a mere music lover when constructing melodies, in pursuit of phrases that are simple, facile, and natural.³⁶

It is important to recognize this concept as an aesthetic priority, rather than a technical accommodation. Although a high concentration of works predating the 19th century were composed with dilletantes in mind, Haydn scholar Laszlo Somfai further suggests that some sonatas may have suffered in popularity over time as a result of being too challenging for a dilletante, yet not sufficiently interesting for a virtuoso.³⁷ Unfortunately, too often these

³⁴ Mattheson, *Der volkommene Capellmeister*, 142.

³⁵ Ibid. "... alles gezwungene, angemaßte und gar zu weit geholte Wesen mit Fleiß vemieden werden." (Translation mine.)

³⁶ Ibid., 142-143.

³⁷ Laszlo Somfai, *The Keyboard Sonatas of Joseph Haydn* (Chicago: University of Chicago Press, 1995), 175.

and other works in the simple style are disregarded by modern-day performers, who misread the natural elegance and transparent textures as signs that such works are artistically compromised. It is also worthy of mention that, at least within Haydn's output, simpler works are chronologically interspersed with more experimental or complex works, reflecting a non-evolutionary basis for their inclusion.

Also drawing from these categories of lightness, clarity, fluidity, and charm is a priority on familiarity, and an interrelatedness that Mattheson stresses must apply both on the macro level, among sections, as well as on the micro level, within themes and melodies. 38 He advocates a single, clear character for a movement or work and cautions against inserting contrast for its own sake, ridiculing galant composers for their excessive contrasts and the corresponding disruption of unity:

"Here again, now most of the galant composers act in a way that one would think that one part of their melody belongs in Japan, the other at home in Morocco."39

Familiarity

Sonata-allegro form, as recognized today, centers around contrasting primary and secondary theme areas. By the late 18th century, the archetypal sonata-allegro form had crystallized this contrast into a lively primary theme offset by a lyrical secondary theme (or two).

³⁸ Ibid., 156.

³⁹ Ibid. "Hierwieder nun handeln die meisten galanten Komponisten dergestalt, daß man oßt meinen sollte, der eine Theil ihrer Melodie gehöre in Japan, der andre in Marrocco zu Hause." (Translation mine.)

However, among Haydn's keyboard works, this contrast is often less marked – a trait not only found in works of his fledgling years, but peppered throughout his output, again pointing to an aesthetic that placed an equal, if not higher, priority on unity and interconnectedness both within and among sections and movements. It is again critical to recognize this trait as an aesthetic priority in and of itself, not merely a byproduct of difficulty level, sophistication, or composition length.

In Haydn's two-movement Sonata in B-flat major, Hob. XVI:18, we find early examples of complementary primary and secondary themes in both sonata-form movements. Written ca. 1766-67, this sonata – one of eight in Haydn's confirmed keyboard output – epitomizes an experimental period dubbed by Somfai as Haydn's "workshop" period. In the first movement, a triadic, *grazioso* primary theme, built upon dotted rhythms attenuated by a series of embellishing turns, opens the sonata. [See Example 1a.] Its reiteration in mm. 5-8 introduces a hint of melismatic complexity, inserting into its duple meter a series of triplets and a melismatic quattuordecimal (14-note) figure. These triplets extend into the bridge material of mm. 9-12, giving way as the secondary theme area is haltingly introduced in the following measure. They resurface in m. 22, amid the full realization of the secondary theme, strikingly similar to the primary theme in its fluid, easy-going character. [See Examples 1b-c.] As with the embellishing turns of the primary theme, appoggiaturas also invoke a legato quality in the secondary theme, supplemented by suspensions in the left hand.

Both themes in this movement exemplify those attributes of melody so prized by Mattheson. Their thin textures render them light and clear, their connecting ornaments and running 16th notes furnish a flowing quality, and their harmonic consonances, narrow ranges,

⁴⁰ Somfai, The Keyboard Sonatas, 174-175.

short- to medium-length phrases, and symmetrical blends of ascents and descents convey an affable charm that is both natural-sounding and pleasant to the listener.

Example 1: Haydn's Sonata in B-flat major, Hob. XVI:18, I. Allegro moderato, a) mm. 5-8, b) mm. 9-15, c) mm. 20-24







Monothematicism

In some instances, Haydn's quest for thematic unity results in two thematic areas built upon such motivically and melodically similar material that the movement may essentially be considered monothematic. In the Sonata in C major, Hob. XVI:35, the first of the

Auenbrugger set of 1780, the introductory movement is characterized by figures and articulations that permeate, and inextricably unify, both primary and secondary key areas.

These areas, in tonic and dominant keys, respectively, align with the tonal structure expected of a sonata-allegro form, with secondary key material later recapitulating in the tonic key.

The tonal structure, however, assumes sole responsibility for defining these areas, as thematically they are relatively indistinct. The main theme opens the *alla breve* movement with a lively motive, march-like in its introductory dotted rhythm and detached articulations, and light in texture. Its melody is twice iterated: initially with chordal accompaniment in mm. 1-8, then over undulating triplets in mm. 9-16. [See Examples 2a-b.] Thereafter, spanning mm. 20-32, it spins into simple scalar outlines, connected to the prior material by the same repeated-note motive and triplet accompaniment, and foreshadowing the material that is to comprise the subsequent dominant key area. [See Example 2c.] This arrival in the dominant key occurs via secondary dominant in the measures leading up to m. 36, but the material here functions as merely a variation of the material presented in the section prior. [See Example 2d.] Despite its melodic variation, the same overarching ascents and descents characterize this entire segment, replete with the familiar repeated-note and couplet motives. Accompanying triplets again dominate much of the texture here, as well as in the closing material that follows. As such, we see in this movement a fluidity of motives and textures across the standard tonal structure of a sonata-allegro form.

Example 2: Haydn's Sonata in C major, Hob. XVI:35, I. Allegro con brio, a) mm. 1-4, b) mm. 8-11, c) mm. 20-24, d) mm. 36-41

Allegro con brio

a)

b)

d)





Although the overall simplicity of this movement – with its short motives, narrow range, facile triplet figures, conservative modulations, and short development – might lead one to disregard its thematic unity as merely a product of a simpler, less-developed sonatina form, this would be a false assumption on three main counts.

First, the dedicatees of this set of sonatas, Katharina and Mariann Auenbrugger, were accomplished keyboardists, and it is clear from the high esteem in which Haydn held the

Auenbrugger sisters that any structural or technical limits imposed on these works were borne not of necessity or practical concerns, but of taste and aesthetic preference. Mariann, in fact, was a composer in her own right. In a letter to his publisher, accompanying the revised drafts of the complete 1780 sonatas, Haydn wrote, "The approval of the *Desmoiselles* Auenbrugger is most important to me, for their way of playing and genuine insight into music equal those of the greatest masters." At the same time, it is likely that, with the publication of these sonatas, Haydn had in mind not only the sophistication of their performers, but also the tastes of their dilletante audiences. It follows that we should expect the common priorities of thematic unity, familiarity, and audience accessibility to prevail in these and other such compositions, regardless of performative challenges or compositional chronology.

Second, the length of this movement – in number of measures as well as in performance time – falls squarely within the average length of Haydn's sonata first movements. Even the development, while one of Haydn's shortest in proportion to the outer sections, demonstrates a degree of tonal complexity above that found in his simplest sonatas: here the key motives pass through the subdominant and relative minor keys of F major and a minor, respectively, and a progression of diminished-seventh and Neopolitan harmonies highlight a crunching, seven-voice ninth chord on A, before recapitulating to C major via a brief pivot to the minor-key supertonic.

Third, we need only look to other sonatas, such as the next sonata in the Auenbrugger set, the Sonata in c-sharp minor, Hob. XVI:36, for examples that dispel any attempt to connect thematic unity with structural simplicity. The first movement of Hob. XVI:36 does

⁴¹ Joseph Haydn to Artaria & Co., Vienna, 25 February 1780, in *Collected Correspondence and London Notebooks of Joseph Haydn*, trans. H.C. Robbins Landon (London: Barrie and Rockliff, 1959), 25.

feature two contrasting, albeit related, themes: the first with a militant opening motive built upon a brisk written-out turn, and the second transforming the turn figure into a softer, more legato melody in slower note values. Yet, in other regards, with its short and facile motives, comparatively compact overall length, and tonal conservatism (its development centering primarily around the minor dominant and relative major keys), this sonata does not further the case for any sort of link between contrasting themes and heightened complexity.

In continuation of this third point, we find in the Sonata in C major, Hob. XVI:50, a late example of monothematicism set in the context of a harmonically complex and technically demanding sonata. Structurally, this movement is constructed solely upon its introductory A theme, which recurs in multiple guises, with a wide variety of alterations: including inversion, mode changes, chromaticization, and voice exchange. As such, its secondary key area is realized in m. 20 not by a contrasting theme, but by one of these varied reprisals, with the triadic outline assumed by the bass instead of the treble. [See Example 3a-b.]

Example 3: Haydn's Sonata in C major, Hob. XVI:50, I. Allegro, a) mm. 1-4, b) mm. 20-24





It is worth noting that, in addition to the underlying thread of monothematic familiarity, each of these guises corresponds in other ways to one or more of Mattheson's four melodic priorities of lightness, clarity, fluidity, and charm. To start with, the introductory presentation is light, unencumbered in texture, gestural, and charismatically playful. Subsequent iterations featuring ornamental turns or scalar accompaniments convey a sense of movement, or flow; while longer, legato phrasings, as well as changes in mode, contribute a melodic sweetness. Taken together, these variations exemplify the aesthetic valued by society throughout much of the 17th and 18th centuries, and extending well beyond the era of the *stile galant*.

Despite its thematic simplicity, however, this bright movement is virtuosic and rife with articulation intricacies, idiomatic effects, and remote modulations. Vivid passagework, oscillating chordal accompaniment figures, thirds in quick couplets, and highly-specific phrasing indications abound. Large rolled chords, dynamic changes, *sforzandi*, and a notoriously-ambiguous open pedal section render the sonata fortepiano-specific. The development, of roughly equal length to the exposition, employs sequential movement to traverse a wide span of tonalities, often with quick harmonic movement: centering not only around the now-expected minor dominant and subdominant, but quickly pivoting through both major and minor modes of A-flat (as the mediant of the minor subdominant), and returning to the tonic via an extended chromatic passage circling the supertonic key of d minor. Clearly, this sonata does not shy away from complexity, and it is evident that monothematicism here reflects a deliberate choice by Haydn: one that not only circumvents undesirable incongruity, but capitalizes upon the underlying commonality as a means of innovation.

Cyclicism

The emphasis on clarity and unity, when extended beyond the scope of a single movement, yields a byproduct worthy of mention: cyclicism. While the idea of thematic cohesion across movements flourished most overtly in the compositional trends of the 19th century, its underpinnings can be observed, often in more subtle ways, in sporadic works of the century prior.

One clear example of such cohesion occurs in one of Haydn's earliest keyboard sonatas, the highly-motivic Sonata in D major, Hob. XVI:14, composed ca. 1766-1767, in which Haydn extracts a motive from the opening sonata-allegro movement and uses it to close each section of the final movement's abridged sonata-allegro structure. Comprising a sequence of descending arpeggios in each iteration, the motive initially appears as the first movement transitions in mm. 24-27 to its closing material, outlining two diminished-seventh and one dominant A major harmony, setting up the movement's first cadence in the dominant key, in m. 28. In the final movement, this motive again serves a closing function, ending each segment of the movement with cadential dominant-seventh and major arpeggiations. [See Examples 4a-b.]

Example 4: Haydn's Sonata in D major, Hob. XVI:14, a) I. Allegro moderato, mm. 24-28, b) III. Allegro, mm. 39-43





A more subtle approach to cyclicism can be found in Haydn's Sonata in D major, Hob. XVI:24, published in 1773 during his time at Esterháza. The unifying device here takes the form of a surprise harmony in each movement that brings the music to a sudden pause. In the first and second movements (m. 142 and m. 22, respectively), the "surprise" is executed by a deceptive cadence, while in the third movement (m. 88), an unexpected diminished-seventh chord, interrupting the expected cadence, serves the same function. In each instance, the device marks an important structural point: setting up final codas in both first and third movements, and bridging into the return of the A theme in the ternary-form second movement.

Both instances of early cyclicism represent an underlying effort to counter-balance the inherent contrast of a multi-movement work, a priority that Haydn appears to have adopted in his extensive arsenal of structural manipulations and innovations. The earlier cyclic endeavor of Hob. XVI:14 is easily identifiable, thus invoking a sense of familiarity that would have facilitated a relatable and pleasurable listening experience for the average listener. The Esterházy sonata, however, produced at a point by which Haydn had amassed a good deal of compositional experience, experiments with a more subtle approach to cyclicism, one that likely went unnoticed by the casual listener. The incorporation of this device on a more artful, structural level, extending beyond the topical immediacy of pleasing

an audience, thus reflects an internalization of the priority on cohesion stemming from the century prior.

Structural Considerations

Structurally, Haydn's alignment with an earlier aesthetic – and his positioning at a juncture at which "classical" structure and form had not yet cemented into the dogma they subsequently became – are best examined across both vertical and horizontal musical planes. I will first look at the textural variety contained in Haydn's solo keyboard writing and the distribution of roles within his keyboard trios. A discussion of harmonic rhythm, which straddles both vertical and horizontal planes, will follow. This will lead us into an examination of several key considerations of Haydn's organizational approach: the influence of classical oration on musical phrasing and structure, the role of symmetry and proportion, the manifestations of sonata-allegro form, the incorporation of traditional dance forms, and the implications of Haydn's chosen terminology.

Vertical Textures

As mentioned earlier, Mattheson considers rhythm and melody the dictating forces of music, with the underlying harmonic voices relegated to a supporting role. On this matter, Mattheson's viewpoint encapsulates a period of transition: namely, a gradual movement away from the polyphonic textures of counterpoint and chorales, and toward a clear, melody-driven aesthetic that expanded upon a prototypal continuo homophony first emerging in the late-16th century.

In this regard, Haydn is similarly positioned on the cusp of a new era. One need only to open a book of his sonatas or trios to find multiple melody-driven passages with underlying accompaniments. At the same time, much of his keyboard writing – particularly in his output through 1780, but, to a lesser extent, in even his London works – features contrasting bursts in which the voices function more equitably, by means such as arpeggiation, unison runs, or rhythmically-staggered hocket. Such episodes are generally brief, as in the three-measure bridge in the first-movement exposition of one of Haydn's earliest sonatas, the Sonata ("Divertimento") in D major, Hob. XVI:4, written at some point prior to 1766. In this movement, the left hand primarily accompanies the right, with repeated chords or single notes harmonizing the melody line. For this short, transitional passage, however, the texture momentarily thins to allow the left hand to join in a series of monophonic arpeggiations setting up the key of the dominant. [See Example 5.]

Example 5: Haydn's Sonata in D major, Hob. XVI:4, I. Moderato, mm. 8-10



Composed over a decade later, in 1776, Haydn's Sonata in A major, Hob. XVI:30, also features a variety of vertical textures. Unlike in the previous example, the left hand in this sonata does take frequent turns carrying or sharing in the melody, but the relationship between melody and accompaniment is carefully preserved for the majority of the movement. Of interest, beginning in m. 38 and bridging into the closing material of the

exposition, we find here a motive constructed upon a hocket texture, characterized by staggered alternation between the two hands. [See Example 6a.] It should be noted that, on the majority of early keyboards, any timbral difference between two lines would have been minimal or nonexistent. As such, the effect here is one of novelty, a momentary reduction of the texture to a single, non-legato line. We will return to further explore the origins and significance of hocket writing presently. Following this hocket passage, the closing section is initiated in mm. 47 by a series of triadic legato arpeggiations set in parallel between the hands, the voice doubling presumably intended to heighten the volume on an early keyboard instrument, but also furnishing a contrasting harmonic simplicity. [See Example 6b.]

While each of these bursts of contrast – whether in the form of hocket or voice doubling – is individually short-lived, when considered together, they occupy roughly one-third of the exposition and systematically resurface to prominently intersperse textural contrast into an otherwise homophonic movement. This balance truly epitomizes the positioning of the sonata, and of Haydn as well, within the transitional, oft-overlooked period bridging the defining apexes of the "Baroque" and "Classical" eras.

Example 6: Haydn's Sonata in A major, Hob. XVI:30, I. Allegro, a) mm. 38-40, b) mm. 47-49





An examination of Haydn's trio writing further bolsters the argument for atavistic elements within his vertical structures. As previously noted, Haydn's preferred setting for his trio sonatas aligns most closely with Mattheson's classification of the French trio, which Mattheson identifies with the mid 16th- through early 17th-century works of Telemann and Lully. In this configuration, setting the violin and cello voices over keyboard continuo, the treble voice (violin) carries the melody, while the middle voice (cello) furnishes a simple harmonization with minimal independence.

