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# CONTINUOUS EXPOSITION IN MOZART'S SLOW CHAMBER-MUSIC MOVEMENTS

**ABSTRACT**

The literature on continuous exposition is characterised by two features: (1) concentration on the music of Haydn and (2) the examination of fast movements. This essay deviates from these starting points by examining Mozart's slow movements. The aim is to give close readings of a small number of works taken from a limited corpus rather than to provide an overview of Mozart's slow continuous expositions. The works concerned are the slow movements of three- and four-movement chamber-music works composed after 1775. Of the 42 slow movements in this corpus there are three with a continuous exposition: Larghetto from the Quintet for Piano and Winds, K. 452 (1784), Larghetto from the Quintet for Clarinet and Strings, K. 581 (1789), and Adagio from the String Quintet, K. 593 (1790). These expositions are analysed, and each of them is paired with another exposition from Mozart's slow chamber-music works that features elements leading in K. 452, K. 581 and K. 593 to continuous organisation. The similarities notwithstanding, these expositions are interpreted as two-part.

## Introduction

The new *Formenlehre*, which is based primarily on the studies of William Caplin (1998) and of James Hepokoski and Warren Darcy (2006), has considerably deepened the general understanding of musical form. Moreover, it introduces numerous new concepts useful for describing the temporal course of music, one of which is the 'continuous exposition', a term coined by Hepokoski and Darcy. In clarifying this phenomenon, they make a distinction between two subtypes, the first of which, the 'expansion-section subtype' (2006, pp. 52–60), I concentrate on here. Henceforth, it is to this subtype that I refer when I employ the term 'continuous exposition'. The subtype closely resembles the 'three-part division of the exposition' described by Jens Peter Larsen ([1963] 1988, p. 274).[1]

As is well-known, Hepokoski and Darcy recognise a 'medial caesura' (MC) in a conventional two-part exposition, a gesture that signals the end of the first part. At the same time, it opens up space for the second part, which begins with the secondary theme. In

contrast, a characteristic feature of a continuous exposition is the lack of both a medial caesura and a secondary theme (S). Instead,

> [f]ollowing a P-idea, the composer enters TR and continues to spin it out in a succession of thematic or sequential modules for most of the rest of the exposition, never pausing for the MC breath and the subsequent launch of S […]. TR-rhetoric proceeds considerably past the last possible point where one would expect to find an MC and subsequent S. (Hepokoski and Darcy 2006, p. 52)

These continuous expositions are tripartite. The first part is the primary theme (P), which ends in a tonic-key cadence. The central second part is the one that avoids the medial caesura and secondary theme. It begins like a regular transition but at some point, its function is reinterpreted as an ongoing *Fortspinnung* module, a formal transformation indicating that no medial caesura will arrive. Hepokoski and Darcy use the designation 'TR⇒FS' when referring to the functional reinterpretation from a transition (TR) to a *Fortspinnung* (FS), the double-shafted arrow signifying the reinterpretation.[2] This central TR⇒FS module ends in a perfect authentic cadence in the secondary key, which functions as the essential expositional closure. The concluding third part is a post-cadential closing zone (C). The third part may be omitted because the EEC that ends the TR⇒FS module completes the tonal requirements of an exposition.

Two tendencies in the literature on the continuous exposition (specifically, on the first subtype, which I discuss in this essay) are of significance here: (1) an almost exclusive focus on the music of Joseph Haydn and (2) references only to fast movements. In their description of this formal type, Hepokoski and Darcy (1997, pp. 118–19 and 134–8; and 2006, pp. 52–60) concentrate on works by Haydn, the sole exceptions being a brief mention of one symphony by Giovanni Battista Sammartini and a general reference to the sonatas of C. P. E. Bach. In an earlier work I examined interactions between tonal structure and continuous expositional organisation in Haydn's late expositions (Suurpää 1999). Nathan John Martin (2014) also takes his examples from Haydn in his discussion of the legacy of Larsen's three-part division of the exposition and its relationship to the continuous exposition and form-functional theory. Moreover, Peter H. Smith (2014, pp. 27 and 31) uses the adjective 'Haydnesque' with reference to this formal type in his examination of continuous expositions in the music of Robert Schumann. Haydn was also in focus in earlier literature on the three-part expositional organisation: according to Larsen ([1963] 1988, p. 274), 'Typical examples

of three-part, rather than two-part, division of the exposition are found in many of Haydn's compositions'; Charles Rosen (1988, p. 100) notes that 'Haydn […] often preferred three-part organization'; and James Webster (1991a, p. 166) refers to 'one of Haydn's special features of form: the so-called "three-part" exposition'.

The second aspect that characterises the literature on continuous expositions is the exclusive concentration on fast movements, either first movements or finales. The studies mentioned above (Hepokoski and Darcy 1997 and 2006, Larsen [1963] 1988, Martin 2014, Rosen 1988, Smith 2014, Suurpää 1999 and Webster 1991a) do not discuss one single slow movement that would fall within the continuous or three-part framework.

This essay deviates from these studies in two respects: (1) it examines works by Wolfgang Amadeus Mozart, and (2) it concentrates on slow movements. Thus, it widens the repertoire to which the concept of the continuous exposition has been applied. However, I do not intend to give an overview of the appearance of continuous expositions in Mozart's slow movements; my aim is rather to analyse a small number of expositions in detail. To this end, and to avoid having more material than can be examined in a single essay, I concentrate on chamber music (duos, trios, quartets and quintets), which constitutes a relatively unified body. This would not have been the case with other genres I could have chosen. To take two examples, considering slow movements in orchestral music would have necessitated accounting for the formal differences between symphonies and concertos – differences discussed in detail in the new *Formenlehre* – while opting for slow operatic arias would have required examination of the challenges in applying instrumental forms to arias, as well as of the role of musico-poetic associations in vocal music.[3] Moreover, I include only slow second movements (or third movements when a minuet precedes the slow movement) in three- or four-movement cycles, leaving out slow first movements and slow movements in divertimento-like cycles with more than four movements. My point in concentrating on the second and third movements of chamber-music works is to have a relatively unified corpus of material, which will make it easier to reflect on the analysed movements in light of other works in the corpus.[4]

I also imposed a time-based restriction, considering only works composed after 1775. Defining this year as a temporal boundary is somewhat hazardous, as any such boundary would be, yet it is worth doing. In the main, the new *Formenlehre* addresses form as it appeared in the last quarter of the eighteenth century and the beginning of the nineteenth. Caplin states this explicitly: '*The theory is based on music of a single style*. My investigation is limited to the instrumental music of Haydn, Mozart, and Beethoven as representing the

core repertory of the high Viennese classical style (ca. 1780–1810)' (1998, p. 3; italics in the original). Hepokoski and Darcy are not as strict: they refer to works written as early as the 1740s and as late as the second half of the nineteenth century, but the vast majority were composed in the last quarter of the eighteenth century and the opening decades of the nineteenth. Indeed, as Hepokoski notes in a later study with reference to the principles of the essential expositional closure and medial caesura, '[B]y the last third of the eighteenth century […] both rhetorical hard breaks [EEC and MC] are strongly normative: the final caesura from the beginning of the *galant* sonata's origins, and the medial caesura increasingly after mid-century' (2016, p. 49).

The boundary year 1775 is further justified in light of the subtle but recognisable stylistic difference between Mozart's early and late chamber-music slow movements. The early works tend to be small in scale and close to the *galant* principles that prevailed in the third quarter of the eighteenth century and do not always follow the formal conventions that were fully established towards the end of the century, on which the new *Formenlehre* is based. L. Poundie Burstein (2020) thoroughly discusses the difficulties involved in applying modern analytical tools to *galant* expositions. He suggests that it might be appropriate in the analysis of the *galant* as opposed to the High Classical sonata form to replace – or at least complement – modern terminology with concepts applied by musicians writing in the second half of the eighteenth century. Burstein's cautionary comments do not apply to the movements discussed in this essay, which were composed in 1784 or later.[5]

<INSERT Table 1 NEAR HERE>

Mozart composed 42 three- or four-movement chamber-music works after 1775 (Table 1). Among the slow movements are three in which the expositions could best be understood as continuous: the Larghetto from the Quintet for Piano and Winds, K. 452 (1784), the Larghetto from the Quintet for Clarinet and Strings, K. 581 (1789) and the Adagio from the String Quintet, K. 593 (1790). The continuous organisation in the Piano Quintet and the Clarinet Quintet is clear, whereas the one in the String Quintet is more open to debate.

Although I based my selection of movements on their expositional organisation, I do not limit my investigation to overall form. Instead, my analyses combine three perspectives: (1) the large-scale formal organisation of the expositions, based on the terminology of sonata theory; (2) phrase structure, described via concepts taken from form-functional theory; and

(3) voice-leading structure and hypermetre, examined from the perspective of Schenkerian analysis. All three approaches are located in a freely hermeneutic and narrative framework, based largely on expectations created by the formal conventions and the music's deviations from them. The proportional lengths of the formal segments in the expositions also have an effect on the narrative arch.

I pair each of the continuous expositions in the Piano Quintet, Clarinet Quintet and String Quintet with another movement from my repertoire that shares features similar to those I read as continuous expositions; crucially, however, I interpret these expositions as falling within a two-part layout. I base my different readings of apparently similar features largely on proportions and overall narrative, thus bringing technical and hermeneutic aspects into a dialogue.

**Early Arrival on the Dominant: Larghetto from the Quintet for Piano and Winds, K. 452**

Of the three continuous expositions in Mozart's slow chamber-music movements, the one in the Quintet for Piano and Winds, K. 452, is closest to the archetype; it is outlined briefly in Table 2. The primary theme (bars 1–18) is a tight-knit compound period, with a slightly expanded consequent. The central TR⇒FS module (bars 19–32) modulates from tonic to dominant and ends in a V:PAC, the essential expositional closure. The closing zone consists of an expanded cadential progression heard twice, followed by brief cadential modules. Because of the reiterated cadential activity, the closing zone is clearly post-cadential rather than a functionally independent formal unit with its own beginning, middle and end.

<INSERT Table 2 NEAR HERE>

<INSERT Ex. 1 NEAR HERE>

The TR⇒FS section immediately suggests increased harmonic activity (Ex. 1), first fleetingly tonicising G minor (bar 22) and then more firmly F major, the dominant (bar 26). This would be a conventional beginning for a transition: tonicising the dominant in the middle of a transition is a pattern that Mozart and other late eighteenth-century composers used over and over again. Fig. 1 shows two archetypal voice-leading functions for such dominants (see the asterisks): they occur within an extended, chromaticised prolongation of the tonic chord, which consists either of a voice exchange (Fig. 1a) or a 5–6 progression (Fig. 1b).[6] A passing tonicisation of VI before arriving at the dominant, which occurs in the Piano

Quintet, was also common: Fig. 2 shows two instances from my corpus, Fig. 2a within a voice exchange (String Quartet K. 458, third movement; VI appears in bar 7 and V in bar 9) and Fig. 2b within a 5–6 progression (Piano Trio, K. 496, second movement; VI appears in bar 13 and V in bar 17).

<INSERT Fig. 1 NEAR HERE>
<INSERT Fig. 2 NEAR HERE>

Tonicisation of the dominant is not the only feature that ties the transitory opening in the Piano Quintet to conventional patterns. Bars 19–26 consist of an elaborate version of a *galant* schema called the 'modulating Prinner' (Gjerdingen 2007, pp. 52–3), in which outer voices move in parallel tenths: B♭/D (bar 19), A/C (bar 20), G/B♭(bar 22) and F/A (bar 26). Mozart often started his transitions with this schema: bars 13–16 from the second movement of the String Quartet K. 465 provide a straightforward example from my corpus. (The transition of K. 465 falls within the 5–6 archetype.) All in all, nothing in bars 19–26 of the Piano Quintet suggests that the movement would deviate from practices encountered in the transitions of two-part expositions – on the contrary, the music seems to follow a very conventional path.

<INSERT Fig. 3 NEAR HERE>

Yet no conventional transition materialises. The first indication of any deviation from expectations is the $I^6$ of F major (bar 27), which one would probably assume to begin a cadential progression: in Classical harmonic grammar, $I^6$ often signals the onset of a cadential motion leading to a perfect authentic cadence.[7] The music thus suggests that it might be on its way towards an authentic cadence, rather than the half cadence with which the transition conventionally ends. Indeed, the musical unit starting with the $I^6$ in bar 27 does end with an authentic cadence, and bars 27–33 are underlain by a four-bar basic phrase, an expanded cadential progression detailed in Fig. 3.[8]

<INSERT Fig. 4 NEAR HERE>

This cadential progression is hidden in the music. The second bar of the basic phrase is expanded into a three-bar unit, and as the metrical annotations in Fig. 4b indicate, the bar-level metre is challenged in the expanded second hypermeasure by a hemiola and two consecutive strong beats in bar 28.[9] The hemiola also affects the phrase structure. Rather than having a unified expanded cadential progression representing the cadential function in its entirety (as in Fig. 3), the successive strong beats and the two-beat fragmented units suggest a medial function, the onset of a continuation (Fig. 4b). The return to the underlying basic phrase in bar 31 then starts the cadential idea that ends the continuation in a perfect authentic cadence, the essential expositional closure. All in all, the TR⇒FS section consists of a compound sentence, the presentation leading the music from I to V and the continuation confirming the dominant key via a PAC, whose arrival is postponed by an expansion.

The tonal structure of the TR⇒FS section deviates considerably from that of conventional two-part expositions. As Fig. 1 indicates, a tonicised dominant in the transition usually occurs within an extended, chromaticised prolongation of the tonic chord. In the Piano Quintet, on the other hand, the F major sonority of bar 26 functions as an opening element of what Roger Kamien (2005) calls a 'quasi-auxiliary cadence' (Fig. 4a). In other words, the chord of bar 26 anticipates the structural dominant of bar 32, at the same time starting a harmonic progression aiming at this dominant. As in the formal organisation, in which a transition is reinterpreted as a *Fortspinnung*, the tonal structure also features a reinterpretation, or a change in expectations: the dominant of bar 26 that one assumes to be a passing element (Fig. 1) is reinterpreted as an anticipation which begins a cadential progression (Fig. 4a).

This structural reinterpretation changes the assumed cadential goal in the same way as the formal reinterpretation in TR⇒FS does. A passing secondary-key tonic in a two-part exposition leads to a chromaticised version of the tonic, a sonority that prepares the half-cadential V/V that underlies the medial caesura (see again Figs 1 and 2). The anticipatory secondary-key tonic, in contrast, leads to a perfect authentic cadence that constitutes the essential expositional closure (Fig. 4). The expansion in bars 28–30 hides the long-range cadential activity, but the similarities between the basic phrase shown in Fig. 3 and the middleground structure in Fig. 4a clarify the way in which a cadential motion underlies the active *Fortspinnung* quality that appears on the musical surface.

<INSERT Ex. 2 NEAR HERE>

Ending a section that follows the primary-theme zone in a V:PAC does not in itself suffice to indicate a continuous exposition. There may be elements that also suggest a two-part organisation in instances with a V:PAC. As an example, let us consider the Andante from the C major String Quintet, K. 515. The movement opens with a sentential primary theme (bars 1–12), the continuation of which has been expanded. After this comes another thematic statement, a compound period (bars 13–32). The eight-bar antecedent (bars 13–20) is sentential, ending in a half cadence. Ex. 2 shows the score of the consequent. The presentation (bars 21–24) repeats the presentation of the sentential antecedent (b.i.+b.i.), but the continuation starting in bar 25 deviates considerably from the corresponding section in the antecedent. The chromaticism of the model-sequence passage in bars 25–28 immediately begins to challenge the tonic key, F major, and fragmentation in bars 29–30 starts to veer towards C major, the key of the dominant. C major is then confirmed in bars 31–32 by a cadential idea that ends in a V:PAC.

<INSERT Fig. 5 NEAR HERE>

Because the compound period of bars 13–32 has a modulating consequent, its concluding perfect authentic cadence is in the dominant key. Nevertheless, and notwithstanding the similarities with the Piano Quintet, I do not interpret a TR⇒FS here, but rather take the cadence in bar 32 as a V:PAC medial caesura, the 'third-level default' of medial caesuras that Hepokoski and Darcy discuss (2006, pp. 27–9). Consequently, I interpret the compound period in bars 13–32 as the transition. The different interpretations of the apparently similar sections in K. 452 and K. 515 are justified by the exposition's proportions in K. 515. Unlike in the Piano Quintet, there is no extended preparation for the structural dominant reached in bar 32 (Fig. 5). The middleground still unequivocally prolongs the tonic when the consequent of the transitional period begins in bar 21. Within the consequent, the tonic is transformed via a chromaticised voice exchange into an active element, a procedure that is familiar from Fig. 1a. However, now this voice exchange is primarily understood to occur within the consequent of a period – in other words, as a phrase-level event, hardly receiving as strong a structural stress as would be given to a voice exchange gradually prepared throughout the entire transition (see again Fig. 2a).[10] Moreover, the arrival at the V/V in bar 30 is texturally downplayed by the *piano* dynamic and the

sighing sensibility topic. All this diminishes the impression of the cadence in bars 31–32 as the primary expositional goal, the essential expositional closure.

The ensuing music further challenges the interpretation of a TR⇒FS in bars 13–32. Whereas the PAC in bars 31–32 of the Piano Quintet was followed by brief cadential modules suggesting a post-cadential closing zone, bar 32 of the String Quintet is followed by an extended thematic unit. Bars 33–40 constitute an antecedent in a compound period, the consequent of which is considerably expanded: it reaches a concluding perfect authentic cadence only in bars 55–56, after several unsuccessful cadential attempts. The size, form-functional independence and weight of this thematic unit deny it the function of a post-cadential closing zone. All in all, the weak preparation of the PAC in bars 31–32 and the expansive nature of the thematic unit starting in bar 33 suggest that bar 32 is an element that divides the exposition into two parts of equal weight (the MC) rather than the primary goal of its large-scale trajectory (the EEC).[11]

**A Theoretical Interlude: EEC, V:PAC MC and Transition/Subordinate-Theme Fusion**

Before continuing to the two other continuous expositions, let us pause for a moment to consider how form-functional theory would explain the slow-movement expositions of K. 452 and K. 515, in particular their first secondary-key perfect authentic cadences. As noted, my interpretations that apply sonata theory read two different expositional models in the two slow movements: a continuous exposition in K. 452 and a two-part exposition in K. 515. As a result, I take the first dominant-key perfect authentic cadence in K. 452 as an essential expositional closure, and in K. 515 as a V:PAC medial caesura. Form-functional theorists would disagree with both readings.

As Caplin (1998) makes clear, and as Caplin and Martin (2016) further elaborate, the theory of formal functions interprets a perfect authentic cadence in the secondary key as representing, by definition, the conclusion of a thematic unit within the subordinate-theme function. Because both the continuous exposition (K. 452) and the V:PAC medial caesura (K. 515) feature a secondary-key perfect authentic cadence outside the subordinate-theme function, these concepts do not lie within the confines of form-functional theory. From such a theoretical perspective, it is significant that the unit ending in a V:PAC consists in both K. 452 (Fig. 4) and K. 515 (Fig. 5) of a phrase-structural entity that starts in the main key. Because of this tonic, the beginnings of these units do not suggest the onset of the subordinate theme. Nevertheless, form-functional theory would interpret the V:PACs at their

endings as conclusions of the subordinate-theme *function*, and because there is no beginning of a subordinate theme, the transition and subordinate-theme functions are fused. Thus, form-functional theory would interpret K. 452 and K. 515 in the same way: both feature a fusion of the transition and subordinate-theme functions.

