Sonata-fugue in Joseph Haydn's string quartets.

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SONATA-FUGUE SYNTHESIS IN JOSEPH HAYDN'S STRING QUARTETS


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Abstract

The concept of sonata-fugue synthesis is most often associated with Mozart's 'Jupiter' Symphony. Little known are the many fugal movements written by Haydn which combine fugue and sonata principles to create some of the most complex hybrid forms. The subject is approached firstly by examining interpretations of the concept offered by historians, theorists and composers. A study of all Haydn's instrumental fugal movements follows. This reveals that Haydn's best-known fugal works, the three fugal finales in his Op.20 set of string quartets, are by no means his first attempts at instrumental fugal writing; for preceding them are over a dozen symphony and baryton-trio movements which exhibit a variety of sonata-fugue constructions. Moreover, it can be seen that the kind of sonata-fugue principle found in the Op.20 finales became one of the most important compositional techniques established by Haydn for the string quartet genre. After the Op.20s, Haydn only composed one other quartet fugue - the finale of Op.50 No.4 - but, many later quartet movements exhibit fugal traits without being labelled 'fugues'. This thesis contends that a number of Haydn's quartet sonata-movements, particularly those which are often classified 'monothematic', are in fact designed with elements of the fugue as a form in the background. Their fugal roots must therefore be recognised. This last point is illustrated by analyses of the first movements of Op.76 Nos.1 and 2.

The thesis contains a list of all of Haydn's instrumental fugal movements. The analyses of individual works are conducted using methods such as Schenkerian voice-leading analysis, Schoenbergian tonal and formal analysis, semiotic analysis, and concepts of chromatic completion in Classic music. The thesis also includes explorations into the study of the Op.50 autograph score and manuscript parts.
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Explanatory Note

(1) All pitches are designated by capital letters unless specific registers are identified. In such cases, the system used is

\[ C = \text{middle C} \]
\[ g' = \text{fifth above middle C} \]
\[ g'' = \text{twelfth above middle C} \]
\[ G' = \text{fifth below middle C} \]
\[ G'' = \text{twelfth below middle C} \]

(2) All translations of Ludwig Finscher's texts are mine unless otherwise stated. The references for the original texts are foot-noted with the English translations in the main text. The original texts are printed in the Appendix on pages 252-253.
INTRODUCTION

At the last movement of the symphony there stands *Presto Fuga*, and whoever wants to call that thing a fugue is welcome to do so.\(^1\)

The German critics were belligerent. They regarded the new Viennese musical style with suspicion and contempt. There are too many works which 'because of their new clothing and different style, lapse into the comic and trifling.'\(^2\) In particular, they were unable to accept that serious contrapuntal works are adulterated by comic effects. These are 'mistakes in composition,' they say, 'a complete lack of knowledge of counterpoint.'\(^3\) And many of such remarks were directed specifically or collectively at Haydn's works.

But all these were unjustified criticisms; for Haydn was certainly well-versed in the techniques of counterpoint. It is well-known that Haydn studied and worked

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2 Hiller, *ibid.*, written for 26 September and 3 October, 1768. See also Landon, *ibid.*, p.154.

through Fux's *Gradus ad Parnassum* meticulously; not once, but several times throughout his creative life.\(^4\) His own teaching methods were adapted from Fux's treatise.\(^5\) There is no question that Haydn learnt and understood the principles of contrapuntal writing amply and sufficiently. If his fugues did not live up to the expectations of the German critics, it is only because the *practice* of fugal writing in Vienna at the time had adopted a new outlook, a 'new clothing'. The *theory* remains fundamentally the same, but the Viennese *style* of writing, their use of fugal principles in the creation of new works was far more progressive than the North-German attitude.

The phenomenon of a mixture of styles was to dominate the new musical movement in Vienna at the time. It may even be said that the Viennese Classical style is ultimately defined by such a phenomenon. Charles Rosen's belief that the creation of a classical style 'was not so much the achievement of an ideal as the reconciliation of conflicting ideals' can be aptly applied to the origin of the Viennese Classical style.

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\(^4\) Both authentic biographers of Haydn, Georg August Griesinger and Albert Christoph Dies allude to Haydn's use of Fux's textbook. Griesinger reports that Haydn 'came to know Fux's *Gradus ad Parnassum* [1725] in German and Latin - a book he still in his old age praised as a *classic* and of which he had kept a hard-used copy. With tireless exertion Haydn sought to comprehend Fux's theory. He worked his way through the whole method, did the exercises, put them by for several weeks, then looked them over again and polished them until he thought he had got them right.' See Gotwals, *Haydn: Two Contemporary Portraits*. A translation of the Biographische Noteizen über Joseph Haydn (1810) by G.A. Griesinger and the Biographische Nachrichten von Joseph Haydn (1810) by A.C. Dies, University of Wisconsin Press, 1968, p.10.

\(^5\) Dies reports that Haydn added to his library the textbook of Fux (when he was a young composer in Vienna) and that Fux's 'method, the approach pleased him, and he made use of it with his current pupils.' See Gotwals, *ibid.*, p.96. See also Mann, *Theory and Practice*, Norton, 1987, pp.41-141 for further discussions on Haydn's teaching of counterpoint.
A 'lack of any integrated style' in the earlier years (1755-75) and 'the blending of genre' from 1780 are some of the most characteristic manifestations in Viennese Classical music. The mixture of the serious and comic, fugue and galant styles is hence only a natural outgrowth, a more specific manifestation of the period style. Yet, even though critics of all ages, beginning with the eighteenth-century Berliners mentioned above, have questioned the nature of these 'adulterated', 'unconventional' Viennese fugues, none have systematically defined their compositional or generic origins. In his seminal study on fugal compositions in the eighteenth century, Warren Kirkendale came close to tackling this task. However, his approach is predominantly historical. Theoretical and compositional issues surrounding the subject are still untouched. Particularly in discussions of Haydn's fugal finales in the Op.20 string quartets, some of the best-known 'galant fugues' of the time, opinions about their formal and generic identity differ widely from one commentator to another.

My thesis is that Haydn's 'galant fugues' should and can be much more accurately defined. Not only are his instrumental fugues important works in their own rights, their influence on the development of Haydn's musical language is central. While many of the Viennese fugues by lesser composers were and remained 'trifling', Haydn saw the potential of integrating strict fugal principles with sonata form, thus

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creating some of his most complex musical forms. Even though the Op. 20 fugues are the best-known works of the kind by Haydn, they are in fact only one of several manifestations created by combining sonata and fugal principles. The fact that they are preceded by over a dozen other fugal works written for orchestra and the baryton trio is seldom noted. Even if mentioned, their significance in the development of Haydn's fugal style is never fully acknowledged or understood. In reality, these practically unknown works are crucial links between the trifling Viennese galant fugues and Haydn's complex hybrid forms. And in turn, the Op. 20 fugal finales were only the beginning of a long process of exploring the use of the compositional technique of combining fugue and sonata principles.

At different stages in Haydn's creative life, different constellations of mixing the two styles appeared. Within the quartet genre, it can be seen that the balance of the duality shifted from fugue to sonata: from the Op. 20 fugues to the late sonata-form movements; and the nature of the hybrid forms from a symbiotic existence of the two styles to a synthesis of the two forms.

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8 Kirkendale, for instance, lists the baryton-trio fugal movements in his discussion of Haydn's fugues. See Kirkendale, Fugue and Fugato, p. 140.

9 In this thesis, examples of late sonata-form movements are taken from the Op. 76 set of quartets (1796-97).

10 The distinction between 'synthesis' and 'symbiosis' in analytical terms is a concept put forward by Arnold Whittall in "The Structure of Atonal Music: Synthesis or Symbiosis?" in Dunsby/Whittall, Music Analysis: In Theory and Practice, London & Boston: Faber, p. 173ff. Whittall explains that in atonal music, unity may be dispensable, but coherence is not, 'and a shift from the unifying integration of contrasted but none the less related elements (synthesis) to the establishment of an equilibrium, a balance between elements that remain distinct (symbiosis), would not entail a shift from sense to nonsense.' (p. 173) In this thesis, the two terms are borrowed to express the same principles.
The difference between stylistic coexistence and formal synthesis is a subtle one, and one which the present thesis aims to clarify by exploring the mechanics by which fugal and sonata principles are combined in each individual work. It is my interpretation that in the Op.20 fugues, sonata elements are best described as stylistic: characteristic features belonging to the sonata style which appear within the strict fugal process are referential rather than structural. These features, which may be regarded as musical topoi, are absorbed onto the musical surface; but their formal process and background structure still resemble those of fugal movements rather than sonata form. In the later quartet fugue (Op.50 No.4, IV), however, the fugal foreground is clearly shown to be fashioned against a sonata-form design and background structure. In turn, the sonata-form patterning in the foreground of the Op.76 movements is largely controlled by a background fugal process.

The essence of the present thesis is therefore represented in Chapters Four and Five where works which show a true synthesis of fugue and sonata are analysed. The first three chapters set the historical and theoretical background to the understanding of these later hybrid forms. The Op.50 fugal finale discussed in Chapter Four has been an enigma to scholars and performers alike. It is hoped that its analysis here will shed light on many previously unanswered questions. A large number of Haydn's late sonata-form movements are thought to be idiosyncratic and problematic.11 In many

cases, due to a lack of understanding of their true formal origin and identity, they are
simply collectively referred to as 'monothematic'. In my analyses, I suggest that firstly,
even within monothematic sonata-form movements, there is a wide range of formal
types, and secondly, some of these types arise out of their fugal origins.

Ultimately, even if these forms are largely idiosyncratic to Haydn, they do
nonetheless reflect some of the most significant advances within the compositional
history of the Viennese Classics. To trace their development and to analyse their
compositional make-up is therefore crucial to the understanding of both Haydn's
personal language and the style of the period at large.
CHAPTER ONE

Concepts of Sonata-Fugue Synthesis

In this chapter, descriptions of Haydn's fugues and concepts of sonata-fugue mixture offered by other commentators are put under scrutiny. In setting their different approaches side by side, the reasons for investigating the idea of sonata-fugue synthesis in Haydn's works will become more apparent. For even if no consensus can be found within their disparate arguments, a general trend of thought which centres on the principle of a mixture of fugue and sonata style is evident. In most cases, 'sonata style' is seen to embrace all aspects of the new mode of composition in eighteenth-century Vienna: homophonic texture, punctuated forms, a dramatic and galant spirit.

The discussion below is divided into three parts. The first ('Historical Perspective') deals with commentators who approached the subject from a historical point of view. Both their views and my observations aim to locate Haydn's quartet fugues within Haydn's oeuvre as well as within the musical development of the time. The second part ('Compositional Perspective') looks at the possible compositional reasons for writing such movements advanced by recent scholars. And the third ('Theoretical Perspective') reveals the attitudes of some of the most distinguished theorists, from the early nineteenth century to the present day, towards these hybrid forms.
1.1 A Historical Perspective

Haydn's apparently sudden turn to writing three fugal finales in a single set of string quartets (Op.20, 1772) has intrigued musicologists for many decades. Before Kirkendale's study, it was commonly believed that these fugues, together with Mozart's in his G-major quartet (K.387, 1782), were unique inventions within the Classical Viennese tradition of instrumental music. Few other composers of Haydn's and Mozart's time, it was thought, wrote such movements within the genre. When viewed in isolation, they do seem extraordinary phenomena for three reasons: firstly, Haydn's examples are virtually the only works of the kind within his own output of string quartets; secondly, they appear within works which are otherwise steeped in the contemporary sonata style; and thirdly, the fugues in themselves do not comply with the commonly accepted aesthetic of fugues. With Kirkendale's research, the unusual qualities of Haydn's fugues are now understood to be not an invention by Haydn himself, but part of a tradition of fugal writing established in Vienna long before Haydn's attempts. As part of this tradition, Haydn's fugues are far removed from the North German, Bachian variety (a way of composing fugues with which the genre is still most readily associated). Instead, contrary to the Northern practice, the 'Viennese fugue' admits a much freer procedure of writing and an affect which is far more galant, far more light-hearted. From this point of view, Haydn's quartet fugues are neither atypical nor unique. Moreover, even though Haydn wrote only 4 fugues

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1 Kirkendale, *Fugue and Fugato*.

2 The only other quartet fugue within Haydn's oeuvre is the finale of Op.50 No.4 (1787).
out of the 282 movements within his 68 string quartets, they are not his only instrumental fugues. From the early 1760s to the time of the Op.20 set, he composed a chain of fugal movements within his symphonies and baryton trios.\(^3\) By the time the quartet fugues were written, Haydn's own fugal style had already undergone several stages of development.