We see an example of such writing in an excerpt from "La Boutade" ("The Joke") of Lully's Trio de la Chambre de Roi, LWV 35 No. 46, from 1705. Although the writing here is considerably more imitative than that of Haydn's style, the constant dependency of the middle voice prefigures the texture enduring, more than half-century later, in Haydn's trios. Despite Lully's heavily imitative texture, the movement is generally propelled by the top voice, supplemented by false entrances in the underlying voices that quickly give way to complementary harmonization. As such, the middle voice frequently illustrates the subservient role identified by Mattheson, spending the bulk of its time harmonizing one outer voice or the other. In this excerpt of "La Boutade," the middle voice begins by overlying, at the interval of a third, the eighth-note figures of the bass in mm. 72-73, switching in the following measure to parallel the rhythm of the top voice. [See Example 7.] Following two measures in which the texture thins to only the outer voices, the middle voice resumes its

close shadowing of these top-voice rhythms, this time at the interval of a third below, leaving the bass to issue its eighth-note figures unaccompanied.

Example 7: Lully's Trio de la Chambre No. 46, "La Boutade," mm. 71-83



Broadly speaking, the balance in trio writing shifted over the course of the mid-18th century to afford more equitable roles to the cello and keyboard parts. However, in the bulk of Haydn's trios, the cello rarely breaks out of its subservient role. Like the sonatas, Haydn's trios span nearly four decades (1760-1797) of his compositional career; but a high concentration of the trios were composed in the later, post-London years. Of interest is the fact that even his later works demonstrate his clear preference for the vertical texture of the French trio. In one of Haydn's latest trios, the Trio in E major, Hob. XV:28, published in 1797, we see the cello mainly relegated to either doubling the bass of the keyboard or shadowing the rhythms of the violin, recalling the oscillating role of the middle voice

identified in "La Boutade." In the first movement of Hob. XV:28, an excerpt from the returning secondary theme in the recapitulation illustrates this role. Here, in mm. 70-72, the cello lends sustaining power to the E pedal point of the keyboard, following the line's descent in mm. 72-73 and thereafter doubling the keyboard's bass notes all the way through m. 77. In m. 78, it straddles the two roles of doubling the keyboard's bass and paralleling the rhythm of the violin, invaluably escalating the music's intensity, but always within a supplemental role. [See Example 8.]

Example 8: Haydn's Trio in E major, Hob. XV:28, I. Allegro moderato, mm. 70-79



Set against trios of Haydn's contemporaries, many of whom routinely assigned the cello a more independent line, Haydn's decision to adhere to the texture of old appears to have been both practical and indicative of his preference for the earlier aesthetic. The French trio configuration harkens to the tradition of basso continuo, ubiquitous from the 17th through the mid-18th centuries, in which the underlying harmonies would be furnished by a chordal instrument such as the keyboard or lute, and supplemented by a low-register instrument such as the cello or bassoon. In the context of Haydn's trios, Charles Rosen posits that this tradition still served the practical function of bolstering the thin sound of the harpsichord.⁴² This poses a significant challenge for today's performers, as the modern piano can easily overwhelm both string instruments, eradicating the natural balance imposed by the inherent limitations of the early keyboard.

Despite his keen observation, Rosen issues a blistering critique of Haydn's trios in this regard:

"Haydn's failure to develop a similar independence for the cello in the piano trio ... is generally a heavy charge laid against these trios. They may be splendid pieces, but they are unprogressive, backward in style, and should have been written differently."

Rosen's critique, unfortunately, epitomizes the evolutionary perspective from which many of Haydn's works have suffered for attention and relative popularity. Some of this, of course, is unavoidable: the wealth of chamber literature featuring the cello more prominently

⁴² Charles Rosen, *The Classical Style* (New York: W.W. Norton & Company, 1971), 353.

⁴³ Rosen, *The Classical Style*, 351.

naturally renders a basso continuo role less attractive to a modern cellist. At the same time, artistic programming, although extending beyond the control of one instrumentalist or another, also tends to favor the more complex textures that took over in the late-18th and 19th centuries. Such a preference can, arguably, be said to reflect the narrative-driven associations commonly drawn between complexity and progress. From a theoretical point of view, however, it is critical to recognize in Haydn's aesthetic the intentionality and tradition of the quintessentially Baroque French trio – with its tight vertical cohesion, led by the melody and supported by an active and continuous keyboard part establishing a work's harmonic foundation.

Harmonic Rhythm

Bridging the realms of both vertical and horizontal structures is the consideration of harmonic rhythm, namely the speed at which such a work progresses through its vertical harmonies. Broadly speaking, works of the 17th and early-18th centuries pass swiftly through various tonalities, often employing parallel mode relationships or stepwise chordal progressions. Through the second half of the 18th century, however, in keeping with a priority on clarity and charm, composers came to favor simpler structures that were more tonally conservative: centering heavily upon the tonic-dominant relationship, while adopting a more gradual approach to tonicizing or modulating to closely-related keys. This period of tonal simplicity, however, was relatively short-lived, as composers toward the end of the 18th century quickly began pushing the boundaries once again, their engagement with chromaticism, remote key relationships, and surprise harmonies achieving fruition in the temperamental, emotive romantic literature of the 19th century.

This fluctuating trajectory, however, distills a narrative that undercuts the novelty of the tonal simplicity promoted by the *stile galant* movement. In the case of Haydn, I posit that, in light of what came before, his tonal conservatism is actually yet another area in which he was a forerunner, a proponent of the simpler aesthetic of the *stile galant*. Through the lens of the more complex harmonic approaches that followed, it is an easy pitfall to apply an evolutionary perspective here, setting tonal conservatism and harmonic complexity in a categorical dichotomy between regression and progress. Such a framework, however, is overly simplistic and misleading.

To illustrate this point, we can look to the *Vivace* first movement of C.P.E. Bach's Sonata in B-flat major, Wq. 48 No. 2, composed in 1742, only a decade prior to Haydn's period of self-education. The rapid pace of harmonic change, in combination with an improvisatory, arpeggiated fantasia style, clearly represents the legacy of an earlier framework. Here, Bach employs an arpeggiated sequence in the development to modulate from the dominant key of F major to its relative minor key of d, passing through a rapid series of tonicizations along the way. [See Example 9.] Measures 47-50 engage secondary dominants to briefly tonicize c minor and d minor at a rate of two measures per tonicization. Measures 51-53 subsequently employ a sequence of leading-tone harmonies to tonicize A major and d minor at double the speed of harmonic change, assigning each tonicization only one measure apiece. Measures 54-55 further redouble the harmonic rhythm, chromatically sequencing diminished-seventh and major harmonies, and tonicizing the subdominant and dominant keys of d minor in half-measure increments. This deliberate quickening of the harmonic rhythm drives the middle section toward a cadential arrival in mm. 56-58 that brings the perpetual motion to a pause, in anticipation of the primary theme's return.

Example 9: C.P.E. Bach's Sonata in B-flat major, Wq. 48 No. 2, I. Vivace, mm. 45-58



In contrast, a large body of Haydn's keyboard works, particularly his early- and middle-period keyboard sonatas (predating 1780), adhere both to closely-related keys and a slow-to-moderate pace of harmonic change. At the same time, we do see Haydn employ rapid harmonic rhythm, similar to that of the prior example, in the development of one of his earliest trios, the Trio in g minor, Hob. XV:1. First appearing in 1766, the year of his promotion to Kapellmeister at Esterháza, this trio would have been composed either during his time in service to the Count Karl Joseph Franz von Morzin, or during his early years at Esterháza. In the short excerpt below, where the first movement transitions to the recapitulation, we see a rapid sequence of half-measure tonicizations via leading-tone harmonies, fleetingly passing through the harmonies of b-flat minor, A-flat major, and c minor. This sequence leads into at a half cadence on D major that, similar to the previous

excerpt, sets up the primary theme's return, in the tonic key of g minor. [See Example 10.] As in the C.P.E. Bach example, here Haydn's application of a rapid harmonic rhythm in the context of modulatory sequencing harkens to the practices of the era prior.

Example 10: Haydn's Trio in g minor, Hob, XV:1, I. Moderato (molto), mm. 44-47



Emanating from the early 1770s but revised by Haydn and published as part of his Auenbrugger set in 1780, the Sonata in c minor, Hob. XVI:20, functions as an example of a similarly rapid harmonic movement preserved, if not conceived, in the midst of Haydn's mature output. While the development of the first movement is largely steeped within a closely-knit network of keys, it engages in several occurrences of brief, sequential tonicizations. In one such sequence, mm. 54-59, based on the exposition's short closing motive, Haydn moves in rapid succession through a series of dominant-seventh harmonies to first tonicize the key of e-flat minor, followed by secondary-dominant tonicizations of a-flat minor, G-flat major, and E-flat major. [See Example 11.] From the sequential approach seen in this example, as well as in the one prior, we can characterize these choices as sporadic, but deliberate, elements of harmonic atavism that position Haydn's otherwise conservative approach to tonality in a novel, rather than antediluvian, light. At the same time, the juxtaposition of elements here — with short motives and sequencing recalling the style of an

earlier era, yet overlying an accompaniment figure that is decidedly *galant* – also reflects a stylistic fusion that is classically Haydn.

Example 11: Haydn's Sonata in c minor, Hob. XVI:20, I. Moderato, mm. 54-59



Manifestations of tonal complexity or quick harmonic movement in any Haydn work, whether early or late, can be characterized as either atavistic or forward-looking, based in part on the work's context relative to others (both within and predating Haydn's output), the approach to tonicizations or modulations, and other compositional elements influencing the overall orientation of the work. Such manifestations in Haydn's output generally present on a sporadic basis rather than across a marked trajectory, with a somewhat heavier concentration among Haydn's later works. His early sonatas and trios of the 1760s and 1770s err largely on the side of tonal conservatism, with, as we have seen, a few anomalies peppered throughout. Haydn's keyboard sonatas, as a whole, exhibit simpler harmonic schemes than do his trios, an appraisal owing in part to the fact that the 1770s yielded for him a good many more of the former than of the latter. His sonata and trio developments of the 1780s and 1790s exhibit a more frequent exercise of harmonic dexterity; although it should be noted that many of these

instances are more forward-looking, with key changes approached in a more gradual and less sequential manner, and abrupt harmonic shifts reserved for dramatic effect.

Musical Phrasing and Classical Oration

Turning now to the horizontal plane of compositional structure, I will look first at the more detailed level of phrasing and musical grammar, then pan outward to a broader discussion of form and rhetoric, what Mattheson considers the disposition, or proper ordering of the parts. Informing the aesthetic of the 17th and 18th centuries was a strong tradition of classical oration, stemming from a renewed interest in the principles of rhetoric of ancient Greece and Rome. Expounding upon this tradition, Mattheson devotes a full chapter of his treatise to translating these principles to a musical context, relating the structure and flow of music to that of speech. On a grammatical level, he correlates a musical phrase or a grouping of phrases to a sentence or a paragraph, respectively. He equates cadences and caesuras with full stops, question marks, and exclamation points; and similarly, he links more subtle musical pauses with gentler forms of punctuation based on the relationship between the phrases they connect: namely, the colon for expectation, the semicolon for contrast, and the comma for mere rests or the smallest of pauses.

Haydn's compositional style – highly gestural, often improvisatory, and widely varied in phrase lengths and timings – embodies these oral influences. Returning to the first movement of his Hob. XVI:18 sonata, for example, we find two such instances in a short span within the development. [See Example 12.] A minor iteration of the primary theme in mm. 44-46 brings the music to a trickling halt on the F-sharp, marking a partial, first-inversion D major harmony – only fleetingly tonicized by the preceding diminished-seventh

chord – that generates an air of expectancy by denying us its anticipated g minor resolution. This "musical colon" is answered by the entrance of the secondary theme, transposing the right hand's final D to the octave above. For the performer, such rhetorical points often demand a heightening of suspense through the use of rubato: in this case, an exaggeration of the pause, particularly pertinent today in light of the added resonance of a modern piano.

In addition to observing such distinct pauses, the performer must also be attuned to oratorical gestures denoted in other ways, including harmonic cues, cadences, or contrasts in dynamics, texture, or rhythm. The second instance of "punctuation" in this excerpt occurs in m. 54, marked by an imperfect leading-tone cadence shifting to the smaller note values of the secondary theme area found earlier in the exposition. The second beat of the measure, a low D in the bass, serves as the pivot from the first idea to the next. As notated, however, the measure does not, timing-wise, lend itself to a clear character change, certainly not within the uniform tone of a harpsichord or fortepiano. In order to properly present a natural rhetorical transition, the keyboardist must insert a small break just after the second beat, akin to a vocal breath.

Example 12: Haydn's Sonata in B-flat major, Hob. XVI:18, I. Allegro moderato, mm. 44-56



Rooted in the much older tradition of vocal music, the priority on naturalness in instrumental music of the 18th century was heavily informed by contemporary ideals within the vocal realm. This connection manifests itself in these considerations of timing and pacing, mirroring those of air flow and rhetorical phrasing, as well as the tradition of improvisatory recitative. As such, to effectively communicate the music's underlying rhetorical orientation, the performer must observe divisions in the music as clearly as an orator might observe punctuation in a speech: with the length of each pause, as well as the surrounding tempo relationships, corresponding to its grammatical function. In this vein, it is also important to remember that music did not adhere to the same metronomic consistency that it does today. In keeping with the improvisatory character of vocal melismas, for example, it would not have been uncommon in early keyboard music to infuse runs with significant freedom, in the form of either forward-driving momentum or expressive ritardando. Within the framework of an 18th-century aesthetic prioritizing natural fluidity and freedom over artifice, we must assume that this practice continued to thrive as a means of enhancing a work's inherently gestural style.

Furthermore, these micro considerations of timing, flow, and punctuation reflect a broader connection, on a structural level, between 18th-century music and classical oration. In her exploration of transmuted rhetoric in Haydn's late trios, Annette Richards succinctly identifies music of the early 18th century as "an age during which writers such as Johann Mattheson expressed a profound belief in the semantic certainties of a system of musical meaning founded on the precepts of classical rhetoric: for Mattheson, a musical discourse ... was one that on a large scale followed the structure of the classical oration and on a more

detailed level engaged in its own play of meaningful tropes and figures."⁴⁴ Indeed,
Mattheson's concept of the compositional process (invention, disposition, elaboration) draws
directly from the process of assembling a logical oration, famously delineated by Marcus
Fabius Quintilianus in his *Institutio Oratoria* (ca. 95 A.D.) as the stages of *inventio*(invention), *dispositio* (disposition), *elocutio* (elocution or style), *memoria* (memorization),
and *pronuntiatio* (delivery). The parallels extend within these stages as well, to the oratorical
components and rhetorical devices expounded at length by Marcus Tullius Cicero (106 – 43
B.C.) and his successors. These applications have been explored in the context of Haydn by a
number of scholars, including Richards, Mark Evan Bonds, and Tom Beghin.

Bonds highlights the rhetorical orientation of Haydn's compositional style relative to that which came directly after, positing, "Haydn's music was perceived – consciously or unconsciously – within a rhetorical tradition, whereas Beethoven's music (along with that of his contemporaries) was heard within an entirely different, non-rhetorical framework, one based on the idea that music reflects a form of truth that we, as listeners, must strive to comprehend." Bonds suggests that this parallel drawn between instrumental music and language in the age of the *galant* emanated from a need on the part of contemporary theorists to defend the ability of instrumental music to convey meaning on a level equal to that of the long-favored vocal genres. As the validity of instrumental music gained traction throughout the 1700s, however, Bonds identifies a paradigm shift transpiring around the turn of the 19th

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⁴⁴ Annette Richards, "Haydn's London Trios and the Rhetoric of the Grotesque," in *Haydn and the Performance of Rhetoric*, eds. Tom Beghin and Sandor M. Goldberg (Chicago: University of Chicago Press, 2007), 257.

⁴⁵ Mark Evan Bonds, "Rhetoric Versus Truth: Listening to Haydn in the Age of Beethoven," in *Haydn and the Performance of Rhetoric*, eds. Tom Beghin and Sandor M. Goldberg (Chicago: University of Chicago Press, 2007), 111.

century, whereby "the onus of intelligibility ... shifted from composer to listener." ⁴⁶ In other words, the *galant*-era priority on rhetorical clarity, falling squarely upon the composer in the age of Haydn, ultimately yielded to an increasing acceptance of abstrusity that placed responsibility for musical comprehension in the hands of its audience. As such, Bonds contends that modern listeners must approach the music of Haydn with an understanding of the unique *galant*-era rhetorical framework in which it was conceived.

Beghin extends this perspective to the performance arena, contending that "we can only recapture Haydn's 'true performance [wahren Vortrag]' if we recognize, understand, and internalize his rhetorical approach to the invention, disposition, and elocution of his pieces." In Beghin's view, a basic understanding of classic oratory functions as an essential component of educated decision-making in this music with regard to issues of repeats and varied reprises, ornamentation, and the proper conveyance of rhetorical devices such as the elements of surprise, doubt, suspense, or extemporization.