Ultimately, what is more important than the labelling the two theories assign to K. 452 and K. 515 is the broader aesthetic attitudes that underlie the differences in reasoning. Some of these divergent attitudes are clearly evident in descriptions of the kind of situation encountered in K. 515. Hepokoski and Darcy refer to a V:PAC medial caesura in such a situation, interpreting a cadence preceding the secondary theme and ending the first part of the exposition. Their description of this phenomenon endows the music with quasi-anthropomorphic features: '[I]t is as though the music at first "decides" to drive toward the normative V:HC MC, only suddenly to "change its mind," abandoning the normative implications of the dominant-lock (if that lock had indeed been initiated), and pushing instead, impulsively, toward the stronger PAC in the new key' (2006, pp. 27–8). This description addresses not only abstract musical form and cadential punctuation but also hermeneutic layers concerning expectations, their denial and aspects of expressive musical narrative. Hepokoski and Darcy also emphasise the significance of the larger musical context and the proportions of the entire exposition. In justifying the concept of a V:PAC medial caesura, they refer to three factors (ibid., pp. 28–9): (1) how far into the exposition the V:PAC occurs, (2) how the V:PAC was prepared and produced and (3) the character of the musical module that follows it. All these features underlie my interpretation of K. 515, which is further supported by the middleground tonal structure.

Form-functional theory, by contrast, exclusively concentrates on musical syntax, as is clear from Caplin's description of the kind of situation appearing in K. 515:

> Many cases of transition/subordinate-theme fusion, though by no means all, seem on the surface to be transitions that close with a perfect authentic cadence in the subordinate key, instead of the more normal half cadence. […] To speak in this manner, however, is to recognize authentic cadential closure as a legitimate deviation from the normal ending of a transition. But sanctioning this cadential possibility blurs a theoretical distinction fundamental to this study, namely, that the authentic cadential confirmation of a subordinate key is an essential criterion of the subordinate theme's function. It is thus theoretically more consistent to interpret such passages as cases of fusion than to risk confusing the fundamental characteristics of the interthematic formal functions. (1998, p 203)

Hermeneutics, expression and proportions play no role in this description. As a result, because there is a dominant-key perfect authentic cadence in bar 32 of K. 515, form-functional theory would interpret the ending of the first subordinate theme, fused with the transition and followed by a second subordinate theme.

In the above analyses of K. 452 and K. 515, I based my large-scale interpretations in part on the narrative aspects: expectations and deviations from them, proportions and the play between tensions and resolutions in tonal structure and metre. Such features led me to interpret two different expositional models. I will take the same approach in subsequent analyses. In that sonata theory acknowledges the significance of such features, it constitutes a more suitable framework for discussing the large-scale expositional organisation within the confines of this article than does form-functional theory, which is almost exclusively concerned with the syntactical layer of music.[12]

**Proportions and Balance: the Larghetto from the Quintet for Clarinet and Strings, K. 581**

Proportions played an important role in my analysis of the Andante from the String Quintet K. 515. It was largely because of the weight and form-functional independence given to the music following the cadence in bar 32 on the one hand, and the brevity of the preparation that this cadence receives on the other, that I interpreted a V:PAC medial caesura in bar 32 and not an essential expositional closure concluding a TR⇒FS module. Proportions also function significantly in the formal organisation of the Larghetto from the Clarinet Quintet, K. 581, but in a very different way. Table 3 shows the form of the exposition. Three features are worth noting. First, the primary-theme zone is twice as long as the TR⇒FS module. Because there is no closing zone, two-thirds of the exposition is occupied by P, and therefore the proportions do not emphasise the TR⇒FS module, a section that is usually given the strongest temporal and rhetorical weight in a continuous exposition. Second, the primary-theme zone consists of two independent thematic modules ($P^1$ and $P^2$), both of which end in a I:PAC. Thus, the transition does not start after the first I:PAC, as is usual. Third, each of the three thematic units has a conventional phrase structure, but in an expanded form. Together these three features largely specify the overall narrative of the exposition.

<INSERT Table 3 NEAR HERE>

Ex. 3 shows the first module of the primary-theme zone ($P^1$), a compound hybrid 1 (antecedent + continuation) in which both the antecedent and the continuation have been expanded.[13] Expansion turns out to be a motivic feature in the exposition, occurring in each of the formal segments ($P^1$, $P^2$ and TR⇒FS). All of these expansions follow two principles: (1) if they were removed, the music would smoothly move (in $P^2$ with registral adjustments) from the material preceding the expansion to the music following it, and (2) their deletion would lead to symmetrical four-bar hypermeasures.[14] The first, relatively fleeting expansion occurs in bars 5–9, in which the addition of bar 7 transforms the symmetrical four-bar basic subphrase (Ex. 4a) into an asymmetrical five-bar unit (Ex. 3). A more extended expansion occurs at the end of $P^1$. Bar 14 begins the continuation's final subphrase, which, as shown in Ex. 4b, might consist of a four-bar unit. However, the resolution of the cadential dominant in bar 16 has been omitted, and the arrival at the tonic is delayed until bar 20 (Ex. 3). As a result, the subphrase beginning in bar 14 is expanded into a seven-bar unit.[15]

<INSERT Ex. 3 NEAR HERE>
<INSERT Exs 4a and 4b NEAR HERE>

The omission of the resolution of the dominant in bar 16 is part of a larger narrative idea in $P^1$. As Ex. 3 shows, in addition to the failed cadential dominant in bar 16, there are three other cadential dominants in $P^1$: two constituting half cadences (bars 9 and 13) and one belonging to a perfect authentic cadence (bar 19).[16] Of these four dominants, only the one in bar 19 functions the way one would expect. The dominants are numbered 1–4 in Fig. 6b. The first (bar 9) ends the antecedent, so one would assume that it functions as a back-relating dominant. However, the G of the cello in bar 10 transforms the dominant into an active $^4_2$ chord, and, as Fig. 6b shows, the V turns out to be a passing sonority within a voice exchange. In other words, the tonal structure creates continuity beyond a cadential gesture that suggests punctuation.[17]

<INSERT Fig. 6 NEAR HERE>

A similar transformation occurs in bar 13, the second of the dominants numbered in Fig. 6b. Again, the musical figuration suggests a punctuating half cadence, whereas the voice-leading structure shows continuity: in bar 14, a C♮ transforms, at deep levels, the

opening tonic into an active $\frac{4}{2}$ chord such that the dominant is again an intermediate element within the transformation of the stable opening tonic into a more active sonority. The V in bar 16 is structurally the most significant of the dominants so far. As Fig. 6a indicates, it is part of an extended unfolded 5–6 exchange. Finally, the fourth dominant in bar 19 functions as an unequivocal cadential V both in the phrase structure and in the voice leading.

The differing functions of the four dominants affect the narrative nature of $P^1$; they also indirectly influence the overall formal course of the exposition, as I argue below. The stave above the graph in Fig. 6b indicates that each of the four dominants supports a passing tone, E, within the nested third-progressions F♯–E–D. Significantly, only the overarching third-progression ends on a D supported by a firm, root-position tonic. In the first three instances, phrase-structural punctuation (or an attempt thereof) occurs simultaneously with voice-leading continuity. Together with the thematic material, these formal and structural elements create a unique sense of a continuous line sung by the clarinet, a musical quality that is closer to nineteenth-century ideals of endless melody than to late eighteenth-century phrase structure guided by grammatical punctuation.

<INSERT Ex. 5 NEAR HERE>

The clarinet's endless melodic flow stops in the ensuing $P^2$ (Ex. 5), in which it is replaced by a dialogue between the clarinet and the first violin. $P^2$, like $P^1$, has been expanded: a cadential-sounding dominant arrives in bar 26, but a goal tonic is reached only in bar 30. Fig. 7 clarifies the situation. $P^2$ consists of a sentence, the continuation of which is expanded through a process described by William Rothstein (1989, pp. 87–92) as 'expansion by parenthetical insertion', and by Danuta Mirka (2021, pp. 173–84) as the expansion of a phrase through 'parenthesis'. In such cases, the expansion may be removed without affecting the middleground structure or hypermeter: after the parenthetical insertion, the music picks up from where it ended before the insertion.[18] Following a dominant reached in bar 26, there is a repetition of the first three bars of the continuation, albeit in a lower register and with small chromatic alterations. Because this repetition has no effect on the tonal structure, it is a parenthetical insertion. In terms of the phrase structure, it could be understood as an addition to what would have been a two-bar cadential idea had there been no insertion, and metrically the insertion expands the third bar of a four-bar hypermeasure. Yet, despite its parenthetical

role in the structure, the insertion gives rhetorical and temporal emphasis to the concluding cadence, thus enhancing the significance and stability of the tonic reached in bar 30.[19]

<INSERT Fig. 7 NEAR HERE>

The primary-theme zone poses a challenge for the remainder of the exposition. There have now been 30 bars of music in the slow larghetto tempo, a passage which features unusually long lines and expansions that enhance the weight of the tonic arrivals. If the rest of the exposition were to occur on an equally grand scale, it could lead to such an extended transition, secondary theme and closing zone that the length of the movement would grow beyond what was possible in a four-movement cycle from the 1780s. Mozart's solution was to write a TR⇒FS module – leaving out the secondary theme altogether – and omit the closing zone. As a result, the hugely expansive primary-theme zone covers two-thirds of the exposition.[20]

<INSERT Ex. 6 NEAR HERE>

Ex. 6 shows the TR⇒FS module. To start from the end, as in both P modules there is an expansion before the concluding cadence: the music reaches a dominant in bar 40, but a tonic arrives only in bar 45, after a parenthetical insertion. The emphasis on the cadential arrival in bar 45, enhanced by the expansion, strengthens the impression that the essential expositional closure arrives here and that the medial caesura and secondary theme have been left out.

<INSERT Fig. 8 NEAR HERE>

Fig. 8 clarifies the phrase structure, voice leading and metre. The TR⇒FS section consists of a sentence with a greatly expanded continuation. The presentation immediately starts to challenge the primacy of the tonic key, first fleetingly referring to B minor and then more insistently to A major. Bar 34, which begins the continuation, is significant in many respects. From a harmonic perspective, the situation is somewhat Brahmsian in that a rhythmic displacement – the E–D suspension of the second violin – obscures the underlying D major triad on the musical surface: when the suspension reaches D on the second beat of

bar 34, the chord has progressed to a B minor triad. The elision of the D major chord creates continuity, thus returning to the impression of a long line that governed in $P^1$. The B minor chord on the second beat of bar 34, the result of a 5–6 exchange, starts a model-sequence technique, and consequently the main stress shifts temporarily from the first beat of the bar to the second (indicated in Fig. 8 by the local metrical analysis shown with dots). As a result, the metre also starts to challenge the preceding stability.[21]

The B minor chord is then prolonged until bar 38, at which point the deep-level structure returns to the tonic pitch D in the bass; locally, the chord this D supports is an unambiguous $II^6_5$ in A major. In other words, the tonal centre has changed during the prolongation of the tonic pitch D in the bass. The dominant of A major arrives in bar 40 and, after the parenthetical insertion repeating the $II^6_5$–V progression, resolves to the A major tonic when the essential expositional closure is heard in bar 45. The extended 5–6 exchange that transforms the opening tonic into a B minor chord creates unbroken harmonic continuity in the large-scale I–II♯–V progression that underlies the TR⇒FS module, with the clarinet singing an endless melodic line in bars 34–38, as in $P^1$. All in all, notwithstanding its relative brevity, the TR⇒FS module establishes the structural dominant in a strong enough manner to guarantee a large-scale harmonic balance within the exposition.

The unusual length of the primary-theme zone in K. 581 – its division into two modules and the sheer weight of $P^1$ – poses a challenge for the rest of the exposition: an equally expansive transition and the second part of the exposition might lead to a longer movement than would be appropriate in a four-movement cycle. However, the occurrence of two independent primary-theme modules ($P^1$ and $P^2$) does not necessarily disturb the expositional proportions. Consider, for example, the Andante from the Sonata for Piano and Violin, K. 376: even if it has two primary-theme modules, as K. 581 does, it follows the conventions of a two-part exposition.

<INSERT Fig. 9 NEAR HERE>

The beautiful $P^1$ (bars 1–16) in K. 376 follows conventional patterns completely and establishes the tonic in an untroubled way. The theme is a compound period, with sentential eight-bar antecedent and consequent segments. In the presentations (bars 1–4 and 9–12) the opening basic idea features only the tonic chord, and its repetition features only the dominant. The fragmentation that begins the continuations (bars 5–6 and 13–14) alternates tonic and

dominant sonorities, such that the harmonic speed of the music increases while at the same time the stability of the tonic is further enhanced. The predominant chord in the cadential ideas (bars 7 and 15) is the first non-tonic or non-dominant sonority, and thereby announces arrival at phrase-structural and tonal closure. As Fig. 9 shows, the tonal structure underlying $P^1$ is very simple and straightforward: the tonic and $\hat{3}$ are prolonged in bars 1–6 and 9–14 by only alternating the tonic and dominant chords, while the predominant IV prepares the tonal goal, a back-relating dominant in the antecedent and the V–I closure in the consequent. There is nothing whatsoever in $P^1$ that would even minimally shake the symmetry, clarity and stability of the music.

<INSERT Ex. 7 NEAR HERE>

The second primary-theme module ($P^2$, bars 17–28 shown in Ex. 7) immediately starts to challenge the music's stability. Like $P^1$, it consists of a period, the antecedent ending in an imperfect authentic cadence (bar 22) and the consequent in a perfect authentic cadence (bar 28). However, now the internal organisation of both the antecedent and the consequent is nonconventional: in other words, the music starts to deviate from customary patterns, thus introducing elements often associated with transitions. The antecedent and consequent begin with a model-sequence technique (bars $16^2$–18 and $22^2$–24), which serves a medial function. The omission of the initiating function is a marked deviation from the tight-knit procedures that govern unchallenged in $P^1$. The subsequent music also proceeds unconventionally. The model-sequence is followed by a dominant (bars 19 and 25), the function of which is initially uncertain. Because it is not preceded by a proper predominant, it does not sound like a cadential element; moreover, within the internal phrase structure, bars 19 and 25 would come too soon for a cadential dominant to occur. As a result, the phrase-structural function of the segments in bars 19–20 and 25–26 is difficult to identify. Structurally, the dominants of bars 19 and 25 function as parts of 5–6 unfolding in the bass (Fig. 9), thus the dominant is, for the first time in the movement, neither directly surrounded by tonics nor part of a cadential progression. In other words, the tonal structure also starts to challenge the untroubled stability established in $P^1$.

Moreover, the metrical organisation of $P^2$ deviates from conventional symmetry. Both the antecedent and the consequent consist of six bars (bars 17–22 and 23–28, with upbeats in bars 16 and 22), subdivided internally as 2+2+2. Thus, there are neither archetypal four- nor

eight-bar segments. All in all, only the cadential punctuation and the middleground structure in $P^2$ reflect the stability usually associated with tight-knit primary-theme modules, whereas the local phrase structure, the metre and the foreground voice leading all challenge it.

The music following $P^2$ would first seem to enhance the significance of the tonic by starting a post-cadential codetta (see again Ex. 7). However, the innocent-sounding G on the last beat of bar 30, emphasised by staccato articulation, completely alters the course of the music: first, in terms of phrase structure it indicates that the one-bar segments in bars 30–31 are not codetta-gestures but rather the initial fragmentation in a loose continuation (codetta ⇒ continuation); second, in terms of global form, the harmony arrives in bar 31 at a V/V, the fifth of which is anticipated by the G of bar 30, a procedure indicating, retrospectively, that bar 29 started the transition; third, in tonal structure (Fig. 9), the G of bar 30 is part of an extended 5–6 exchange above the tonic, and is thus a diatonic version of the expositional 5–6 archetype shown in Fig. 1b. All in all, the tonal and formal requirements of a transition are executed in bars 30–31 almost un-noticed. The V/V arrived at in bar 31 is then prolonged until bar 34, with a converging half cadence (Gjerdingen 2007, pp. 159–62) in bars 33–34 constituting the MC.

The second module in the primary-theme zone ($P^2$) plays a very different narrative role in K. 581 and K. 376. In the former, it consists of a tight-knit sentence, the parenthetical insertion in bars 27–29 enhancing the significance of the concluding cadence. In K. 376, by way of contrast, $P^2$ immediately starts to challenge the untroubled balance heard in $P^1$, thus introducing loosening and destabilising elements normally associated with transitions. In other words, the narrative task of the transition is assumed, in part, by the second module of the primary-theme zone. As a result, the expansion of the primary theme into a two-module unit does not require a weighty transition in terms of overall proportions because the destabilisation of the initial firmness began in $P^2$. Indeed, the harmonic and structural requirements of the transition could be said to be accomplished by the fleeting G at the end of bar 30.

**Chromatic Inflections: Adagio from the String Quintet, K. 593**

Unlike in the expositions of the Piano Quintet and the Clarinet Quintet, the continuous organisation in the String Quintet, K. 593, shown in Table 4, is not straightforward. The primary theme (bars 1–8) is a period that ends in a clear perfect authentic cadence. The following seven bars form a loose sentence (bars 9–15), with a four-bar presentation and a

three-bar continuation. This unit ends in a home-key half cadence (Ex. 8, bar 15); as a result, bars 9–15 might function as a transition ending in a I:HC medial caesura. This would undoubtedly be an early arrival at the end of the first part of the exposition, suggesting smaller overall proportions than the extended first movement and the melodic breadth of the primary theme might imply. The music that follows initially seems both to confirm and to challenge the implications of an MC reading in bar 15.

<INSERT Table 4 NEAR HERE>
<INSERT Ex. 8 NEAR HERE>

A new theme starts in bar 16 in the dominant key (Ex. 8), sounding a two-bar basic idea (bars 16–17) and its repetition (bars 18–19); these features suggest the onset of a sentential secondary theme. However, the minor mode and the *tempesta* topic immediately call into question the beginning of the second part of the exposition – both elements are associated more with transitions than with secondary themes. A stronger challenge for the secondary-theme implications occurs in bar 21: instead of reaching the tonic chord prepared in bars 19–20, the music begins a model-sequence technique that starts on a remote dominant-seventh chord on an F♯. At this point, it becomes apparent that the section beginning in bar 16 is the second segment in an extended TR⇒FS module (as indicated in Table 4) rather than the secondary theme. Ex. 9, a recomposition using Mozart's material, shows a hypothetical four-bar continuation that would complement an eight-bar sentence beginning in bar 16 and confirm the secondary-theme implications. The first bar of the recomposition, which repeats Mozart's bar 20, suggests a third repetition of the basic idea, but a one-bar segment transforms the b.i. into fragmentation. The $I^6$ in the second bar, in turn, both cancels the preceding minor mode and announces the closeness of a tonal closure, and a PAC concludes the thematic unit in bars 3–4.