It is because the Viennese style of fugal writing is free and admits homophonic textures, dance rhythms and punctuated forms that critics became suspicious of their true identity. Are they genuine fugues, or should they be deemed hybrids of fugue and the 'new' sonata style? In other words, when is a fugue not a fugue? To be sure, they do not meet our expectations of 'traditional fugues' (which is essentially the North-German variety). But since composers in Vienna, like Haydn, would have been well-schooled in the strictest fugal rules as a fundamental technique of composition, their starting point when writing fugal movements would have been to adhere to such strictness. However, the variation between the degrees of freedom admitted in writing movements which are deemed fugal is wide. The Viennese galant fugue is not a new fugal model, but is a manifestation of different ways of adapting a new aesthetic to old theory. The exact relationship between the strict, traditional fugue and the galant fugue, however, is unclear, and the obscurity is reflected by the often conflicting views of modern historians.

One proposal advanced by historians is the notion of 'fugue in sonata form'.

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\(^3\) Baryton trios are written for the baryton, viola and cello.
Oskar Kapp, for example, an editor of the Denkmäler der Tonkunst in Österreich, spoke of fugues by two Viennese composers, Georg Matthias Monn (1717-1750) and Johann Georg Albrechtsberger (1736-1809). For Kapp, Monn’s compositions were ‘fugues in sonata form’ and Albrechtberger’s were not only ‘a tentative experiment in amalgamating two forms,’ but a ‘consummate fusion’. His reasoning is twofold: first, there is a similarity between the key sequence of the fugues and the tonal scheme of sonata form; and secondly, there is a tendency to recapitulation. This argument is problematic on two counts: first, homophony, dance rhythms, punctuated textures, and the tendency to recapitulation are not sole properties of sonata form; and second, tonal schemes resembling sonata form are not in themselves sufficient evidence of sonata form. As explained by Kirkendale, these features ‘already permeate several categories of late baroque music - the concerto, the da capo aria, and the sinfonia.’ Moreover, when Monn wrote his quartets, they were ‘still firmly rooted in the sonata da chiesa tradition;’ sonata form as such had not even emerged as a well-defined, well-used compositional concept. In other words, the Viennese fugues may be loose in texture and galant in spirit such that they breathe the air of the fashion of contemporary writing, but they cannot be linked specifically to derivations of sonata form.

However, having condemned Kapp’s arguments, Kirkendale himself cites two typical fugal forms in the Rococo period as resembling sonata form: fugal movements

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4 In DTÖ, Vol. XVI/2, viii. Other editors who commented on this same theme include R. von Perger (DTÖ, XIV/2, xii) and F.E. Fisher (DTÖ, XIX/2, xxii).

5 Kapp, DTÖ, p.viii.

6 Kirkendale, Fugue and Fugato, p.78.
in binary form which Kirkendale calls 'fugatos' and fugal movements in disguised binary form or 'neutral fugues'. Both types of forms begin with complete fugal expositions followed by textures which contain either far less stringent contrapuntal devices or pure homophony. A complete fugal process is never worked through. Kirkendale contends that the first type 'demonstrates the various stages of transition from the old binary type, familiar from baroque dance movements, to rudimentary sonata form;' and in the latter category, 'the much-sought analogy with sonata form can be seen most clearly.' If the analogy between these categories with sonata form can be justified as more convincing than Kapp's arguments, it is for the sheer fact that the 'fugatos' are two-part forms divided by double bar-lines; and the 'neutral fugue' contains thematic organisations similar to those of some sonata-form movements.

From this brief excursion into modern historians' polemics, what emerges is that the understanding of Viennese fugal forms is far from clear. If sonata style is taken to embrace the contemporary galant, homophonic, dramatic styles, then it follows that Viennese fugues include sonata-style elements. But, if by sonata style, the sonata as a form is inferred, then the argument for fugue in sonata style must be supported by more rigorous analyses than Kirkendale's rather nebulous hypotheses. This leads us back to Haydn's three quartet fugues from the Op.20 set. Written in

7 Kirkendale, *ibid.*, p.79.
8 The 'neutral fugue' is exemplified by works by the Venetian composer Domenico Gallo. See Kirkendale, *ibid.*, p.87.
9 Kirkendale, *Fugue and Fugato*, p.79.
1772, decades after the first chamber-music fugues appeared in Vienna,\textsuperscript{11} they seemed destined to hold a central position within the history of Viennese fugal thought. If the essence of the Viennese fugal style can be revealed in any single group of works, these quartet movements must come close to being such exemplars. However, comparing Haydn's quartet fugues with those of his contemporaries, we may notice obvious differences; for even though it is evident that they belong to the same category of 'galant fugues', Haydn's works are far more complex. In this sense, they do seem to be unique. In order to understand this, we must consider Haydn's quartet fugues within the context of his own oeuvre.

When Haydn began writing instrumental fugues in the early 1760s, the practice of sonata form (though not yet the concept) was well established. Unlike the case with Monn, the works in which Haydn's pre-quartet fugal movements appear are not rooted in the baroque sonata da chiesa tradition but in the pre-Classical three- and four-movement forms.\textsuperscript{12} Most notably, immediately before the Op.20 quartets over the six years (1766-1772) leading up to these first quartet fugues, Haydn composed nine 'fugatos' and three fugues for the baryton trio. The 'fugatos' are exactly as Kirkendale described, namely 'fugal movements in binary form' which he associated with 'rudimentary sonata form.' Of the nine, two are without bar-line divisions and correspond to Kirkendale's category of 'fugal movements in disguised binary form' in

\textsuperscript{11} Kirkendale cites fugal movements composed in the 1730s by the Viennese composer Johann Georg Hintereder (1690-1769) as the first examples followed by those of Haydn's predecessor at the Esterházy court, Gregor Joseph Werner (1693-1766), as some of the earliest works of the genre. See Kirkendale, \textit{ibid.}, p.278 ff.

\textsuperscript{12} They will be examined in detail in Chapter Two. A list of these works are found in List 2.1.
which the 'much-sought analogy with sonata form can be seen.' Moreover, in line with
the practice of most of the Viennese composers of the time, Haydn never designated
these movements as fugatos. They bear ordinary tempo markings such as Allegro,
Allegro moderato, Allegro di molto, and Presto. As they fall neatly into known
models and follow established practice, it is evident that Haydn's early fugal style is
derived directly from the fugal trends of his day. In this sense, one would be hard-
pushed to suppose that Haydn viewed these works as 'rudimentary sonata forms'. They
are, in effect, a new form of composition established by Rococo composers which
are easily definable, and therefore readily 'usable' as a paradigm for new works. But
being one of many types of fugal movements existing at the time, they cannot be
considered as representative of the Viennese fugal style at large.

However, the three baryton fugal finales which are marked Fuga and which
follow the composition of the nine 'fugatos' deviate substantially from these known
models. Even though they are still galant in spirit and make much use of homophony,
they are procedurally strict fugues. The subject, or subjects, of each fugue is, or are,
ever lost sight of; and the multiple fugues (No.101 and 114) are constructed in

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13 Compare with Ordoñez's Op.1 No.1, IV, marked Fugato: see Chapter Three.

14 Whenever the term 'Rococo' is used in this chapter, it is defined according to Kirkendale's
notion: "Since we find in this period less of a prologue to the classical era than an epilogue to the baroque,
I replace 'preclassical' with 'rococo', implying the final light and elegant transformation of baroque
style, as understood in literature in neighbouring disciplines." See Kirkendale, Fugue and Fugato,
p.xxvi.

15 A glance at Kirkendale's 'Content List' proves the point. See Kirkendale, Fugue and Fugato,
under 'III. Genres of Composition' and 'IV. Fugal Movements,' p.x.

16 For dating of the baryton trio fugues, see List 2.1 in Chapter Two.
rigorous procedures of double counterpoint. All three movements are in one continuous part: the texture is undivided. From all points of view, they are much more closely related to traditional (strict) fugues than are their predecessors.

Insofar as writing strict fugues was considered old-fashioned by the mid-eighteenth-century in Vienna and fugal movements had been 'modernized', it might seem apt to argue that Haydn moved from the fashionable to the anachronistic in the examples found in his baryton trios. Yet, despite this strictness of process, these fugues contain an approach and affect which is 'modern' in outlook. The mixture of fugue and sonata style is a much more intricate one. Instead of breaking down the fugal process to accommodate an explicitly punctuated form, elements of sonata style in these baryton-trio fugues create subtler embellishments which dramatise the musical surface while allowing the fugal procedures to remain strict. As immediate antecedents of the Op.20 quartet fugues, the baryton-trio fugues represent a significant stepping-stone towards the conception of the later works. They may be slighter in dimension than the quartet fugues, but it is evident that the seed of the complex forms found in the Op.20 movements was already sown and had even germinated in these practically unknown works.17

So it appears that it is in the baryton trio fugal finales that Haydn began to discover his own device of modernizing fugues. Through this, he transformed the

17 It is no small coincidence that because this group of compositions is often regarded as belonging to a lesser genre, their seminal influence on Haydn's compositional development has been overlooked. For views which defend the baryton trios as a significant genre, see Wollenberg, "Haydn's Baryton Trios and the Gratus," Music and Letters, 54, 1973, pp.170-78; and Sisman, "Haydn's Baryton Pieces and his Serious Genres," in Joseph Haydn Kongress Wien 1982, ed. Badura-Skoda, Munich: G.Henle, 1986, pp.426-435.
Viennese technique of freely mixing 'old' and 'new' styles into his own, much more rigorous technique of synthesizing the two compositional principles. Haydn's contrapuntal works are technically far more sophisticated and exact than those of his contemporaries and yet, at the same time, they do not sound outmoded.

Haydn's Op.20 fugal finales, then, are both steeped in Viennese fugal style and also represent some of the composer's most original compositions. They were achieved through years of practice in the art of fugue, and in the art of amalgamating fugal and sonata styles. In the quartet fugues, he recast established compositional concepts to realize his own ideals.
1.2 A Compositional Perspective

In the Rococo period, chamber works were still mainly written in the four-movement *sonata da chiesa* style. The fugal movements within these works were incorporated in either of the two fast movements, the second or the fourth. A final fugal movement was the more common of the two possibilities. In general, fugues in eighteenth-century multi-movement works are closing gestures in both vocal or instrumental styles. Apart from two baryton trio fugatos (Nos. 56 and 60) which are middle movements, all of Haydn's instrumental fugal movements are finales. The string-quartet fugues are not simply final movements of any multi-movement work, but are specifically the finales of four-movement *sonata-cycles*. This factor alone separates the function of Haydn's fugal finales from those written before or at the time of the Op.20 quartets by other composers. As Kirkendale explains:

The quartets Op.20 unite for the first time a fully developed sonata movement and a fugue as the main pillars of a classical cycle.  

Indeed, of the 396 fugal movements written by Viennese composers preceding Haydn's cited by Kirkendale, only 20 are last movements in four-movement works; and of the 20, only 13 occur in string quartets. All thirteen of the four-movement

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19 Those listed in Appendix 1, *ibid.*, pp.278-98.

20 The others are trios or quintets.
quartets follow a design in the *sonata da chiesa* tradition. The function of the fugue as final movement of such a form can hardly be compared to that of Haydn's four-movement 'classical cycle'. In the former, to borrow James Webster's definition of characteristic types of finales, they are 'conventional or arbitrary succession as 'last' movement;' whereas in the latter, they function as 'a contrasting and equal pendant to the first [movement]' which may even be part of an 'overarching progression leading to the finale as climax or apotheosis.' In other words, Haydn's finales are components of the entire four-movement work; they are composed to function as a conclusion either by balancing the increasingly weighty first movements or by acting as summations or resolutions of preceding events in the earlier movements. In Kirkendale's words, fugal writing in Haydn's quartets is no longer the norm, but a means of individualizing each work: for 'each composition, even within a set, now has its unique, individual character.'

*The Finale Problem*

The problem of composing finales to multi-movement works seems to have preoccupied Haydn for the whole decade leading up to the Op.20 quartets. This 'finale problem' relates especially to two genres: the symphony and the string quartet. In the symphonies, as explained by Webster, the problem is caused by 'the addition of a finale to the traditional three-movement pattern ending with a minuet.' The

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23 Webster, *Farewell*, p.183. Also see Sponheuer, "Haydn's Arbeit am Finalproblem," *Archiv für Musikwissenschaft*, 34, Trossingen, 1977, pp.199-224 in which the issue as applied specifically to Haydn's symphonies is discussed in detail.
development from the Italianate three-movement Sinfonia to the Classical four-movement Symphony led to the necessity of creating a new type of finale, one which 'posed a new problem of style, weight, and contrast with respect to the other movements.' Within the string quartet genre, the difficulty is caused by transforming the five-movement plan of the divertimento (Fast - Minuet I - Slow - Minuet II - Fast) as found in Haydn's early string quartets (Opp.1 and 2) into the four-movement 'classical cycles'. In some of the early four-movement forms (as in a few of the Opp.9 and 17 quartets), one of the two minuets is simply dropped and the slight dimensions and light-weightedness of the five-movement finale are retained. This generated works which are undesirably 'top heavy'. With the continual development of 'sonata form', this imbalance became increasingly pronounced as Haydn's first movements grew to be even more substantial in length, conception, and expression. The divertimento quality of the remaining movements was not adequate.