In reference to the components of a musical oration, Mattheson himself invokes terminology that Ursula Kirkendale identifies as reflecting Ciceronian, post-Ciceronian, and Quintillian influences. As Specifically, he identifies these components as the *exordium* (introduction), *narratio* (a narration of the background or situation), *propositio* (a summary of the issues, and an outline of the subsequent argument also referred to as the *partitio*), *confirmatio* (the logical presentation of arguments), *confutatio* (a refutation of potential

⁴⁶ Ibid 112

⁴⁷ Tom Beghin, "Delivery, Delivery, Delivery! Crowing the Rhetorical Process of Haydn's Keyboard Sonatas," in *Haydn and the Performance of Rhetoric*, eds. Tom Beghin and Sandor M. Goldberg (Chicago: University of Chicago Press, 2007), 158.

⁴⁸ Ursula Kirkendale, "The Source for Bach's 'Musical Offering': The 'Institutio oratoria' of Quintilian," Journal of the American Musicological Society 33, no. 1 (1980): 94-95.

arguments), and *peroratio* (the conclusion or summary of the case). Within a sonata-allegro form, we might consider the *exordium*, *narratio*, and *propositio* to constitute the thematic presentation of an exposition, the *confirmatio* and *confutatio* to correspond to the unique treatment of the material in the development, and the *peroratio* to align with the restatement and harmonic resolution of the recapitulation. Beghin takes this relationship a step further, even suggesting that a performer should consider the rhetorical strategy of a sonata as a multimovement whole, and plan the individual events of each movement accordingly.

Beghin delves further into the application of rhetorical devices, considering specifically the figures of *dubitatio* (doubt), aversio (turning away), hyperbaton (intentional rearrangement of order and emphasis), and suspensio (suspense). For the purpose of the discussion at hand, we can find in the first movement of Haydn's Hob. XV:28 trio a concise example that embodies each of these elements. In the passage below, the transitional material of mm. 30-31 furnishes a left-hand figure that resurfaces in m. 39 to begin a substantial introduction to the development. [See Examples 13a-b.] This transformation serves as an example of musical *hyperbaton*, as we see the oscillating legato motive of Example 13a converted into a detached fragment at the start of Example 17b, thereafter morphing into a contrapuntal series of legato fragments. Here, the material initially serving as a momentary connecting passage develops into a multi-measure sequence, wherein the shorter length of these fragments, the punctuating rests, the tonal meandering, and the alternation between detached and legato textures combine to undermine the certainty of the passage, corresponding to the rhetorical figure of *dubitatio*. The sequence drifts to a halt on a D-sharp major harmony in m. 43, furnishing a moment of suspensio that, from a performative angle,

⁴⁹ Mattheson, Der vollkommene Capellmeister, 235.

could certainly be interpretively lengthened. The sudden shift in the subsequent measure to invoke the primary theme in the key of A-flat major – a resolution of the E-flat major enharmonic chord that preceded it – functions as the *aversio* that returns the movement to the familiar.

Example 13: Haydn's Trio in E major, Hob. XV:28, I. Allegro moderato, a) mm. 30-31, b) mm. 39-45 a)



This approach, of course, begets questions of how to effectively execute these affects in conjunction with the mandated repeats of sonata-allegro form. C.P.E. Bach takes care to

stipulate that, in cases of varied reprise, the intended affect of a given passage must be preserved, and one should vary only those components that can be altered within these confines. ⁵⁰ Beghin suggests that, in the cases of many of Haydn's published works, particularly those from 1770 onward, the printed version reflects Haydn's vision of an idealized performance. ⁵¹ In other words, he posits that many of the arpeggiated figures, broken chords, and ornaments notated might, in the scheme of a varied reprise, actually reflect the second iteration. In this scenario, the first iteration should be the one that differs from the notated score, a simplified version that foreshadows the notated stylization that is to come. Of course, in practical terms, things are not as straightforward as this approach implies. While a simple-to-elaborate progression aligns well with the organizational principles of oration, many of Haydn's keyboard works feature only cursory suggestions for ornamentation, seemingly a mere starting point for further interpretation. As such, we might consider the notated score to represent a middle ground, which can be reduced to its essence for the initial statement, and drawn upon for inspiration in the varied reprise.

Symmetry and Proportion

As observed earlier, considerations of musical punctuation and rhetorical structure, in combination with the long-standing model of assembling discrete components in the creation of music, laid the foundation for the emergence of the *galant*-era periodic phrase structure that thrived in the second half of the 1700s. Rooted in the symmetrical modularity of early dance forms of the late 1500s, periodic phrase structure prioritizes a balanced relationship

⁵⁰ Carl Philipp Emanuel Bach, *Essay on the True Art of Playing Keyboard Instruments*, trans. William Mitchell (New York: W.W. Norton & Company, Inc., 1949), 165.

⁵¹ Beghin, 166-167.

between antecedent and consequent phrases. This priority on symmetry, however, did not follow an unbroken trajectory from its 16th-century origins. Rather, the symmetry of dance forms assumed a subordinate role within 17th- and early 18th-century genres that prioritized other approaches, such as improvisatory, imitative, or paratactic forms. It is therefore important to remember that, in the context of 18th-century music, the idea of symmetry was still in the process of regaining traction.

It is in this arena as well that we see Haydn's music embody a transitional phase. The majority of Haydn's keyboard writing does gravitate toward symmetrical construction, but it is not unusual to find phrases or segments of unbalanced lengths or proportions. The opening eight measures of Haydn's Sonata in D major, Hob. XVI:19, presents one such example. Composed in 1767, this gestural sonata belongs to the experimental phase of the Hob. XVI:18 and Hob. XVI:46 sonatas referenced earlier. With a first movement predominantly constructed upon broken-chord figures, a motivic yet melodic second movement minuet recalling those of Handel in its consonant, transparent texture, and a final, dancelike, variations movement rich in hocket, pedal point, and declamatory unisons, this sonata is among those abundantly imbued with atavistic compositional devices.

The asymmetry found in the opening of the first movement serves as a reminder of the transitional milieu of the mid 1700s, bolstered by the fact that works of Haydn's contemporaries often similarly incorporated a mix of symmetrical and asymmetrical phrase constructions. This opening distinguishes itself by not only the unique proportion of its antecedent and consequent phrases, but also the manner in which its small motives assume precedence over the traditional emphases of common-time meter. A dotted-rhythm antecedent outlines tonic and dominant chords against a dominant pedal point, concluding in

a brief triplet elaboration in m. 3. Contrary to the equal proportions later accepted as standard practice, here the antecedent, a mere three measures in length, is answered by a five-measure consequent. The consequent itself similarly defies expectations of regularity. Its sequenced opening motive of mm. 4-5 invokes written-out appoggiaturas on the third beats, each time producing a lilting, syncopated effect within the common-time meter. The following two measures similarly manipulate the emphasis, with pairs of ornaments creating descending four-note motives that gently offset the strength of the first and third beats. [See Example 14.]

Example 14: Haydn's Sonata in D major, Hob. XVI:19, I. Moderato, mm. 1-8



The first movement of C.P.E. Bach's Sonata in B-flat major, Wq. 48 No. 2, furnishes another such example. Here, we see a construction that not only deviates, as in the Haydn sonata, from the expected increments of two, four, or eight measures, but also eschews the burgeoning periodic phrase structure of the contemporary *galant* in favor of an improvisatory foray. The opening section spans only six measures, presenting a self-contained segment in which the first "phrase" ends midway through m. 4, followed by a two-measure echo of its tail that emphatically concludes with a low bass note on the second beat of m. 6. [See

Example 15.] A series of improvisatory scalar flourishes follows, and it is extemporanea such as these – offering a nod to both the older tradition of free improvisation and the contemporary currents of the *Sturm und Drang* movement – that ultimately comprise the bulk of the movement.

Example 15: C.P.E Bach's Sonata in B-flat major, Wq. 48 No 2, I. Vivace, mm. 1-6



Once again, however, the significance of asymmetry should not be overstated in the context of this era, given that expectations of symmetry and proportion were still in flux. At the same time, it is this very anticipation that informs our modern perception of these works, leading us to ascribe qualities such as "playfulness" or "abstraction." It is therefore worth reexamining the extent to which we singularly base these assessments on the work's alignment – or lack thereof – with the skewed expectations of our modern ears.

An exception, however, should be noted with regard to the inner proportions of minuet and trio movements, which had already largely solidified with regard to phrase patterns and internal structure, likely owing to their roots as early dance forms. Somfai attributes this standardization to their original association with choreographic patterns and contends that any deviations should be considered musically significant.⁵² In light of the established practice, then, we see the phrase structures in Haydn's minuet and trio

⁵² Somfai, *The Keyboard Sonatas*, 318.

movements foreshadow the periodic phrase structure that eventually manifested with similar constancy in other movements and works.

With regard to overarching structural proportions, Haydn's minuet-trio pairings do suggest a chronological trend. Typically, minuet-trio pairings of the 18th century appear as da capo structures in which the minuet's original appearance and reprisal bookend a trio that contrasts in some way, often assuming a parallel mode or related key, rhythmic diminution or augmentation, a change in meter, or some textural alteration. Of particular relevance to the current discussion is the retroactive observation that trios are generally shorter than minuets, such that the trio presents as a short diversion. Among Haydn's keyboard sonatas, we can see in Table 1 that, through circa 1773, Haydn's view of minuet-trio proportions was still very much in flux, with a few examples of relatively equal proportions, and a couple of examples featuring significantly longer trios, exceeding the length of their minuets by as much as 50 percent (Hob. XVI:14). From 1776 onward, the minuet-trio pairings in Haydn's sonatas invariably favor the minuet, by as much as double the length of the trio (Hob. XVI:28). For the sake of comparison, Beethoven's keyboard sonatas – his earliest composed in 1795, around the time of Haydn's London sonatas, and his latest in 1822 – demonstrate an overall heavier concentration of pairings substantially favoring the minuet, with the Sonata in E-flat major, Op. 31 No. 3, furnishing the lone instance of a trio exceeding the minuet in length.

Table 1: Minuet and trio lengths (in measures) in keyboard sonatas of Haydn

Sonata	Year	Minuet	Trio
Sonata in C major, Hob. XVI:3	Before 1766	24	26
Sonata in D major, Hob. XVI:4	Before 1766	22	22
Sonata in G major, Hob. XVI:6	Before 1766	28	30
Sonata in D major, Hob. XVI:14	Before 1766	22	33
Sonata in D major, Hob. XVI:5a	Ca. 1766-1769	38	50
Sonata in A-flat major, Hob. XVI:43	Ca. 1771-1773	22	19
Sonata in A major, Hob. XVI:26	1773	20	24
Sonata in G major, Hob. XVI:27	1776	42	24
Sonata in E-flat major, Hob. XVI:28	1776	32	16
Sonata in b minor, Hob. XVI:32	1776	22	18
Sonata in c-sharp minor, Hob. XVI:36	1780	31	24
Sonata in E-flat major, Hob. XVI:38*	1780	28	22

^{*} Finale movement structurally a minuet-trio pairing but not marked as such.

While Haydn's keyboard sonatas use the term "scherzo" to denote a standalone dance movement, the scherzo-trio pairing derives from the minuet-trio relationship and appears frequently throughout Beethoven's output. Within the realm of his keyboard sonatas, Beethoven's scherzo-trio pairings appear only through his Sonata in D major, Op. 28, of 1801; but his scherzos dwarf their trios to an even greater extent than do his minuets, with a few scherzos spanning more than double the length of their trios. In Haydn, we first see the term "scherzo" appear in this context in his Op. 33 string quartets of 1781. Even among these, however, we see comparatively moderate proportions similar to those of his mature minuet-trio pairings. In this overall trajectory of ternary pairings, then, we see in Haydn's output a chronological progression reflecting a late 18th-century solidification of the minuet-trio or scherzo-trio relationship to increasingly favor the weight of the outer sections.

N.B. Only sonatas of confirmed authenticity are represented in the table above.

Sonata-Allegro Form

Within the context of an emerging sonata-allegro form, Haydn's keyboard works also clearly manifest their positioning within a period of critical transition via a wide range of experimental proportions and styles. This structural and stylistic fluidity largely eschews any evolutionary tendency, but surfaces within sets of sonatas, or among individual sonatas written for like purposes.

The distillation of sonata-allegro form into its modern incarnation has been linked by scholars to a number of other forms and genres, including the concerto and the da capo aria. Within the realm of the keyboard sonata, a gradual metamorphosis, from binary and rounded binary forms to full-fledged sonata form, rests largely in the transformation of its contrasting middle section, as well as in the shaping of thematic recurrences and tonal structure, likely influenced by the other genres. We can draw examples of binary form from virtually any of the approximately 550 one-movement sonatas of Scarlatti's output. These sonatas typically feature two halves that present thematic material in a parallel structure. Harmonically, the first half presents the theme(s) while transitioning to a dominant or related key, and the second half uses similar thematic material to work its way back to the home key. Rounded binary form takes this structure a step further by integrating an additional concluding component as its distinguishing characteristic: a return of the first half, in the home key as originally presented, but, this time, necessarily altered to remain there. Examples of rounded binary form are abundant among the first movements of C.P.E. Bach's mid-century keyboard sonatas. In this way, the binary and rounded binary structures foreshadow the sonata-allegro form that we have come to know today, with a first half comprising an exposition featuring at least two thematic areas and a clear presentation of a dominant or related key; and a second

half containing a substantial development of these themes and a recapitulation of the themes in their original guises, this time uniformly in the home key. As such, we see in the rounded binary form a fledgling sonata-allegro form that served as a structural prototype during the critical period of Haydn's self-education and subsequent development in the 1750s and 1760s.

This relationship is illustrated in two major areas of Haydn's keyboard works: the fluidity with which Haydn treats his thematic areas, and the wide variety of developments found among these works. We previously examined the priority on familiarity, as exhibited by Haydn's constant application of thematic unity, and extending to his use of monothematicism, peppered throughout his output. For instance, the first movement of one his earliest sonatas, the Sonata in C major, Hob. XVI:3, composed before 1766, presents as a compact sonatina form: two iterations of a single theme constitute the bulk of the exposition, with the second iteration altered to arrive at the dominant key of G major, leading directly into the exposition's closing material. Following a short development, the theme returns for a similarly brief quasi-recapitulation in the parallel key of c minor, with a varied reprisal of the closing material returning the movement to C major. In this condensed structure, we see no true secondary theme area, but the skeletal beginnings of the tonic-dominant key relationship characteristic of a fully-developed sonata form.

As noted earlier, in many of Haydn's keyboard sonatas, secondary theme areas are established primarily by such changes in tonality, as opposed to the marked contrasts in theme and character that we have come to expect of later works. In another early example, the first movement of Haydn's Sonata in D major, Hob. XVI:4, features a number of short motives, hardly identifiable as themes. Here, the exposition establishes the dominant key via

an oscillating pedal point figure that functions more as a transition to the closing material than a full-fledged secondary theme area. This figure does, however, assume the tonic key in the recapitulation, thus prefiguring that critical component of sonata-allegro structure.

Even among Haydn's later keyboard works, there exist numerous creative varieties of sonata-allegro form, reflecting a uniquely free approach likely owing, at least in part, to the fact that the parameters of sonata-allegro form were still solidifying during the pivotal years of Haydn's compositional development. We can again look to the first movement of Haydn's Hob. XV:28 trio – composed in 1797 and, like his keyboard sonatas of 1794-1795, dedicated to virtuoso fortepianist Therese Jansen Bartolozzi – for one such late example.

Sonata-allegro nonconformities such as those found in this trio demonstrate the enduring flexibility with which Haydn appears to have regarded the application of motives, thematic areas, key changes, and other structural matters that often received much stricter treatment in the sonata-allegro forms of his contemporaries and successors. The starkest oddity in this sonata-allegro form is an extended, meandering passage in the midst of the exposition. By this point, a lively theme and a contrasting lyrical theme have already been presented; however, contrary to the more standard presentation of the second, lyrical theme in the dominant key, here both remain in the tonic. A dramatic secondary dominant arrival in m. 20, sustained by a fermata and implied cadenza, leads into a reiteration of primary theme material in mm. 21-24, marking the movement's first arrival in the dominant key of B major. This thematic material quickly yields to a frenzied series of keyboard arpeggios, beginning in m. 24, ultimately underlying a soaring violin melody loosely related to the lyrical theme presented earlier. In essence, this entire segment presents as a written-out cadenza, perhaps Haydn's intended answer to the preceding fermata. Also akin to either a cadenza or a

development section, the beginning of this meandering passage introduces a jarring harmonic shift, cycling through G major (m. 24) and a minor (m. 26) before returning to B major (m. 29) to transition into the exposition's closing material. [See Example 16.] Of interest here is the fact that the development reprises the material of this segment, but the recapitulation does not, instead cutting directly from the return of the lyrical theme to transition to the closing material. This compositional decision reflects the segment's alignment with the exploratory function of a development, as well as the incompatibility of its improvisatory character with the prospect of revisitation in the reprise.

Also noteworthy is the importance placed on the transitional motive discussed earlier: a six-note oscillation within a single half step. [See Examples 13a-b.] This motive both introduces and concludes the closing section of the exposition, continuing into the development as the five-measure bridge previously cited as an illustration of *hyperbaton* and *dubitatio*. This technique of bridging into the development with transitional or closing material is a favored device of Haydn's, one that can be found in numerous examples throughout his keyboard output.