<INSERT Ex. 9 NEAR HERE>

In Mozart's music (see again Ex. 8), a dominant-seventh sonority on F♯ replaces the $I^6$ shown in bar 3 of Ex. 9. As a result, the element that would confirm the secondary-theme reading is not heard. The model-sequence segment that begins in bar 21 leads to a tonicised G major chord (bar 26), the reaching of which replaces the preceding *tempesta* topic with a

more tender singing style. A deceptive cadence (bars 28–29) postpones arrival at the functional conclusion, which is heard in bars 32–33. The ensuing bars 33–35 effect a retransition leading to the development section, hence there is no closing zone.

<INSERT Fig. 10 NEAR HERE>

Fig. 10 clarifies the interrelationships between overall form, phrase structure and voice leading. Deep levels of tonal structure feature three consecutive D chords, each with a different structural function, traced in Fig. 10a. (1) The declined medial-caesura candidate that ends the TR (1) in bar 15 is a back-relating dominant, thus it is a relatively local harmony that only connects with the opening tonic. (2) The D minor triad beginning the TR (2)⇒FS in bar 16 is an anticipatory harmony, the beginning of a quasi-auxiliary cadence, thus it connects with the ensuing events. Because the initial secondary-theme assumptions are cancelled later, the option of a background dominant is also denied. (3) The structural dominant reached in bar 33 functions as the second background element of the exposition.

The narrative arch of the second phase of the TR⇒FS (bars 16–33) initially poses a question (‘does bar 16 signify the onset of the secondary theme and the arrival at the structural dominant?’), then gives an answer, which at the same time raises another question (‘no, it does not; but what is the formal and structural function of the section starting in bar 16?’), and finally reaches a dénouement (‘a V:PAC announces the arrival at the structural dominant and the EEC, thus confirming the formal function of a TR⇒FS’). The chord of bar 21, the dominant-seventh sonority on F♯, plays a pivotal role in this narrative. As Fig. 10b illustrates, it begins the model-sequence progression, at the same time interfering with the four-bar hypermeter. Significantly, bar 21 reaches the bass pitch that could confirm the secondary-theme suggestions (c.f. Ex. 9), but it is heard in an environment that denies these implications.

The model-sequence technique that starts in bar 21 concludes on a G major chord in bar 26; as Fig. 10b shows, there is a direct voice-leading connection between the bass pitches F♯ (bar 21) and G (bar 26). In spite of the topical change, a strong sense of continuity prevails in bar 26: there is both a metrical reinterpretation (6,=1) and a sub-phrase overlap (the ending of a sequential repetition overlapping with the beginning of fragmentation). The fragmentation of bars 26–27 transforms the sonority over the bass pitch G from a $\frac{5}{3}$ triad into a half-diminished seventh chord, after which the G is resolved into an F♯ supporting a $\frac{6}{3}$ (Fig.

10b). The half-diminished seventh chord, in turn, is prepared by a tonicised D major triad in bar 26, thus the music starts to prepare D major as a key area. This is a highly important moment in the gradual transformation of the D minor triad of bar 16 into a major chord in bar 33.

Again with reference to Fig. 10b, the G in the bass of bar 26 is an incomplete neighbour above the F♯ in the ensuing bar. This F♯, in turn, connects with the D in bar 16, and at the same time the top voice regains the deep-level A sounded in bar 16. The music has now reached a middleground element that starts to prepare for the closure of the TR⇒FS: the tonic $^{6}_{3}$ chord in bar 27 corrects, as it were, the dominant-seventh sonority on bass-pitch F♯ in bar 21 that led the music astray from the implied secondary-theme path (see the asterisks in Fig. 10b). However, an immediate resolution to the major-mode tonic might not be dramatically convincing: the weight of the preceding minor mode, the *tempesta* topic and the model-sequence technique are so great that the major-mode conclusion must also be emphasised. The first cadential attempt in bars 28–29 fails. Another metrical reinterpretation (4,=1) and subphrase overlap begin a new segment, which again first regains the significant $I^6$ (bar 30) and then starts a cadential progression. This progression leads to a PAC, the significance of which is enhanced by an expansion of the cadential third bar in the underlying hypermeasure (Fig. 10b).

The minor mode and the sheer weight of the section starting in bar 16 effectively cancel the secondary-theme suggestions that the half cadence in bar 15 makes, implications that are quite weak in the first place. Thus, there is a conversion from the possibility of a two-part exposition to a reappraisal of the music as a continuous exposition. On the dramatic level, the music needs sufficient time to calm down after the minor-mode *tempesta*. The arrival of the key of D major, the structural dominant as a *Stufe* and a cadential conclusion is a process that includes two cadential attempts, the first of which fails to attain the goal. After all these struggles and twists, the PAC in bar 33 shows unequivocally that the music has attained its tonal goal, namely the essential expositional closure. However, the movement's first deviation from the full quintet texture since bars 9–11 (the low register and the silence of the violins in bars 29–32), together with the omission of the leading note from the dominant of bar 32, imply that the dramatic tensions are not completely eased, and a full dramatic resolution is reached only in the expanded cadential conclusion of the recapitulation (bars 85–94).

A minor-mode outburst after a weak MC candidate does not automatically make an exposition continuous. A similar outburst falls within a two-part framework in the slow movement of another late string quintet, the G minor Quintet, K. 516. The primary theme is a loose and expanded sentence that ends in a PAC, shown in the first bar of Ex. 10. The ensuing bars 14–18[2] give a mixed impression, being surrounded in uncertainty in terms of whether they function as a complete transition or not. On the one hand, the gradual textural thinning until the first half of bar 18 hardly connotes a process of energy-gain that typically occurs in transitions. On the other hand, the tonal characteristics of a transition are present (c.f. Figs 1a and 11): the dominant is tonicised within a chromaticised voice exchange that prepares a half-cadential arrival at the V/V. As a result, on the structural level bar 18 suggests the function of an MC, its rhetorically hesitant quality notwithstanding.

<INSERT Ex. 10 NEAR HERE>

As shown in Ex. 10, a new thematic idea begins in the middle of bar 18 in the dominant minor, pairing *tempesta* and *ombra* topics. Thus, the MC implications and assumptions of an ensuing secondary theme are challenged in the same way as in K. 593. However, this time these implications are substantiated, and I interpret the secondary theme in bar 18. The thematic statement that begins in the middle of this bar starts with an expanded presentation, the basic idea (significantly, lasting six crotchets) being heard three times (Fig. 11).[22] The harmonic structure consists of a progression I–II–VII[7]–I above a tonic pedal. Both the thematic material (b.i.+b.i.+b.i.) and the harmonic structure (tonic–predominant–dominant–tonic) confirm a solid initiation, which suggests the function of a secondary theme in spite of the minor mode and the *tempesta* and *ombra* topics. Moreover, it is not a medial function that follows the presentation, but an expanded cadential phase, the first cadential idea ending in a deceptive cadence (Fig. 11). The G♭ supporting the VI in bar 24 is a third within a descending fifth-arpeggiation. The second cadential idea is expanded by an emphatic six-four chord (bar 25), which locally obscures a chromaticised voice exchange that connects two sonorities with a strong predominant function (a Neapolitan sixth chord in bar 24 and a German augmented-sixth chord in bar 26). This extended predominant leads to a PAC in bars 26–27 whose arrival at the concluding I transforms the minor-mode tonic into a major sonority. Because there is no medial function in the theme of bars 18–27, it consists of a firm initiation and a firm conclusion. This functional trajectory enhances its role as an independent

thematic unit, namely the secondary theme, in spite of the chromaticism, the minor mode and the *tempesta* and *ombra* topics.

<INSERT Fig. 11 NEAR HERE>

The outward similarities notwithstanding, K. 516 and K. 593 differ in terms of formal organisation. The minor-mode theme in K. 516 is prepared by a dominant-key half cadence, albeit a weak one. The subsequent thematic unit consists of a firm and stabilising initiation (an expanded presentation and a harmonic T–P–D–T cycle) followed by expanded cadential material. Thus, there is no medial function, no fragmentation and no sequences associated with transitions. In K. 593, by contrast, the thematic unit starting in bar 16 is preceded by a weak tonic-key half cadence, and the extended medial material starting in bar 21 features both sequential activity and fragmentation. Together with the minor mode and the *tempesta* topic, these features enhance the impression of a TR⇒FS module.

**Mozart's Slow Continuous Expositions and the Classical Tradition**

Three individual movements do not provide sufficient material from which to draw general conclusions about the relationships between Mozart's continuous expositions and those of Haydn that have been examined in the published literature. Moreover, because the focus in earlier studies is on fast movements whereas I concentrate on the slow ones, generic differences also challenge any generalisation. Nevertheless, some conclusions may be drawn, with these caveats in mind.

The primary feature that distinguishes the three Mozart expositions from Hepokoski and Darcy's general description is the nature of the central TR⇒FS module. Hepokoski and Darcy describe this module as characterised by procedures that create what they call a 'bait-and-switch retrospective cancellation' which refers to situations in which the music 'baits us into anticipating an imminent medial caesura, the hallmark of the two-part exposition, then swerves away from the caesura-point and switches to a continuous exposition' (Hepokoski and Darcy 2006, p. 55). In other words, the listener first expects to hear an MC, a half-cadential conclusion, only later to abandon this expectation in favour of a continuous organisation. The authors use the term 'conversion' in referring to such reversals of expectations. Bait-and-switch techniques are thus intimately connected with the listener's

expectations and their denial, aspects of the hermeneutic narrative that features prominently in sonata theory.

Of the expositions studied in this essay, only the Adagio from String Quintet, K. 593, applies bait-and-switch techniques. It loosely follows the third of the three organisational strategies that Hepokoski and Darcy recognise: 'In extreme cases of the bait-and-switch tactic we find the MC fully articulated before the plug is pulled on the two-part exposition' (2006, p. 55). In the instances they discuss, the conversion occurs immediately after the suggested MC. As a result, no option for a secondary theme is heard.[23] In contrast, the point of conversion – the moment when one rejects the two-part organisation – is deferred further in K. 593. Bar 17 initially suggests the onset of the secondary theme but the sequential activity starting in bar 21 cancels such an assumption: the secondary-theme function was uncertain from the beginning in any case, because of the minor-mode dominant key and the *tempesta* topic, features that are often associated with transitions.

Neither K. 452 nor K. 581 includes bait-and-switch suggestions: in other words, neither has any hint of an MC. In both expositions, the TR⇒FS section consists of a steady phrase-structural organisation, a sentence with a distinct beginning, middle and ending (Figs. 4b and 8). As a result, there is no cadential activity – no suggestion of an ending – before the concluding V:PAC (the EEC). The lack of cadential activity in the middle of the TR⇒FS section also precludes any implications of an MC, a prerequisite for bait-and-switch procedures. Both K. 452 and K. 581 follow the first of the three strategies described by Hepokoski and Darcy, in which the 'FS may move past the S-point without our noticing it' (2006, p. 53). There is no suggestion of an MC in this strategy, thus there are no bait-and-switch procedures, either. Significantly, however, Hepokoski and Darcy note that 'such pure instances of the continuous exposition are rare among celebrated works of the later-eighteenth-century composers' (ibid., p. 54). Yet, two of Mozart's three slow chamber-music continuous expositions fall within this category.

The omission of any references to cadential punctuation within the TR⇒FS module in K. 452 and K. 581 may reflect Mozart's tendency, in his later works, to diminish the function of cadential punctuation that is characteristic of the late-eighteenth-century musical style, and instead to enhance the music's continuous, extended flow. This is not limited to Mozart's continuous slow-movement expositions, however: it is rather a musical feature that also affects the more general analysis of his later works from the perspective of the new *Formenlehre*.

Of Hepokoski and Darcy's categories, the three Mozart continuous expositions fall in either the first, in which FS moves past the S-point without the listener noticing it (K. 452 and K. 581), or the third, which articulates a medial-caesura option that is retrospectively declined (K. 593). None of them falls within the second category, in which the 'composer may create the expectation of an imminent MC only to veer away from it for more Fortspinnung or other elaboration' (Hepokoski and Darcy 2006, p. 54). Yet, this category is arguably the most archetypal of the three: it is neither 'rare among celebrated works of the later-eighteenth-century composers' (category 1) nor an 'extreme case' (category 3).

One cannot conclude from only three of Mozart's slow movements that the second category is less common in slow movements than in fast, or that it occurs less often in Mozart's music than in Haydn's. However, the three movements suffice to confirm the need to study composers other than Haydn, and to explore beyond fast movements, if the goal is to produce a nuanced picture of the variety of procedures encountered in the expansion-section subtype of continuous exposition in the final decades of the eighteenth century.

[1] The principles of continuous exposition have been challenged by William Caplin and Nathan John Martin (2016), in particular. I return to this critique later in this essay.

[2] For a detailed discussion of formal reinterpretation (or 'becoming'), see Schmalfeldt (2011).

[3] For a discussion on the characteristic features of the Classical concerto form, see Caplin (1998, pp. 243–51) and Hepokoski and Darcy (2006, pp. 563–602). Most of the examples these authors discuss are from Mozart's concertos. For a discussion of the relationship between the principles of the sonata form and Classical aria form as it appears in Mozart's operatic arias, see e.g. Martin (2015) and Webster (1991b, pp. 114–22).

[4] From the perspective of texture, Mozart's serenades and divertimenti are difficult to classify. As Heinrich Christoph Koch noted in 1802, divertimenti are performed one on a part (Koch 1802, col. 440), so texturally these compositions resemble chamber rather than orchestral music. Unlike chamber music, however, serenades and divertimenti were often performed at public festivities. Stefanie Tcharos notes the difficulty in locating serenades and divertimenti along the public-private axis, in that they are placed 'at the interstices of events that were grand, public and quasi-theatrical or those that were non-occasional, exclusive and more intimate in performance' (2009, p. 497). Such an interstice is exemplified by Mozart's C minor String Quintet, K. 406 (1787/88), which is an arrangement of the Wind Serenade K. 388 (1782). Given this duality, I decided not to include Mozart's serenades and divertimenti, which meant that I had to omit at least one wonderful continuous exposition, the Adagio from the Serenade K. 361 (Gran Partita). I also excluded the Divertimento for Violin, Viola and Cello, K. 563, an unequivocal piece of chamber music; however, because neither of the slow movements in this work (Adagio and Andante) has a continuous exposition, K. 563 would be excluded even if it were not a divertimento.

[5] The only non-Haydn continuous expositions that Hepokoski and Darcy (2006, p. 54) mention (one symphonic first movement by Sammartini and a general reference to the opening movements of C. P. E. Bach's 'Prussian' and 'Württemberg' keyboard sonatas) were written in the 1740s. These movements might best be approached in the context of *galant* rather than High Classical style, the latter of which underlies the new *Formenlehre*. Wayne C. Petty (1999, pp. 154–6), for example, discusses expositions in C. P. E. Bach's clavier sonatas, arguing that they largely follow Wilhelm Fisher's concept of *Fortspinnungstypus*, a model with origins in Baroque music. According to Petty, in C. P. E. Bach's sonatas the

'exposition as a whole resembles a large sentence or sentence-like hybrid' (p. 155). There are clear similarities between Petty's formula and a continuous exposition – the most significant being that both consist of one arch aiming at a perfect authentic cadence in the secondary key – but the two formal schemata are by no means identical. Some of Mozart's early slow-movement expositions also appear to follow both Petty's model and the principles of continuous exposition; for example, the Adagio from the Piano Sonata K. 280, written in 1775, which is my temporal boundary, is close to Petty's framework (in particular, the 'two-cadence' type with a PAC rather than an IAC at the end of the first phrase), but it could also be analysed as a continuous exposition. As James Hepokoski notes, 'Most continuous expositions are heirs to the older, more traditional practice of through-composition or thematic-modular concatenation' (2016, p. 51).

[6] These two types are recognised by Roger Kamien and Naphtali Wagner (1997), Carl Schachter (2016, pp. 157–62) and L. Poundie Burstein (2020, pp. 173–5). Burstein is critical of their application in situations that feature an emphatic 'mid-transition V'.

[7] There are references to the cadential nature of harmonic progression starting with $I^6$ both in eighteenth-century writings and in contemporary music theory. At the turn of the seventeenth century, Bernardo Pasquini used the term 'cadenza lunga' with reference to a bass progression $\hat{3}$–$\hat{4}$–$\hat{5}$–$\hat{1}$, in which the $\hat{3}$ supports a $^{6}_{3}$ chord (Sanguinetti 2012, pp. 107–9). More recently, Caplin (2008) has used the term 'cadential stream' of bass progressions ascending from $\hat{3}$ to $\hat{5}$.

[8] I use the term 'basic phrase' as defined by William Rothstein (1989, p. 64): 'The original, unexpanded phrase is called the *basic phrase*' (italics in the original).

[9] The metric structure is complex in bars 28–30. The hemiola is suggested by the leading-tone/resolution progressions in the bass. At the same time, this hemiola is challenged by the slurring of the wind instruments, which supports the notated metre, as well as by the $^{6}_{4}$ chord on the downbeat of bar 30, which implies the function of a cadential $^{6}_{4}$ occurring on a strong beat. In designating an intra-bar metric structure, I follow Fred Lerdahl and Ray Jackendoff (1983, pp. 18–21) in showing strong beats with two aligned dots and weak beats with a single dot.

[10] The voice exchange in Fig. 5 requires a brief comment. On the surface, bar 29 consists of two sonorities – VI/V and V/ V in C major – of which the V/V is primary. Yet, the bass -pitch A supporting the VI is structurally more emphatic than the D supporting the V/V. As a result, the top voice F♯ and the bass A that conclude the voice exchange belong, in

the foreground, to different harmonies; in other words, they have been rhythmically displaced.

[11] The two-part organisation is unequivocal in the recapitulation. The last three cadential bars of the exposition's transition have been omitted, so there is a half-cadential dominant in bar 92. Moreover, unlike in the exposition, this dominant still arrives in the *forte* dynamic and without a sensibility topic. Thus, there is an archetypal I:HC MC in the recapitulation. The omitted cadential module is heard towards the end of the recapitulation (bars 119–121) in an extended passage that aims at a concluding cadence. The essential structural closure and background $\hat{1}$ finally arrive in bar 124.

[12] Hepokoski (2016, p. 66) notes that '[i]n published literature thus far, form-functional theory and Sonata Theory have pursued different styles of discursive explication'. Likewise, Caplin (Caplin, Hepokoski and Webster 2009, p. 61) refers to the terms 'syntax' and 'rhetoric' when discussing the different starting points of the two theories. Caplin's distinction resembles a division that musicians made in Mozart's time between musical 'grammar' (a near-synonym of Caplin's 'syntax') and musical 'rhetoric'. Mark Evan Bonds (1991, pp. 68–9) sums up this difference: 'In both verbal and musical language, grammar encompasses the rules of composition, the manner in which a discourse can be constructed in a technically correct fashion. Rhetoric, on the other hand, cannot be codified nearly so precisely or categorized according to correct or incorrect procedures. A work can be considered rhetorically "correct" only to the extent that it is aesthetically persuasive […] . Rhetoric, then, is at least in part an aesthetic category.'

[13] Interpreting an antecedent and continuation in bars 1–20 is not indisputable. My principal reasons for reading an antecedent in bars 1–9 are the concluding half cadence in bar 9 and the governing symmetry, only slightly disturbed by the five-bar segment in bars 5–9. Although the music that starts in bar 10 does not feature the fragmentation or sequences that usually start continuations, the increase in harmonic activity implies a medial function that is characteristic of their beginnings. Given these unconventional features of bars 1–20, I do not label the segments constituting the antecedent and the continuation in Ex. 3, and refer instead only to their lengths.