Tracing the development of the Opp.9 and 17 quartets, one senses Haydn's struggle to lengthen and intensify the last movements. At this time, he seems to have found the solution by heightening their contrapuntal complexity. It is already apparent that in some of the Op.17 quartets, the finales are more contrapuntal than in the previous quartets. The fugues in Op.20 are just a step further towards addressing the imbalance in top-heavy works: the finale may now be said to be as substantial in

24 Webster, ibid., p.183.

25 For a detailed discussion on this point, see Ludwig Finscher, Studien zur Geschichte des Streichquartetts, Kassel: Bärenreiter, 1974, chapters on Opp.9 and 17.

26 Op.17 No.4 in particular. For further discussions on this issue, see Finscher, ibid., p.236 and footnote 12 in Chapter Two.
concept as the sonata-form first movement. The debate, however, centres around the use of fugue from a stylistic point of view. Ludwig Finscher, for example, finds Haydn's decision to adopt fugal writing aesthetically problematic, arguing that to end a work predominantly written in sonata style with a fugue is stylistically far too incongruous. Commenting on the F-minor fugue in the Op.20 set, Finscher remarks:

The cyclic coherence of the three fugal quartets are problematised in a different way... the coherence is strengthened by pronounced unity of character within each movement: the respective fugal finale follows closely in character that of its first movement. But [stylistically] as fugues, they detach themselves from the other movements so much so that they do not function convincingly as finales of the cycles.27

Emphasizing the point further, Finscher argues that the F-minor finale is like a 'foreign body' hanging on to the rest of the work.28

The fugue appears completely unprepared, not as a conclusion, but as an appendage - nothing in the earlier movements led the listener to expect such an ending.29

However, he does see an exception in the C-major (Op.20 No.2) fugue because the fugal style of the finale is anticipated in the first movement, the opening of which

27 Finscher, ibid., p.235.

28 This idea is in fact part of a general trend of thought in the tradition of German musicology reaching back to Adolf Sandberger. Forty years earlier, Sandberger put forward the view that the fugal finales are like Fremdkörper - foreign bodies. Mersmann, Müller-Blattau, and Geiringer, all held similar opinions. See Sandberger, "Zur Geschichte des Haydnschen Streichquartetts," Altbayerische Monatsschrift, 2, 1900, pp.41-64.

29 Finscher, Geschichte, p.235.
makes explicit reference to a fugal exposition. Indeed for this reason most agree that this movement forms a successful conclusion. Finscher comments:

It is through the loosening of the fugal texture to resemble a fugato and the capricious thematic make-up that the finale character is more obvious in this [the C-major fugue] than the other two fugues. The much stricter but capricious counterpoint in the finale is merely an enhancement of the playful contrapuntal texture in the first movement. 30

Whereas Finscher sees incongruity in the other quartets, Kirkendale sees these fugues as a culmination of a long tradition and 'among the most successful finales and fugues we have.' 31 Making his judgments from a different aesthetic perspective to Finscher, Webster reinforces Kirkendale’s point and rejects the Anhängsel, Fremdkörper ideas by arguing that 'the apparent incompatibility of style [counterpoint vs. freedom, tradition vs. novelty] within the generic context is precisely Haydn's governing idea'. 32 Both Kirkendale and Webster seem to acknowledge the sonata-style aspect of these quartet fugues as a stronger element than others would accept. Haydn’s fugues are 'among [his] strongest articulations of the finale as a culmination', for they 'stand for the coexistence of the two styles in his art.' 33 These finales are not only as equally weighted as the first movements, they are a synthesis of both fugue and

30 Finscher, ibid., p.235.
31 Kirkendale, Fugue and Fugato, p.141.
32 Webster, Farewell, p.298.
33 Webster, ibid., p.300.
sonata.

Standing half way between these positions is Tovey's. Even if the use of fugal polyphony in the finale proves to be an unexpected contrast to the preceding movements, he argues, the fugues are *dramatized* by contrasting dynamics in a manner much more akin to sonata style than to fugal *Affekt*. Furthermore, the fact that they all end homophonically at least ensures that the four-movement work as a whole concludes in the style in which it began. In Tovey's own words:

The fugues are directed to be played *sotto voce* until, at or near the end, a sudden *forte* winds them up in a coda which more or less abandons fugal polyphony so as to end the work in sonata style.\(^{34}\)

Thus, there are various schools of thought concerning the actual function of the fugal finale. But it is because these fugues are adorned with sonata-style characteristics that Kirkendale, Webster and Tovey see these movements as successful finales. They agree that in using the galant fugue as finale of these string quartets, Haydn found a perfect way of solving the 'finale problem': the complexity of the fugal idea provides weight to balance the ever lengthier first movements, the fugue is a typical eighteenth-century ending gesture, and the combination of fugue and sonata provides a most satisfactory end to a four-movement sonata-cycle.

In the German school of thought, however, even though these fugues are seen to be rather unsuccessful attempts on Haydn's part to solve the 'finale problem', they nevertheless seem to be extraordinary. They are far removed from the traditional conception of fugal forms. Using the C-major fugue as the exemplar of 'unconventional' fugue, Finscher observes:

The four themes in the C-major fugue are so individualised that they do not resemble baroque fugal themes any more. In particular, the principal theme... is treated in a dance-like 6/8 rhythm, structured as a veiled periodic phrase, embellished with chromaticism and cadences with a decorative turn figure. The loose, playful character of the fugue is more like a Classical finale set in a strict fugal process; but such a fugue has almost nothing more to do with the traditional, textbook definition of the 'school fugue'.

Thus Finscher's description of the sonata-style elements featured in this fugue is even more detailed and vivid than that of his counterparts. Moreover, Finscher explains that not only is the subject unconventional, the manner in which it is developed is also closer to the Classical manner of developing themes - a form of motivische Arbeit - than to a fugal manner of leading a subject through keys. But most importantly, Finscher affirms that it is not only the character, but also the form of the movement which lies on the boundary of being a 'malformed' fugue on the one hand and a contrapuntally intensified sonata on the other:

Not only the character, but the actual form of the movement is far removed from the baroque

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35 Finscher, Geschichte, p.232.
or post-baroque fugues. The boundary between such a fugue and the contrapuntally intensified sonata form exhibited in the first movement is virtually blurred.\(^{36}\)

This argument clinches the notion of hybrid forms in Haydn's fugues. It is this very subtle balance between fugue and sonata as forms, not only in character, which needs to be understood in much greater depth.

\(^{36}\) Finscher, \textit{ibid.}, p.232.
1.3 A Theoretical Perspective

There exists no written theory in the eighteenth century which actually defines fugal movements in galant style. However, many brief descriptions of 'modern' fugues of different kinds do exist. To name but a few examples, Filtz uses the terms *Fuga chromatica* and *Fuga con stylo mixto* to label his own fugal movements;\(^{37}\) Marpurg talks of *Fuga mixta* and *Fuga sciola libera* the latter for fugues which admit melodies other than the principal fugue subject;\(^{38}\) and Albrechtsberger describes fugues\(^{39}\) in which 'the episodes are composed of tender and blandishing ideas which tolerate a piano, with runs and triplets, or with ideas from the theatre and chamber style, going around in many thirds or sixths' as 'galantry fugues'.\(^{40}\)

As for the actual notion of a sonata-fugue hybrid form, it is one which is implied in many theoretical writings from the eighteenth century to this day - but it has never been explicitly defined. The closest description of this concept is,

\(^{37}\) Anton Filtz is a Mannheimer composer (1723-50). His 'fugue with mixed styles' will be discussed in Chapter Three.


\(^{40}\) However, the influence of these descriptions on Haydn's compositional style would have been minimal. The impulse for composing in the fashion of the time would have come directly from contact with actual compositions rather than from contemporary theoretical writings. Furthermore, Haydn may never have possessed a copy of Marpurg's *Abhandlung von der Fuge*, for according to Elssler's catalogue of Haydn's books in his library, he owned three different publications by Marpurg but not the treatise on fugues (see Landon, *C & W*, Vol.5, pp.314-6) and Albrechtsberger's treatise on the fugue was not published until 1790.
interestingly enough, found in writings about the string quartet genre. Quantz, in his *Versuch*\(^1\) makes a clear distinction between chamber works which are *gearbeitet* (elaborate and contrapuntal, especially fugues) as opposed to those which are *galant* (the light, clear style that was currently in vogue). He thus acknowledges the practice of two disparate styles in chamber music in his time.\(^2\) Koch refers in 1793 to Mozart's 'Haydn' Quartets as corresponding 'most closely to the concept of a genuine quartet [*eigentliches Quatuor*], and that they are unique of their kind by virtue of their distinctive mixture of the strict and free styles.\(^3\) Commenting on the same works by Mozart, the Russian theorist Ulibishev\(^4\) claims that they possess the most exemplary quartet writing because they 'include sections written in melodic style and others written in fugal style.' The best quartets are 'those whose musical motifs do service for both melodic material and contrapuntal working-out.' He adds:

In the fugal sections of these works, with subjects operating strictly, each note has a double function: it supplies a vertical interval in a chord, and contributes to the design of the figures and to the points of imitation, as in a regular fugue. There is one difference, however. Instead of operating on fugue subjects chosen expressly according to the demands of the fugal style, the composer is obliged to subject to these same erudite, fragmenting processes the melodies that supply the lyrical sections of the work - and this is a task of incomparably greater

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\(^1\) Johann Joachim Quantz, *Versuch einer Anweisung die Flöte traversière zu spielen*, Berlin, 1752.


\(^4\) Alexander Dmitryevich Ulibishev (1794-1858) was the son of a Russian diplomat posted in Dresden. See Bent, *Music Analysis*, p.283.
This task of incomparable difficulty is the very technique Haydn mastered most successfully, as demonstrated in his string quartets in particular. However, even though Ulibishev concedes that it is Haydn who 'takes the credit for being the founder [of the string quartet]', in particular the *quatuor travaillé* (similar idea to the *gearbeitet Quartett*), Mozart was the one who 'carried [the genre] to the highest imaginable, the highest possible degree of perfection.' According to Ulibishev, in Mozart's music, even the *cantabile* sections and decorative passage-work 'derive more closely from the thematic material, and they work together with it in contrapuntal combinations that lead to the use of fugal style.' These descriptions fit Haydn's fugal works and string quartet style even more than Mozart's.

Despite the fact that the origin of the Classical string-quartet style - the mixing of the old and the new, the contrapuntal and the melodic, the *gearbeitet* and the galant - can be traced back first and foremost to Haydn, the idea of sonata-fugue mixture continued to be seen as Mozart's innovation. Kirkendale, for instance, claims that the 'consummate fusion' of the two forms was accomplished by Mozart, especially in the

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48 Theorists from the nineteenth century onwards have been more ready to use Mozart's works as compositional models than Haydn's. It may be for this reason that even some of Haydn's most important works remain relatively unknown.

49 Kirkendale, *Fugue and Fugato*, p.78.
finale of the 'Jupiter' Symphony. Because of its popularity, many theorists have analysed the work\textsuperscript{50} but few of Haydn's. Therefore, in order to examine different analytical approaches applied to hybrid forms, the only meaningful course is through writings on the 'Jupiter' finale. The approaches, however, apply equally to Haydn's works. The following is a comparison between the results of two formal analyses on the 'Jupiter'. This sheds light on just how theorists approach the idea of mixture of fugue and sonata styles with completely different, even opposing views.

In the nineteenth century, the finale of Mozart's 'Jupiter' symphony was understood as a fugue: in 1843, Simon Sechter\textsuperscript{51} published a study of the movement hailing it as 'a model for an instrumental fugue in free style';\textsuperscript{52} whereas in her most recent study on the same work (1993), Elaine Sisman remarks that 'nearly all commentators have been at pains to point out that [it] is not actually a fugue but rather a sonata form with fugal portions,'\textsuperscript{53} even though the symphony is commonly referred to as 'mit der Schlussfuge' in German-speaking countries.

\begin{flushright}

\textsuperscript{51} Simon Sechter, 1788-1867. He is well-known for being master of music theory in Vienna and teacher of Schubert and Bruckner in techniques of counterpoint.

\textsuperscript{52} Sechter, "Zergliederung," in Bent, \textit{Music Analysis}, p.79.