Example 16: Haydn's Trio in E major, Hob. XV:28, I. Allegro moderato, mm. 20-28



Haydn's technique of transitioning into the development using closing material leads us to his other major area of structural fluidity: his wide variety of development sections, which range from extremely simple and conservative to highly creative and unusual. Many of Haydn's developments, particularly among those composed through 1776, structurally parallel their expositions. These developments diligently revisit and elaborate upon primary, secondary, and closing material, retaining a fairly conservative modulatory scheme within closely-related keys. The first movement of the Hob. XVI:18 sonata discussed earlier furnishes an example of such a development.

In contrast, some of Haydn's developments, particularly among those written during his experimental period of 1765-1772, are characterized by virtuosic fantasias. Some, such as in the first movement of the Hob. XVI:46 sonata from this period, feature Baroque-inspired harpsichord virtuosity, reminiscent of the earlier toccata. Others, such as the first movement of the Hob. XVI:20 sonata, incorporate, in addition to the faster harmonic pace identified earlier, techniques common among forward-looking keyboard works of the late 18th and early-19th centuries. These include virtuosic broken octaves, parallel-chord and arpeggiated textures, cascading runs, dynamics extending to the fortissimo range, and free part-writing throughout.

In between these two extremes lie developments of varying complexity, generally concentrating on the primary theme, and sometimes incorporating secondary theme material as well. Some perpetuate the sonata facile style of Haydn's dilletante sonatas, particularly those among his Ésterhazy set of 1773 and his Anno 1776 set, with minimal tonal meanderings, interpretive uncertainties, or technical challenges. Others, reflecting more closely what we perceive today as the traditional "classical" development, were considered a

novelty in the 1770s and 1780s. These developments emphasize motivic elaboration: motives may be fragmented, transposed, or extended, and modulation to remote keys is common. In certain cases, such as in the first movement of Haydn's Sonata in F major, Hob. XVI:29, the development incorporates a brief cadenza-like foray into entirely new material.

It is important to note that, similar to Haydn's other demonstrations of compositional prowess, the complexity levels of his development sections do not reflect a chronological trajectory. Rather, Haydn carefully cultivates the degree of experimentation and intricacy to align with the intended style and audience of a given sonata. Because Haydn's sonatas were largely published in sets, with a common purpose or dedicatee, these traits do tend to manifest in clusters; but it is not unusual, for example, to find greater levels of complexity among his sonatas from the late 1760s and early 1770s than in collections such as his Anno 1776 sonatas or the so-called Bossler sonatas of the 1780s.

This non-evolutionary characterization extends to the overall proportions of these development sections relative to their respective sonatas. Somfai examines this range in depth, presenting these proportions in comparative charts. ⁵³ From his research, Somfai concludes that, from 1771 onward – the bulk of Haydn's mature sonatas – development proportions correlate with the type of sonata: longer developments indicate more serious sonatas, while shorter developments tend to appear in lighter sonatas intended for dilletante performers. This finding aligns with the fact that development sections generally contain the bulk of a sonata's complexity and tonal exploration.

Somfai's research also reveals a range of proportions among the exposition, development, and recapitulation sections.⁵⁴ Approximately one-third of Haydn's sonatas

⁵³ Somfai, *The Keyboard Sonatas*, 280-281.

⁵⁴ Ibid., 283.

feature a structure in which the exposition is the longest, the recapitulation somewhat shorter, and the development the shortest. A smaller number of sonatas are structured with the exposition and recapitulation in equal parts, bookending a shorter development. But, among the remaining sonatas, several additional structures exist, including sonatas in which the development is the longest or second-longest segment. The wide distribution of structural proportions employed by Haydn serves as yet another illustration of his subjugation of formal parameters to the character and purpose of a given work – whether pedagogical, diversionary, or exploratory – an ordering of priorities indicative of his position at the frontier of an as-yet undefined "Classical" era. After all, as noted by Charles Rosen, "Sonata form could not be defined until it was dead."⁵⁵

In this vein, it is worth mentioning that Haydn decidedly diverges from the "sonatas" of the prior era, which often appeared in dance suite form as a *sonata da camara* (chamber sonata), in a four-movement form as a *sonata da chiesa* (church sonata), or in a one-movement form as in the binary sonatas of Domenico Scarlatti. Instead, Haydn sets the majority of his keyboard sonatas and trios in two or, more commonly, three movements. However, Haydn's orientation along this trajectory is not unexpected, as his influential predecessors, such as Wagenseil and C.P.E. Bach, had earlier paved the way with three-movement works of their own. The two-movement pairing, while not entirely absent from the output of Haydn's contemporaries, does appear with greater frequently among his works, and may be considered yet another sign of the flexibility with which he approached the matter of structure.

⁵⁵ Rosen, The Classical Style, 30.

Traditional Dance Forms

Throughout Haydn's keyboard works, the popular sonata-allegro form appears frequently alongside a variety of older forms indicative of his alignment with past traditions. As noted earlier, Mattheson lauded a number of forms hailing from the 17th century and earlier, including simple dance forms such as the minuet, as well as the passacaglia, which I will discuss momentarily. We have already explored the prevalence of the minuet bookending a trio segment. It is worth noting that minuet appears in Haydn's works as a standalone movement as well, at times distinguished as such by its meter but lacking a formal designation – for example, in the last movement of the Hob. XVI:38 keyboard sonata.

Overall, although never intended for an actual dance setting, Haydn's minuets tend to preserve the transparent textures, conservative tonalities, and simple rhythms of their precursors. Indeed, in one of his earliest examples, the second (and final) movement of the Hob. XVI:4 sonata, one would be hard-pressed to distinguish it from a minuet composed a half century earlier. Unified by motivic triplet rhythms, with an unadorned texture lending itself to improvised embellishments, the tempered nature of this movement brings the work to an unassuming conclusion, in contrast to the fast finales punctuating many of the later sonatas. [See Example 17.]

Example 17: Haydn's Sonata in D major, Hob. XVI:4, II. Menuet, mm. 1-8



In contrast, in the finale of the Hob. XVI:38 sonata, composed approximately 25 years later, Haydn notates a fuller, busier texture, indicating couplet phrasings, articulations, and octave doublings to reinforces the bass line – all ornamentation decisions that would have been left to a performer's discretion only a few decades earlier. Nonetheless, the minuet ideal of the past endures, through its incisive beat divisions, downbeat emphasis, danceable *allegro* tempo, and carefully apportioned structure. [See Example 18.]

Example 18: Haydn's Sonata in E-flat major, Hob. XVI:38, III. Finale: Allegro, mm. 1-8



As mentioned earlier, the chaconne and passacaglia are another pair of dance forms touted by Mattheson for their elevated style and versatility as pieces to be either danced or played, or even, in the case of the chaconne, sung. Frequently titled interchangeably, both the chaconne and passacaglia are believed to derive from Spain, appearing in their earliest incarnation as a set of variations built upon a unifying, recurring ostinato. The chaconne of the 17th and 18th centuries, often set in a major key, was intended as a dance for women, with the recurring ostinato restricted to the bass voice. The passacaglia, however, emerged as an energetic, minor key dance associated with male dancers. In contrast to the chaconne, its recurring subject enjoyed the freedom to move across all voices. Mattheson expresses a

⁵⁶ Mattheson, Der vollkommene Capellmeister, 86.

preference for the more permissive passacaglia, and, indeed, it is this form that we find represented among Haydn's keyboard works.

By the time of Haydn, the aforementioned parameters had loosened substantially, with the trademark ostinato serving as the distinguishing vestige of these old forms. In the Hob. XVI:46 sonata – referenced earlier as hailing from his experimental period of the late 1760s to early 1770s – the second movement, a pastoral adagio, opens with a polyphonic ostinato interwoven between tenor and bass, presented twice in succession in the left-hand part of mm. 1-8. [See Example 19a.] Although set in a major key, the migration of this ostinato across the largely three-voice texture aligns the movement with the freer style of the passacaglia admired by Mattheson. This movement, however, only loosely invokes the passacaglia form of old, as the bulk of it is characterized not by strict repetition of the ostinato, but rather by persistent invocation of related material and thematic fragments. Its structure hints at a hybridized sonata form: the movement is divided into two repeatable sections, with the first section incorporating a move to the key of the dominant, which subsequently opens the second half only to return to the tonic a short time later. Recalling the passacaglia's variation roots, however, here the ostinato's varied points of recurrence in the second section broadly delineate three segments of variation, with the ostinato ultimately branching into the upper voice in all three instances. [See Example 19b-d.]

Example 19: Haydn's Sonata in A-flat major, Hob, XVI:46, II. Adagio, a) mm. 1-8, b) mm. 29-35, c) mm. 45-51, d) mm. 60-64





Returning to Haydn's Hob. XV:28 trio of 1797, we find in the second movement a later homage to the passacaglia, with a snaking bass figure that, in contrast to the prior example, persists in some form throughout the majority of the movement, generating a cohesion strikingly reminiscent of the old form. As in the prior example, the movement opens with two iterations of the ostinato, albeit each with varied endings, in mm. 1-10. [See Example 20a.] Of interest here is that the violin and cello lines join the keyboard only for the introductory iteration, thereafter giving way to an extensive keyboard solo spanning 28 measures. The texture here, with a meandering bass underlying short, motivic components, atavistically recalls the solo keyboard texture of the second movement of J.S. Bach's Italian Concerto of 1735, a semblance perpetuated by the steady parallel thirds of the keyboard line in m. 35 ff. of the trio, despite the reentry of the other parts. [See Example 20b.] Once again, we see here a flexible treatment of the ostinato, carried largely by the keyboard part but

subject to adoption by any instrument or line. This is most clearly observable in mm. 48-51, in which the ostinato is carried by the violin and the top line of the keyboard, while the cello and the keyboard's bass furnish motivic interjections. [See Example 20c.]

It is significant that Haydn did not limit his treatment of these older forms to his early output, but interspersed them throughout the chronology of his keyboard works. From this observation and the examples referenced above, we can both recognize the 17th-century compositional tradition in which Haydn was entrenched and surmise that he held a set of compositional and aesthetic priorities aligning in no small part with those of the generation prior. As such, the early dances informing these homages may be used to furnish the performer with an understanding of the aesthetic framework in which such *galant*-era movements were conceived. Of course, this does not preclude the selective infusion of 18th-century mannerisms where the score suggests, but the aesthetics of the prior century must inform any approach to these movements, particularly with regard to considerations of articulation, pedal, string vibrato, and dynamic scaling.

Example 20: Trio in E major, Hob. XV:28, II. Allegretto, a) mm. 1-10, b) mm. 35-38, c) mm. 48-51 a)



Terminology

It is worth making a final note on the matter of structure, regarding Haydn's choice of terminology. Both his early keyboard sonatas and his early keyboard trios (also considered "accompanied sonatas") were, until circa 1767, commonly termed "divertimento" or "partita," rather than "sonata." In a thought-provoking but controversial argument, Pollack contends that the shift in terminology corresponds with a shift in Haydn's preferred instrumentation. The terms "divertimento" and "partita" were frequently employed by Wagenseil and Matthias Georg Monn, both composers of the early- and mid-18th century who were known to prefer the harpsichord. Pollack suggests that Haydn's early use of "divertimento" and "partita" corresponds with the developmental (post-St. Stephens, pre-Ésterhazy) period in which he likely conceived his works with his harpsichord pupils in mind.⁵⁷ In contrast, C.P.E. Bach, who expressed a preference for the clavichord, opted to title his works "sonata," and Haydn's adoption of the term roughly coincides with his own promotion to Kapellmeister at the Ésterhazy court. Recalling Haydn's admiration for C.P.E. Bach, and noting the private performance setting in which Haydn performed his own early Ésterhazy works, as well as the inclusion of touch-sensitive indications within these compositions, Pollack asserts that this shift points to a renewed focus on the clavichord as Haydn's instrument of choice between 1765-1780.⁵⁸

Pollack's inference may be somewhat myopic. It seems, instead, more significant that Haydn's shift to the term "sonata" coincides with the advent of some of his most innovative sonatas, such as the Hob. XVI:18, 19, and 46 sonatas introduced earlier, as well as Hob. XVI:44-45 and the original (lost) version of Hob. XVI:20. These sonatas mark a sharp

⁵⁷ Pollack, "Some Thoughts on the Clavier," 87.

⁵⁸ Ibid.

departure from the early, pre-1766 works, which stylistically align more closely with, for example, the Opp. 1 and 4 divertimenti of Wagenseil: simple in form, light in texture, and abundant in flowing runs. As such, Haydn's change in terminology coincides with the increasing solidification of his own compositional identity, presenting a stylistic and semantic shift topically relevant to the contemporary milieu of rapid aesthetic change.

Compositional Devices

We turn now to examine a few specific compositional devices that reflect the longstanding traditions underlying Haydn's eclectic style, including his use of motives, sequences, hocket, pedal point, and various manifestations of the *Brechung* (chord breaking) tradition and the related concept of rhythmic offsetting. Insofar as Mattheson's breakdown of the compositional process is concerned, these devices may be considered to constitute the "elaboration" component of the process, bridging into the third and final "ornamentation" stage for which he assigns responsibility largely to the performer.

Motives

Earlier in this discussion, I referenced a connection between Mattheson's predilection for formula-based motivic construction and the medieval tradition of isorhythm, which in turn derives from the centuries-old compositional traditions of rhythmic modes, compositional formulae, and interchangeable tropes.

Motives, whether rhythmic, melodic, or textural, serve a unifying function in music.

As mentioned previously, Mattheson prioritizes familiarity as an essential component of providing a pleasurable listening experience, and the use of established formulae, or motives,

furthers this aim accordingly. Sometimes, motives generate an imitative quality, whether across multiple instruments or within solo contrapuntal textures; in other contexts, particularly among early sonata-allegro prototypes, they constitute entire thematic areas, predating the longer themes that came to define these sections by the late-18th century. Yet, the modern vantage point tends to reduce motivic composition to a less-sophisticated precursor of the lengthier, often melodic, themes that came to characterize sonata-allegro form and the sweeping, emotive compositions of the 19th century.

I offer here a brief glimpse into the far past in the hope of illuminating the vital lineage perpetuated by highly-motivic works and their discrete components. These works furnish a window into an aesthetic that prioritized familiarity, imitation, and unity – critical elements of the *galant* style – in ways soon overtaken by an Enlightenment-era societal quest for originality, change, and alternative means of expression. "Cum statua Nabucodonosor – Hugo princeps invidie" (also known as "Hugo, Hugo, princeps invidie"), a 14th-century motet of Philippe de Vitry, furnishes such an example.

Here, de Vitry's tenor is constructed upon nine recurring statements of a single rhythmic pattern (talea), superimposed upon three restatements of a single, longer, melodic line (color). [See Example 21.] The upper voices, while not strictly isorhythmic, similarly rely upon the assembly of common formulae for the motet's entire duration. While these formulae do not appear in the precise order found in the isorhythmic line, they generate an imitative, unifying quality, a priority later supported by Mattheson and retained by composers throughout the centuries that followed. Three such formulae dominate the upper textures of "Hugo, Hugo, princeps invidie." The most identifiable unit consists of four notes in alternating imperfect semibreve and minim lengths, translating to quarter and eighth note

alternations in compound meter (long-short-long-short). It appears in all varieties of stepwise melodic configurations, primarily in a four-note descent and a turn-like (do-re-ti-do) pattern. The second formula, a variation of the first, features a perfect semibreve followed by an imperfect semibreve and minim – the equivalent of a dotted-quarter note followed by a quarter note and eighth note. Its melodic configurations are similar to those of the first rhythmic formula, appearing in three-note descents or built around upper or lower neighbor tones. The third formula – a simple set of two perfect semibreves, or two dotted-quarter notes, often resolved by a longer note value – appears either in self-standing form or appended to the other two units. In keeping with its homogenized rhythm, the unit typically features two repeated tones, although movement by step or third occurs periodically. [See Figure 5.]