[14] Rothstein (1989, pp. 74–93) uses the concept 'internal expansion' when referring to such expansions.

[15] Danuta Mirka (2021, pp. 220–31) uses the specification ‘overridden caesuras’ when referring to phrase extensions that result from the cancellation of an assumed cadential arrival.

[16] There is also a cadential dominant in bar 3, but because the PAC in bars 3–4 only ends the first half of a nine-bar antecedent, the proper cadential function is uncertain; in Caplin’s (2004, pp. 81–5) terminology, there is ‘cadential content’ but no ‘cadential function’.

[17] The coexistence of cadential punctuation in the phrase structure and continuity in voice leading is by no means uncommon: such situations follow from the somewhat different ways in which phrase structure and form on the one hand, and tonal structure on the other, organise the temporal course of the music. A conventional V:HC MC provides a clear example: from the perspectives of phrase structure and form, the MC functions as a punctuating gesture (a half-cadential V/V), whereas from the perspective of voice leading it is part of a continuous, uninterrupted progression (I–II♯–V usually supporting a top-voice descent $\hat{3}$–$\hat{2}$).

[18] The parenthetical insertion in Mozart’s $P^2$, as well as the one in the ensuing TR⇒FS module, resemble what Janet Schmalfeldt (1992) calls a ‘“one more time” technique’. Discussing a situation in Beethoven’s Sonata for Piano and Cello, Op. 69, which is close to bars 27–29 in Mozart, she notes that the ‘“one more time” events that delay the fundamental cadential tonic could have been omitted without destroying the contrapuntal structure’ (ibid., p. 35). She emphasises that, again as in Mozart, these ‘one more time events’ are essential for the music’s dynamic and dramatic course.

[19] The quality of the cadence in bar 30 is not unequivocal (Ex. 5). The D of the first violin completes the top voice of a perfect authentic cadence. However, at the same time the clarinet begins the next phrase on F♯, which suggests an imperfect authentic cadence. Because the clarinet has been quiet during the interpolation and the first violin’s D occurs in the register that the interpolation prepares, I read here a perfect authentic cadence, the concluding $\hat{1}$ of which aligns with the $\hat{3}$ that begins the next phrase. Steven Vande Moortele uses the term ‘covered PAC’ when referring to situations in which a ‘$\hat{3}$ […] covers a structurally more important $\hat{1}$’ (2017, p. 53 n. 23).

[20] There is no development section in the movement and the recapitulation is truncated, consisting only of the expanded primary-theme zone. These features further diminish the

overall length of the movement, removing the danger of having a disproportionate slow movement in a four-movement cycle.

[21] The metric situation in bars 34–37 is not unambiguous. The clarinet's long notes, which start on the downbeats, and the suspension-like figures of the second violin and viola challenge the primacy of the second beat of the bars that the model-sequence technique suggests.

[22] For a discussion of presentations consisting of a basic idea heard three times, see Richards (2011, pp. 192–6).

[23] Hepokoski and Darcy (2006, p. 58) do note the option in which it 'would even be possible to initiate an S theme […] then to abort that theme decisively', but they give no examples of this procedure.

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Table 1. Mozart's three- or four-movement chamber-music works composed after 1775.

| **quintets** | **quartets** | **trios** | **duos** |
|---|---|---|---|
| 5 string quintets (K. 406, K. 515, K. 516, K. 593, K. 614) | 10 string quartets (K. 387, K. 421, K. 428, K. 458, K. 464, K. 465, K. 499, K. 575, K. 589, K. 590) | 6 piano trios (K. 254, K. 496, K. 502, K. 542, K. 548, K. 564) | duo for violin and viola (K. 423) |
| clarinet quintet (K. 581) | 2 piano quartets (K. 478, K. 493) | | sonata for bassoon and cello (K. 292) |
| horn quintet (K. 407) | flute quartet (K. 285) | | 8 sonatas for piano and violin (K. 296, K. 306, K. 376, K. 378, K. 380, K. 454, K. 481, K. 526) |
| oboe quintet (K. 370) | | | sonata for two pianos (K. 448) |
| quintet for piano and winds (K. 452) | | | 3 sonatas for piano four hands (K. 381, K. 458, K. 521) |

Table 2. Mozart, Quintet for Piano and Winds, K. 452, II, exposition, chart of form.

| **bars** | 1–18 | 19–32 | 33–43 |
|---|---|---|---|
| **form** | P | TR⇒FS | C |
| **phrase structure** | compound period | compound sentence | ECP (twice) + codetta |
| **keys** | B♭ | B♭→F | F |
| **concluding cadence** | I:PAC | V:PAC (EEC) | V:PAC |

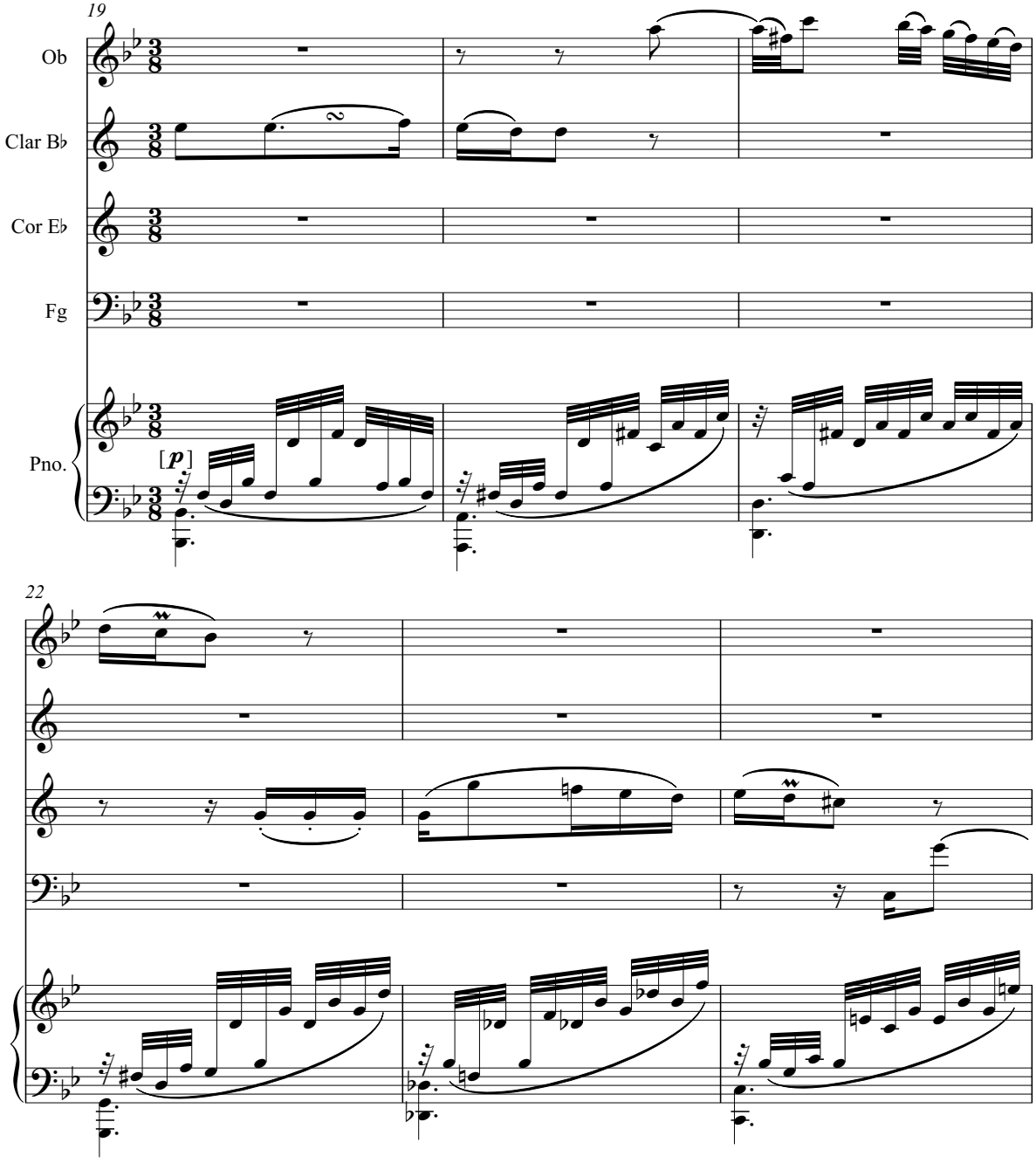
Table 3. Mozart, Clarinet Quintet, K. 581, II, exposition, chart of form.

| **bars** | 1–30 | | 30–45 |
|---|---|---|---|
| **form** | P | | TR⇒FS |
| | $P^1$ (bars 1–20) | $P^2$ (bars 20–30) | |
| **phrase structure** | hybrid 1 (expanded) | sentence (expanded) | sentence (expanded) |
| **keys** | D | D | D→A |
| **concluding cadence** | I:PAC | I:PAC | V:PAC (EEC) |

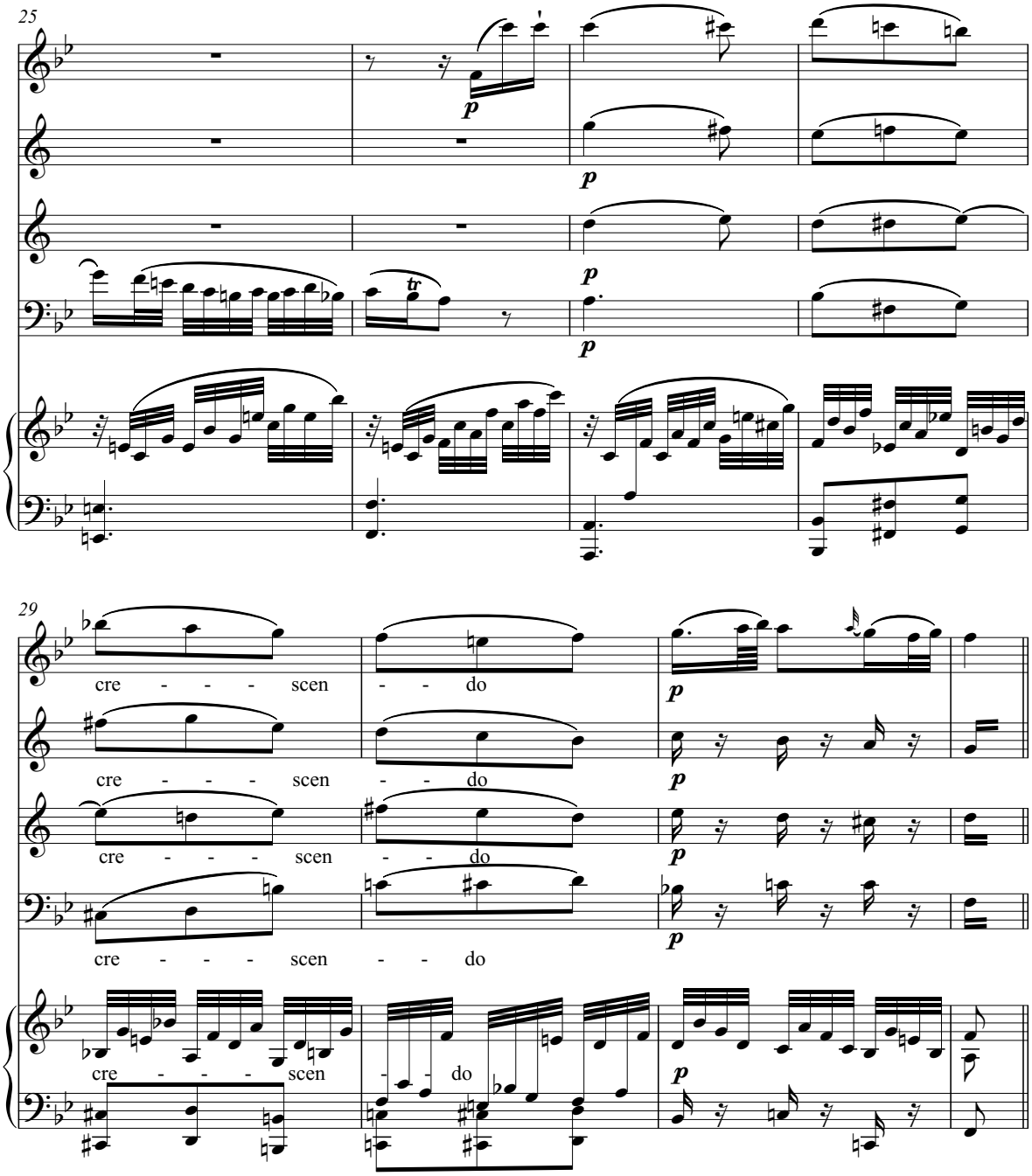
Table 4. Mozart, String Quintet, K. 593, II, exposition, chart of form.

| **bars** | 1–8 | 9–33 | |
|---|---|---|---|
| **form** | P | TR⇒FS | |
| | | TR (1) (bars 9–15) | TR (2)⇒FS (bars 16–33) |
| **phrase structure** | period | sentence (loose) | sentence (loose) |
| **keys** | G | G | d→D |
| **concluding cadence** | I:PAC | I:HC | V:PAC (EEC) |

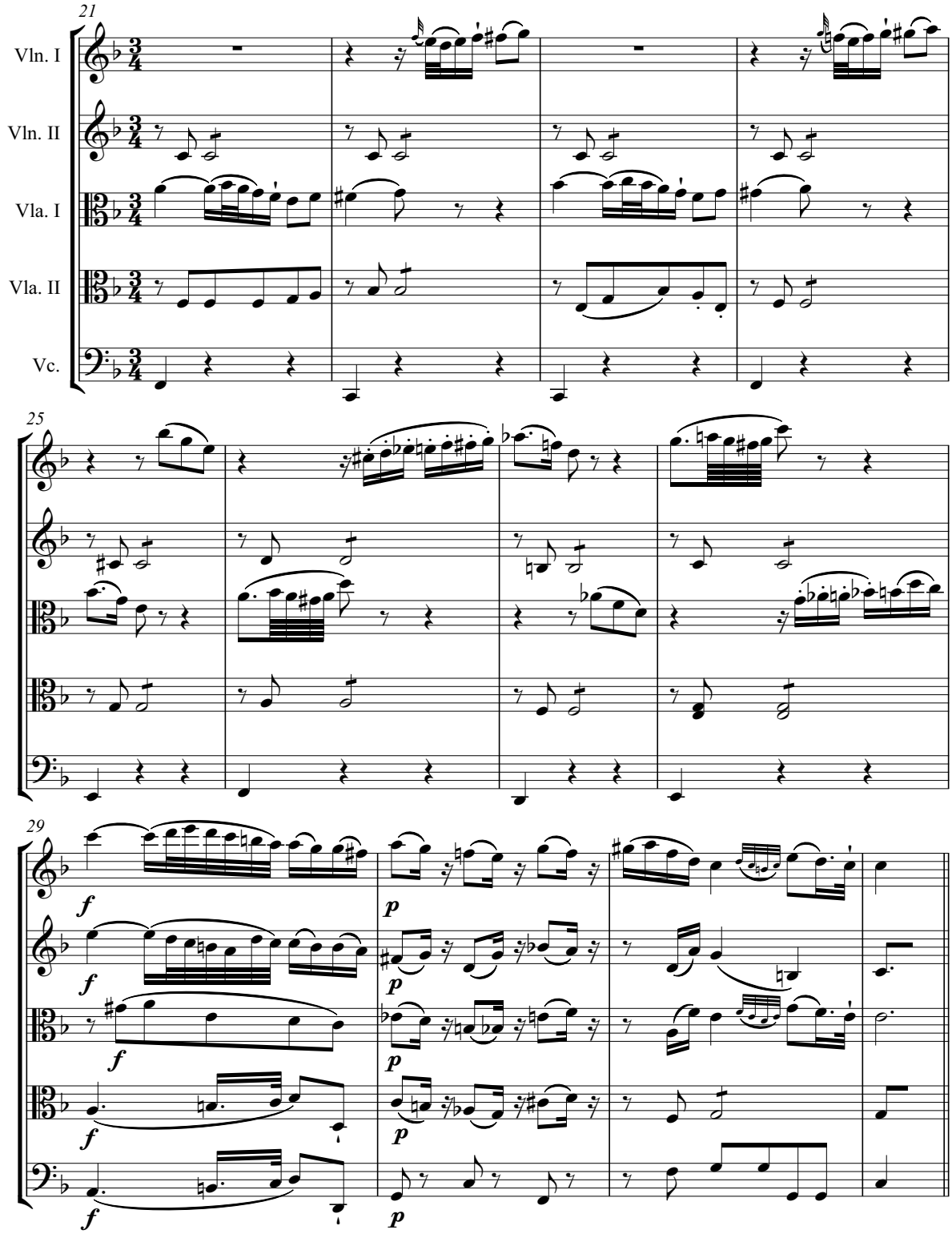
Example 1. Mozart, Quintet for Piano and Winds, K. 452, II, bars 19–32.



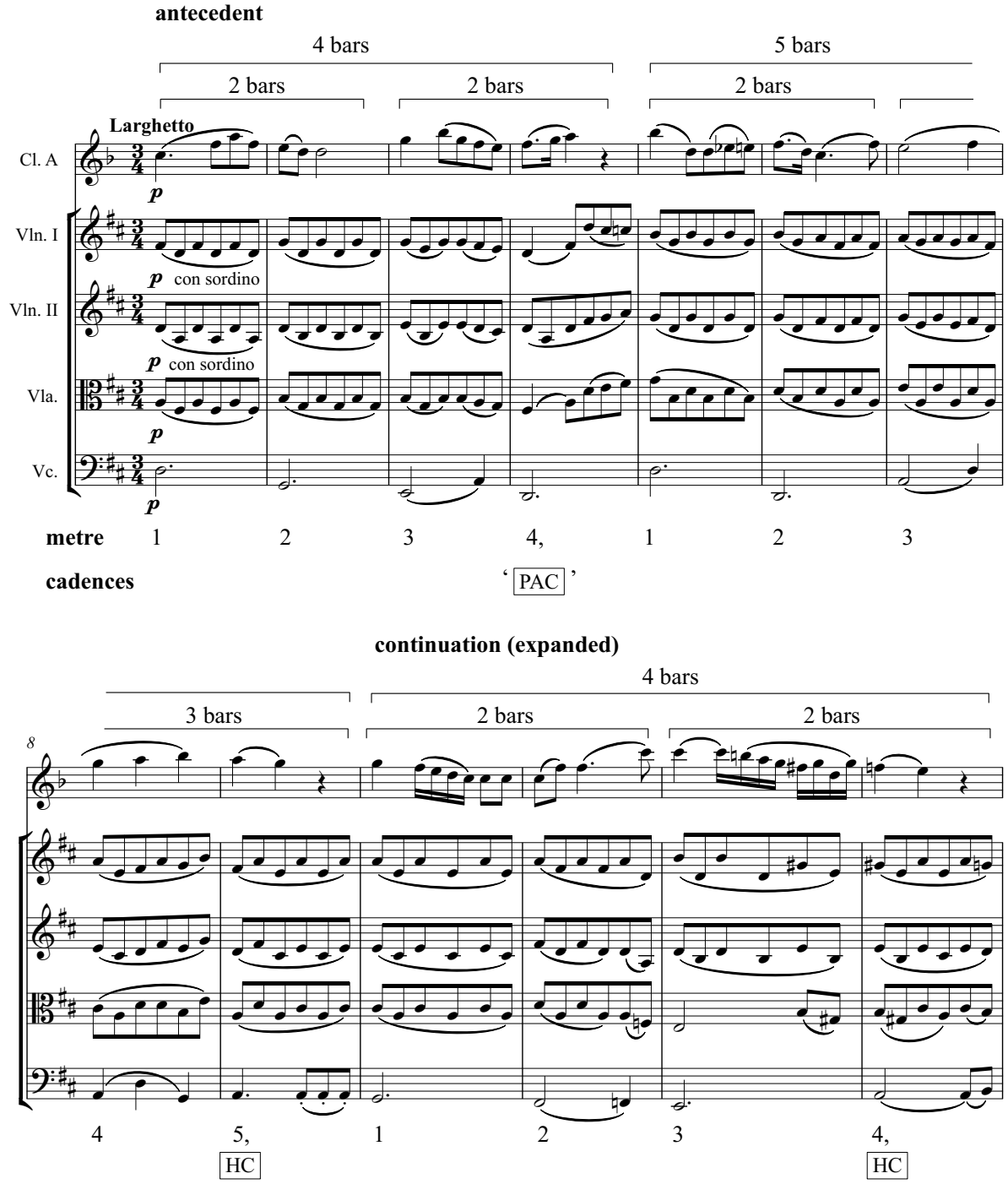
Example 1 (continues).