\textsuperscript{53} Sisman, \textit{Jupiter}, p.39.
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The dichotomy between these two disparate viewpoints is puzzling, even if we acknowledge that part of the conflict is a problem of terminology. In 1843, Sechter would not have been familiar with any definitions of sonata form as such, but could nonetheless have diagnosed 'symphonic form' with fugal elements which would be more in line with Sisman's reading. Instead, his entire analysis is viewed 'through contrapuntal, canonic and fugal spectacles.'56 Despite the claim that the 'greatest perfection [of this finale] is its effortless fusion of free composition and strict,' his bias towards the aspect of the design which is strict is unequivocal. This applies to properties from the smallest units (the themes) to the general style of the piece. From the very beginning, the five principal themes which make up the movement are seen to be subjects of the 'fugue proper' which appears after the 'repetition of section II' (i.e. in the Coda). If they do not function in this way in the opening of the movement, Sechter explains that it is only because Mozart 'wished to introduce [the first theme] in the guise of an orthodox rondo theme, and tacked four freely composed bars on

54 The most widely circulated publications in the nineteenth century where definitions of sonata form appeared are A.B. Marx's Die Lehre von der musikalischen Komposition, Vol.III published in 1845 and Carl Czerny's School of Practical Composition published in 1848.

55 'Symphonic Form' is the term Sechter used to describe 'the other form' which is present in the movement (Bent, Music Analysis, p.89). The term is nearest in both aesthetic and formal terms to the concept of sonata form.

56 Bent, ibid., p.79.

57 Bent, ibid., p.82.

58 Bent, ibid., p.95.

59 Bent, ibid., p.94.

60 As explained in footnote 2 in Bent's introduction to Sechter's analysis, the term 'rondo' may be used in this context as "a generic term or character-substitute for 'finale'". See Bent, ibid., p.80.
In commenting on the general nature of the piece, he compares it with Bach:

The fact that the style of the composition [Satz] in the Finale as a whole is freer and more daring than in earlier times needs no further justification of any sort; after all, [the music of] Bach abounds in bold turns of phrase, as my readers will already have had occasion to notice.

Sechter's comment on the 'free-style' elements in the movement is confined to only a few points. First, the reason Mozart interrupts a canonic scheme which would have led the process through all the keys [Canon durch die Töne] is so that 'the movement [can] satisfy the requirements of the other form.' Secondly, Sechter notes that 'as symphonic form demands, the second subject, which in section I was in the key of the dominant, now takes its appearance in the tonic key.' Thirdly, at the end of the movement, Sechter finds that 'Mozart evidently wishes to close the fugue proper and resume composition in free style, which is the mainstay of symphonic form.' Throughout the rest of the analysis, Sechter maintains that the movement is devised from strict contrapuntal procedures. The only deviations are the above-mentioned minor cases of formal constraints.

Sechter's analysis provides us with a glimpse of how theorists who were near-contemporaries of Haydn and Mozart perceived such types of hybrid forms. Sechter was one of the most ardent contrapuntalists of his time; yet it is not only for want of more fitting terminologies or theories that he felt obliged to interpret Mozart's finale.

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61 Bent, ibid., p.82.

62 Bent, ibid., p.83.
as a 'model for an instrumental fugue.' What is important here is that the finale of Mozart's 'Jupiter' is hailed as a free fugue even though it seems less fugal than many of Haydn's quartet counterparts. The 'Jupiter's' fugal identity is detected only through the use of a well-known fugue subject as principal theme, and its fugal exposition does not take place until the coda of the movement. Surely then, it should be inferred that many of Haydn's works which are labelled nowadays as sonata forms with fugal elements must also be deemed 'free instrumental fugues'. Indeed, Sechter's final words confirm just this:

Anyone who takes the trouble to study them [Mozart's instrumental works] attentively will quickly find that in many of his greatest works he adopted a similar plan.\(^63\)

Apart from the 'Jupiter' and the finale of the string quartet in G major, none of Mozart's instrumental works is manifestly fugal.\(^64\) If Sechter found many of Mozart's works adopt a similar plan, might he not be referring to works which may be based on fugal concepts in their background design although the fugal qualities are not obvious in the foreground?

In the final analysis, it is not the theorists' detailed thoughts which concern us here, but the fact that their general approach may reflect the thoughts of their contemporary composers. Following Sechter, it is fair to assume that even if Haydn

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\(^63\) Bent, *ibid.*, p. 96.

\(^64\) Here, I am referring to works which are not actual fugues thus excluding the transcriptions of Bach fugues for string quartet (K.404a) and the fugal finales in the early string quartets (K.168 and 173).
never specifically labelled these works 'fugues' or 'fugatos', the thoughts behind them are still fugal. As long as they follow a predominantly contrapuntal scheme and show elements of fugal procedures, they are based on principles of the fugue rather than of sonata form. After Haydn's last quartet fugue, the finale of Op.50 No.4, he never returned to writing strict quartet fugues. But within the twenty-six quartets composed after the Op.50 set (six in each of Op.54/55, Op.64, Op.71/74, Op.76, and two in Op.77), it is significant that fugal ideas can be traced in many of the 'sonata-form movements'. From a twentieth-century point of view, as is shown by Sisman in her analysis of the 'Jupiter', these works can be seen as 'sonata forms with fugal portions. The aim of the last chapter of this study, indeed, will also be to demonstrate a particular kind of balance between fugal and sonata elements. It will be argued that while 'sonata style' must be taken into account as an important organising principle for some of Haydn's late quartet movements, the significance of their fugal origin must also be acknowledged - taken from a historical point of view as well as from an actual compositional one.

It is now apparent from the foregoing discussions that no consensus can be reached over the formal identity of Haydn's fugues on the one hand and the concept of sonata-fugue mixture on the other. The disagreements may arise from the varying perspectives on which the interpretations are based or from the differing traditions of musicological convictions, but their views on the subject are nonetheless far too

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65 The reluctance by twentieth-century theorists to accept sonata-fugue hybrid forms may have been created by the much revered essay by August Halm on fugal and sonata form. See Halm, "Über die Fugenform, ihr Wesen und ihr Verhältnis zur Sonatenform," in Von Zwei Kulturen der Musik, 3rd edition, 1947, pp.7-33 (1st edition, 1913). In his essay, Halm emphasizes the differences and incompatibility between the fugue and sonata principles inferring that a mixture between the two is improbable from both aesthetic and compositional points of view.
disparate for any single conclusion to be drawn. The main problem for theorists today seems to stem from the ambivalence with which the idea of 'sonata style' and 'fugal style' is defined. It is unclear from reading the literature whether the term 'sonata' when used refers to a particular kind of texture, or simply a galant spirit as opposed to a learned one, or to the sonata as a form. This applies in many cases to the use of the term 'fugal' as well.

The notion of sonata-fugue synthesis can be more specifically defined. It is obvious that the two styles are present in some kind of combination in the works in question; the polemic between the fugal and the sonata 'camps' as seen above proves the point. The questions are where to draw the line and how to express their hybrid qualities in theoretical terms. Tracing Haydn's development and use of fugal forms may at least reveal Haydn's own trend of thoughts and answer part of these questions. As noted, the first quartet fugues in the Op.20 set are not Haydn's first attempts in writing instrumental fugal movements. Therefore first and foremost, in order to understand how they are arrived at, it is essential that all earlier fugal movements by Haydn are unearthed and the nature of their sonata-fugue mixture examined.
CHAPTER TWO

Haydn's Pre-Op.20 Instrumental Fugal Movements

2.1 Introduction

Normally, to fix a point in the history of music as the origin of a particular genre or form can only be an arbitrary activity. However, with Haydn's instrumental fugal works, we can say that they conglomerate within a distinct period and appear only within a few specific genres. Before and after this period, only a few isolated works of the kind are composed. The earliest instrumental fugal movements are found in the symphonies, all written within a span of approximately three years (c.1760-63). Of these, only one is actually designated by Haydn himself as *fuga*. This is followed by the baryton trio fugatos, again written within a three-year period (1766-69). The trio fugues, those labelled as *fugas*, span supposedly from 1771 to 1774 (see below for exact datings); and finally, the first three of four string-quartet fugues were all written within the same year (1772). Hence, between the writing of the early symphonic fugues and the Op.20 fugues, a period of approximately ten years was apparently devoted to experimenting with different fugal styles:
List 2.1

1760-63\(^1\) Symphony No.3, IV
1760-63 Symphony No.14, IV
1763 Symphony No.13, IV
1763 Symphony No.40, IV, *Fuga*
1766 Baryton Trio No.33, III
1767 Baryton Trio No.40, III
1767 Baryton Trio No.53, III
1767 Baryton Trio No.56, II (middle mvt.)
1768 Baryton Trio No.60, II (middle mvt.)
1768 Baryton Trio No.67, III
1768 Baryton Trio No.71, III
1769 Baryton Trio No. 75, III
1769 Baryton Trio No.81, III
1771\(^2\) Baryton Trio No.97/VII, *Fuga*
1772 Baryton Trio No.101/III, *Fuga a 3 soggetti in contrapunto doppio*
pre-1774\(^2\) Baryton Trio No.114/III, *Fuga*
1772 String Quartet Op.20/5/IV, *Fuga a 2 soggetti*
1772 String Quartet Op.20/6/IV, *Fuga a 3 soggetti*
1772 String Quartet Op.20/2/IV, *Fuga a 4 soggetti*

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\(^1\) This is according to James Webster’s dating of this symphony. See Webster, "The Symphonies of Joseph Haydn," in the complete recordings of Haydn’s symphonies by The Academy of Ancient Music/Christopher Hogwood, Vol.1, 1990, p.12.

\(^2\) This is according to John Hsu’s dating of this work. I am grateful for Terence Pamplin’s help in directing me to the most reliable sources for the dating of the baryton trios.

\(^3\) This fugue may or may not have been composed before the Op.20 quartets. The dating cannot be certain. But from Haydn’s compositional practice: four symphonic fugal movements composed close together (c.1763), and the three Op.20 fugues composed within a single set of works, the three baryton trio fugues are also likely to have been written at around the same time. I would therefore propose that No.97 was composed for the Prince’s birthday in December 1771 (the birthday was on 18 December on which day the celebrations took place), No.101 in early 1772, and No.114 also in 1772 and may even be an earlier work than No.101 since the former is the more complex of the two. This last point is deduced from how the Op.20 fugues are now known to be ordered: with increasing number of fugue subjects. Trio no.114 contains two subjects, No.101, three subjects, and is marked *Fuga a 3 soggetti in contrapunto doppio*. 

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Except in baryton trios nos. 56 and 60 where they are middle movements, all of the other fugues are finales of multiple-movement works. It should also be noted that of the 18 movements cited here, only 7 are marked Fuga. Haydn’s reason for labelling a movement as a fugue is consistent throughout his creative life. They are all written in one continuous part (i.e. with no bar-lines dividing the form), and the entire movements contain only material established in the fugal exposition: no new thematic material is introduced after the fugal exposition. In other words, no matter how unconventional Haydn’s fugues are from textural and stylistic points of view, in terms of process, they are all ‘strict fugues’.

The movements not marked fuga are considered to be fugal for the reason that they exhibit distinct features which refer to principles of the fugue. In the case of the baryton trio movements, they all begin with fugal expositions and are categorized as ‘Fugal Movements in Binary Form’ by Kirkendale, as mentioned in

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4 Apart from the ones cited here, after the Op.20 fugues, Haydn wrote only three more movements which he labelled as Fugae: the finale of Op.50 No.4 string quartet of 1787 (which will be discussed in chapter four), the finale of Notturno No.5 for the Lira Organizzata (Hob.II/29) written around 1788, and the single movement written for the Flute-clock (Hob.XIX/16) of 1789.

5 In works by other 18th-century composers, they can be marked Fuga or Fugato even when they are written in binary form with bar-line divisions. Kirkendale cites works by Ordóñez (Viennese), Richter and Stamitz (Mannheimer) as examples. See Kirkendale, Fugue and Fugato, p.84.

6 I am using the term ‘strict fugue’ as defined by Marpurg (in Abhandlung von der Fuge, 1753-54):

A strict fugue is a fugue which deals throughout its course with almost nothing but the theme. The theme will reappear immediately after the first exposition, if not in its entirety at least in its various components. From the theme, or from the counterpart which is set against the answer which repeats the theme, are derived all other accompanying melodic lines and all episodes by either abbreviation, augmentation, diminution, change of rhythm, or the like.

This is discussed against the definition of a 'free fugue': 'a fugue which does not deal with the theme throughout.' See Mann, The Study of Fugue, Norton, 1965, p.156.