Example 21: de Vitry's "Cum statua Nabucodonosor – Hugo princeps invidie," tenor line, with talea and color entrances indicated

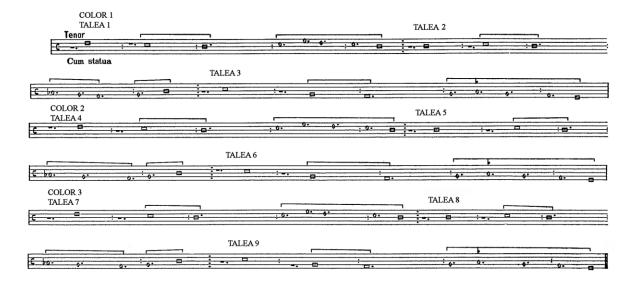
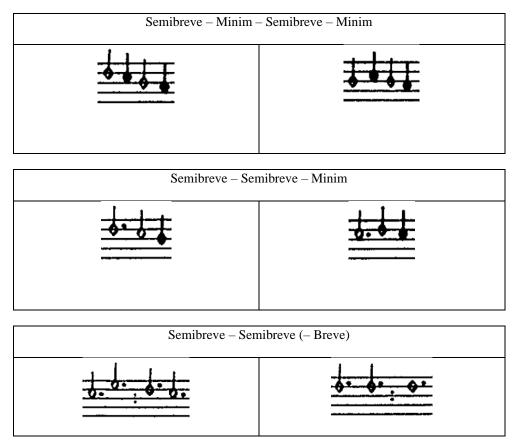


Figure 5: Upper-voice rhythmic units I "Cum statua Nabucodonosor – Hugo princeps invidie" (with common melodic configurations)



The keyboard works of Haydn, in particular, incorporate countless manifestations of this isorhythmic legacy via motivic writing in the realms of rhythm, melody, and texture. The first movement of Haydn's Hob. XV:1 trio furnishes an early example of such motivic application in the rhythmic sphere. Stylistically recalling the measured lyricism and elegance of the French Baroque style, the movement centers entirely around five short rhythmic motives, which can be linked to Mattheson's extended endeavor to translate the patterns of poetic feet into musical terms.

The first motive, a sighing 16th-note couplet with a trochaic (strong-weak) inflection, first appears in the opening measure of the violin melody. Serving as the foundation of the primary theme, the couplet motive is sequenced to outline the introductory g minor harmony,

extending into the following measure to taper the arc a full two octaves below. [See Example 22a.] It is the accompaniment figure, however, that really prevails throughout the movement. This figure sequences the second motive, a ditrochaic pairing (doubled trochaeus, strongweak-strong-weak) interspersing stressed dotted-16th notes with 32nd-note pickups; this motive first appears in the opening measure of the keyboard line, doubled by the cello in m. 2, and is finally adopted by the melody line as well in m. 4. [See Example 22b.] This dotted motive prevails throughout the development, reappearing in the restatement of the primary theme (mm. 29-32) and bridge material (mm. 32-37, keyboard and cello; mm. 41-42, keyboard only), as well as in the retransition (mm. 46-49, violin and keyboard). The third identifiable motive mirrors poetry's fourth paeon (weak-weak-strong). It first surfaces here in the violin and keyboard lines of mm. 4-5, as a simple triplet figure ascending to a strong beat, to launch the bridge into the secondary theme area beginning in m. 8. [See Example 22c.]

It is important to note that this secondary theme area, rather than furnishing the melodic theme that modern-day listeners have come to expect, builds upon three motivic prioritizations. The first segment, in mm. 8-11, initially adopts the second motive identified above (that which makes its first appearance as an accompaniment figure in the opening measure), synthesizing its dotted rhythm with that of the third motive in the keyboard line of m. 10. [See Examples 22d-e.] Here, the third motive appears in rhythmic diminution (while preserving its fourth-paeon pattern) and a different melodic guise, inverted to perpetuate a descending line. This inverted motive will later resurface, in sequence, to initiate the retransition to the recapitulation (mm. 44-46).

The next segment of the secondary theme area, spanning mm. 11-14, introduces via the violin and keyboard lines a fourth motive, a dactylic (strong-weak-weak) pairing of a 16th note with two 32nd notes, the rhythm of which is promptly inverted by the keyboard to form an ascending, Baroque-textured sequence of anapestic figures (weak-weak-strong) in mm. 14-15 to bridge into the third segment.⁵⁹ [See Examples 22f-g.] This third segment, beginning in m. 16, also employs the dactylic pattern of the fourth motive in the violin and keyboard parts (mm. 17-19), continuing onward in mm. 20-21 to elaborate upon its own material, with a voice exchange between the violin and keyboard melody lines, built upon the triplet rhythm ascribed here to the third motive. The anapestic motive resurfaces briefly in mm. 26-27 to conclude the closing section of the exposition, but this motive is largely absent from the development, which concentrates instead on the second motive and, to a lesser degree, on the first and the third. As such, we see in this early trio a primarily rhythmic manifestation of Haydn's penchant for motivic construction.

Example 22: Haydn's Trio in g minor, Hob. XV:1, I. Moderato, a) Trochaic, mm. 1-2 (violin), b) Ditrochaic, mm. 1-2 (keyboard), c) Fourth paeon, mm. 4-5 (all voices), d) Ditrochaic, mm. 8-9 (all voices), e) Fourth paeon in diminution, m. 10 (keyboard), f) Dactylic, mm. 11-12 (all voices), g) Anapestic (inverted dactylic), mm. 14-15 (keyboard)



⁵⁹ It is worth noting that the appoggiaturas adorning this motive effectively convert it to a first paeon pattern (strong-weak-weak), but it is the notated rhythmic unit, and its relation to the subsequent anapestic figures, that is of relevance here.









f)





In other instances, Haydn reaches beyond the rhythmic realm to incorporate melodic and textural motives as well. The second movement of his Hob. XVI:18 sonata illustrates this neatly. While both movements in this sonata present in sonata form, the thematic areas of the second movement build upon short motives, in some cases aligning more closely with their motivic origins than with the singable melodies now associated with primary and secondary themes. Several identifiable motives comprise this movement. Spanning the first eight measures, the lyrical opening offers a melodic primary theme built upon the combination of simple quarter notes in the bass and a trochaic (strong-weak) meter containing a dotted-rhythm motive (more specifically, a dotted-eighth note with a 16th-note pickup) in the melody line. [See Example 23a.] The second motive, set in the dominant key of F major and marking the beginning of a secondary theme area in m. 15, is characterized by a snaking, primarily stepwise, eighth-note figure, antiphonally exchanged between the hands. Each iteration is only a measure long, so short and individually unremarkable that it can hardly be

considered a theme in itself. [See Example 23b.] The movement quickly gives way to a third motive in m. 20, a transitional descending sequence in a hocket texture. [See Example 23c.] This descent is elaborated upon, beginning in m. 27, by appoggiatura motives set in a contrapuntal texture [see Example 23d], ultimately bringing the movement to a grand pause (with the potential for an improvised cadenza) on a C7 chord (m. 35). While these motives of the secondary theme area functionally establish the dominant key, their short, sequential constructions undermine the section's identity as a definite secondary "theme" in the modern sense.

The closing material, beginning with a m. 35 pickup, displays a similar phenomenon. Built upon short, repeated rhythmic units (two 16th notes and an eighth note) energetically alternating between dominant-tonic harmonies with an integrated dominant pedal point (the C of the top line), this light, rapid motive thereafter extends into a longer, ascending passage retaining the motive's characteristic pedal-point texture. [See Example 23e.] Once again, the hallmark of this closing section lies in its alternating texture and spritely rhythms, rather than in a melodically identifiable theme.

The highly motivic construction of this movement is affirmed by the hefty incorporation of the closing motive in the brief development section. While developments, as our modern ears have come to recognize them, typically capitalize on primary and secondary themes, relegating closing themes to the ends of the expositions and recapitulations, here, the closing motive occupies nine measures – nearly half – of this 21-measure development. Such relatively equitable, if not favorable, treatment of a closing motive is fairly common in Haydn's sonata-allegro forms; and this compositional proclivity reflects an integrated

approach to early sonata form that should be viewed as a legacy of the polyphonic traditions of isorhythm and imitation.

Example 23: Haydn's Sonata in B-flat major, Hob XVI:18, II. Moderato, a) Melodic dotted rhythm motive, mm. 1-4, b) Snaking motive, mm. 15-17, c) Hocket motive, mm. 20-21, d) Appoggiatura motive, mm. 27-28, e) Alternating (closing) motive, mm. 35-37











Sequences

In addition to the pervasive repetition inherent in motivic writing, the historical priority on familiarity, imitation, and unity extends to larger passages as well, giving rise to the canonic and sequential writing that characterizes swaths of works from the 16th and 17th centuries and exerts a palpable influence in the later music of Haydn and his contemporaries. One needs only to open either book of J.S. Bach's Well-Tempered Clavier to find examples of imitative counterpoint or multi-measure sequences; and, while generally shorter and more intermittent, these techniques are woven into the textures of many Haydn sonatas and trios, particularly as means of elaboration within developments or recapitulations.

We can return to Haydn's Hob. XV:28 trio for an example of such writing, as an abundance of atavistic elements, including the passacaglia form discussed earlier, belies the 1797 publication date of this work. As noted earlier, of course, it is significant that the presence of such elements peppered throughout Haydn's compositional output dispel their attribution to a nascent stage of development, indicating instead a series of recurring and deliberate choices reflecting a deeply-engrained aesthetic orientation.

Rich in motives and Baroque-inspired textures, the trio's first movement abounds with sequential episodes. As presented earlier by Example 13b in the context of its rhetorical function, the development opens with one such episode, contained within a brief, solo keyboard introduction built upon an oscillating motive from the exposition's secondary theme area. Further into the development, beginning in m. 55, we find a similarly contrapuntal sequence centering around the same motive. [See Example 24.] Here, the violin leads the sequence through mm. 55-56, with a split texture charging the alto voice with the strict stepwise oscillations and the soprano with complementary melodic variants. A simple

sequence of arpeggios in the cello supports the harmonic framework, outlining seventh-chord harmonies in half-measure increments to underlie the descending top line. While the sequences of the violin and cello come to a close in m. 57, the swirling arpeggiated sequence of the keyboard line, spanning mm. 55-59, prolongs the melodic descent. Doubling the harmonic rhythm in m. 57 to briefly tonicize the keys of A major and f-sharp minor via secondary dominant seventh chords, the sequence brings the flurry to a halt on a B7 chord, setting up the recapitulation of the primary theme in the movement's home key of E major. Although relatively short in length, the quick-paced, modulatory function of this sequence recalls those frequently found within tightly-woven fugal structures of the century prior. Such practices of sequencing and imitation capitalize on the familiarity of repetition, thus serving the ultimate aesthetic priority of crafting a work that is clear, accessible, and pleasing to the untrained ear.

Example 24: Haydn's Sonata in E major, Hob. XV:28, I. Allegro moderato, mm. 55-59



From a modern performance perspective, interpretive decisions should serve the sequential function of the passage in question. Given the primarily modulatory function of the example above, the players might coordinate to delay strong beats marking harmonic changes (potentially resulting in a slight double-dotted effect in in the string lines of mm. 57-58), as a means of highlighting the quickening harmonic rhythm. A dramatic rubato might be applied to mark the passage's clear trajectory toward the grand pause; and strategic overholding of top and base notes in the keyboard line, which would have added resonance for a crescendo effect on an early keyboard instrument, could certainly be employed on a modern instrument as well. The arrival of the sequence on the final B7 chord, along with the ensuing fermata, might be marked by ascending and descending rolls in the keyboard line, as well as perhaps a connecting cadenza in either the violin or keyboard parts to introduce the recapitulation.

Hocket

As the foregoing discussion suggests, textural commonalities, motivic or otherwise, can serve as a unifying force within a movement or work. Across works, and even across centuries, such commonalities should be examined for the insight they provide into a given work's stylistic alignment, yielding clues as to the composer's mindset with regard to its interpretation and performance.

Hocket, a technique characterized by staggered alternation between two voices, originated in the vocal polyphony of the Middle Ages and developed into a quintessential harpsichord technique that maintained its prevalence through the first half of the 18th century. Owing to its unique texture, hocket appears in a variety of functions, sometimes as a sporadic

novelty, at other times as a primary texture. We saw previously some examples of hocket in the Hob. XVI:18 and XVI:30 sonatas. [See Examples 6a and 23c.]

One early example can be found in the final 30 measures of the de Vitry motet discussed above, "Hugo, Hugo, princeps invidie." Here, we see hocket used as a novelty, intertwining the rhythmic formulae of the upper voices to serve as an elaborative device. The excerpt below illustrates this use of hocket, setting "quia impia" in the triplum against the "et eo cum invidus" of the motetus. [See Example 25.] The motet's final 30 measures are structured in two parallel parts of equal length. Within each, the hocket technique is used to embellish the fairly plain performative utterances, occupying the first 10 measures. For the more dramatic portions of the text requiring greater clarity, the voices return to their familiar formulae for the remaining five measures. [See Table 2.] This antiphonal structure generates a driving momentum toward the motet's conclusion.

Example 25: de Vitry's "Cum statua Nabucodonosor - Hugo princeps invidie," mm. 108-114



Table 2: Textual correspondences of hocket and isorhythm in "Cum statua Nabucodonosor – Hugo princeps invidie," mm. 106-135

TRIPLUM	MOTETUS	TEXTURE
Et quia impia	Stupeo et eo	Hocket
And because I am being	It astonishes me,	(mm. 106-114)
lingua ledor unius territe	cum invidus sic sis palam pius	Rhythmic formulae
slandered by the tongue of one	when, while harboring envy, you	(mm. 115-120)
in terror	act pious	
pro vero refero:	perpere dicere	Hocket
for the sake of truth, I caution:	so I say to you	(mm. 121-130)
a prophetis fasis attendite.	ipocritam te possum verius.	Rhythmic formulae
guard against false prophets.	you are, in fact, the hypocrite.	(mm. 130-135)

Centuries later, hocket had worked its way into the instrumental realm, where it enjoyed popular treatment in early keyboard works through the mid 1700s. The lively gigue from the Partita No. 1 in B-flat major, BWV 825, composed by J.S. Bach in 1731, furnishes one such example. In this context, hocket assumes the spotlight. In contrast to its ornamental function of lending texture to the less crucial portions of text in "Hugo, Hugo, princeps invidie," there is no competing rhythmic variety in the gigue; in fact, Bach constructed the movement entirely upon this texture, which assumes sole responsibility for propelling the underlying harmonic movement. Facilitating lively skips in register and constant virtuosic hand-crossings, hocket here is the movement's primary impetus. [See Example 26.]

Example 26: J.S. Bach: Partita No. 1 in B-flat major. BWV 825, Gigue, mm. 1-4



The hocket tradition lived on in the music of Haydn, as illustrated earlier by his Hob. XVI:18 and XVI:30 sonatas, and, even more extensively, in his Hob. XVI:46 sonata. Among the other atavistic elements discussed earlier, the Hob. XVI:46 sonata features a fantasia-like development in its first movement, within which a substantial portion (16 of its 39 measures) adopts a hocket texture. This motive appears first in mm. 15-17, as a brief interruption of the exposition's secondary theme area, and resurfaces very briefly in a rhythmically-augmented guise in m. 28 as the exposition transitions to its closing material. [See Example 27a-b.] In the development, however, it assumes the bulk of the section's modulatory function. Following the initial measures of the development, which move from the dominant key of Eflat major to the relative minor key of f, hocket takes over (m. 49), cycling through a series of minor-mode keys via a descending circle of fifths. Moving from f minor through b-flat minor, e-flat minor, and a-flat minor over the next 10 measures, the harmonic progression curves back through b-flat minor, finally settling again in f minor, bringing the hocket foray to a close with a half cadence in m. 64. This use of the minor dominant is a favored harmonic device of Haydn's, one that he employs in a large number of his keyboard works.

Texturally, the leading voice and accompaniment figures switch between the hands every few measures, adding a layer of contrast and complexity beyond that employed by the comparatively homogenous Bach gigue. In keeping with the septuplet 16th-note figures that dominate much of the primary and secondary theme areas, Haydn sets the hocket alternations in a triplet 16th-note rhythm. The hands engage throughout in deft exchanges of the leading role, with the focus alternating between stepwise thirds and the sequential outlining of seventh-chords through m. 54, followed by a quicker pace of textural shifts in measures 55-56, as the hands switch roles every half measure. [See Example 27c.] The heightened activity

then gives way in m. 57 to five measures in which a relative textural stasis belies the rapid pace of harmonic movement contained within. By the final three measures of the passage, a dominant pedal point has been achieved in the left hand, punctuated once again by the stepwise motion of thirds and sixths. [See Example 27d.] In this movement, as in de Vitry's motet and Bach's gigue, hocket adopts a central structural role. In "Hugo, Hugo, princeps invidie," the texture served as a novelty, heightening the climactic drama; in both the gigue and this sonata, it propels structurally significant changes in harmony, dictating the passage's momentum through subtle contrasts in emphasis and harmonic pace. This is not, however, to suggest an evolutionary trajectory in the role of hocket – indeed, examples of hocket in a variety of contexts – whether in a critical structural function or as a short-lived pyrotechnic display – abound through the mid-18th century.

Example 27: Haydn's Sonata in A-flat major, Hob. XVI:46, I. Allegro moderato, a) mm. 14-17, b) m. 28, c) mm. 54-58, d) mm. 62-64







Interpretively, a performer must keep in mind that the alternating quality is the distinguishing feature of hocket. Whether performed in the context of vocal polyphony, a chamber ensemble, or an early keyboard instrument, no voice should be elevated to a leading role on the basis of volume alone. For example, in the above excerpts, the additional voice invoked by thirds and sixths should produce the intended effect if played as written, without adding the extra power afforded by a modern instrument. At the same, the "accompanying" voice, usually marked by a repetitive or melodically static quality, should not be downplayed. The balanced interaction between the voices, often accentuated by differences in register or rhythmic pattern, encompasses the aesthetic power of hocket.