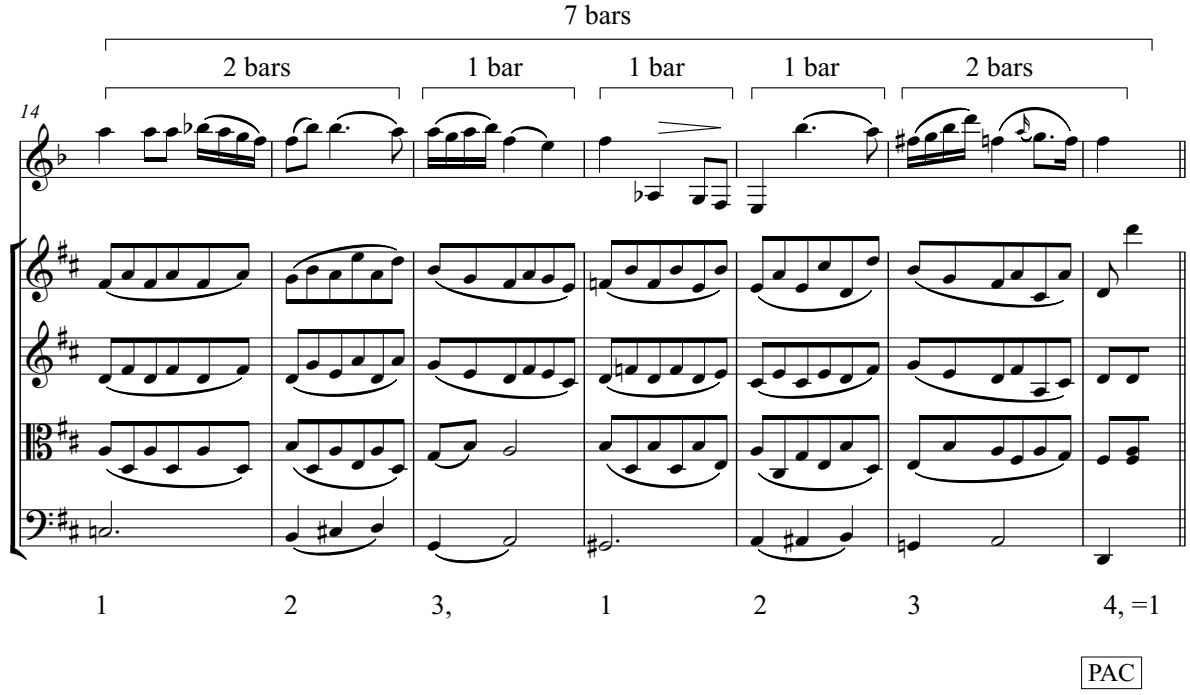
Example 2. Mozart, String Quintet, K. 515, II, bars 21–32.



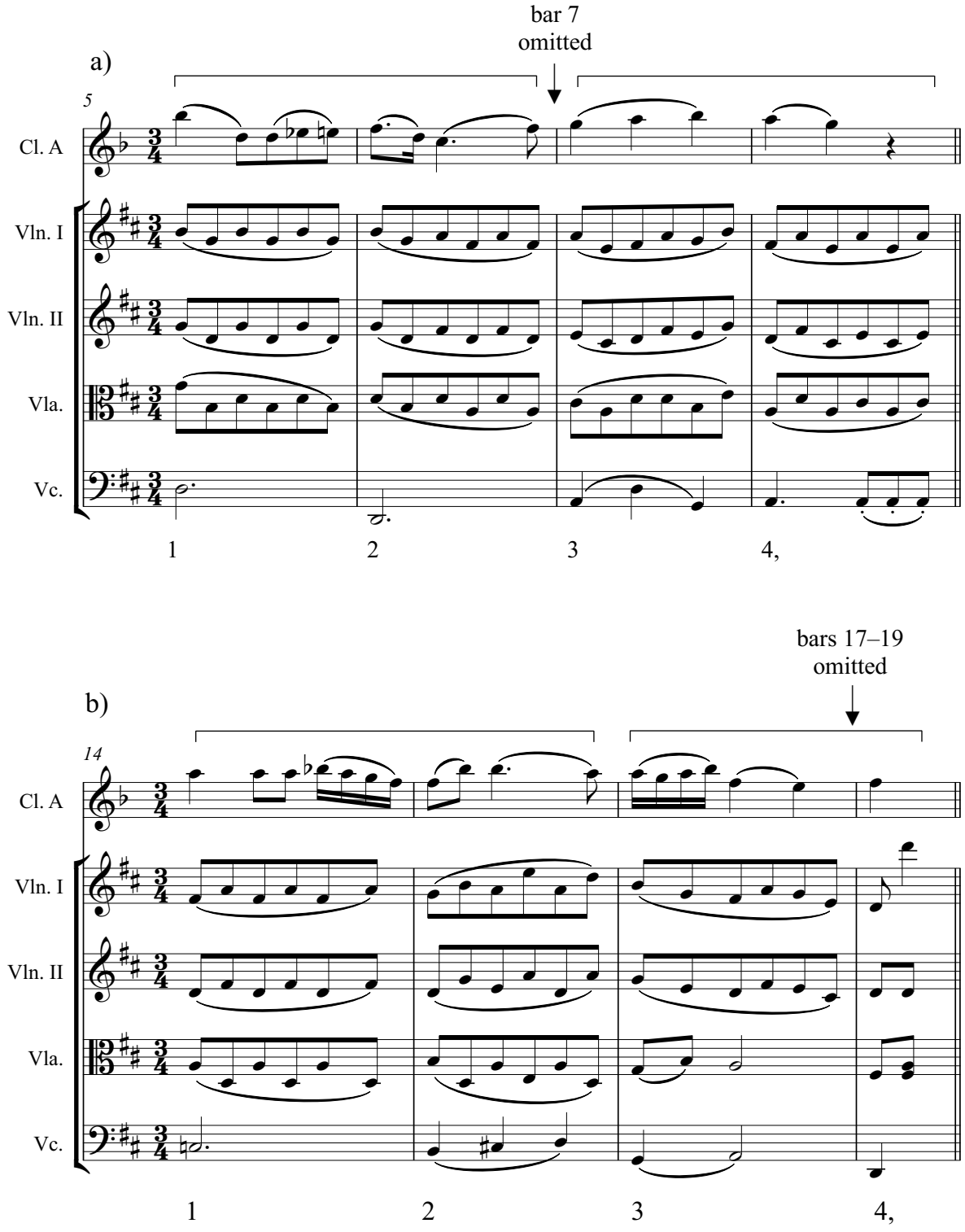
Example 3. Mozart, Clarinet Quintet, K. 581, II, bars 1–20, annotated score.



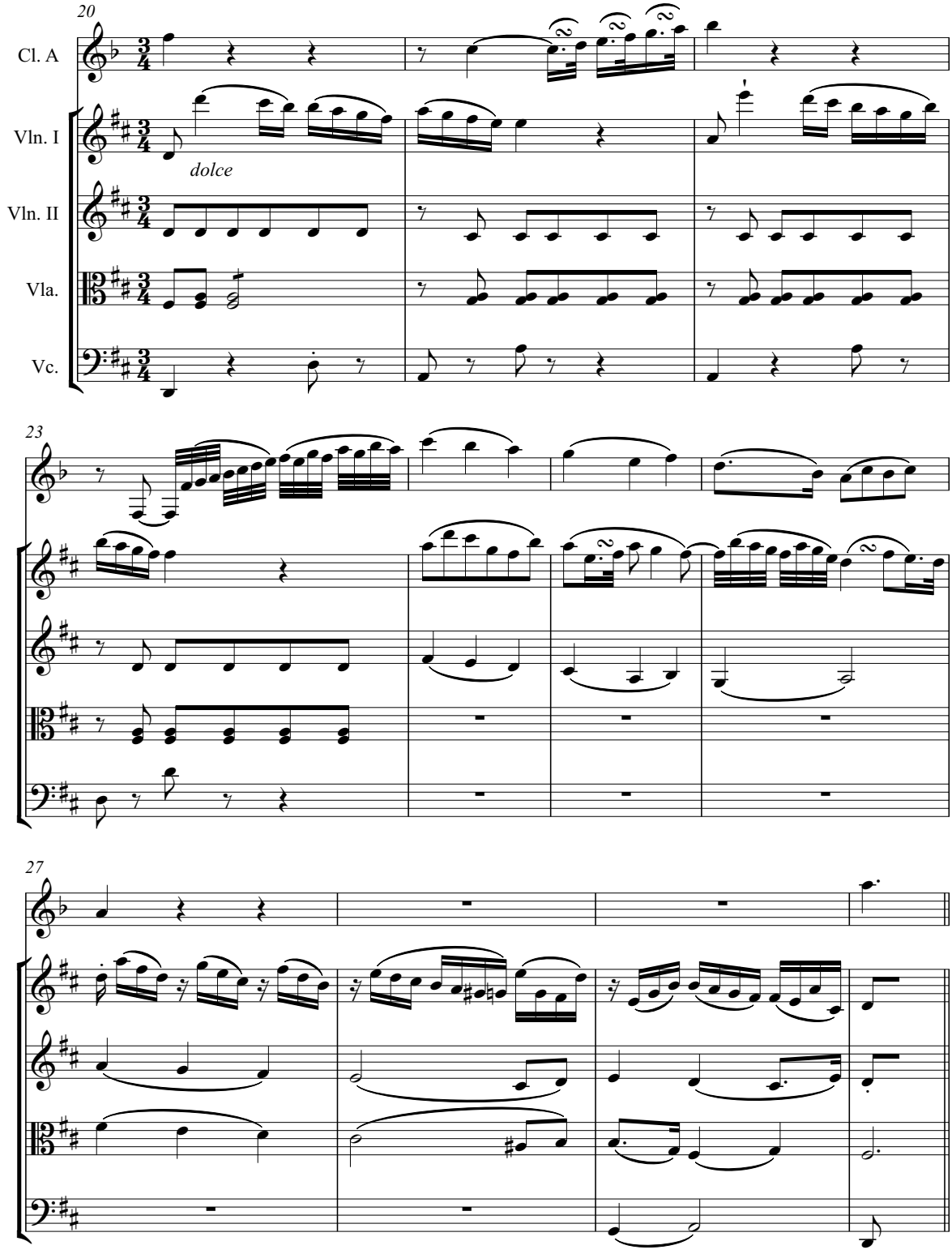
Example 3 (continues).



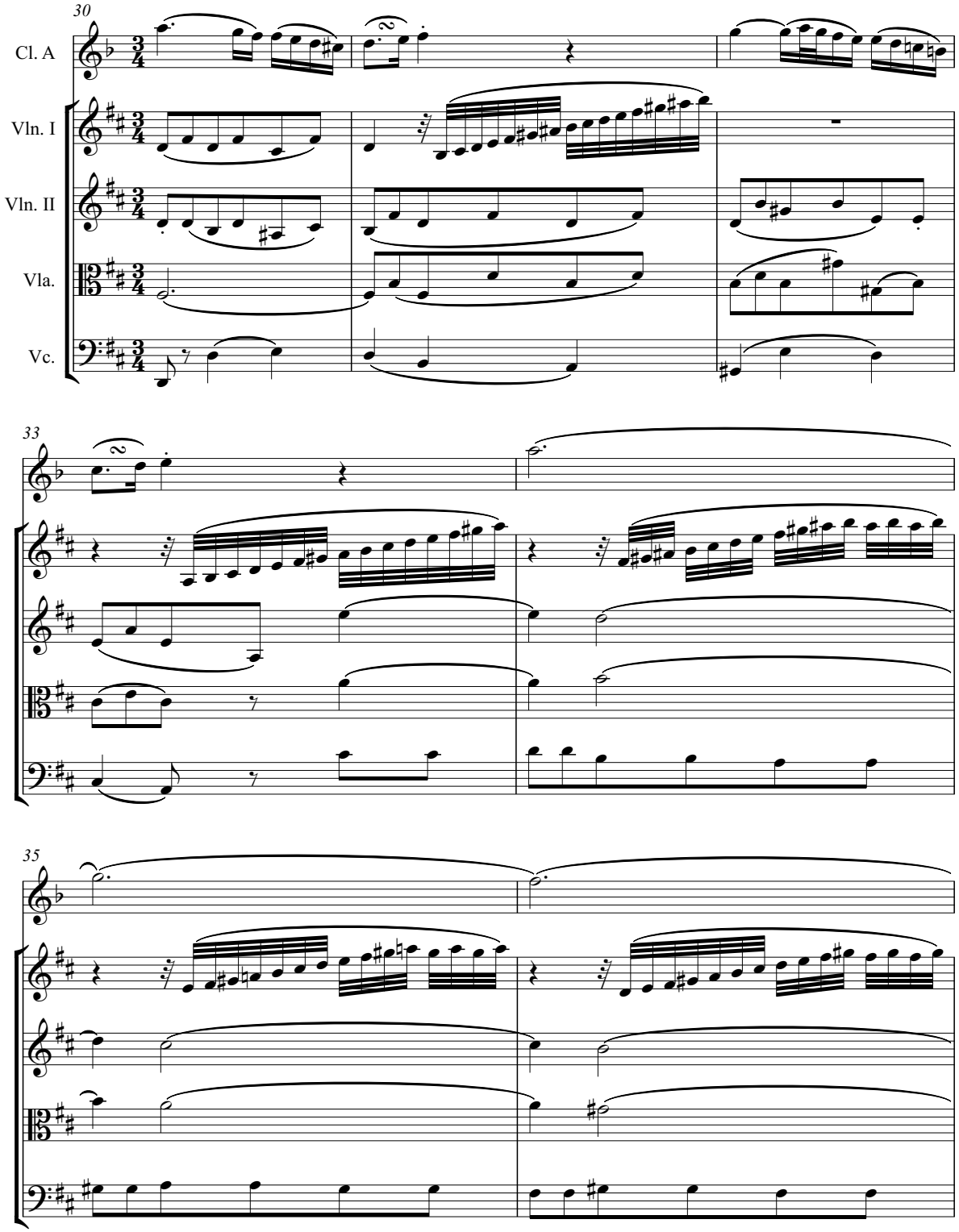
Example 4. Mozart, Clarinet Quintet, K. 581, II, bars 5–9, recomposition (Ex. 4a) and bars 14–20, recomposition (Ex. 4b).



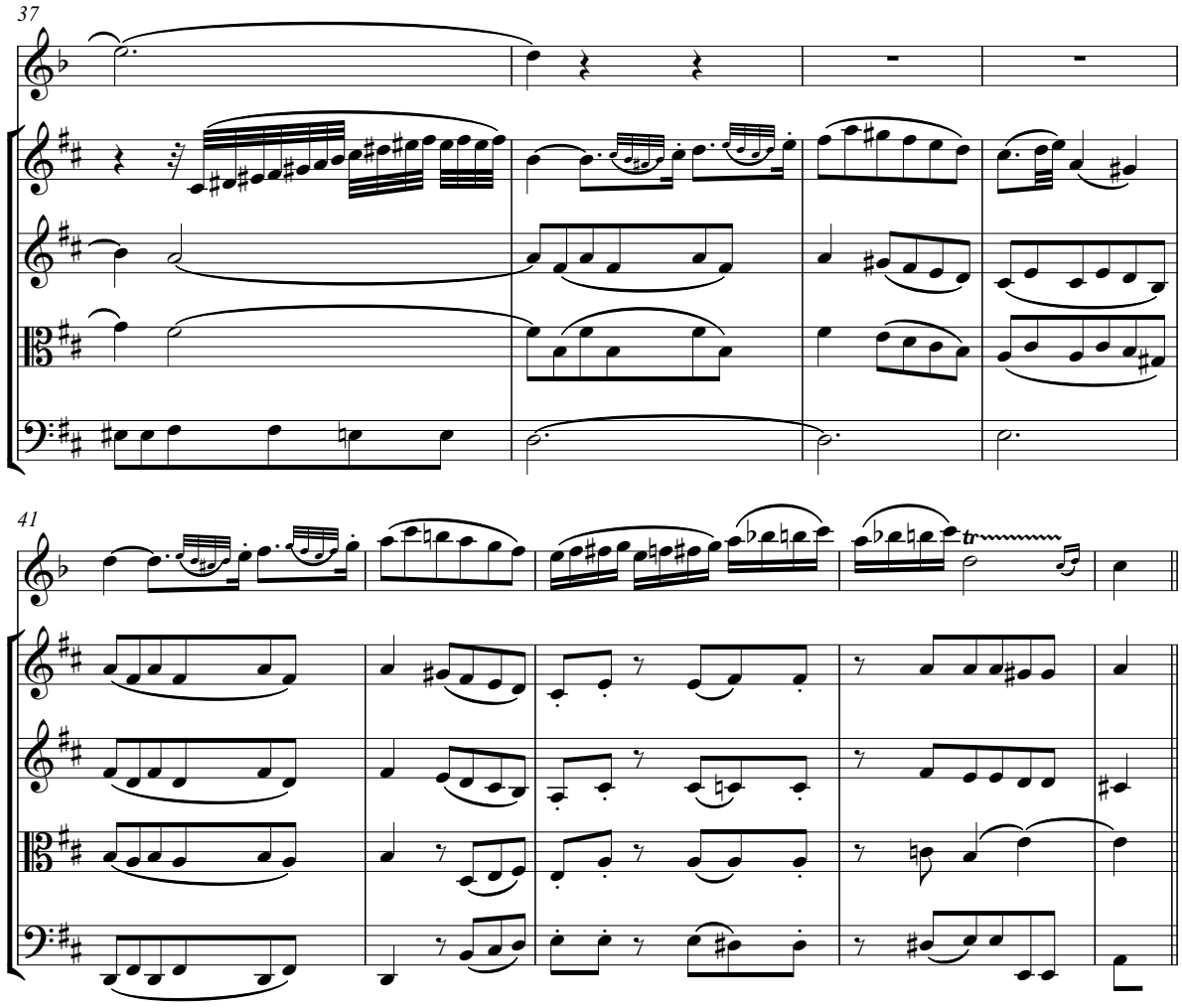
Example 5. Mozart, Clarinet Quintet, K. 581, II, bars 20–30.