(These definitions are used as benchmark whenever the terms are used in the present study.)
Chapter One. The three symphonies, however, do not exhibit as uniform a design as the baryton trios. In fact, the plans of the three movements are distinctly different from each other. What is common to all of the symphonic movements is that they all begin with ideas clearly in fugal style. It is for this reason that even though many other symphonic forms are contrapuntal or comprise fugal sections as part of their development process, only these three movements can be deemed generically fugal. It is precisely the distinction between these two types of fugal manifestations - the 'generic fugatos' and the movements with fugato sections - which needs clarification. The implication and expectation of the formal and structural development of a movement beginning with a fugal idea are different from all other types.

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7 See Chapter One, footnotes 7 and 8 and their corresponding texts. Their exact formal make-up will be discussed under Section 2.3.3 below.
2.2 'Fugal Style' in Haydn's Instrumental Works

Many of Haydn's instrumental works make use of contrapuntal texture. It is obvious, however, that not all works which exhibit signs of counterpoint can be regarded as fugal or 'learned'. In her study of Mozart's 'Jupiter' Symphony, Elaine Sisman remarks that 'it would be going too far to refer virtually to any kind of imitative texture, and especially motivic imitation, as learned style, even though this is so often the case.' Sisman is in this sense differentiating between works like the 'Jupiter' symphony which makes explicit use of expressions of the 'fugue, fugato, and related stile legato or alla breve textures' and those which contain merely 'imitation of motives of the kind that permeates, say, the first movement of Mozart's 'Prague' Symphony.' She contends that only the first category maintains the sense of quotation or importation; the second belongs simply to a broad category of 'Classical counterpoint', 'and is not necessarily a stylistic signifier on the same level as fugato.' This applies in much the same way to Haydn's music. For a movement to be considered fugal in style, it must possess certain characteristics which can be easily recognized as belonging to the strict fugue - easily identifiable 'stylistic signifiers', to use Sisman's words.

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8 Sisman, Jupiter, p.69.


10 Sisman, Jupiter, p.70.

11 Again, it is Marpurg who first declared the fugal procedure a form. By this he means that every fugue comprises characteristic elements such as exposition and development. A composition, however contrapuntal it is, without a fugal exposition cannot be defined as a fugue. This kind of
Many of Haydn's instrumental movements contain contrapuntal or imitative passages without being fugal as such. To give an example, bars 19-24 and bars 41-51 from the first movement of Symphony No.2 are decidedly contrapuntal in texture. See Example 2.1 The two passages make use of suspensions and imitations extensively and are in direct contrast to the surrounding music which is manifestly homophonic. However, although these passages are contrapuntal and may even be very similar to material found in fugal episodes, they are by no means stylistic signifiers of a formal fugue. To be stylistic signifiers of a fugue, they must refer to non-variable elements of the form; that is, features which define a work to be a fugue. Episodic material is certainly not one such feature, since it is variable from work to work and may even be homophonic or written in a style foreign to the main parts of the fugal discourse. The features which do define a fugue, and in particular Haydn's fugues are:

1. Use of traditional fugue subject as principal subject, this usually means subjects in *alla breve* style.

2. Complete fugal exposition.

Definition became important in the eighteenth century. The fugue is much more loosely defined and is more of a way of writing, a procedure than a form before this time. See Mann, *Study of Fugue*, p.56 in particular.

12 This kind of Classical counterpoint is found in many of Haydn's instrumental works throughout his creative life, and to list all such incidences would be meaningless. However, one other example should be noted for the purpose of the present study: Contrapuntal technique is used extensively in the finale of the Op.17 No.4 (1771) string quartet. It has been noted by Finscher, for instance, that this set of quartets, which directly precedes the Op.20 set, contain finales which are already emphatically contrapuntal (*schon relativ stark kontrapunktisch*, Finscher, *Geschichte*, p.236). This tendency to write increasingly contrapuntal quartet movements is interpreted by Finscher to be Haydn's effort to increase the artistic value and sophistication of the string quartet genre (*Haydns Ausgangspunkt scheint die Absicht gewesen zu sein, das Streichquartett zur kunstvollsten und anspruchsvollsten Gattung der Instrumentalmusik zu steigern*, ibid.). The interesting point to note is that even though some of the Op.17 finales are increasingly contrapuntal, none of them are fugal as such. The fugal idea in Haydn's string quartets is not manifested until the Op.20 set.
3. Entries from one part to another resembling middle entries of a fugue.\textsuperscript{13}

4. Stretto involving all parts (usually in the final tonic section).\textsuperscript{14}

Movements which exhibit these kinds of features are far fewer than the contrapuntal, imitative type. For example, we can turn to one of Haydn's last symphonies, Symphony No.95, written some thirty years later than Symphony No.2. In the final movement, from bar 32, the principal theme of the movement is handled as if it formed part of a 'middle entries' section of a fugue. See Example 2.2 (bar 32ff.) This galant style, periodic theme is transformed into a sequential-type fugue subject presented first in the second violin (bars 32-38) followed by entries in the first violins (bars 39-43), and basses (bars 44-50). Here is a passage within a homophonic form (rondo-sonata in this case) typically referred to as a fugato section. It is clear when this is compared with the sections in Symphony no.2 that the kind of contrapuntal writing is derived directly from principles of the fugue whereas that of Symphony No.2 can be found in any kind of contrapuntal form and style.

Such fugato passages exist in some of Haydn's other instrumental movements as well. Together with the works on List 2.1 (those which are not

\textsuperscript{13} A presentation of a theme is deemed resembling a fugue-subject entry when the theme is undoubtedly recognizable as the principal subject or part of (usually the head-motif of) the principal subject. It also must be 'answered' by the same kind of entry in at least one other part transposed to another key.

\textsuperscript{14} Tovey confirms this observation:

...the only classical fugues that faintly adumbrate Cherubini's scheme of fugue form are these by Haydn... The point in which they agree with Cherubini's rules is that they tend to save up the stretto until the end. See Tovey, \textit{Cobbett}, p.535
fugas), the following list comprises all the movements containing fugato sections found within the genres of string quartet and symphony:
<table>
<thead>
<tr>
<th>Date</th>
<th>Work</th>
<th>Fugal features</th>
</tr>
</thead>
</table>
| 1760s | Symphony No.3/IV*             | Fugue with episodes containing new homophonic thematic ideas (i.e. Free Fugue)
| 1760s | Symphony No.14/IV*            | Begins with reference to fugal exposition; stretto                            |
| 1763  | Symphony No.13/IV*            | Principal subject is a modification of a well-known fugue subject (as in Mozart's 'Jupiter'); reference to middle entries, stretto in final tonic area |
| 1772  | String Quartet Op.20/2/I*     | Begins with reference to fugal exposition; bb. 60ff. reference to stretto     |
| 1779  | Symphony No.70/IV             | Fugue (marked: a 3 soggetti in contrapunto doppio) framed by homophonic sections |
| 1785  | String Quartet Op.42/IV*      | Principal theme makes reference to commonly alla breve style fugue subject; reference to fugal exposition and stretto |

15 See footnote 6.
1788 String Quartet Op. 55/1/IV

Principal theme used as countersubject to well-known fugue subject (b.60ff) and an extensive fugal section with exposition, middle entries ensues.

1790 String Quartet Op. 64/5/IV

Fugato as middle section of an ABA ternary movement; both A sections are homophonic.

1791 Symphony No. 95/IV

Fugato occupy extensive middle section of the rondo-sonata form (bb.32-145); fugato fully developed with exposition, middle entries, and episodes which are mainly homophonic.

1793 Symphony No. 99/IV

Fugato occupies part of final tonic section of the rondo-sonata form (bb.127-c.173); fugato comprises exposition, inversion of fugue subject; stretto.

1793 String Quartet Op. 74/1/I*

Principal theme refers to *alla breve* style fugue subject as used by Haydn himself in Symphony No.3/IV; subject in stretto at recapitulation.
1793 String Quartet Op.74/1/IV

Principal theme set against countersubject in dominant area of the sonata-form exposition, the corresponding area in the recapitulation and at the beginning of the development section.

1794 Symphony No.101/IV

Periodic principal theme transformed into Fortspinnung-type fugue subject in last variation (b.189ff.)

1797 String Quartet Op.76/1/I*

Beginning refers to fugal exposition; subject set against countersubject at beginning of the development section and at the recapitulation; stretto at recapitulation.

1797 String Quartet Op.76/2/I*

Principal subject refers to well-known alla breve- style fugue subject as used by Haydn in Symphony No.40/IV (head motif); reference to fugal exposition, though spread out; use of stretto; use of fugal technique to transform principal theme\(^\text{16}\)

1797 String Quartet Op.76/6/I

Fugue as last variation (allegro) of the movement (b.145ff.)

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\(^{16}\) This last point will be discussed in Chapter 5.
In addition to the differentiation between contrapuntal/imitative and fugal textures, it should be noted that in this list, there is a further division. The eight movements marked with asterisks begin with fugal ideas right from the outset; whereas the remaining movements contain fugatos within homophonic forms. In the latter category, the fugatos are a means of further development: their presence does not alter the structural procedure but merely adds textural variety.

A movement which begins with a fugal idea sets up a different kind of expectation stylistically from the outset. If it begins with an actual fugal exposition or a reference to it, it might be expected to continue developing fugally. This argument complies with Haydn's compositional practice: the design of the principal subjects in his works often govern to a large extent the development of the rest of the movement. By this I mean that when Haydn writes a principal subject or an opening idea in fugal style, the development of the movement would then continue to refer to some sort of fugal process. In such movements, not only would there be isolated passages of fugatos functioning as textural contrasts, but the entire musical discourse would be controlled to a certain extent by the fugal principle. The term 'fugato' in these cases refer to the stylistic make-up of the entire movement, not just to disparate fugal passages (as in the cases before). In the present study, it is this type of movement which I call fugal: movements in

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17 See for instance, Scott, "Haydn: Fresh Facts and Old Fancies," Proceedings of the Musical Association, 1941-42, p. 92ff. Scott maintains that "the melodic dimensions of the first notes of the first subject of the first movement are the source of the whole work." Even though Scott is not referring to the stylistic quality of the 'first notes', the notion that all aspects of the initial thematic idea govern all dimensions of the whole work is implicit.
which the fugal style penetrates the entire structure. It is for this reason that of the symphonies, only nos. 3, 13 and 14 are admitted into the list of pre-Op.20 fugal works (List 2.1). 'Fugato' is applied as a generic term rather than a textural term.

It follows from this that the baryton trio movements are also fugal, since they all begin with complete fugal expositions. When Kirkendale defines them as 'fugal movement in binary form (fugato),\(^{18}\) he is thus also using the term 'fugato' generically.

The Op.20 fugues, then, were certainly not Haydn's first attempt in writing fugal works; on the other hand, works which are genuinely fugal are exceptional.

\(^{18}\) See Kirkendale, *Fugue and Fugato*, p.79-86.
2.3 The Mixture of Fugue and Sonata Styles in each Individual Work (as in List 2.1)

2.3.1 Introduction

The following section considers the fugal and the sonata aspects of each composition in order to reveal how the two styles combine in each work. As the works are relatively unknown, what follows is designed mainly to lead the reader through the scores and does not purport to be in-depth analysis in any way. The description of the fugue in Symphony No.40 is the longest as it is the earliest instrumental movement marked Fuga and is the only complete symphonic fugue by Haydn. It is a significant work within Haydn's oeuvre which requires more detailed examination.

Tables 2.1 to 2.4 show how successfully the four movements in the symphonies can be interpreted both as fugues and as sonata forms and compares the nature and degree of mixture of the four works at the same time. Diagrams 2.1 to 2.3 are 'subject-entry diagrams' for the three baryton trio fugues. They reveal what types of fugues they are in terms of the nature and length of their subjects, their degree of punctuation and the proportion of counterpoint against homophony within each work.
2.3.2 The Symphonies

I. Symphony No. 40, fourth movement (1763)

*Finale: Fuga, Allegro*

The finale of Symphony No. 40 is the only symphonic movement in all 107 symphonies of Haydn to bear the title *Fuga*. It is, indeed, the only movement which satisfies all the conditions of a Haydn fugue. Most importantly, it is in one part without divisions, and it contains no new material within the episodes. This distinguishes it from the finale of No. 3 which contains a distinctly different theme for the episodes; and from those of Nos. 13 and 14 which are divided into two parts by a double bar-line.