Timing, then, plays an indispensable role in generating emphasis within the hocket texture. Rubato can be inserted to highlight an exchange of roles, a point of harmonic significance, or a melodic peak within the "leading" voice. In the interest of preserving the rhythmic drive of the hocket texture, the performer would be best advised to opt for rubato in

places that do not detract from the interplay between the voices: for example, a momentary dwelling on a beat that introduces a new phrase, or a gradual *ritardando* or *accelerando* shared by both voices.

Pedal Point

The hocket texture relates closely to another favored compositional relic mentioned briefly in the preceding example: the technique of pedal point, in which a single pitch is maintained amid often unrelated underlying or overlying harmonies. A pedal point ostinato typically appears in the bass, but the hocket texture affords it the liberty of appearing in an upper voice as well.

As the technique of pedal point likely owes its roots to the drone-like tenors of early vocal polyphony, it is not unexpected that its instrumental application found a comfortable home in repertoire for the organ, an instrument boasting an unparalleled sustaining power uniquely conducive to the device's execution. Haydn's early schooling at the Church of Saints Philip and James and the Cathedral of Saint Stephen would have acquainted him thoroughly with the contemporary canon of organ literature and its popular practices. To illustrate, in J.S. Bach's Toccata in d minor, BWV 538, composed at some point during his second stint in Weimar in 1708-1717, we see an example of a pedal point closely resembling the vocal aesthetic of a sustained tenor line. In the final measures of this organ work, just before the fugue, a long D underlies the propulsion of the upper voices toward a cadential Picardy third. Played on the organ, the D would easily resonate for the specified length, uncompromised by the movement of the overlying voices. [See Example 28.]

Example 28: J.S. Bach's Toccata in d minor, BWV 538, mm. 96-99



Pedal point necessarily adopts a different guise when translated to works written for contemporary keyboard instruments not similarly possessed with the resonance and sustaining power of the organ. As we saw in Haydn's Hob. XVI:46 sonata, the pedal point effect in works written with a harpsichord or clavichord in mind is largely generated through pitch repetition. In the Example 27c excerpt above, for example, an E-flat octave on the downbeat of m. 55 marks the beginning of an E-flat pedal point, which, in keeping with the quicker pace of voice exchange noted above, alternates between the hands and traverses three octaves, temporarily obfuscating the true location of this pedal point until the leading voice of the left hand takes it over in m. 57.

Returning to one of Haydn's earliest sonatas, the Hob. XVI:4 sonata contains a different, albeit related, pedal point texture in its first movement. [See Example 29.] Here, Haydn employs a fluttering texture, consisting of a stepwise line set against a dominant pedal point of A, that occurs in both transition and retransition material. As in the Hob. XVI:46 excerpts, this single pitch is also sustained via repetition, keeping the music firmly rooted in the dominant harmony amid the fleeting harmonies pulsating around it.

Example 29: Haydn's Sonata in D major, Hob. XVI:4, I. Moderato, mm. 33-35



The texture employed in the Hob. XVI:4 excerpt strikingly recalls that utilized by J.S. Bach on a variety of occasions. While certainly not the first of its kind, Bach's Prelude in G major, BWV 884, exemplifies the juxtaposition of both sustained and fluttering versions of pedal point. This prelude and its accompanying fugue belong to Book II of the Well-Tempered Clavier (WTC II), compiled around 1742, little more than a decade before Haydn launched his own career. Although no evidence exists to suggest that Haydn was engaging in any intentional emulation of Bach's work, this excerpt demonstrates nicely the application of a practice fairly commonplace among keyboard literature of the era. In the prelude's opening three measures, the left hand sustains a G pedal point in the bass line, while the right hand flutters a stepwise melody against a repeated upper D pedal point. This D shifts into a sustained upper pedal point in m. 4, while the left hand adopts the fluttering texture against a tenor-line pedal point on the A. [See Example 30.] Both devices prevail throughout the entire prelude, thus cementing their connection with one another as related varieties of pedal point, at least in the eyes of Bach.

Example 30: J.S. Bach's Prelude in G major, WTC II, BWV 884, mm. 1-4



The implications of this relationship manifest in the popularity of pedal point varieties among works beyond the organ realm. Examples abound in C.P.E. Bach's first set of sonatas, Wq. 48, published in 1742, around the same time as his father's WTC II compilation. In the sixth sonata of the set, a F-sharp pedal point takes the form of rapid repeated notes in the second half of the first movement. [See Example 31.] By this point, the movement has settled in the key of b minor, with the pedal point serving a dominant function. The repeated notes appear first in the treble and then in the bass, each iteration set against arpeggiations circling among closely-related harmonies in the other voice.

Another variation of pedal point appears in the first movement of the third sonata, in E major, in which the sustained quality is facilitated by extended notated trills, the hands again taking turns. [See Example 32.] Used to establish the key of B major, this pedal point, incidentally also on a F-sharp, once again serves a dominant function. Similar to the fluttering and repeated note textures, the trill enables the pedal point to project over the active arpeggios and descending sequential figures of the other voice, in particular on an instrument that would otherwise scarcely permit it to sustain beyond a single measure.

Example 31: C.P.E. Bach's Sonata in A major, Wq. 48 No. 6, I. Allegro, mm. 71-75



Example 32: C.P.E. Bach's Sonata in E major, Wq. 48 No. 3, I. Poco Allegro, mm. 31-44



Despite the origin of pedal point in the lowest voice of a vertical texture, the adoption of this sustained trill into the treble line, as seen above, developed into a popular compositional device prevailing well beyond the 18th century. Returning to Haydn, we find in the adagio third movement of his pre-1766 Sonata in G major, Hob. XVI:6, a similar trilled pedal point, appearing in the treble and supported by a repeated D in the bass, to span a measure and a half in both B sections of its binary form. Once again, this pedal point functions in a dominant context, in each instance building to a cadence three measures later. [See Example 33.] Haydn's recurring use of pedal point throughout his keyboard output serves as yet another vestige of the traditions stemming from the prior century and earlier.

Example 33: Haydn's Sonata in G major, Hob. XVI:6, III. Adagio, mm. 21-23



The foregoing excerpts of Haydn, J.S. Bach, and C.P.E. Bach demonstrate the popular application of pedal point to a cadential context, as the sustaining quality of the device, in any of the above varieties, enables it to ground an existing texture in the dominant harmony for the purposes of establishing tonality. Additionally, these examples demonstrate the instrumental lineage of the technique, from its idiomatic application within the organ literature to its textural adaptions in the context of other keyboard instruments.

As in the case of hocket, the relatively uniform sound of an early keyboard should be taken into account when considering the modern execution of pedal point varieties. The voicing capabilities of a modern piano have given rise to an aesthetic that prioritizes the moving voice while downplaying repetition. In the context of *galant*-era pedal point, however, it is precisely the repetitive quality that constitutes its sustaining essence. From an execution standpoint, while there is no need to completely eschew the advantages of some temperate voicing, the performer must afford the pedal point line sufficient emphasis to highlight its interplay with the moving voice(s) and facilitate its endurance amid those competing sonorities. In this way, one can avoid retroactively imposing a modern interpretation that detracts from the integrity of the device's longstanding lineage.

Broken Chords

Another compositional device worthy of examination lies in the tradition of broken chords. David Buch, citing an assertion by David Fuller, suggests that the style of breaking chords derives from dance suites of the 16th-century French Baroque, namely from the suite movement known as the double. As the name suggests, the double is variation-based, generally with a split-voice texture that elaborates upon the previous movement of a suite. Although composed much later, in the first half of the 18th century, J.S. Bach's doubles perpetuate this tradition and are among its most well-known examples today. His English Suite No. 6 in d minor, BWV 811, contains a Double that varies the preceding Sarabande. [See Examples 34a-b.] As is typical of a double, the bass line remains intact, with the soprano line altered by a few written-out elaborations. Most relevant, however, is the fact that arpeggiated middle voices now gradually fill in the chord pitches previously scored in chorale style in the Sarabande. These arpeggiations are supplemented by the addition of passing tones and select melismatic embellishments.

Example 34: Bach's English Suite No. 6 in d minor, BWV 811, a) Sarabande, mm. 1-4, b) Double, mm. 1-4 a)



⁶⁰ David Buch, "Additional remarks on 'Style brisé, Style luthé, and the Choses luthées," *The Musical Quarterly* 72, no. 2 (1985): 221.

b)



Mattheson devotes a full chapter of his treatise to the chord-breaking process, referring to it in German as *Brechung*, noting, "From this arises not only vast ornamentation in the aforementioned instrumental voices, but infinite variation; one could even say an inexhaustible source of invention." In this section, Mattheson details various forms of arpeggiated accompaniments, including the pattern known today as an Alberti bass. The tradition of breaking chords has been retroactively termed *style brisé*, but, as Buch points out, contemporary sources did not reference the practice as such. *Brisé* was used at the time to refer to a trill without a suffix, but this usage does not appear to be related to the one at hand. Owing to its role in filling out instrumental and vocal accompaniments on the lute, the practice of chord-breaking could also be considered part of the style of the lute, or *luthée*. Each notes that, in the late-17th and early-18th centuries, the term *luthée* was periodically applied by composers and theorists, such as François Couperin and Johann Gottfried Walther, to broadly and inextricably designate an assortment of idiomatic associations, chord breaking among them. Whose the particular tradition of chord breaking.

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⁶¹ Mattheson, *Der vollkommene Capellmeister*, 352. "Hieraus entspringt zugleich nicht nur ein grosser Zierat in besagten Instrument-Stimmen, sondern eine unendliche Veraenderung, ja, so zu reden, eine unerschoepfliche Quelle der Erfindungen." (Translated by David Kempe.)

⁶² David Buch, "Style brisé, Style luthé, and the Choses luthées," *The Musical Quarterly* 71, no. 1 (1985), 66. Buch suggests that the more common term *style luthé*, like *style brisé*, surfaced retroactively. ⁶³ Ibid., 57-59.

which during this time extended heavily into the keyboard realm, the term *Brechung* would be the most precise.

The tradition of *Brechung*, perhaps owing to its popularity in the context of improvisatory accompaniment, enjoys a relative degree of freedom from the strict rules governing other contemporary compositional practices. Chord breaking may occur in any direction, employ a blended assortment of note values, incorporate passing tones, and be shared among multiple voices. Sometimes it highlights a rhythmic or harmonic intensification, while at other times it diffuses the texture to adopt a more melodic approach. Whether used for emphasis or for mitigating textural severity, its main function is essentially the variety it lends to the surrounding material.

The famous opening Toccata movement of J.S. Bach's Partita No. 6 in e minor, BWV 830, published in Part I of the *Clavier-Übung* in 1731, precisely illustrates this versatility. The contrapuntal body of the movement is flanked by opening and closing sections characterized by dramatic, fantasia-like arpeggiated ascents, interspersed with episodic sequences also built upon the *Brechung* technique. [See Example 35.] In the excerpt below, mm. 5-6 employ arpeggiations spanning over two octaves within the first half of each measure, each culminating in a climactic blocked chord, before a descending tail provides a momentary respite. The ensuing measure embarks on a short, flowing sequence, passing through diminished and half-diminished harmonies to arrive on the final measure of the phrase, punctuated by contrasting blocked chords set in an emphatic dotted rhythm. In this short excerpt, we see *Brechung* employed both as a means of heightening drama (mm. 5-6) and as an opportunity to dispel tension (m. 7); and in turn, we see it juxtaposed against the unbroken, blocked chords that serve a climactic and punctuating function.

Example 35: J.S. Bach's Partita No. 6 in e minor, BWV 830, Toccata, mm. 5-8



The configuration of this excerpt foreshadows Haydn's use of the *Brechung* technique, nearly four decades later, in the Hob. XVI:46 passacaglia movement discussed previously. While *Brechung* arguably serves a more novel, and less integral, function here than in the partita, it is important to recognize the significance of Haydn's perpetuation of the traditional technique, particularly in the context of the sonata's anachronistic passacaglia movement. Returning to Example 19d, we see in m. 60 a similar sweeping arpeggiation ascending over two octaves – indeed, two octaves plus a third, the same span used in the partita – followed by a release of tension in the form of descending thirds. The second iteration intensifies the drama: spanning mm. 63-64, it comprises two broken chords in successive registers, traversing over four octaves, before yielding again to the descending thirds and the impending retreat of the movement's final segment.

When presented with *Brechung* in the fantasia style such as that seen in the preceding two examples, the performer must aim to preserve the improvisatory nature of its origins. Rubato plays a central role in this endeavor, both within and in the space between these arpeggiation figures. In keeping with the style, the performer can slowly ease into the figure, accelerating toward its peak to complement the forward-driving momentum. Exaggerated

lengthening of rests or longer beats, in combination with the degree of brevity marking the figure's release, can evoke the rhetorical devices discussed earlier: for example, a sense of doubt, the impact of a declamatory statement, or the anticipation of suspense. Although a note-by-note *crescendo* was technically an impossibility on a harpsichord, the technique of overholding notes for the purpose of added resonance can be invoked on a modern instrument, and, indeed, with the addition of the piano's dynamic capabilities and sostenuto pedal, even tastefully enhanced. When applied in conjunction with rubato, this increase in volume can produce a sweeping and free effect reminiscent of unmeasured preludes or other such improvisations.

Hitherto we have examined the fantasia-like manifestations of the *Brechung* technique. Also of significance, however, is the incorporation of *Brechung* as an integral component of thematic material, accompaniment, and overall texture. The first movement of Haydn's Hob. XVI:19 sonata, of which I previously explored the asymmetry of its opening theme, conveniently furnishes examples of each of these permutations. As shown earlier in Example 14, the first movement opens with a dotted-rhythm theme that outlines tonic and dominant chords against a dominant pedal point, filling in these outer pitches in a brief triplet elaboration in m. 3. Upon its reiteration several measures later, the triplet rhythm overtakes the texture, supplanting the dotted rhythm in the second measure in favor of a livelier flair, leading directly into the same elaborating tail. Here, we see *Brechung* occupy a central, thematic role, a common practice for enhancing the clarity of chord pitches on early keyboard instruments, and one that undoubtedly shaped compositional approaches to both themes and accompaniments in the centuries that followed. The closing section of the exposition here, beginning in m. 33, illustrates the use of *Brechung* as an accompanying

figure in just one of the many permutations detailed by Mattheson: a simple, undulating arpeggiation switching between the hands. [See Example 36a.] Its application in such a context, enjoying widespread popularity throughout the 18th century and beyond, recalls its early function as underlying continuo accompaniment on the lute and early keyboard instruments.

Of particular interest, however, are the written-out rolled chords in mm. 16-18, the final measures of the primary theme area. [See Example 36b.] As in the primary theme, the harmonies here remain conservatively within the tonic and dominant keys. It is the placement, however, that spotlights the *Brechung* texture: its positioning for dramatic effect to initiate the secondary theme area in the following measure. Here, within the *moderato* tempo, the 32nd- and 64th-note values are contrastingly rapid. The written-out figures of the first two measures foreshadow the rolls indicated in m. 18, the freer notation of which would suggest a contrasting, more luxurious approach to a full arrival on the dominant.

This figure also recurs briefly in the midst of the secondary theme, but here, its effect is augmented by a surprise harmonic movement. [See Example 36c.] The secondary theme area opens in m. 19, centering, as expected, around the dominant key of A major. Four measures in, however, it shifts suddenly to the minor mode in m. 22, migrating swiftly to the major submediant key of F. This relatively remote harmonic relationship is unusual for early Haydn, particularly in terms of its insertion in the exposition rather than in the development. The digression is short-lived, spanning only two measures before swiftly shifting back toward A major. It is in these two measures, however, that Haydn opts for the *Brechung* texture, first in simple, slower triplets in m. 23, then in the rapid written-out rolls that comprise descending F major arpeggiations in m. 24. In this way, *Brechung* is clearly

adopted as a special, contrasting effect, aligned with both a surprise harmony and a sudden thinning of texture.

Example 36: Haydn's Sonata in D major, Hob. XVI:19, I. Moderato, a) mm. 39-40, b) mm. 16-18, c) mm. 19-25



The foregoing examples have demonstrated the use of *Brechung* in a variety of contexts: as an elaborative fantasia figure, as accompaniment, and as dramatic novelty. The performer's approach to such occurrences must necessarily rely on an understanding of their respective contexts. Mattheson refers to the practice of *Brechung* as that "which every practical artist or performer, be it on the keyboard, the violin, the lute, etc., will do according

to his preference."⁶⁴ Early performance practices such as *notes inégales* or overdotting, although entirely separate from the tradition of *Brechung*, indicate an attitude of rhythmic permissiveness dating back to the 17th century and earlier. C.P.E. Bach advises contemporary performers to prioritize variety, cautioning, "The ear tires of unrelieved passage work, sustained chords, or broken chords ... The performer must not break his chords constantly in a single color."⁶⁵ Variety is, after all, the objective of performative freedom.