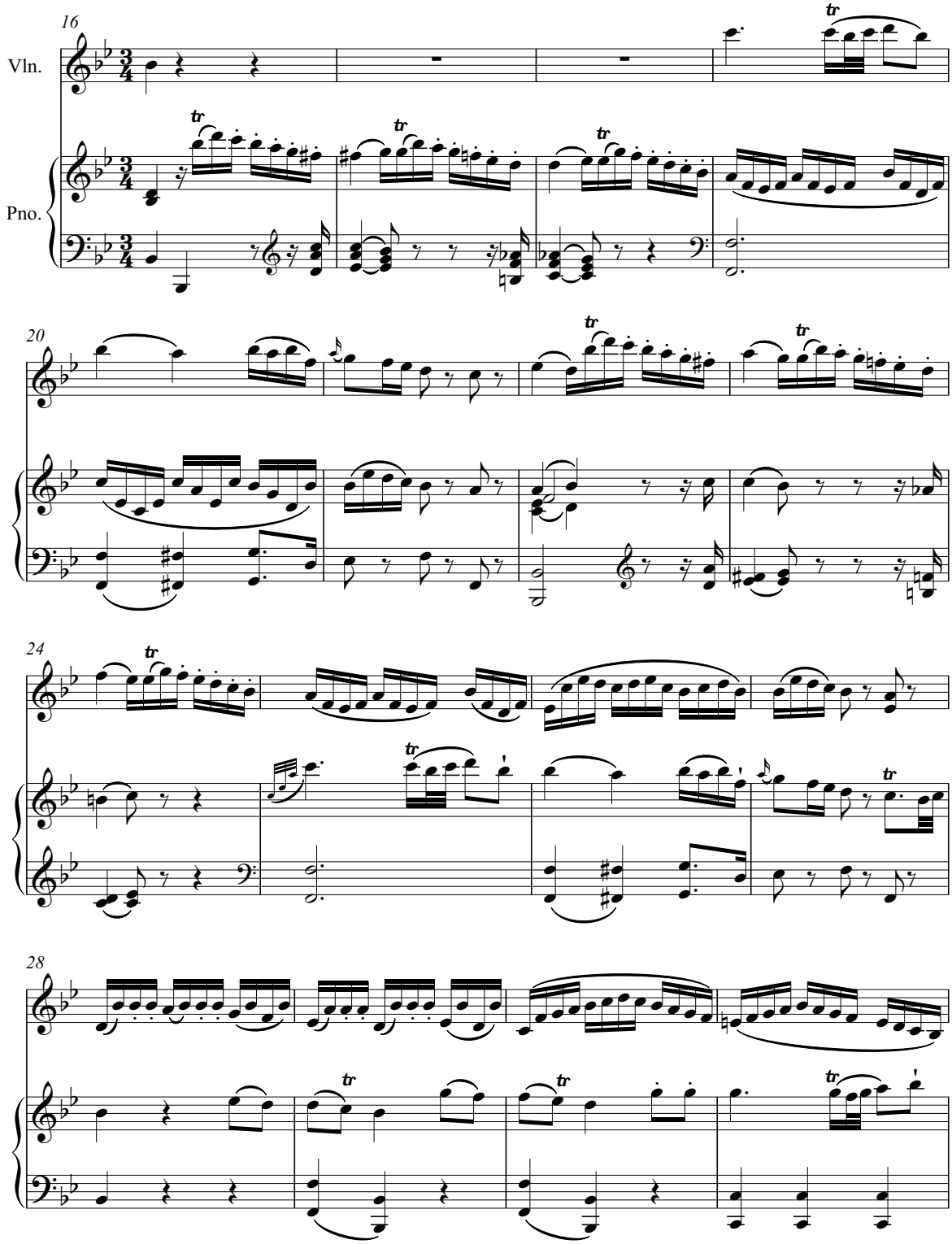
Example 6. Mozart, Clarinet Quintet, K. 581, II, bars 30–45.



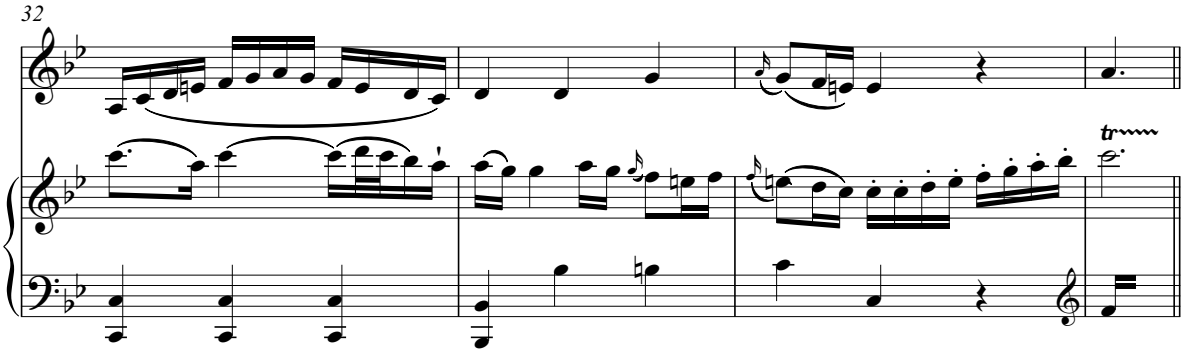
Example 6 (continues).



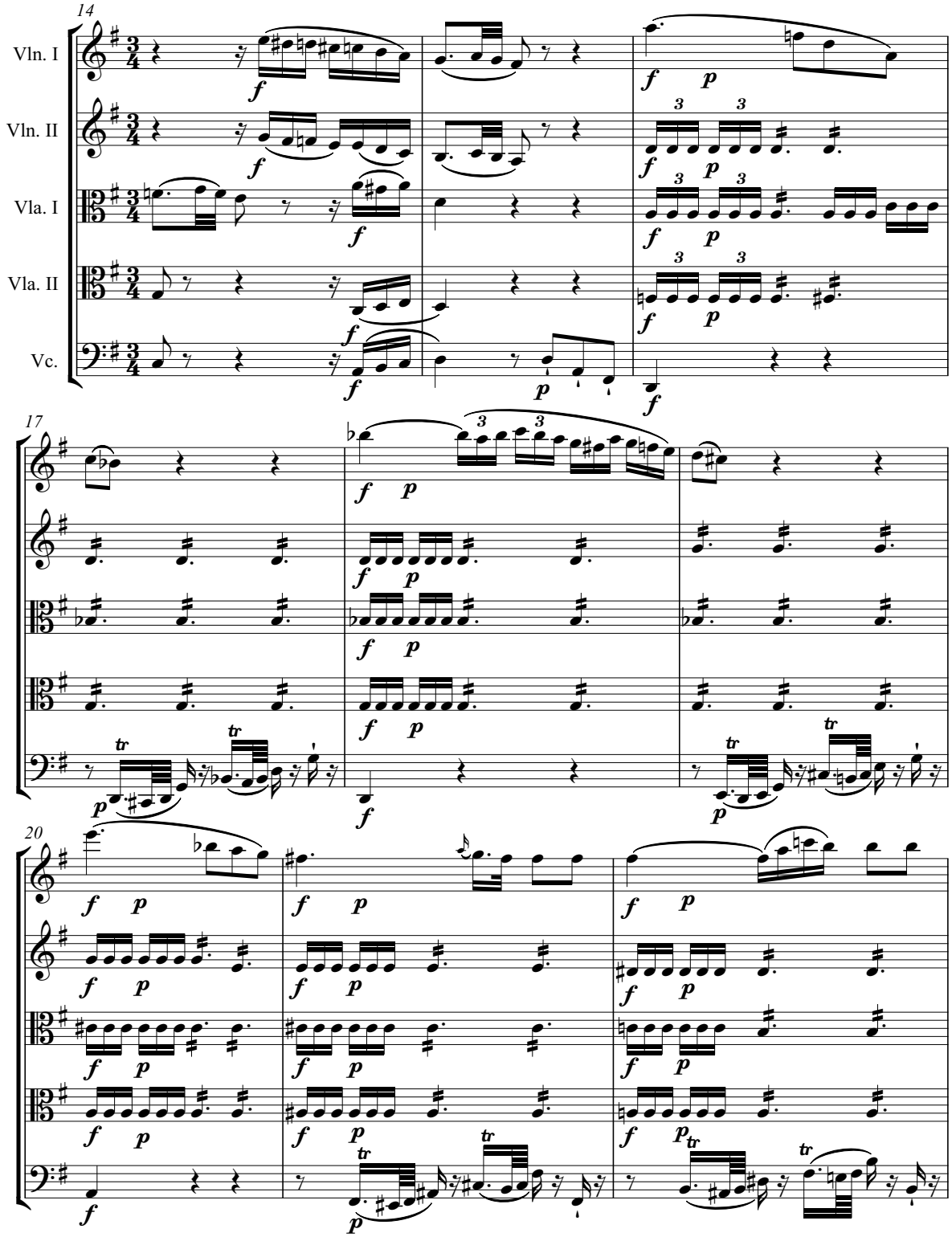
Example 7. Mozart, Sonata for Piano and Violin, K. 376, II, bars 16–35.



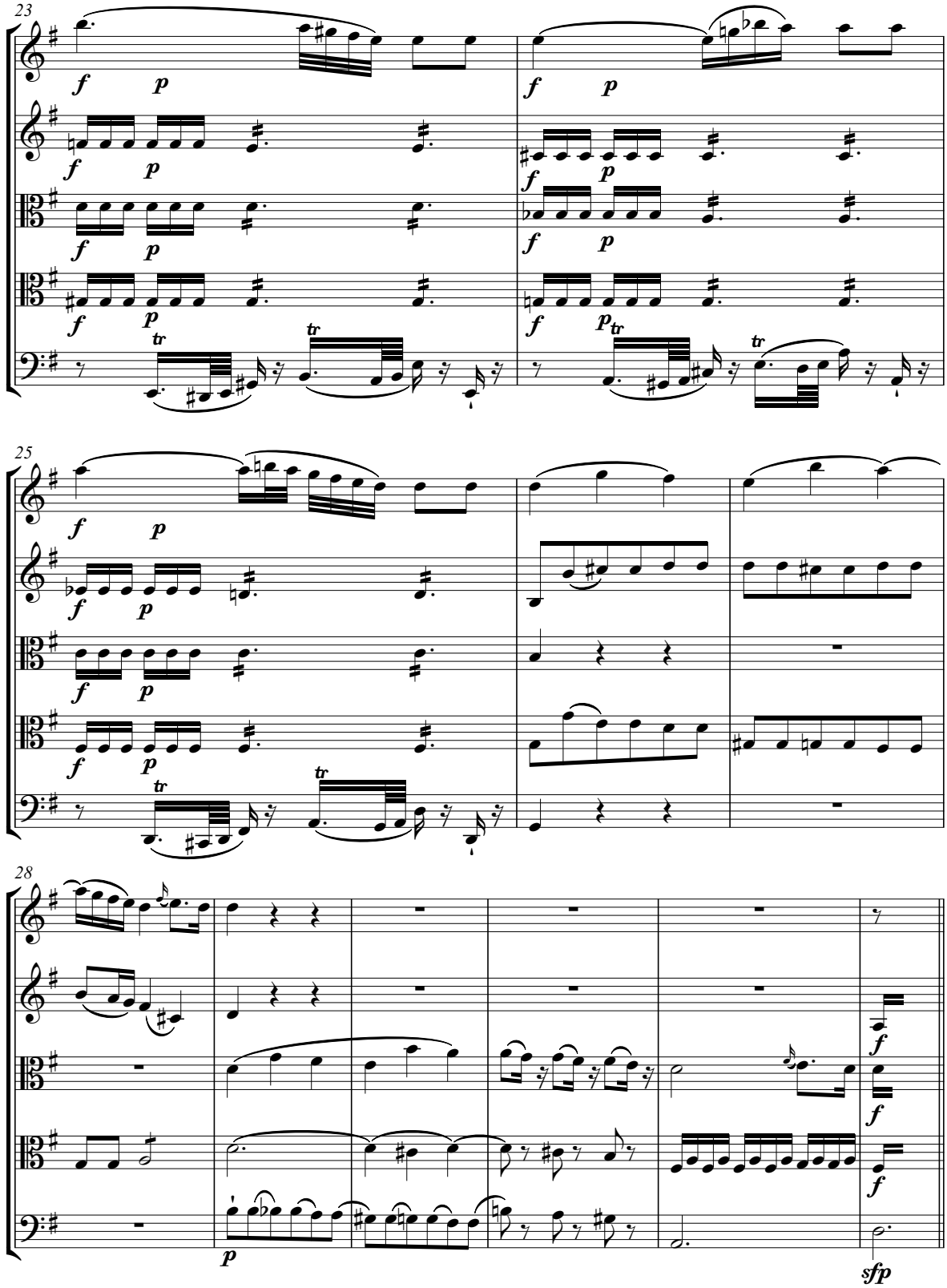
Example 7 (continues).



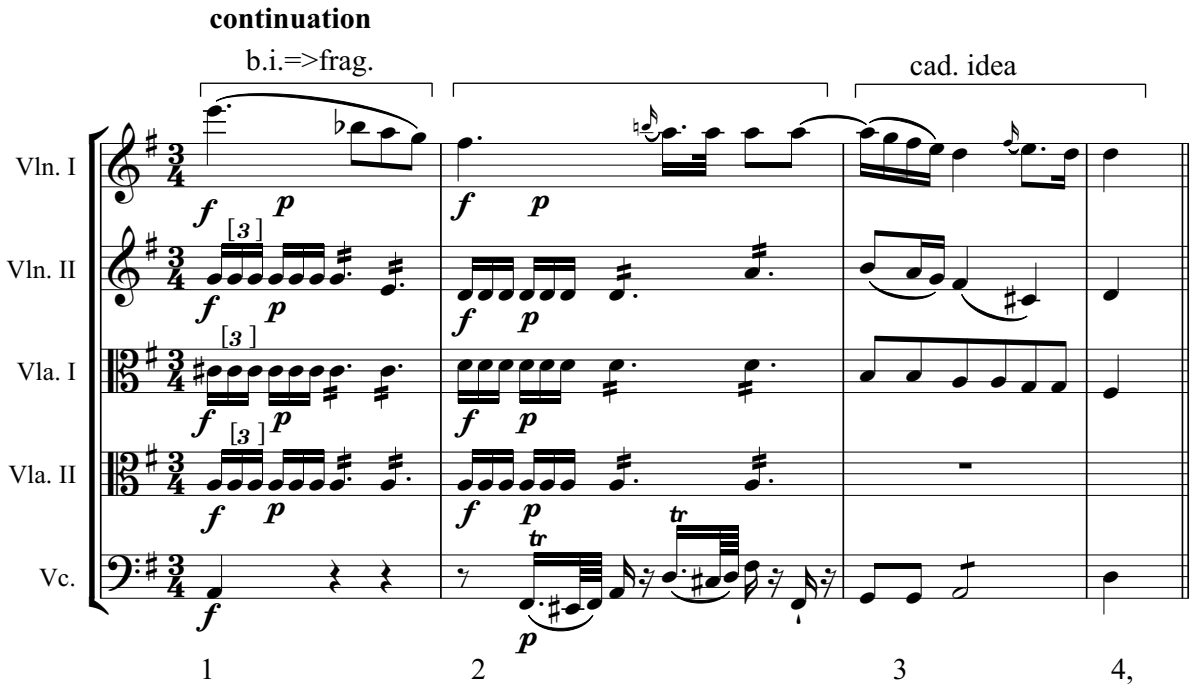
Example 8. Mozart, String Quintet, K. 593, II, bars 14–33.



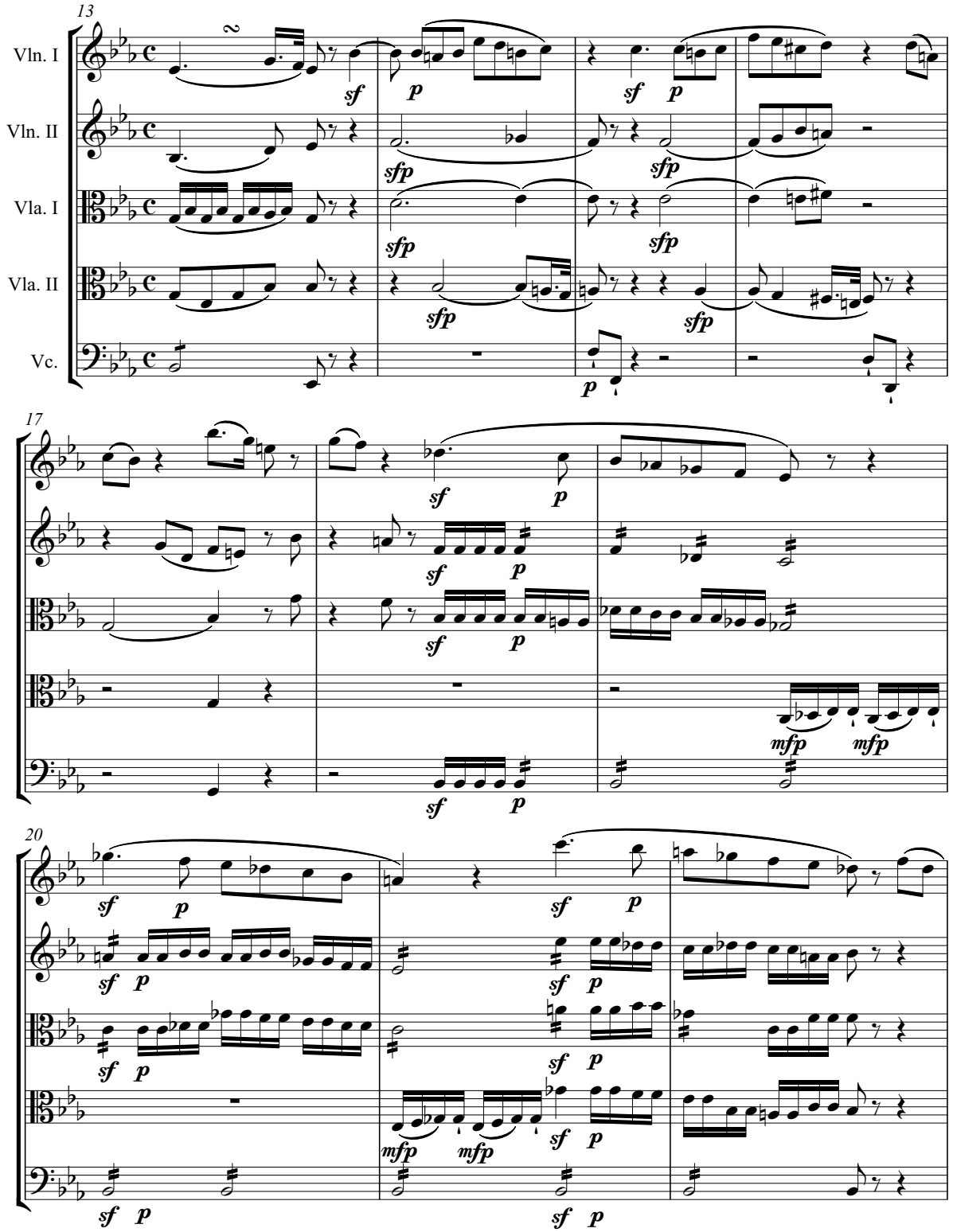
Example 8 (continues).