**Fugue**

A large part of the movement is composed as a fugue in a contrapuntal or 'learned' style. From bar 1 until bar 108 (approx. 55% of the movement), there are no obvious stylistic ideas which go against what is expected of a fugue. The movement is written in 2/2 time, the most common pulse used for a fugue - the *alla breve* style. The subject is a highly traditional one: it is composed of a two-bar head-motif of a falling fourth followed by notes of smaller values in the next two bars. This pattern is repeated sequentially twice and the subject ends on a cadence with a trilling figure. This kind of subject is commonly used in the

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19 Indeed, some fugues by other composers of this time are labelled *Alba breve* instead of *Fuga*. Some of Holzbauer's movements (e.g. Quartet 7) exemplify this point. See also Kirkendale, *Fugue and Fugato*, pp. 114-5 under 'subjects in whole notes with suspensions'.
eighteenth century; Kirkendale describes it as one of the best known. The countersubject is also typical in that it fills in the long sustained sound of the two notes of the head-motif and thus gives the beginning of the subject more of a sense of forward motion. It is also usual for this kind of countersubject to begin on the upbeat. See Example 2.3

The only unusual feature about the subject is that it is long, 15 bars in all. Indeed, it is the longest fugue-subject Haydn wrote. It is presented by the second violins, and is followed by a tonal answer in the first violins (bars 15-28) and then by a second subject entry in the basses (bar 29). The fugal exposition is completed by bar 43. This movement is therefore essentially a fugue in three parts; and indeed, there are very few incidences in the rest of the movement where the other members of the orchestra present the fugal theme without doubling the violins or basses. The entire fugal exposition is constructed in a conventional manner, with no hint of any deviation from a purely fugal style.

The following section (bar 44 ff.) cadences into the relative minor (D

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20 This kind of subject is described as a combination of rhythmic diminution, sequential formations, and ends with a trill from the second degree of the scale. See Kirkendale, *ibid.*, p.89ff.

21 See Kirkendale, *ibid.*, p.115

22 Fifteen years later in the string quartet Op.42 Haydn wrote another fugal movement using the second violin to present the fugue subject. Keller remarked in connection with the Op.42 fugal finale that 'Haydn had not previously started any movement in this manner [with the second fiddle presenting the subject]... in short, Mozart's [K.387] second-fiddle opening may well have prompted Haydn's.' See Keller, *The Great Haydn Quartets: Their Interpretation*, London: Dent, 1986, p.86. Clearly, Keller was unaware that there is this precedence in Haydn's own works.

23 When this does happen, they represent points at which the procedure of the movement departs from a purely fugal process. This will be elucidated in the discussion below.
minor). This is punctuated by the falling fifth head-motif in the bass posing as the root of a perfect cadence (bars 44-45). There then follow modulations into G minor, Bb major via their dominants and secondary dominants. This section makes full use of the falling-fifth and fourth alla breve motifs which are clear reminders of the fugue subject, although the subject in its entirety is never presented again. Because of their cadential character, the head-motifs are used to full advantage in punctuating every modulation. At the same time, the repeated note idea in the second part of the subject is rhythmically diminished and transformed into a repeated-quaver figure in the 'brilliant style' (e.g. bars 53-54 first violins). Elements of the 'galant style' are beginning to creep in.

The next entry with the fugal theme more or less presented in full is one in the subdominant at bar 64. This is followed by the only 'real' episode (bars 74-83) in the first half of the movement in which the subject head-motif makes no appearance for the first time in an extended passage. The head-motif then returns (bars 84-100) to punctuate tonal motions through F major, D minor, A minor, C major, and Bb major, finally arriving at G minor again. This arrival is confirmed by the entry of a fugal answer (bars 101-108). It is in the course of this passage that the music becomes increasingly homophonic and galant. By bar 109, the texture is completely homophonic and the alla breve head-motif is used to function in an entirely different stylistic context.

From then on, the fugue breaks down. The tonic entries at bar 133 revive the fugal idea in stretto for a short while until bar 147. From then on, the rest of
the movement becomes increasingly homophonic again. The *alla breve* head-motif is still used abundantly, but to an effect which has little to do with the learned style. By bar 169, the movement has completely dissolved into a symphonic style which can only be described as galant and brilliant. The last 9 bars presents the subject for the last time in the tonic, and in the most homophonic of homophonic textures - that is, in unison.

Even though the notion of fugue as the most learned of the styles collapses in the last sections of the movement, the fundamental idea that in a fugue, the subject is never lost sight of still applies. All of the material used within the work is clearly derived from the subject and countersubject, even that in the homophonic sections. In this sense, the fugue process - the process of single-mindedly developing a principal theme - is sustained from beginning to end. In other words, it is still a strict fugue. It is for this and the above-mentioned reasons that the movement is labelled as a fugue by Haydn.

The reader is again reminded that Haydn's idea of fugue derived from the practice of fugal writing in Vienna at the time, and departs to a large extent from the North German tradition.²⁴ Haydn's fugues (or Viennese fugues in general) are on the whole 'simple fugues'. That is, the subject itself is seldom inverted or reversed.²⁵ In the finale fugue of Symphony No.40, the subject is obviously not

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²⁴ As explained in Chapter One.

²⁵ Even if they do appear in inversion or retrograde, as in the parts labelled *al rovescio* in the Op.20 fugues, they occur only once during the entire course of the fugue.
constructed with the intention of inversions in mind. To invert a 15-bar long
sequential subject would have been highly undesirable and well-nigh impossible.
Even the subject head - the 2-note alla breve descending fourth/fifth motif - is
used only once as an ascending interval (bars 90-91, oboes), that is, in inversion.
After the exposition, the subject is presented in its entirety only once more, at the
return to the tonic at bar 133; even the entries at bars 64 and 101 are not
complete. Not only is the subject never transformed, the fugue is not built upon
any other complex contrapuntal techniques either. For instance, even though the
subject is presented with a countersubject at the beginning, the two never function
in double-counterpoint during the course of the movement. This is because the
countersubject is never repeated unaltered, even within the exposition. When the
subject is presented in the bass from bars 29-43, the 'accompanying material' is
altered so as to adapt to the bass-line; it is not written as inverted counterpoint
with the subject. Apart from the first two bars in the viola which resemble the
original countersubject, the rest is new material. In this sense, even though the
counterpointing material is contrapuntal, it is used like accompaniments in a
homophonic style.

The fact that the fugal theme is never lost sight of whatever its setting is
very much part of fugal aesthetics. This feature is reinterpreted and transported to
homophonic forms later in Haydn's creative life, especially in those of
'monothematic sonata forms' which use short, motto-like themes.26

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26 The first movements of Op.76 Nos. 2 and 3 are exemplary in this respect.
Sonata

As seen from the above interpretation, Haydn's fugue is inundated with 'sonata' elements manifested in various guises.

Some of the elements are obviously designed to be easily audible. These include homophonic textures and galant-style accompanimental figures as discussed above. They become particularly prominent from bar 109. At that point, the alla breve head-motif is transformed and it no longer describes just the descending perfect fourth and fifth ideas but darts about wildly over intervals of sixths, thirds, and even diminished twelfths (an octave and a diminished fifth). No fugue would admit such extravagant gestures. The repeated-quaver figure in the 'brilliant style' also becomes increasingly dominant in the last sections of the fugue. From bar 147, the two violin parts take turns to display this idea. The last bars in unison are again an exceptionally unusual feature to be found at the end of a fugue. All these are dramatic gestures akin to the 'sonata' style rather than fugue.

Apart from these obvious features, the design of the subject allows for many possibilities of developing the movement in a mixed fugal and sonata style in a more subtle way. First, the sheer length of the subject means that in the exposition, the fugal answer occupies a larger proportion of music than in most fugues. This engenders a relationship between the tonic and dominant more polarized than in other fugues. So even though the first of the 'middle entries'
moves directly to the submediant (bar 44 ff.), (instead of to the dominant as in many other major-key fugues, e.g. those of the baryton trios), a strong opposing force between the tonic and dominant is already felt in the first 43 bars of the movement. The return to the tonic at bar 133 has the subject and answer presented in close stretto at a bar, and harmonized firmly in the tonic until the end. The correspondence may be tenuous, but it nonetheless suggests reference to the tonal strategy of sonata form - the I-V relationship in a sonata exposition resolves into I-I in the recapitulation. It constitutes one of the unusual features in this work and illustrates how Haydn incorporates the tonal strategy of sonata form within the context of a fugue, without breaking any rules of the fugue.

The alla breve head-motif is another feature of the subject which is ingeniously used to promote sonata style. By virtue of its inherent nature as a falling-fifth (perfect cadence) or falling-fourth (imperfect cadence), it is conveniently employed, in the bass or as a characteristic V-I horn-call, to punctuate modulations from one tonal area to another:

1. bars 44 - 45 V-I perfect cadence into vi in the bass. The division from the previous tonic section is also emphasized by the upper 3 parts, and the change of texture thereafter.

2. bars 58 - 63 V-I (C-F) in the horn part highlighting the sustained F for 4 bars as dominant preparation for the following Bb (IV) section.

27 Although my arguments here seem to be as loose as Kapp's regarding Monn's fugues (as discussed in Chapter One), the fugal movement by Haydn here is composed on a much larger scale than any of Monn's and therefore corresponds more closely to the dimensions of sonata form.
3. bars 62 -63 I-V in the bass punctuates the onset of the Bb section.

4. bars 84 -85 V-I in the tonic in the bass and horn part. This divides the preceding episode with the following modulatory passage beginning in F.

5. bars 88 - 99 V-I motions in the bass punctuated by horn and oboe reinforcements of tonic and dominant chords. The use of the V-I head-motif in succession in this passage highlights the instability of this passage and emphasizes the difference in texture and function of this section by comparison with other sections.

6. bars 124-132 The rising V-I motif in the bass from F to C highlights the return to the tonic in bar 133 and anticipates another subject entry. This construction is a strong reminder of a retransition in sonata form.28

All in all, this fugue makes obvious its cadential points and sectionalizes its parts in unusual ways. Normally in fugues, textures are spun out so that cadential points are obscured. Here, the contrary is the case. The movement is approaching the kind of punctuation familiar from the sonata style. Nonetheless, as Table 2.1 shows, the movement is interpreted more convincingly as a fugue than sonata in terms of proportion. However, it will be seen that the various

28 'Retransition' is a term used by Schoenberg to denote the part in developments where 'remodulation takes place' before the recapitulation. The retransition starts on 'the upbeat harmony [dominant harmony] and generally consists of little more than liquidation of motival residues... sometimes references to features of the principal theme forecast its return.' See Schoenberg, Fundamentals of Musical Composition, London, Boston: Faber, 1987 (first pub. 1967), p.181.
means of composing sonata elements into the fugal discourse are used by Haydn time and again in later works.
II. Symphony No.3, Finale: Alla breve (pre-1761?)

According to the most recent dating of Haydn's early symphonies, this work was written between 1760 and 1763; but as Webster notes, 'many works before c.1780 cannot be precisely dated and have to be assigned somewhat arbitrarily.'²⁹ It is thus possible that the symphony was more likely to have been composed around 1763 than 1760.³⁰ For then, the three symphonies with 'fugal finales' would have been written at more or less the same time.

As explained earlier, this movement is not designated by Haydn as Fuga for the fact that new thematic ideas are introduced in the episodes (it is hence a 'free' instead of 'strict' fugue).³¹ Apart from this, the sections which develop the fugue subject and countersubject follow an even stricter process than in Symphony no.40.

**Fugue**

The fugue is built on a four-note alla breve, cantus-firmus-type subject. It is accompanied by a countersubject from the outset. The subject and countersubject are presented throughout the fugal exposition in double counterpoint, and the texture is built up from two to four parts (bars 1-16). See

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²⁹ Webster, "Symphonies," p.10.

³⁰ See footnote 3.

³¹ See footnote 6.
Example 2.4 At the end of the redundant entry (V.I, 5th entry of the four-part fugue, bars 17-20), the first violin states the subject again immediately in the submediant. This, however, soon ends on a cadence in the dominant (bar 25-26). The fugal part of the first section ends decisively at bar 26; and a new idea set in a completely different texture and style takes over to mark the onset of the dominant area.

This new theme is a simple two-bar long repeated figure, accompanied by brilliant, fast moving quavers. The two combined can only be described as a homophonic episode fashioned in the galant and brilliant symphonic style. The sudden forte after the quiet pianissimo fugal opening adds to the surprise and drama of this contrasting material. The rest of the movement juxtaposes contrapuntal and homophonic styles in a continuous dialogue. The result is a form which is not dissimilar to the rondo, only that the principal rondo idea here is a fugal exposition. Moreover, the tonal organization of the movement and proportions are like that of a sonata. The fact that the new theme is in the dominant makes the parallel even more acute. See Table 2.2

This movement can therefore best be described as a 'fugal rondo-sonata'. Because it begins with a fugal exposition, the listener expects it to continue as a fugue. For this reason, despite the episodes, the fugal aspect of the composition still dominates aurally; but formally, it can be described neither as a genuine fugue nor sonata form. But it should be noted that the parts corresponding to a sonata-form interpretation are much more extensive than in Symphony No.40.
III. Symphony No. 14, Finale: Allegro (1760-63)

Finale: Allegro

A Major, 6/8

Unlike the finales of Symphony nos. 40 and 3 which are principally fugues adorned with sonata elements, the finale of Symphony no. 14 seems to stand midway between fugue and sonata. Table 2.3 shows how it can be interpreted more or less equally from both points of view.