Improvisatory fantasia figures stand to benefit the most from free and expressive rubato, ideally applied in conjunction with music's roots in vocal tradition and the contemporary priority on naturalness. Vocal considerations, such as direction and register, therefore play into decisions regarding tempo fluctuations and pacing. Broadly speaking, far-reaching ascending arpeggiations should convey the time and effort theoretically required to achieve them in a vocal setting, while descending arpeggiations or figures within a limited range may be executed with comparative facility. Changes in register should be marked by additional preparation, and strong beats can be selectively emphasized by extra time before or on the beat. As usual, for successful execution of rubato, establishing a general balance between borrowed and returned time will regulate the passage's flow and furnish an equilibrium between tension building and release.

Related to the concept of rubato, the practice of slightly compressing such figures is better suited to settings such as those 16th- and 32nd-note motives presented in Examples 36b and c, which position textural brilliance at the forefront. Because these clusters are, in essence, written-out versions of rolled chords, they should be considered in a somewhat

⁶⁴ Mattheson, *Der vollkommene Capellmeister*, 356. "... die ein jeder praktischer Kuenstler, es sei auf dem Klavier, auf der Geige, Laute, usw., nach seinem Belieben macht ..." (Translated by David Kempe.)

improvisatory, cadenza-like context, particularly on a repeat iteration. While their seemingly precise notation likely implies a lesser degree of freedom than, for example, that which may be afforded the final rolled chords that follow in Example 36b, the longstanding association of arpeggiated chords with improvisatory forms does suggest an opportunity for added color and variety. Continuing his discussion of such contemporary practices, Bach instructs, "All chords may be broken in many ways and expressed in rapid or slow figuration. Broken chords in which principal as well as certain neighboring tones are repeated are especially attractive ..." The freer notation of rolled chords such as those in m. 18 does offer additional options, including bidirectional rolling, the incorporation of neighboring tones in an appoggiatura fashion, or, when preceding a grand pause, even ornamentation.

Of course, such tempo manipulations are less appropriate when *Brechung* serves in an accompanying function. In this context, given the intent for the arpeggiations to provide an underlying harmonic fabric, it is sometimes appropriate to overhold key pitches, usually heavier beats. On an early keyboard, this would have added resonance and ensured harmonic context for an entire arpeggiated figure. Overholding can be effectively applied not only to accompaniment figures, but to nearly any guise of *Brechung*. In so doing, however, a performer should take care not to over-voice the held note, nor to underplay the other notes of the arpeggiation. Bearing in mind the relative equality of sound on an early instrument, the intended texture – whether dense, brilliant, or busy – must not be sacrificed to impositions of anachronistic voicing.

66 Ibid., 439.

Rhythmic Offsetting

Intertwined with the traditions of both *Brechung* and hocket is the style of displaced or pushed rhythms, which, like chord-breaking, may be notated by the composer or applied by the performer in the ornamentation process. This tactic positions individual chord pitches at slightly offset points, facilitating clearer voicing on early keyboard instruments. As with the rolled chords, the staggered texture made its way into contemporary notation, but it also hearkens to an earlier, unspoken performance practice of interpretively staggering pitches for purposes of voicing, emphasis, or rubato. We will revisit this point in greater depth, but first, we will examine some notated examples of this technique.

One of Scarlatti's earliest sonatas, the Sonata in g minor, K. 8, published in 1738, is constructed entirely upon this texture. Throughout this work, virtually every harmony is delivered in broken form. Gentle suspensions across all voices would have connected the harmonies even on an instrument without a foot pedal. Fleeting moments of synchronized, parallel motion, as in the second and third beats of mm. 2 and 4, furnish slight bouts of contrasting activity within this tranquil work. Throughout most of the texture, however, the placid asynchronization enables each line to project with minimal competition. [See Example 37.]

Example 37: Scarlatti's Sonata in g minor, K. 8, mm. 1-4



We find a similar example of this texture in Haydn's Sonata in g minor, Hob. XVI:44. Composed within the same period as the Hob. XVI:18, 19, and 46 sonatas discussed earlier, Hob. XVI:44 is highly gestural, with an abundance of colorful figures and atavistically idiomatic devices throughout. The secondary theme area of its first movement contains a multitextured application of chord-breaking and displaced rhythms, with suspensions in the tenor and bass generating a legato accompaniment, ornamental descending arpeggios in the top line of mm. 12-16 countered by accompanying arpeggiated ascents in the left hand of mm. 17-18, and small syncopations in the right-hand octave leaps of mm. 15-17 offsetting and highlighting the melody. [See Example 38.] Notating the accompanying *Brechung* so specifically invokes a certain degree of theoretical complication, as unacceptable dissonances between the melody and the protracted accompaniment figures inevitably arise. As such, Haydn notates such dissonances (here as well as in the more elaborate corresponding passage in the recapitulation) in m. 16 as grace notes, introducing an additional lilting emphasis that furthers the distinction of melody from accompaniment.

Example 38: Haydn's Sonata in g minor, Hob. XVI:44, I. Moderato, mm. 12-19



For the performer, the burden of decision-making is considerably less in excerpts such as these, which precisely notate the composers' expectations for interpretive rhythmic displacement. Within these confines, however, still exists the opportunity for additional subtle accentuations of choice harmonies or dissonances. The Haydn excerpt above, for example, offers a variety of options for further applications of Brechung. For one thing, the ornamented dissonances of the third-beat appoggiaturas in mm. 13-14 could be highlighted by rolled chords in the left hand. The performer could also select one of third-beat suspensions of mm. 15-17 for emphasis, very slightly delaying the repeated pitch of the right hand to offset it from the bass for added intelligibility. Alternatively, the arpeggiated pickup to each of these measures could be offset from its bass and compressed, to tie it even more closely with the subsequent downbeat. The aforementioned grace notes of m. 16 may also benefit from gentle offsetting, lending a lyrical quality to complement the contrasting hemiola. These are just a few of the options at a performer's disposal, confirming Mattheson's observation on the creative nature of *Brechung* that "from this arises not only vast ornamentation in the aforementioned instrumental voices, but infinite variation; one could even say an inexhaustible source of invention."67

Of course, the performer must be judicious and avoid overusing these devices at the expense of clarity. In keeping with Bach's instruction, in determining when and when not to offset or chord-break, variety is key. Certain passages or gestures do not lend themselves to interpretive displacement or chord breaking. Adding such devices to fast tempi, busy textures, or complex rhythms is likely to result in overcomplication or a contradiction of the

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⁶⁷ Mattheson, *Der vollkommene Capellmeister*, 352. "Hieraus entspringt zugleich nicht nur ein grosser Zierat in besagten Instrument-Stimmen, sondern eine unendliche Veraenderung, ja, so zu reden, eine unerschoepfliche Quelle der Erfindungen." (Translated by David Kempe.)

desired character. In the Scarlatti sonata of Example 37, for example, the parallel dotted rhythms of mm. 2 and 4 furnish intentional contrast to the broken texture surrounding them, and, as such, this synchronicity should be strictly preserved.

The various derivatives of the *Brechung* tradition may also be extended to works or passages in which these devices are not as precisely notated as in the preceding excerpts. Such opportunities may include sparse textures, sequential or repeated material, or homophonic material in which the melody might benefit from added distinction. As shown above, notated occurrences of *Brechung* reveal a range of underlying functions, including novelty, variety, voicing, and textural enhancement. It follows, therefore, that any lateral applications on the part of the performer should further those contemporary priorities.

The excerpts here serve as merely a sampling of the countless works of the 18th century (and earlier) in which *Brechung* manifests in either notation or implication. The range of audiences for which Haydn composed resulted in a corresponding variance in the comprehensiveness of his notation. To gain insight into Haydn's desired aesthetic, the performer, therefore, must turn to those instances of precise notation. Given its association with the inherent freedom of fantasia forms, its presence indicates a contemporary understanding of the device as a responsibility to be shared between composer and performer; and the pervasiveness of *Brechung* in the keyboard works of Haydn underscores the device as an integral component of his aesthetic lineage.

Ornamentation

This brings us to the final stage of the creative process, identified by Mattheson as largely the domain of the performer: that of ornamentation (or *decoratio*). As noted earlier,

works of the "high" or "middle" style, transmitting dignity or an affable demeanor over base emotions, afford greater liberty with regard to performative embellishment than do works incorporating the intentional simplicity of the "low" style. Haydn's works, composed for the courts and an accomplished circle of wealthy dilletantes, fall predominantly in the "high" or "middle" categorization of theatre and chamber settings.

At the time of their composition, in the mid- to late-18th century, these works perpetuated a tradition that placed on the performer a hefty responsibility for the creative process. The contemporary performer was charged with the task of embellishing, varying, or improvising within a written text. Sparse textures and repeated segments in Haydn's compositions often imply the opportunity for such performative insertions. Within his output, those works composed with students or dilletantes in mind often incorporate a greater prevalence of ornamental suggestions and can serve as references for a glimpse into Haydn's desired aesthetic.

In the brief discussion below, I will first summarize the most relevant components of contemporary ornamentation, then examine the tradition of improvisation and its application to fantasia and cadenza settings.

Embellishments

Much has already been written on the ornamental practices leading up to and characterizing the *galant* era. Insofar as specific techniques are concerned, Mattheson refers his readers to the cursory comments furnished by German contemporary Johann Kuhnau in the introduction to his keyboard suites; Mattheson himself discusses only a few of the more stable traditions, noting that the trends of his day changed almost annually. As I have

previously noted, it is unlikely that Haydn encountered C.P.E. Bach's *Versuch über die* wahre Art das Clavier zu spielen; however, this treatise, published in 1753 and remaining in circulation for the remainder of the century, offers one of the most detailed perspectives on the ornamentation practices of the *galant* era. In modern scholarship, Somfai already draws heavily upon Bach's treatise for his in-depth discussion of these practices in the context of Haydn. In the discussion at hand, therefore, I will spotlight only those key embellishment figures most common or unique to Haydn's keyboard output: the mordent, trill, *Pralltriller*, appoggiatura, and a somewhat "all-purpose" figure dubbed by Somfai the "Haydn ornament."

Characteristically starting on the main note and invoking the lower neighbor tone, mordents serve the function of connecting slurred pitches or filling out longer note values. In contrast, standard trills of this era start from the pitch above the main note and nearly always end with a suffix. While a longer concluding pitch is a defining aspect of the mordent, Bach notes that this figure (like trills) may be either short or long, in accordance with the relative length of the ornamented pitch. [See Figure 6.] Kuhnau similarly observes that a mordent is "equivalent almost to a trill except that mordents require a strong tremolo [played] quickly a second or semitone below." In essence, therefore, a long mordent sounds quite similar to a downward trill starting on the main note. It is easy to understand the confusion that commonly clouds ornamentation practices of this era, and from this we can see hints of the loosening restrictions surrounding the trill figure in subsequent decades.

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⁶⁸ Bach, *Essay*, 128.

⁶⁹ Ibid., 127.

⁷⁰ Johann Kuhnau, *Clavier Ubung, Erster Theil,* translated in Susan Jones Bruno, *The Published Keyboard Works of Johann Kuhnau* (Ph.D. diss., University of Connecticut, 1986), 163.

Figure 6: Various lengths of the mordent (Bach, Essay on the True Art of Playing Keyboard Instruments, 127)



Along similar lines, the *Pralltriller*, a snapped half trill extensively discussed by Bach, typically appears in a descent, in which the preceding note approaches from above and is linked by a slur or appoggiatura (to be discussed momentarily). [See Figure 7.] The preceding pitch, the upper neighbor that ordinarily would constitute the first note of a trill, is tied over in the *Pralltriller*, and no suffix is appended. The result is a short, sharp figure that, to the untrained ear, might sound like an inverted mordent. Bach testifies to the essential nature of the *Pralltriller*, contending that it "adds life and brilliance to a performance ... even if all other ornaments were correctly performed, no one could be happy in the absence of this one."⁷¹ The ubiquity of the descending approach to the *Pralltriller*, as well as the simplicity of its execution, make it an easy and popular choice for performers looking to ornament without cluttering the texture. Indeed, copious opportunities for its application arise within the music of Haydn. We can turn to the second movement recapitulation of his Hob. XVI:18 sonata for one such example. [See Example 39.] In the right-hand line of m. 70, the F ties over into the second beat, constituting in absentia the first note of the trill. The descending approach, in combination with the short duration of the ornamented note, produces a very quick, snapped embellishment. As in the case of the extended mordent, here we also see a harbinger of subsequent changes to the rules of ornamentation, including rendering the suffix optional and allowing for a trill to begin on the note itself.

⁷¹ Bach, *Essay*, 111.

Figure 7: Pralltriller (Bach, Essay on the True Art of Playing Keyboard Instruments, 110)



Example 39: Haydn's Sonata in B-flat major, Hob. XVI:18, II. Moderato, mm. 67-70



The appoggiatura offers both composer and performer a highly versatile means of embellishment. This simple ornament serves a connecting function: it may bridge a gap between small intervals, approach the main note from either an upper or lower neighbor, or approach the main note by leap. When used in conjunction with trills, including the *Pralltriller*, an appoggiatura approaching from above takes the place of the initial upperneighbor tone. Appoggiaturas of the *galant* era are typically played directly on the beat.

Bach stipulates that appoggiaturas should be notated in their actual duration, but Somfai notes that Haydn was notoriously careless in this regard, with the appoggiaturas found in modern urtext editions largely reflecting editorial transcriptions reflective of contemporary practices. ⁷² Such practices are outlined in detail by Bach, who distinguishes between the variable (longer) and the unvariable (shorter) appoggiatura. ⁷³ According to Bach, the variable appoggiatura typically precedes longer note values, occupying half

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⁷² Somfai, The Keyboard Sonatas, 47.

⁷³ Bach, *Essay*, 88-95.

(simple meters) to two-thirds (compound meters) the value of the main note and assuming the emphasis. In contrast, the unvariable appoggiatura, also known as the acciaccatura, usually precedes a quicker note and should be executed rapidly to minimize its usurpation of the main note's value and emphasis. With respect to the latter type, however, Bach cautions that any such rapidity must be modified for the affect at hand, particularly within slow tempi.

Written-out appoggiaturas (or acciaccaturas, as the case may be) abound in Haydn's keyboard works; and, as with other forms of ornamentation, these examples can serve as guidelines for lateral application by the performer. In Haydn's Sonata in D major, Hob. XVI:24, composed during his years at Esterháza and published in 1773, the concluding materials of the first movement's outer sections are marked by triadic outlines: ornamented by turns in the exposition, and, as shown below, bridged by appoggiaturas in the recapitulation. [See Example 40.] In his Trio in E major, XV:34, estimated to have been composed around the same time, ca. 1771, Haydn adorns the minuet movement with lilting appoggiaturas. In the opening measures, we see lower-neighbor appoggiaturas in the violin and keyboard lines creating a gentle suspension from each preceding pitch. [See Example 41.] Toward the middle of the minuet, Haydn employs an upper-neighbor appoggiatura in m. 13 and a connecting appoggiatura in m. 14 to generate a melismatic flourish into a half cadence. [See Example 42.] Finally, in Haydn's late Hob. XV:28 trio of 1797, we see a series of acciaccaturas approaching their main notes by leap, appearing in only the keyboard part to fill in the harmonies suggested by the main notes. [See Example 43.] From these examples, we glean performative insight into some of the ways in which Haydn sought to connect and complement his notation in the interests of melodic lyricism and harmonic clarity.

Example 40: Haydn's Sonata in D major, Hob. XVI:24, I. Allegro, mm. 151-152



Example 41: Haydn's Trio in E major, Hob. XV:34, II. Minuet, m. 1-3



Example 42: Haydn's Trio in E major, Hob. XV:34, II. Minuet, m. 13-14



Example 43: Haydn's Trio in E major, Hob. XV:28, I. Allegro moderato, mm. 1-4



Generally speaking, Haydn indicated ornaments fairly sporadically and imprecisely, particularly in his output through the mid 1770s: often, for example, using trill, turn, and mordent symbols interchangeably, and leaving a sizable burden of interpretative embellishment at the hands of the performer. Although this approach belies the expectations of precise notation that subsequently developed over the course of the following century, Haydn was certainly not alone among his predecessors in his attitude toward the relatively free treatment of ornaments. Indeed, Bach corroborates this flexibility multiple times throughout his treatise: in one instance, instructing the performer that, for the sake of preserving the desired affect within a slow tempo, a turn can be substituted even where the composer may indicate a trill.⁷⁴ It is likely that this attitude of permissiveness was rooted in a shared understanding among contemporary composers and performers: a relationship that afforded a sizable amount of discretion to the latter, but one that gradually evaporated with the rise of the musical dilletante.

Somfai discusses at length a "catch-all" symbol, favored by Haydn to the extent that is sometimes referenced as the "Haydn ornament." [See Figure 8.] Haydn used this ornament loosely, applying it in a variety of contexts that preclude a singular interpretation of its execution. Given the culture of notational freedom and an examination of the specific contexts in which the "Haydn ornament" appears, Somfai posits that this symbol was used interchangeably to indicate either a turn or a mordent.⁷⁶

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⁷⁴ Bach, *Essay*, 115.

⁷⁵ Somfai, The Keyboard Sonatas, 58.