Example 9. Mozart, String Quintet, K. 593, II, bars 20 ff., recompostion.



Example 10. Mozart, String Quintet, K. 516, III, bars 13–27.



Example 10 (continues).

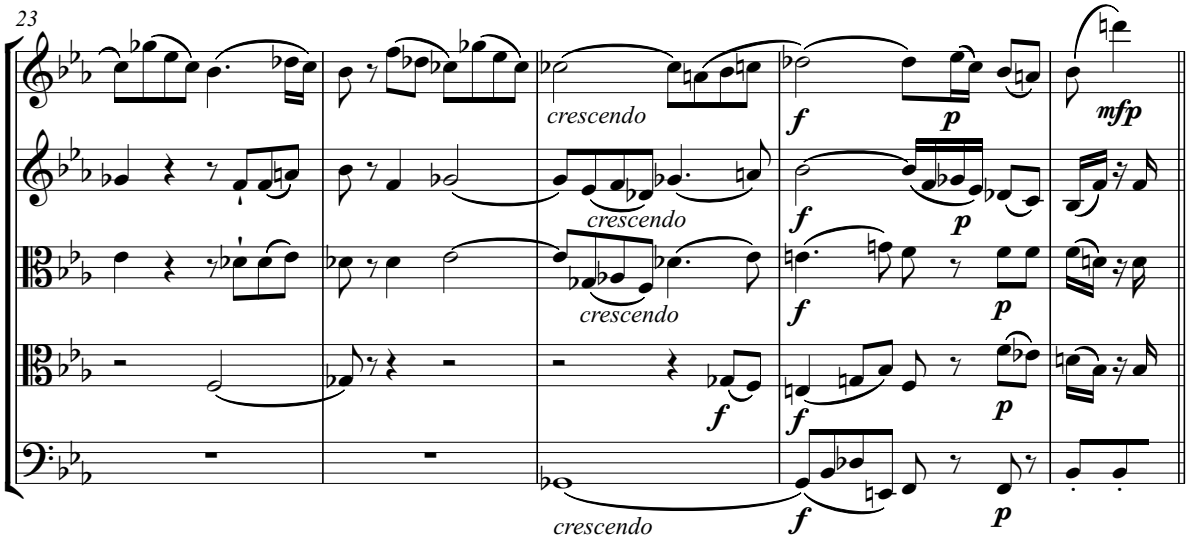


Figure 1. Two transition archetypes that tonicise V (*) within a prolonged tonic chord.

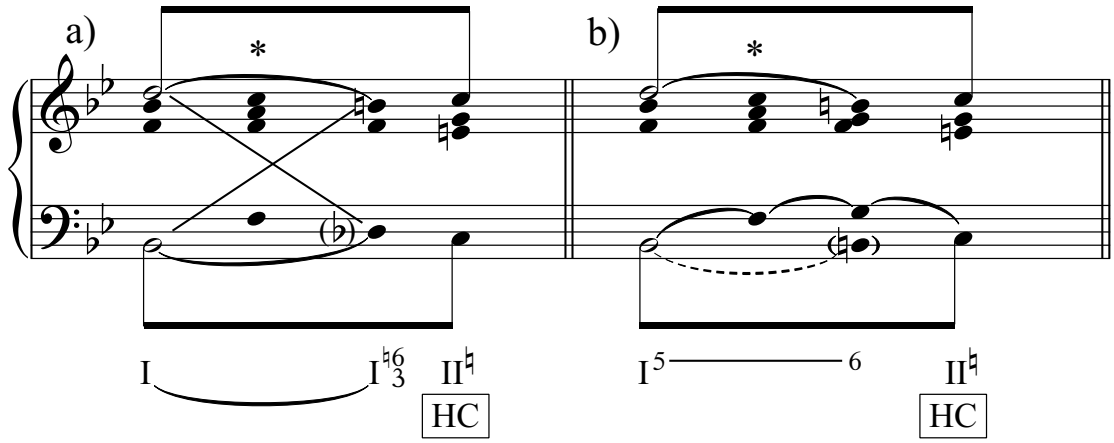


Figure 2. Mozart, String Quartet, K. 458, III, bars 1–14 (Fig. 2a) and Piano Trio, K. 496, II, bars 1–22 (Fig. 2b), analytical sketch.

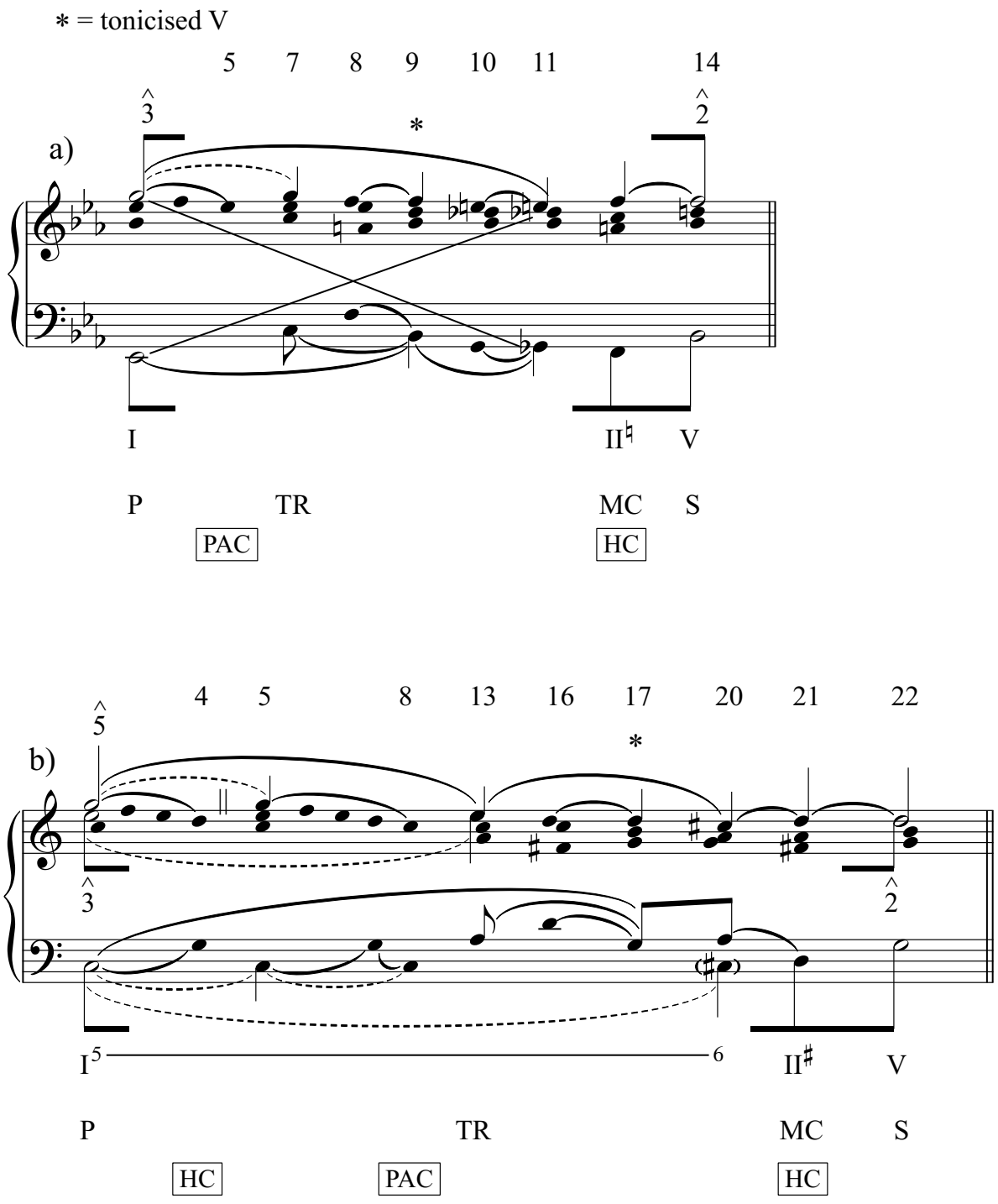


Figure 3. Mozart, Quintet for Piano and Winds, K. 452, II, bars 27–33, underlying ‘basic phrase’.

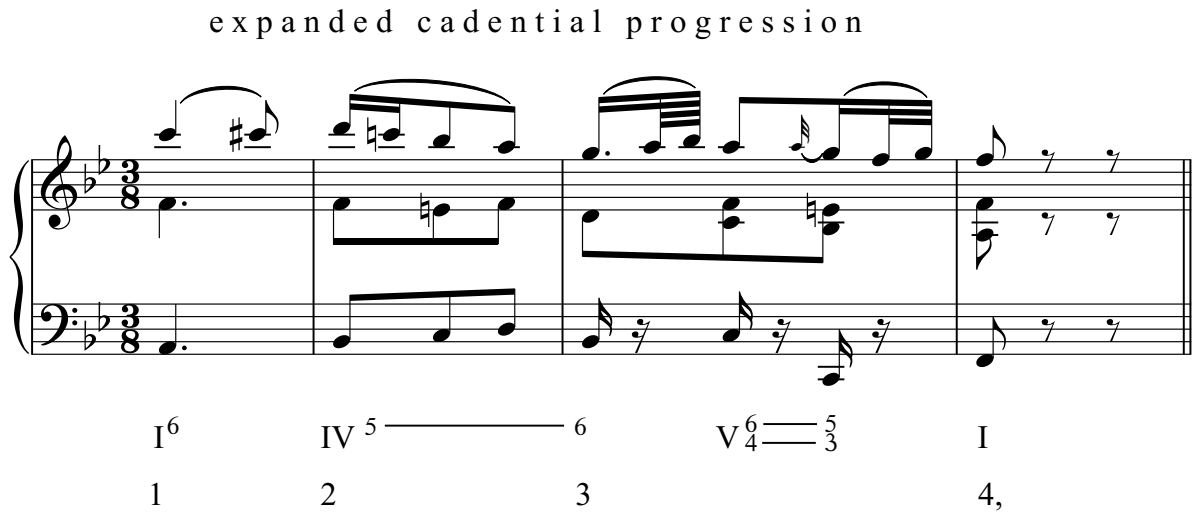


Figure 4. Mozart, Quintet for Piano and Winds, K. 452, II, bars 19–32, analytical sketch.

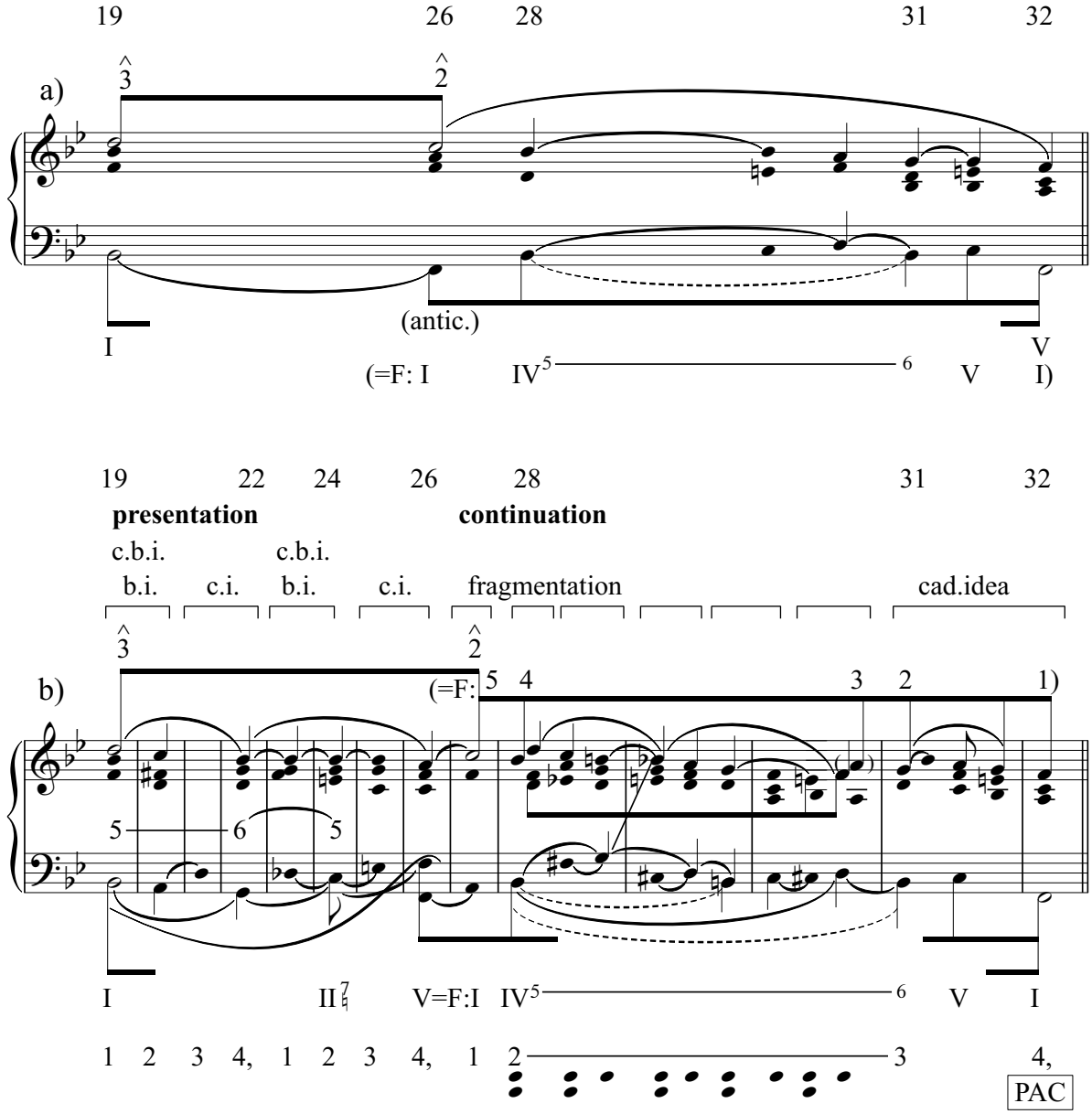


Figure 5. Mozart, String Quintet, K. 515, II, bars 1–32, analytical sketch.

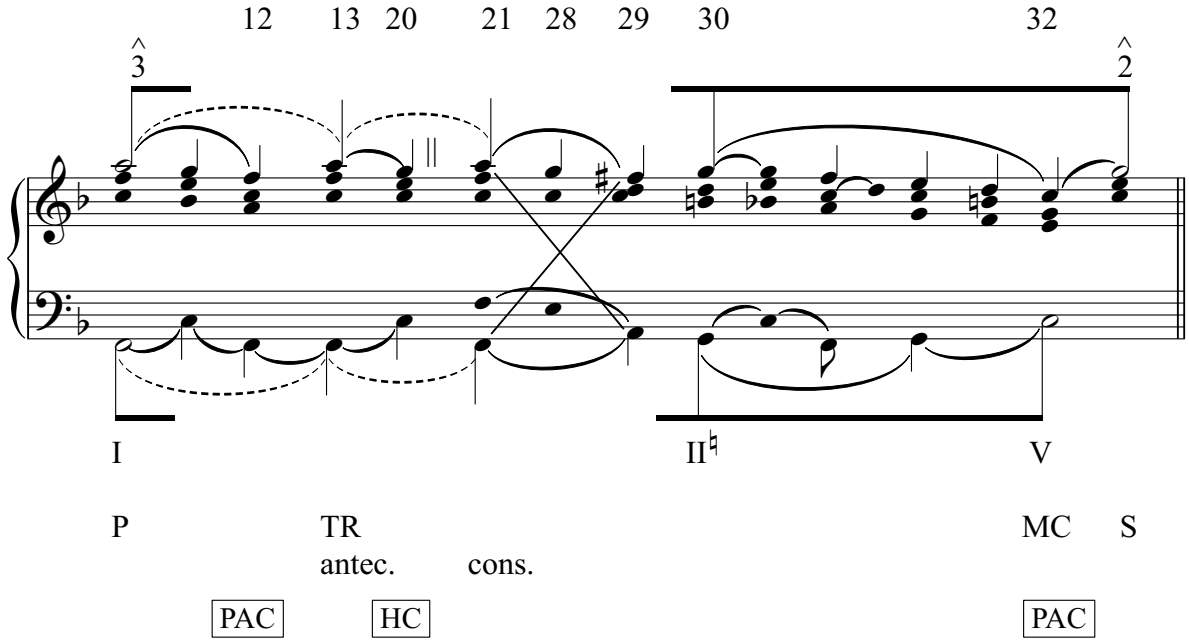


Figure 6. Mozart, Clarinet Quintet, K. 581, II, bars 1–20, analytical sketch.

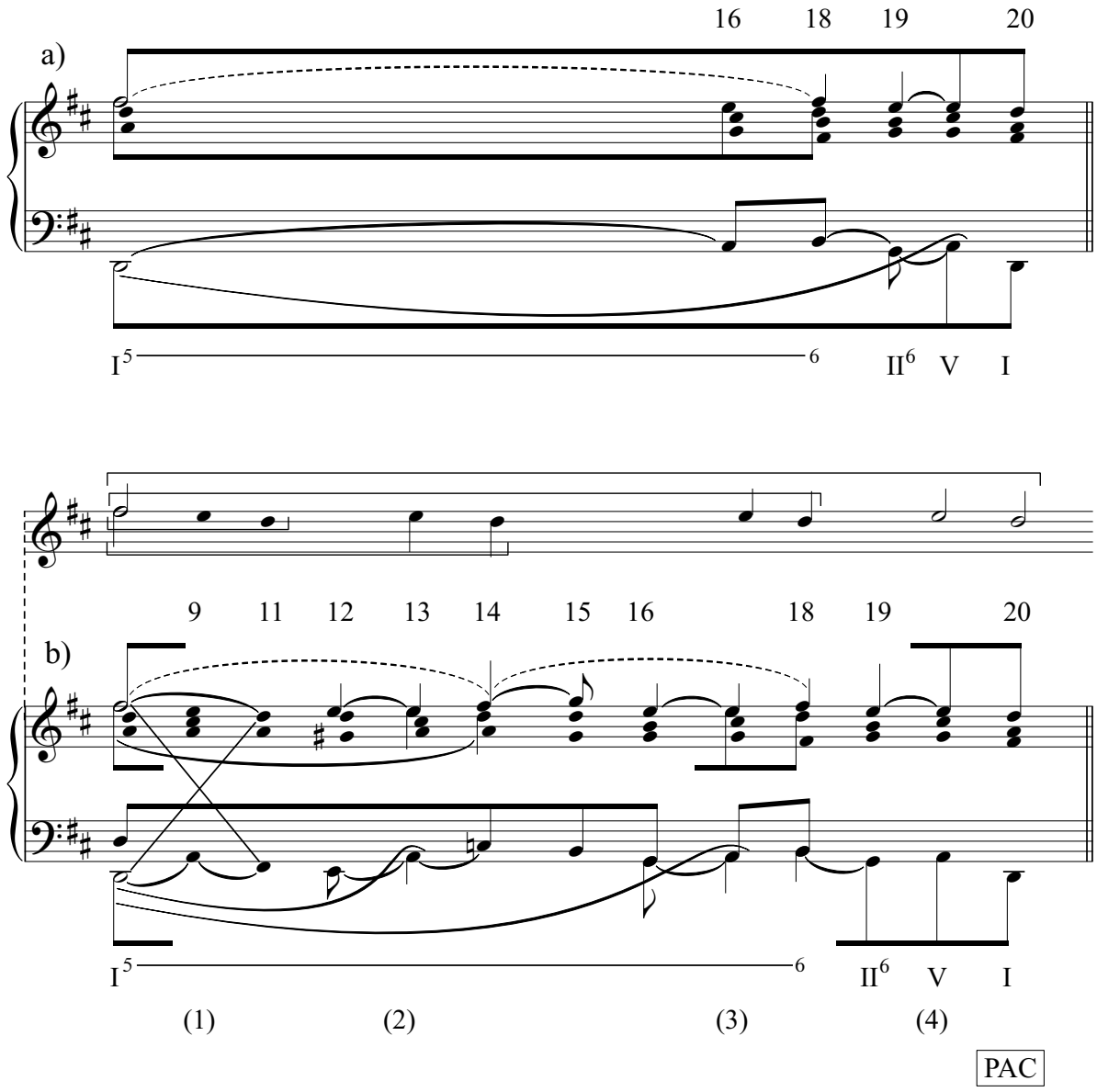


Figure 7. Mozart, Clarinet Quintet, K. 581, II, bars 20–30, analytical sketch.