**Fugal**

The movement begins with a complete three-part fugal exposition (V.1-V.2-Vc.). The subject, a simple descending scale which spans an octave, is counterpointed by a syncopated four-note figure in sequence ending in a short descending scalic segment likened to a diminished version of the subject itself. The subject, the four-note figure, the syncopated idea and the fast scalic figure make up the content of the entire movement. No new thematic ideas are introduced after the exposition. In this sense, it may be regarded as a strict fugue. See Example 2.5

**Sonata**

'Sonata style' in this movement takes many guises. In keeping with a galant spirit, the subject itself is written in 6/8 and hence 'modern'. The simplicity is redolent of the baryton trio 'fugatos' (c.f. No. 75/III, for instance\(^{32}\)). The movement is

\(^{32}\) See Example 2.11.
written in sonata form with a double bar-line. As can be seen from Table 2.3, the functional parts of the form are clearly set out. Though concise, the tonic and dominant areas of the sonata exposition are markedly polarized, and sectionalized by contrasting textures. In fugal terminology, the entries of the theme are sometimes complete (bars 27-30, 32-35, 46-49), at other times abbreviated (bars 17-20, 36-39, 54-57). This is normal fugal procedure: in most of Haydn's fugues, after the fugal exposition the subject is seldom stated in its entirety with later entries. The subject 'head' of the theme is usually enough.33 Here, the incomplete themes when reiterated sound fugal because of their contrapuntal setting, as in the exposition; but technically, they are simply motives derived from the subject used in different settings throughout the movement - a perfectly normal Classical process of development. They are models of durchbrochene Arbeit or motivische-thematische Arbeit. The double identity of a theme is in no other works better represented: the dividing line between the two strands of thought - the old and the new, the fugal and the sonata, the Baroque and the Classical - is nowhere else held in such fine balance.

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33 According to Kirkendale, "the majority of ensemble fugues during the baroque and rococo have few complete entries or none at all after the exposition. 'Abbreivation' of this kind resulted from longer fugue subjects, pseudostrettos, and the desire to avoid cadences." See Kirkendale, Fugue and Fugato, p.66.
IV. Symphony No.13, Finale: Allegro molto (1763)

The finale of Symphony No.13 is fugal by dint of the fact that its theme is based on a well-known fugue subject\(^{34}\) and is presented in the first instance fugally - that is, contrapuntally, accompanied by a typical countersubject. The subject is of a four-note alla breve cantus-firmus type, not unlike the one in Symphony No.3. It is much more commonly known as the fugal theme of Mozart's 'Jupiter' symphony in C major, written 25 years later. The main difference between this theme and the 'Jupiter' theme is that Haydn wrote the original alla breve rhythm in a modern context of 2/4. Furthermore, whereas Mozart's four-note fugue subject is self-contained, Haydn's is written as the antecedent of an eight-bar period with a two-bar connection in between. See Example 2.6

The movement in this Haydn symphony is clearly in sonata form. It is divided by a double bar-line, the first part moves from tonic to dominant, the second part leads through various tonal areas before returning to both the tonic and the original thematic ideas presented exactly as they are at the beginning (bar 105). The fact that these parts correspond to the exposition, development section, and recapitulation of sonata form is unquestionable. See Example 2.7 The question

\(^{34}\) A. Hyatt King lists all occurrences of this fugue subject in works by Mozart (13 in all from 1764/65-1791) and by other composers (19 in all from 1584-1897) in Mozai in Retrospect, London: O.U.P., 1955, Appendix 2, pp.262-63. The earliest use of the subject is supposed to be found in a motet by Palestrina. The dating for Haydn's Symphony No.13 on that list is wrong (it should be 1763, rather than 1767).
is what role the fugal elements play, if any.

Table 2.4 compares the sonata and fugal aspects of the movement as before. But it is apparent that for all its neatness this sonata form contains within it an abundance of fugal ideas. True, it does not begin with a fugal exposition. In fact, the entire 'sonata exposition' is only sparingly dotted with the four-note fugal theme. The development and recapitulation, on the other hand, are saturated with the theme, and the last tonic part of the movement treats the theme in stretto in the same way as do all of Haydn's Fuga movements. The way in which fugue and sonata integrate in this movement is the reverse of that in Symphony No.40. Instead of progressing from fugue to sonata, from counterpoint to a homophony, it moves from sonata to fugue. The first half is mainly homophonic, the second more contrapuntal. In this sense, its design is similar to that employed by Mozart in his 'Jupiter' Symphony: the fugal character of the work does not emerge until near the end. In Mozart's case, the contrapuntal combination of the five themes occurs only in the coda; in Haydn's case, a stretto appears 26 bars before the end. Recurring entries of the theme in fugues is reinterpreted here as a recurring motto-theme in sonata form. The syntax of a fuge remains, the semantics are altered.

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What is illuminating from the above investigations is that already by the early 1760s, Haydn had written four fugal symphonic movements encompassing strict fugue and sonata form in fugal style:
1. The strict fugue with homophonic episodes in the finale of Symphony no.40;
2. The 'fugal rondo-sonata' in Symphony No.3;
3. The strict fugal process combined with a fully-developed, articulated sonata form in Symphony No.14; and
4. The fugal sonata form using a well-known fugal theme in Symphony No.13.

This range is later also manifested in the string quartets, though over a span of 25 years (from the strict Op.20 fugues to the fugal sonata forms of the Op.76s). It is interesting to note that Haydn soon stopped making use of such a range in his symphonies but continued in his chamber works. Maybe he did not see fit to continue exploring the problem symphonically. The fugue, whether strict or free, is an introversive way of expression, and the single-mindedness of a fugue and the potential of fugal textures for part writing match his ideals of string quartet more than those of symphony.

There is a school of thought which believes that in the early 1760s, Haydn was experimenting with many different kinds of styles and models in his symphonies, and it was not until the latter half of the decade that he began to find his own symphonic language. Finscher, for instance, writes:

The symphonies of the 1760s present an extraordinarily colourful picture. The picture is at first confusing; there are no clear stylistic goals towards which the symphonies are progressing. But then, one common factor exists between them: their experimental character; for they seem to be always taking off from new stylistic standpoints, restlessly
striving for new goals, and developing in completely different directions.\textsuperscript{35}

Haydn certainly did not try to develop every single feature of these different models in his later symphonies but absorbed only a few elements into his language. Many of the 'formal experiments' occurred just once. The four fugal movements we have examined seem to belong exactly to this experimental phase. The styles were never to appear again in his symphonies.

\textsuperscript{35} Finscher, \textit{Geschichte}, p.161.
2.3.3 The Baryton Trios

A. The Fugal Movements in Binary Form (Fugatos)

In all, there are nine fugal movements written between 1766 and 1769. These occur in the baryton trios. They all follow a basic binary formal design. The first part begins with a complete fugal exposition in the tonic, followed by an 'episode-like' section in the dominant, usually homophonic. The second part always begins with a complete entry of the fugal theme in the dominant followed immediately by a complete entry in the tonic. Another 'episode' then follows leading through a few related keys. The theme may then return in the tonic and the rest of the movement remains in the home-key. Two of the nine movements do not actually contain bar-lines, but the binary division is nevertheless clear. Within this framework, style and texture vary from work to work. On the whole, this variation can be categorized under three sub-groups:

(1) Final movements with double bar-lines

   No.33 (1766), No.40 (1767), No.71 (1768), No.75 (1769), No.81 (1769)

These movements all tend to have homophonic 'episodes'. This results in a regular juxtaposition of contrapuntal and homophonic textures. The subjects are galant in spirit but learned in style. That is, they are all constructed in alla breve time, but they are all set in a fast tempo and have a dance-like quality. See Examples 2.8-2.12

(2) Final movements without double bar-lines

   No.53 (1767), No.67 (1767)
Even though these two movements follow the same binary pattern as the other seven movements, they are structured in other respects slightly differently. And in turn, the two movements are different from each other.

No.53 is more uniformly contrapuntal than any of the other works. Since it is also written in one continuous texture, it is aesthetically and conceptually nearest to the movements Haydn labelled Fuga. See Example 2.13

No.67 incorporates as much homophony as the movements in the above category if not more. Even though it contains no double bar-line, the movement is punctuated by a general pause (at b.35), seemingly dividing the movement. However, this division does not correspond to binary form. The expected re-entry of the theme in the dominant, after the bar-line division, does not in fact occur until 7 bars later. Another departure from the general framework is that this dominant entry is not immediately followed by a tonic one. Rather, an 'episode' as long as the subject itself ensues; only after this does the subject in the tonic return. And when it does, it functions also as the final tonic entry; the rest of the movement stays in the home-key. See Example 2.14

(3) Middle movements

No.56 (1767), No.60 (1768)

The two fugatos which are middle movements are different. Whereas the other fugues are alla breve, these are written in the 'modern' 2/4 and 4/4 respectively. No.56 uses a subject which is periodic: it is in two distinctly separated parts. Both No.56 and 60 develop the fugal material in ways more akin to sonata: through the use of thematische Arbeit, by breaking up of material into fragments, and through the use of contrasting dynamics (these are the only fugato movements to contain
such markings\textsuperscript{36} See Example 2.15 &.2.16

In sum, beyond following the same formal outline, no other general trend can be observed. The material, the degree of mixture of styles and the length differ from work to work. Moreover, the association of these fugatos with sonata style is at many different levels. The simplest is their abundant use of homophonic textures, of development not associated with fugal technique, of periodization of subject, and of contrasting dynamics. The relationship with sonata as a form is more tenuous. Kirkendale describes them as rudimentary sonata forms,\textsuperscript{37} since most contain a double bar-line and the tonal scheme of $I - V || X - I$ applies to both types of movements. However, the $X$ parts in the fugatos are articulated tonally and thematically in just one way: subject entry in $V$ is followed by subject entry in $I$; whereas the $X$ section in sonata is inconsistent and characterized separately in terms of texture and presentation of thematic ideas. But in the fugatos, after the double bar-line, the fugal theme is always repeated exactly as in the first part of the movement, transposed to the dominant. The music then returns to the tonic. Even more pertinently, the tonic-dominant polarity which characterizes mature 'dramatic' sonata forms\textsuperscript{38} is not strongly felt in the fugatos despite the consistent pattern of moving from tonic to dominant in the first part of the binary form. This is due to the slight dimensions of the fugatos. The dominant in the first part is not

\textsuperscript{36} In the JHW edition, \textit{fortes} in brackets are marked at the beginning of most of the other movements (except nos.33 & 40). This indicates that the movements are meant to be played \textit{forte} throughout, unlike the fugues in Op.20 which are marked \textit{sempre sotto voce} at the beginning by Haydn.

\textsuperscript{37} Kirkendale, \textit{Fugue and Fugato}, p.79.

established as a strong opposing tonal force; rather it is reached by a mere touch of the sharpened fourth degree of the scale. The move is hardly felt.\(^39\) Moreover, the polarity between the tonic and dominant areas in the first section is considerably lessened by the fact that within the tonic section, there is always already a strong tonal relationship established between I and V due to the relationship between the fugue subject and answer. The longer the subject, the stronger is the I-V pole felt within the fugal exposition. In other words, the tonal organization in the fugal expositions counteracts the effect of a strong tonal opposition when the dominant truly arrives in the second half of the first section before the double bar. Lastly, the fugatos have no real 'recapitulations'. The final tonic sections are usually shorter than the first part, and the subject is seldom reiterated in full.\(^40\) In fact, the return to the tonic may not be accompanied by the subject at all.

\(^{39}\) Compare these trio fugatos with the finale of Symphony No.14 above. The symphonic movement, though as concise as these trio fugatos in dimension, nonetheless exhibits a stronger tonic-dominant relationship between the two tonal areas in the first part of the form.

\(^{40}\) This is again different in Symphony No.14/IV.
B. The Fugues

Concluding the series of nine fugato movements, Haydn wrote three fugues in close succession, around the years 1771-72. 1772 is, of course, the same year in which the Op.20 quartet fugues were composed. As stated before, the dating of the three trio fugues is unclear; only No.101 was certainly written in 1772. To reiterate the argument stated in footnote 3 (see p.41), if Haydn followed the same logic in composing the three trio fugues as he did in the three quartet fugues, then their order of composition would have been nos. 97-114-101; for no.97 contains one subject with two countersubjects, no.114 has two subjects in double counterpoint, and no.101 has three subjects in double-counterpoint labelled as Fuga a 3 soggetti in contrappunto doppio by Haydn himself.41 These three fugues are as diverse in style as are the three quartet fugues. The type of subject, the proportion, the degree of punctuation in each fugue are different. Moreover, the fugues in Nos.101 and 114 come close to the style found in the Op.20 finales.