⁷⁶ Ibid

Figure 8: The "Haydn ornament"



The performer, therefore, is often charged with deciphering the appropriate application of this ornament. Sometimes the context clearly precludes one or the other option, but at other times, a decision must be reached based on tempo, direction, surrounding pitches, and other considerations. Haydn's Sonata in F major, Hob. XVI:23, another product of his time at Esterhazá, presents a compact example of this notational fluidity. In mm. 13-14 of the second movement, a "Haydn ornament" appears on the fourth beat of each measure. [See Example 44.] In m. 13, the ornamented D is somewhat isolated: by rests from the preceding upper neighbor tone on the first beat of the measure, and by the span of a third from the following F. In this context, a turn would be an appropriate choice, as it recalls the first-beat upper neighbor (E-flat) to bridge the gap between the D and the F, and the quarternote value within the adagio tempo affords it the space for a leisurely execution. In m. 14, however, the ornamented E-flat is approached and followed by the upper neighbor tone of F. In the interest of avoiding a cumbersome restriking of the upper neighbor, particularly in light of the upcoming restriking notated for the D-flat at the turn of m. 15, a (downward) mordent would better serve this context. From this example, we see two side-by-side instances in which Haydn loosely indicated ornamentation with his master symbol, comfortably entrusting their sensible executions to the informed amateur.

Example 44: Haydn's Sonata in F major, Hob. XVI:23, II. Adagio, mm. 13-15



Haydn's free approach toward the process of ornamentation emanates from the attitudes of generations prior, by which keyboardists' responsibilities ranged from embellishments and interpretive decisions to figured bass realizations and extended improvisations. These expectations are reflected in much repertoire of the past century, including unmeasured preludes, accompanied sonatas, and dance suite movements of composers such as Louis Couperin, Frescobaldi, Handel, and J.S. Bach. Haydn's many minuets perpetuate this tradition. Generally sparse and unadorned, these movements furnish the framework within which a contemporary performer was expected to exercise his interpretive prowess. For example, the minuet movement of Haydn's final Esterhazy Sonata in A major, Hob. XVI:26, with its basic quarter-note rhythms, harmonic simplicity, and clear part-writing, strikingly recalls the dance suites of the 17th and early-18th centuries. [See Example 45.] A successful execution of this passage would invoke some combination of mordents on downbeats, trills on longer note values, rolls where multiple pitches are notated simultaneously, appoggiaturas for emphasizing or leading into strong beats, or scalar glissandi between wider intervals. Such insertions are, of course, not limited to minuet or dance movements, but expected, to varying degrees, throughout the keyboard literature of this time. Music set in faster tempi or with vigorous textures is generally less conducive to elaborate ornamentation, but works or movements set in slow to moderate tempi, with

sparser textures or in an improvisatory style, lend themselves well to such performative liberties.

Example 45: Haydn's Sonata in A major, Hob. XVI:26, II. Menuet al rovescio, mm. 1-10



The performer's role in the elaborative process is particularly relevant in the case of repeated sections, including the standard repeat indicated above and the *da capo* repeat following this minuet's accompanying trio. Originating as an operatic *da capo* aria, this form traditionally furnished in its reprise the opportunity for a singer to present his own embellished version of the opening section. In the minuet above, including the initial repeat, the performer ultimately plays the excerpt three times. In keeping with tradition, the first iteration would typically be the simplest, with the subsequent iterations distinguishing themselves via contrasting embellishments. In addition to the returning outer sections found in ternary and rounded binary forms, we most commonly see other cases of varied repeats in Haydn in his sonata-allegro exposition repeats and recapitulations, repeated variation segments, and binary-form finales.

As I discussed earlier, the efficacy of Beghin's concept of the printed score as Haydn's vision of the "final" ornamented performance varies widely in accordance with the wide range of notational precision found throughout Haydn's keyboard output. Beghin's proposed approach works well in case of more thorough notation, as in the Hob. XVI:49 "Genzinger" sonata or the Hob. XVI:50 sonata for Bartolozzi. However, in other cases, particularly among Haydn's earlier output, the selective presence of ornamentation cannot be taken to reflect the full extent to which a work should be embellished. Rather, in the majority of Haydn's sonatas, it is likely that such indications functioned as general guidelines for students or dilletantes to apply throughout, or even as cursory reminders for himself. Beghin further notes that the modern performer possesses an infinitely higher skill level and theoretical understanding than did most of Haydn's student and dilletante audiences of the era (the Auenbrugger sisters presumably excepted). 77 As such, the modern performer should not limit himself to the few instances of ornamentation notated, nor should be feel obligated to use the provided ornament every time. The mere presence of an ornament indicates a point of harmonic or structural importance, but the precise means of emphasis should vary not only from one iteration to next, but also from one performer to another.

Improvisation

Our exploration of embellishment leads us now to the highest level of performative freedom, that afforded by the tradition of improvisation. Rooted in the medieval vocal tradition of extemporizing counterpoint over a set cantus firmus, free improvisation gained traction with the rising popularity of instrumental music throughout the 17th century. It

⁷⁷ Beghin, "Delivery," 138-139.

materialized stylistically in scripted genres such as unmeasured preludes, toccatas, and fantasias; and it enjoyed unscripted opportunities in the context of figured bass realizations and concerto cadenzas.

Mattheson characterizes the improvisatory fantasia – also broadly appearing under titles such as the boutade, toccata, prelude, or ritornello – as a fanciful caprice eluding precise definition. Marked by rhapsodic spontaneity, the *galant* fantasia often manifests in virtuosic, idiomatic toccata-like textures, or in oratorical mimicry stylistically aligned with operatic recitative in its sparse texture, rhythmic freedom, and rhetorical diversions. In these ways, the fantasia genre incorporates textures reminiscent of early keyboard and opera writing stemming from the century prior; at the same time, it fits well into the aesthetic of sentimentality and expressivity prioritized by the *empfindsamer Stil* movement of the mid 1700s.

In addition to appearing under the titles cited above, the fantasia style in keyboard writing frequently surfaces as a diversion within a larger scheme. We find a prime example of the latter in the first sonata of C.P.E. Bach's Wq. 48 set, in which the short second movement is built upon alternations of homophonic writing with passages of recitative. [See Example 46.] In keeping with tradition, the sparse accompaniment of the recitative portions is notated in the left hand with only figured bass (realized here by the editor). In the first example of recitative, beginning in m. 3, a quick rest marks its entrance, as the texture abruptly thins to only the vocal line and its underlying chordal accompaniment, presumably intended to be rolled in the style of lute strumming. The longer melodic phrases of the preceding section are contrasted by truncated phrases and punctuating rests in the recitative,

⁷⁸ Mattheson, Der vollkommene Capellmeister, 232.

in emulation of the halting nature of extemporaneous thoughts. The disruption to the interspersed regularity of the movement's homophonic sections suggests that a good deal of rhythmic freedom and other performative liberties are to be taken during these speechlike diversions.

Example 46: C.P.E. Bach's Sonata in F major, Wq. 48 No. 1, II. Andante, mm. 1-9



Although Haydn composed the isolated Fantasia in C major, Hob. XVII:4, and Capriccio in G major, Hob. XVII:1, his fantasia writing manifests mostly in contrasting sections of ternary forms or in a number of his more experimental developments. In his Trio in A-flat major, Hob. XV:14, the middle section of the second movement incorporates a contrasting fantasia in the keyboard part against a strummed (indicated *pizzicato*) string accompaniment. [See Example 47.] Although scripted, this segment emulates the freedom of recitative, with complex hemiola runs in the keyboard and ample openings for rubato or additional embellishment. Measures 28 and 30, in particular, offer such opportunities, as even the limited strummed accompaniment of the string parts is temporarily suspended.

Example 47: Haydn's Trio in A-flat major, Hob. XV:14, II. Adagio, mm. 25-32



As noted earlier, Haydn also applied the freedom of fantasia in some of his developments, heavily concentrated among those sonatas of the late 1760s and early 1770s. These are characterized by significant swaths of modulatory material generally capitalizing on a theme or motive of the preceding exposition. In this context, the freedom tends to be less in the rhythmic realm and more in the harmonic or structural sense: in lieu of the recitative-inspired melismas of the preceding excerpt, the writing generally exhibits a rhythmic drive, fueling modulations and, relative to Haydn's other sonatas, often extending the development's proportion to the rest of the movement.

Some of these developments, as I have discussed, incorporate elements of early keyboard toccata style, while others build on the homophonic textures associated with *galant*-era writing. Previously, I explored the first movement of Haydn's Hob. XVI:46 sonata, in which rapid hocket texture assuming the bulk of the movement's modulatory function dominates the first movement. [See Examples 27c-d.] A similar texture can be observed in the development of the Hob. XVI:24 Esterházy sonata's first movement; and the

experimental Hob. XVI:19 sonata features within its first movement a highly-sequential development constructed around the similarly atavistic rapid pedal point texture of the secondary theme area excerpted above in Example 36c.

In contrast, the first movement of the Hob. XVI:26 sonata, the final of the Esterházy set, freely spins the secondary theme material into an extended, fully *galant* texture that also renders this development proportionally among Haydn's longest. [See Example 48.] Opening with the undulating accompaniment of the exposition's closing material, this development segues into the excerpt below, with a relatively novel broken-octave accompaniment, beginning in m. 44, giving way to a classic Alberti bass in m. 50. The traditional sequential writing here is countered by voice crossings and fragmented motives. The harmonies change at a swift modulatory pace, and taken together, the parts span nearly four octaves in register within the course of only a few measures. The combination of these elements positions this development squarely within the *galant* era, with its sprawling disposition serving as both a nod to the fantasia writing of yore and a harbinger of the expansive developments yet to come.

Whether the freedom of fantasia writing transpires in a rhythmic, harmonic, or structural capacity, its extemporaneous origins indicate that such passages furnish the performer's opportunity for creativity. In the context of Haydn's keyboard writing, the typical positioning of fantasia writing as contrast reinforces the idea that these sections should be highlighted for their variety and their unique rhythmic, harmonic, or textural colors. Rhetorically, these sections correspond to the expansion and elaboration of the points (or themes) stated earlier. It lies within the performer's domain to capture the meandering, improvisatory, or embellished nature of the fantasia at hand.

Example 48: Haydn's Sonata in A major, Hob. XVI:26, I. Allegro moderato, mm. 44-52



Turning now to the unscripted counterpart of fantasia writing, the free cadenza represents the true pinnacle of performative expression. Traceable in the vocal realm from the melismatic *cauda* appearing at the end of medieval conducti, through the 17th-century aria tradition of improvisatory cadential elaboration, cadenza opportunities in an instrumental context can be identified throughout the early 18th century, notably in the concerti of Vivaldi, Handel, and J.S. Bach. Such opportunities are often indicated with merely a fermata, and in their truest form would have been extemporized each time, particularly in a performance by the composer himself.

It is evident, however, that by the mid to late 1700s, while the aesthetic of extemporization was still prized, the distinct skills of performance and improvisation no longer went hand in hand. Increasingly, likely owing in part to the growing demand for printed music among dilletante performers outside the sphere of the court, composers began to assume the burden of scripting the cadenzas as well. Beghin references a directive by esteemed contemporary composer and organist Daniel Gottlob Türk that reveals the

diminishing expectations of performers' abilities. In his *Klavierschule* treatise of 1789, Türk advises performers to prepare a cadenza in advance, but to perform it "as if these were just incidental and random thoughts."79 This practical advice clearly aims to preserve the tradition of improvisation, variable skill levels notwithstanding.

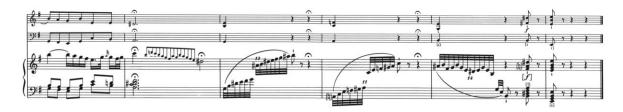
The concerto cadenza tradition extends to other realms as well, as exemplified by the ample opportunities indicated in the solo and accompanied sonatas of Haydn and his contemporaries. As in the concerto genre, such arrangements generally accentuate a cadential point, capitalizing on the momentary uncertainty of a leading chord and calling for a free fantasia-inspired insertion, which may range in complexity from a single melismatic embellishment to a more extensive expansion of the movement's thematic material. Often, these appear at the end of a movement, as in the second sonata from C.P.E. Bach's Wq. 48 set. [See Example 49.] Here, the pensive, melodic adagio movement concludes on a cadential 6/4 chord, marked with a fermata to indicate the performer's liberty to indulge in a melismatic prolongation of the final tension point. Similarly, at the end of the passacaglia movement of Haydn's XV:28 trio, the recurring ground bass comes to a dramatic halt on a dominant-seventh harmony underlying a prolonged appoggiatura in m. 61, marking a transition to a set of fantasia-inspired flourishes that conclude the movement. [See Example 50.] In this excerpt, a cadenza is best suited to the first fermata (m. 61), in the interest of expanding upon the harmonic tension of the cadential dissonance. In contrast, the flourishes of mm. 62-63 are essentially written-out improvisations, with appoggiaturas and passing tones filling in larger intervals, and the fermatas in this case simply indicating a prolongation of the dramatic pauses punctuating each gesture.

⁷⁹ Daniel Gottlob Türk, Klavierschule (Leipzig & Halle: Schwickert; Hemmerde und Schwetschke, 1789), translated in Beghin, "Delivery," 154.

Example 49: C.P.E. Bach's Sonata in B-flat major, Wq. 48 No. 2, II. Adagio, mm. 38-42



Example 50: Haydn's Trio in E major, Hob. XV:28, II. Allegretto, mm. 60-65



In the context of sonata-allegro form, occasions for cadenza may appear at the end of both exposition and recapitulation reprisals, although they do not necessarily need to be realized at every opportunity. The first movement of Haydn's XVI:46 sonata, for example, presents multiple openings for cadenza. In the outer sections, these appear both in the midst and at the end of the secondary theme area, in which the first presentation of the theme centers around the dominant-seventh harmony of the respective main keys of each secondary theme area (the dominant key of E-flat major in the exposition, and the tonic key of A-flat major in the recapitulation). Here, as shown above in Example 27a, the first cadenza opportunity, in. m. 17, marks a half cadence that yields to a reiteration of the secondary theme. The second, on the other hand, presenting upon an intensified dominant-seventh half cadence just six measures later, functions as structural punctuation, bringing the section's flowing runs to an abrupt halt before the movement begins transitioning to its closing material. [See Example 51a.]

Of particular interest in this sonata is Haydn's incorporation of three cadenza points within its fantasia development, each serving one of two different functions. The first cadenza opportunity, mirroring the one just examined, functions as a structural delineation. As discussed earlier, this development capitalizes heavily on the hocket texture seen in Example 27a, engaging it in a toccata-like modulatory sequence that spans a full 16 measures. As in the exposition, this passage also comes to a close on a half cadence in m. 64 of Example 27d, this time setting up a return to the material that earlier served as a loosely inverted continuation of the primary theme (mm. 9-12). It is worth noting the significance of this structural juncture, as it marks the final statement of the continuation material, which will not recur in the recapitulation.

Within this segment of continuation material, two additional cadenza opportunities, arising in mm. 69 and 72, function largely as improvisatory dramatic effect. Each spot is approached by an identical ascending flourish, culminating on a cadential diminished-seventh harmony to reinforce the section's submediant tonality, and answered by the same descending run cadencing in f minor. [See Example 51b.] Here, the sustained fermatas do not occur at structural junctures, but rather convey a twice-repeated rhetorical uncertainty before the unequivocal return of the recapitulation five measures later. In contrast, this decisive approach to the primary theme and tonic key, sans cadenzas, terminates the element of meandering improvisation that characterizes most of the development.

Example 51: Haydn's Sonata in A-flat major, Hob. XVI:46, I. Allegro moderato, a) mm. 21-23, b) mm. 71-73



Although cadenza openings traditionally center upon cadential points, often furnishing the opportunity for a final performative foray, these occasions range in significance. The type and length of a cadenza should be scaled proportionately to that of the movement or work, its proximity to other cadenza points, and its overall function. For example, given the frequency of such opportunities in the XVI:46 sonata, it would be excessive to insert a large-scale cadenza at every point. Rhetorical fermatas such as those just discussed could be observed by embellishments as simple as a long trill, or a multidirectional arpeggiation. The performer may also opt to reserve exposition cadenzas for a varied repeat, or to save his lengthiest cadenzas for the most climactic point near the end of the movement or work. In their most developed forms, cadenzas may mimic, on a smaller scale, those found in concerti, with passagework or melodic forays recalling thematic material of the movement, or, given some of Haydn's cyclical tendencies, even that of movements prior.

Conclusion

The foregoing discussion has examined the historical positioning of Haydn's keyboard compositions, the specific ways in which the influences of an earlier aesthetic permeate these works, and the range of interpretational options and freedoms that are, by implication, availed to the modern performer. The quest to understand music from a contemporary, rather than retrospective, vantage point is an age-old struggle. Insofar as Haydn is concerned, however, the removal of 19th-century dogmatisms can be refreshingly liberating to the modern performer. It is my hope that this study may, in some small way, inspire the performer's creative efforts in the pursuit of a nuanced, historically-informed approach to Haydn's music.

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