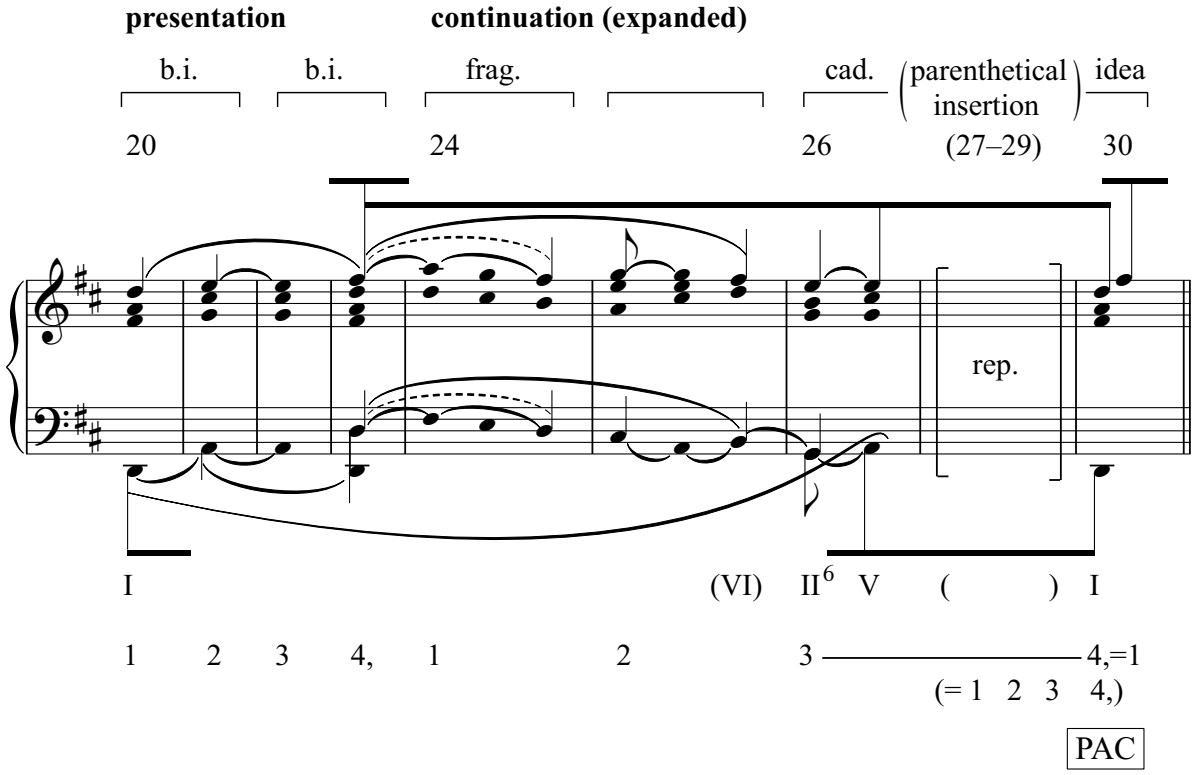


Figure 8. Mozart, Clarinet Quintet, K. 581, II, bars 30–45, analytical sketch.

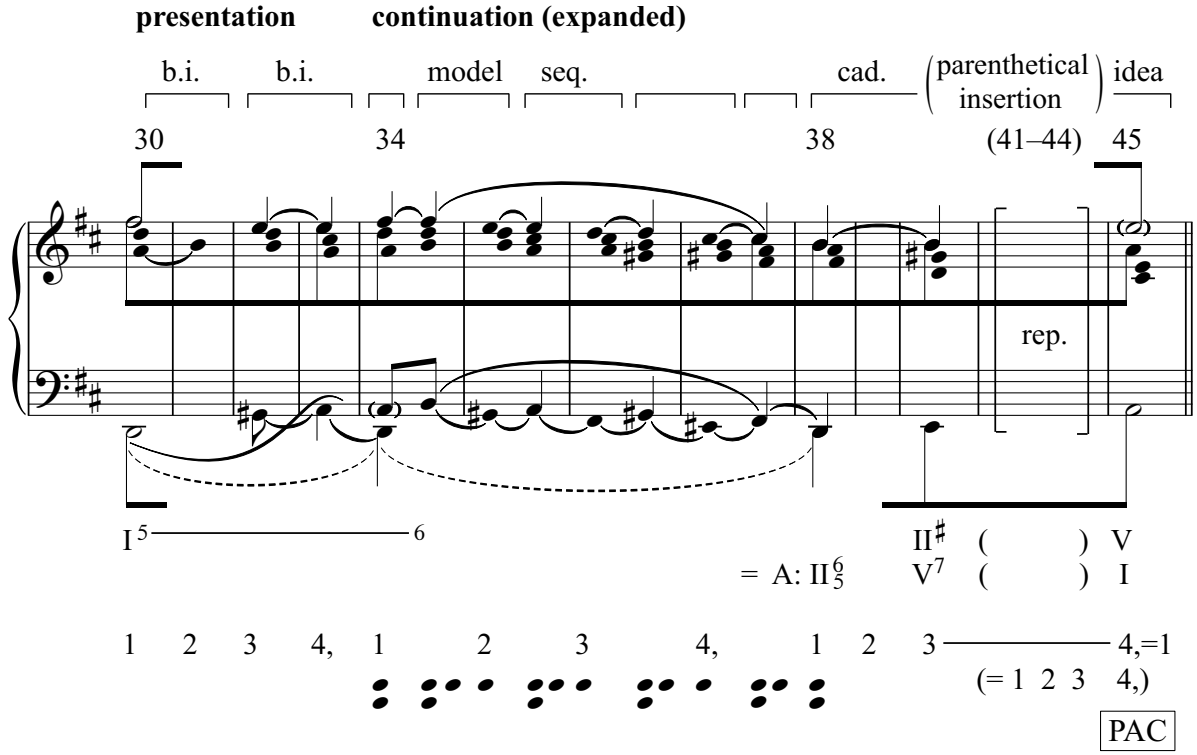


Figure 9. Mozart, Sonata for Piano and Violin, K. 376, II, bars 1–35, analytical sketch.

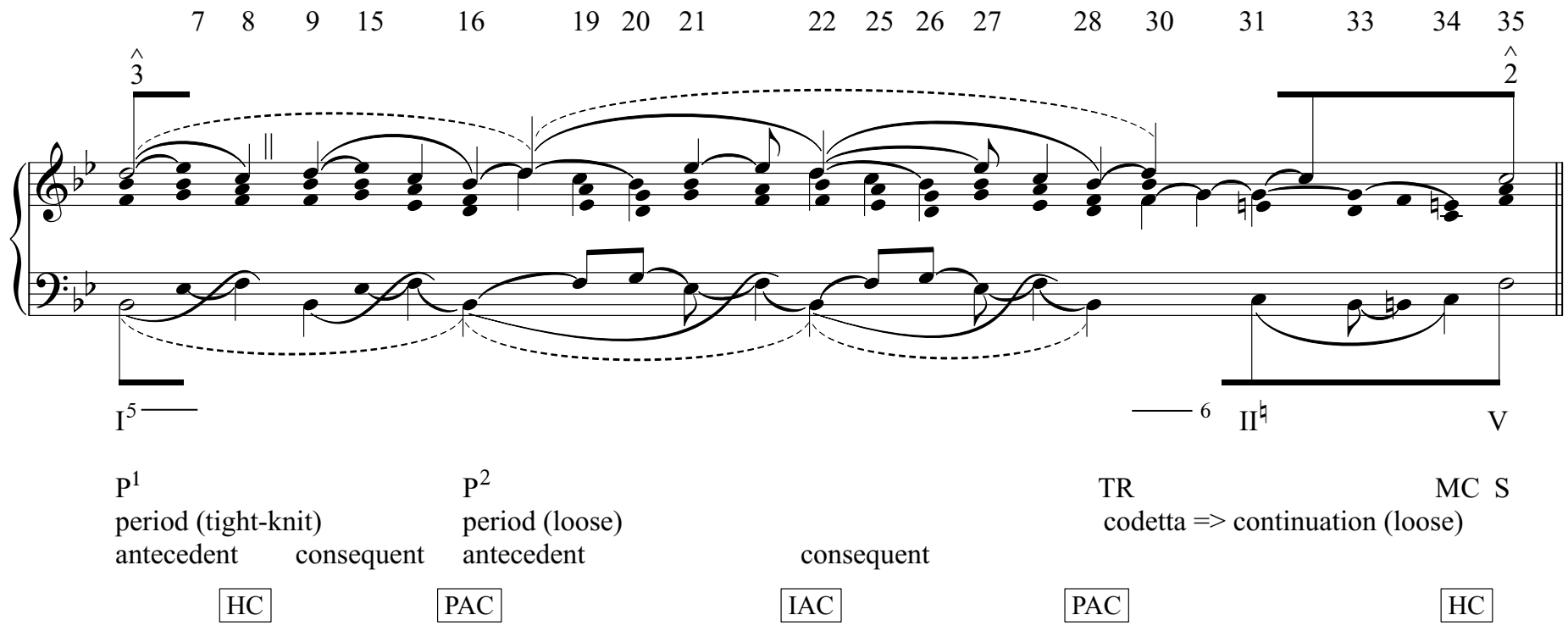


Figure 10. Mozart, String Quintet, K. 593, II, bars 1–33, analytical sketch.

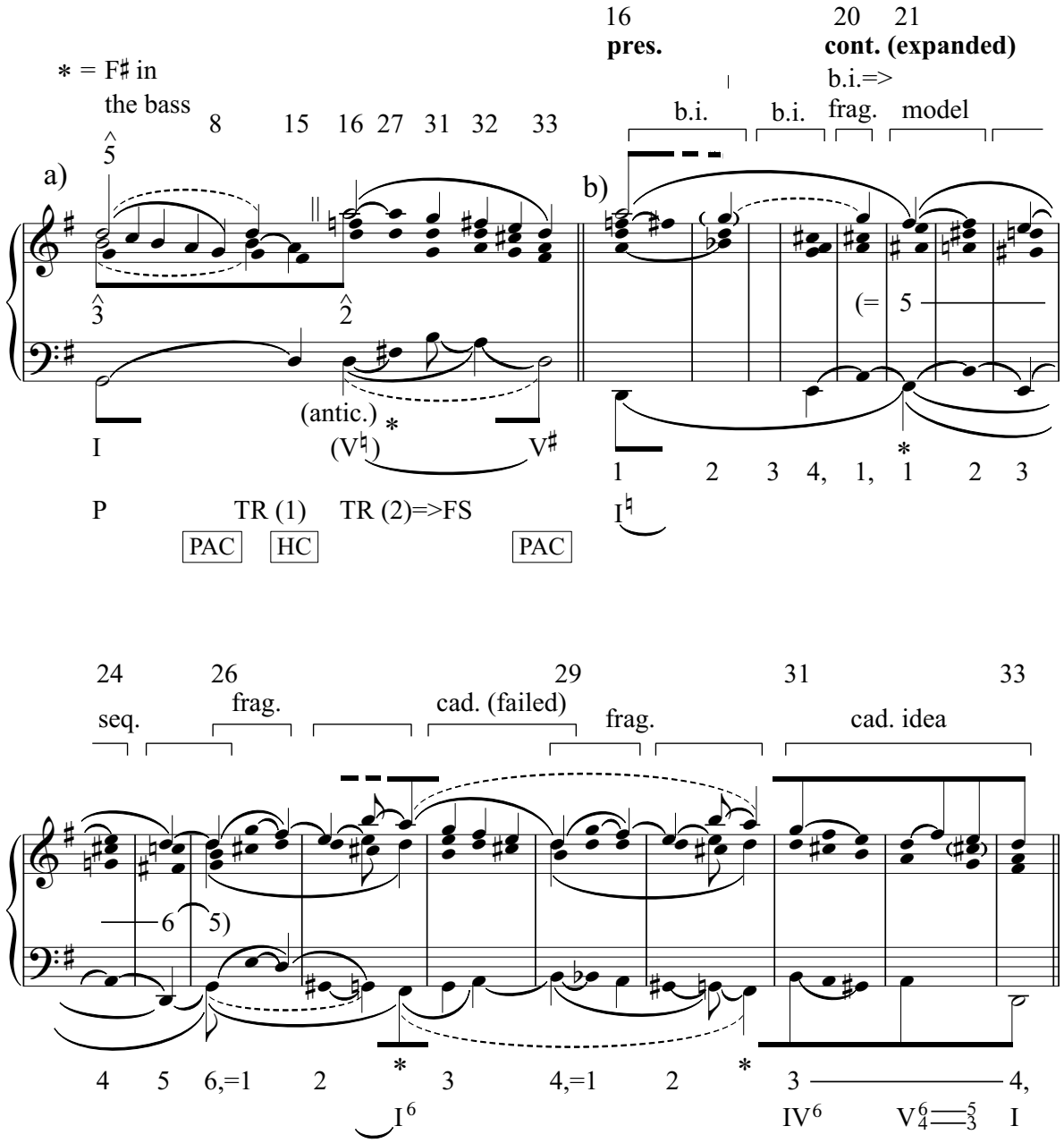
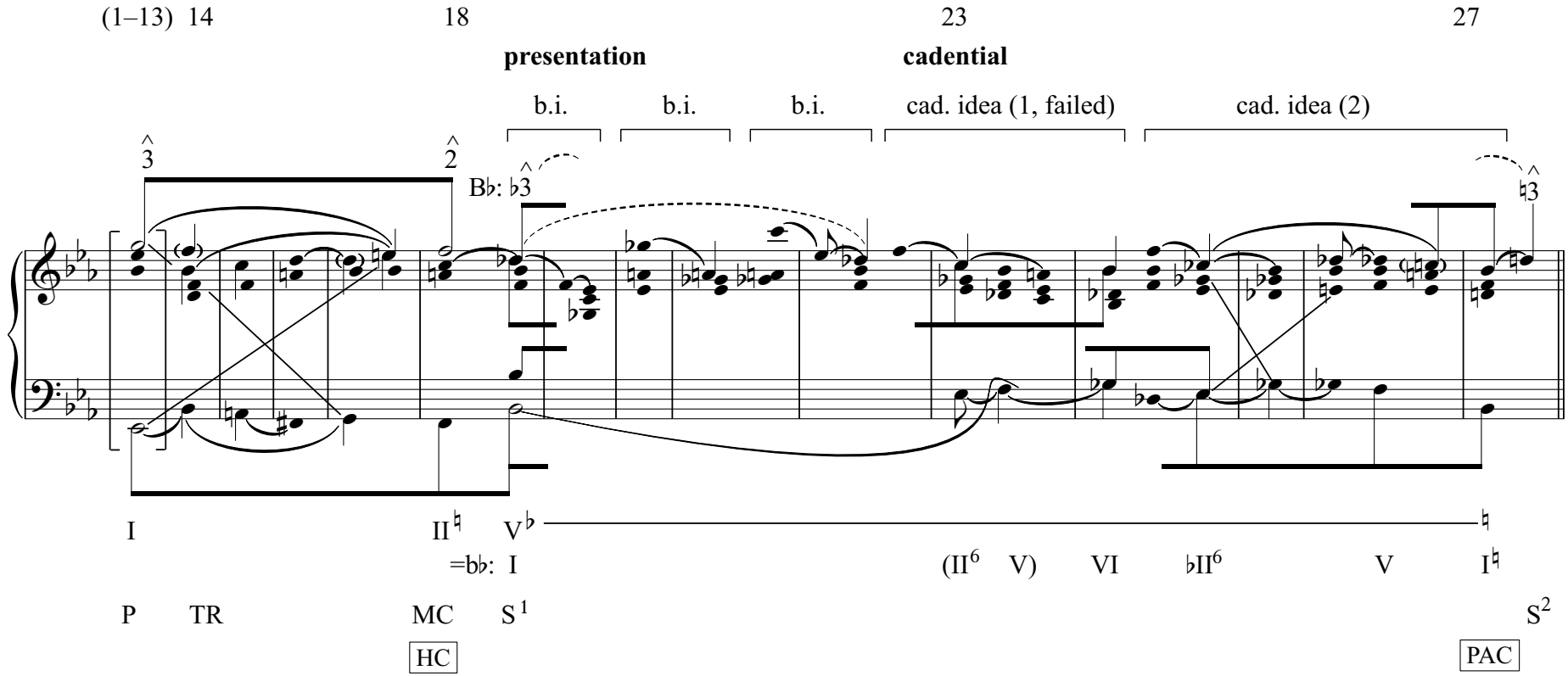


Figure 11. Mozart, String Quintet, K. 516, III, bars 1–27, analytical sketch.



**NOTE ON THE CONTRIBUTOR**

LAURI SUURPÄÄ is Professor of Music Theory at the Sibelius Academy, University of the Arts Helsinki. His main research interests are in the analysis of tonal music. His publications have typically combined technical music analysis with other approaches, such as programmatic aspects, narrativity, musico-poetic associations in vocal music, eighteenth-century rhetoric and Romantic aesthetics. He has given guest lectures in universities in North America and Europe and contributed papers to numerous scholarly conferences. He is a member of the Editorial Committee of Jean Sibelius Works, the critical edition of Sibelius's complete works. His publications include *Death in 'Winterreise': Musico-Poetic Associations in Schubert's Song Cycle* (2014), *Music and Drama in Six Beethoven Overtures: Interaction between Programmatic Tensions and Tonal Structure* (1997) and numerous journal articles and book chapters. He is currently working on a monograph on Haydn's late symphonies and string quartets.