41 This is another point worth noting: Whenever Haydn labels a fugue as Fuga a X soggetti, it would mean that he uses all the subjects in double counterpoint. So even though the subjects in Symphony No.40 and in Baryton Trio No.97 begin with countersubjects, the countersubjects only serve as 'accompaniment' and do not interact with the principal subject in double-counterpoint. The subject-countersubject type fugues hence involve a more 'homophonic' (harmonic) way of thinking; the fugue process in the multiple-subject type, on the other hand, engenders a more linear, contrapuntal structure. Interestingly, in giving advice on how the melodic line of a fugue subject should be composed, Marpurg (1752) suggests that it should be so designed to "admit a strong and graceful harmonic accompaniment." By 'harmonic', Marpurg still implies a contrapuntal rather than chordal texture, of course, but this kind of thinking is already a departure from the purely linear concept of fugal writing. (See Mann, Study of Fugue, p.163)
I. Baryton Trio No. 97/VII, Finale: Fuga Presto (c. 1771)

The first of the three fugues is the finale of a work specially composed to celebrate the Prince's birthday. The trio contains seven movements in all rather than the usual three. To include a fugue in a work written for a royal celebration was very much the vogue as the emperor possessed an unquenchable appetite for fugal compositions which the court composers had to satisfy. Fugues in eighteenth-century Vienna are indeed most readily associated with the imperial court. Composers not belonging to the court often wrote fugues only when a royal dedication was in order. It is therefore unsurprising that Haydn's first 'genuine' fugue in chamber music was one written for a special occasion. It did not appear as a random movement in any other of the 126 baryton trios Haydn composed for the Prince over some thirteen years (circa 1762-1775).

Whether this is cause or effect, Haydn nevertheless started writing a series of fugues for chamber music. It may be due to this fugue that Haydn realized the potential for incorporating fugal style into chamber-music texture. At any rate, the baryton trio fugues must be regarded as the starting point of such a development. The Op. 20 fugues are thus a consequence, not only to the symphony fugues, but the baryton trio fugues as well.

This fugue is constructed mainly on one subject. See Example 2.17 The

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42 The history of Symphony No. 40 is unclear.
counterpointing figure at the beginning (CS1) is only a kind of 'harmonic accompaniment' (to use Marpurg's words - as explained in footnote 41, p.75), a bass-line, which does not appear again after bar 18. The paradox here is that this bass countersubject is in alla breve style and opens the movement. The principal subject given to the baryton (which would have been played by the prince himself), begins like a countersubject: on the upbeat with faster moving notes than the alla breve counterpoint. The counterpoint introduced at bar 10 (CS2), again presented by the baryton, remains interactive with the principal subject throughout in simple- and double-counterpoint. In this sense, CS2 can be deemed a 'second subject' more so than CS1. However, it is never reiterated exactly in full but its various motives used in their fragmented forms in different combination. The entire fugue is so designed that the baryton carries the most important lines most often, as much as the fugue process permits.43

The fugue subject is 9-bars long, second only to the 15-bar subject of Symphony no.40. With its real answer, the I - V pole of the Subject and Answer pair is again (similar to Symphony No.40) stronger than in most other fugues. But despite its length, and because it lacks a motto-type head motif, every entry of the theme is a complete one. For this reason and because there is only one long episode within the fugue, (See Subject Entry Diagram 2.1) the harmonic process is exceedingly simple: the tonal design of the entire movement hardly strays

43 There is no doubt that the fugue is so designed to give the most interesting lines to the Prince. The part-writing in the two later fugues, especially that in No.101, is much more equal. It may be argued that Haydn did not write more fugues with 'strict double-counterpoint' because this would mean giving the baryton line too little attention!
beyond the tonic and dominant. The movement is more or less made up of seven entries of the subject (63 bars of the 95-bar movement), all but one of which are in either the tonic or the dominant. The exception comes at bar 56, but even here, the entry in the submediant in the bass is accompanied in thirds from the upper parts and this accompaniment is, in effect, the subject in the tonic. It is uncertain here which voice leads and hence what the principal harmony is.

Though seemingly simple, the fugue is wrought with ingenious ways of individualizing the movement as a finale for this particular work. Contrary to the weighty rhetoric of most fugal finales, the finale here - though a strict fugue - is light, possibly because it concludes a seven-movement work: complex counterpoint, or a traditional solemnity would have been excessive. Haydn achieves lightness by several means. Firstly, the contrapuntal texture is substantially loosened by the use of a long subject. In this way, the motive content cannot be densely packed. Secondly, the counterpoint is weakened by homophony. This is effected not by juxtaposing homophonic passages with contrapuntal ones, but by counterpointing layers of homophonically conceived lines with other lines. There are five instances of this.

Bar 19 sees the cello present the final fugal entry in the exposition. Instead of being followed by a redundant entry, a feature which all later fugues possess, the baryton enters with the cello line playing two octaves and a third above it. The baryton and cello thus form a homophonic pair with a second counterpoint in the viola line. This manoeuvre serves two purposes. Firstly, it weakens the purely
contrapuntal strategy and secondly, the last entry in the exposition and the recomposed 'redundant entry' are telescoped as a way of reducing the length of the fugal discourse, where the theme is already long.

Similarly, the viola and the cello lines form a homophonic pair at bar 45 while counterpointing the dominant entry in the baryton. But it is the next entry which clinches the intricate handling of texture, harmony and pure fugal technique. In all of Haydn's later fugues, the final tonic section is most often approached by a re-entry of the principal theme in the tonic in all voice-parts in stretto after a strong dominant section. Here, the convention is undermined by the fact that firstly, the entrance of the tonic subject at bar 56 (after the dominant entry) by the viola is obscured as it is sandwiched between the preceding baryton entry and the cello entry; secondly, the entrances of the voice-parts are staggered so as to simulate a 'stretto effect' although strictly speaking they are only in canon with each other at a third. With the 'mock' tonic entry, and with the cello line entering on the sixth degree and all of this preceded by a cadence into the submediant, the harmonic function of this canonic display is ambiguous since it conflicts with the linear function. By telescoping the three parts in such a way here, Haydn once again 'saves space'; and at the same time, he creates a special effect. Moreover, the interaction between voice-parts makes the scoring neither contrapuntal nor homophonic.

Following this is the familiar dominant pedal. The 'more genuine' tonic stretto appears half-way into the pedal point at bar 65. It is still not the kind of
stretto seen in the quartet fugues but at least it involves a fugal answer in the viola followed by the subject in the baryton.

The half-contrapuntal, half-homophonic scoring is repeated twice more. Once from bar 75 between the baryton-cello pair and the viola and once from bar 84 between the viola-cello pair and the baryton. The canonic treatment of parts ensures that a 'contrapuntal ambience' is retained while homophony is allowed to prosper.

Fugue

The movement is labelled Fuga for the same reason as in the symphony no.40: it is written in one continuous part, and no thematic material other than that provided by the theme is used throughout the movement. The theme is more or less omnipresent and there are very few unobscured perfect cadences punctuating the form. The only significant one is at bars 44-45 into the dominant. The fugue process here is therefore more continuously spun out than in some of the other fugues. The characteristic stretto at the tonic return of the subject is also present (bar 65 ff.).

Sonata

Sonata-style elements in this fugue are concerned mainly with texture and spirit. Although the fugue is alla breve, the theme has the characteristic of a typical countersubject to an alla breve subject. It begins on the upbeat and moves at a quick pace to fill in the slow-moving whole notes of the other part. As a
result, the music is light-hearted, galant and dance-like. The texture is more or less contrapuntal until the final five bars where it becomes chordal. This feature is to become a characteristic of all the quartet fugues.
Fugue

From Haydn's title, it can be seen that this fugue is considerably more complex than the previous one: it has three subjects set in double counterpoint. The different combinations of these subjects throughout the entire fugue create a greater variety of texture than any of Haydn's earlier fugal movements.

The fugal theme is slightly shorter than that of no. 97, and is of the *alla breve, cantus firmus* type. See Example 2.18 It is recognized by the falling diminished fifth at the beginning. After the exposition, subsequent entries can therefore easily be defined by just two or four notes of the theme. Because of this and the concision of the two other subjects, the fugue is more tightly-knit. See Diagram 2.2 The tonal process is also more diverse and complex. The movement is in C major, but the construction of the theme is chromatic. Harmonically, it can be divided into two parts: bars 1-3, I-(II#)-V; bars 4-7, I-(I'- IV-V)-I. This is harmonized elaborately by the second subject in the bass. See Example 2.18 (bars 1-7)

If the subject in the Op.20 no.2 quartet verges on the periodic because of
its tonal make-up, the two-part periodic nature of this fugue subject is even stronger. It is not articulated as a genuinely periodic phrase because the continuity of the melodic line obscures the harmonic division. In many ways, the subject here is a predecessor of the one in Op.20 no.2: both are in C major, both are chromatic, both hint at a binary harmonic division.

Sonata

The veiled periodic idea of the fugal theme is the first sonata element to be noted here. Otherwise, like the finale of no.97, the fugal discourse is continually spun out with few unobscured cadences. Again, the first perfect cadence appears where the subject re-enters in the dominant (at bar 56). The fact that this entry is immediately followed by one in the tonic reminds us of the baryton-trio fugatos. Formally, this movement can be compared to the binary-form movements without bar-line divisions (nos.53 and 67) as discussed above. The innovation in this fugue, however, is that it is the first time where a pause is introduced on a dominant seventh chord in the final section, creating an even more clear-cut point of division than the cadence at bar 56. This punctuates and highlights the point after which the final tonic section of the fugue begins. This gesture is taken up again in the Op.20 fugues: in Op.20 No.5, at bar 111, the corresponding structural point is articulated in a similar manner. In this fugue, it is also the first time where contrasting dynamic markings are introduced to

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44 See Finscher, Geschichte, p.232 and Webster, Farewell, p.295-296 for comments on this point.
'dramatize' this final section of the work: bar 98 ff, pause at bar 106 p, bar 107 f. This is another feature which is to become a hallmark of the quartet fugues.45

Indeed, this fugue is in all respects only a step away from the Op.20 quartet fugues. If it is slighter in dimensions, it is only due to the fact that it is in three rather than four parts.

45 The fact that all of Haydn's quartet fugues are marked at the beginning _sempre sotto voce_ and in the last sections, _f_ or _ff_ would suddenly appear is a feature which more or less all commentators on these works note. Never mentioned is the fact that the use of contrasting dynamics to create drama is also a feature found in the baryton trio fugues.
III. Baryton Trio No.114/III, Finale: Fuga: Presto (c.1772)

Fugue

Haydn did not give this movement as elaborate a title as he did in no.101, but this fugue can in fact be understood as Fuga a due soggetti in contrapunto doppio. The principal subject is the shortest of the three fugues (four bars) and is in the modern, galant style. The second subject is of the learned, suspension type, and is thus more traditional in character. See Example 2.19

This fugue is composed with two rather than three subjects in double counterpoint and the principal subject is not of the emblematic, cantus firmus type, thus requiring every entry of the subject to be complete in order to be recognized. Therefore, the scope for textural variation is much less than in the previous work. However, as the length of the subject is relatively short and motives from it do lend themselves to sequential formations, it is possible for many different tonal regions to be traversed at a quick pace, more so than in the C-major fugue. See Diagram 2.3 Apart from the dance-like spirit of the subject and articulations in the last sections of the movement, the fugue follows a strict process of development. All the episodes use material from one or the other subject. Interestingly, the most obvious cadential point before the closing section occurs again before the subject enters first in the dominant then in the tonic (bar 40); making this fugue also comparable to the fugatos in binary form. The final section, as in the previous fugue, pauses on a dominant seventh chord and introduces dynamic markings.
2.3.4 Conclusion

The four fugal movements in the early symphonies, all written within one or two years of each other, set out all the principles of comparable later movements - from strict fugue with homophonic episodes to sonata form with fugal theme. The four symphonies may in fact have been modelled on different national styles, but to trace their historical origin is not the aim here. However, these four movements represent four different ways of expressing fugal forms, of approaching the fugal issue, and are ways taken up and developed later in the string quartets. The Op.20 fugues are not the most important turning point for the combination of fugue and sonata principles. Instead, they should be seen as the group of works in which Haydn consolidated fugal principles in his instrumental works.

The question of when and how the string quartet was established as the genre as we know it today is one that has been addressed by many scholars.46 The idea that contrapuntal texture is a hallmark of the string quartet is generally recognized, but the notion that the development of the string-quartet style was influenced specifically by the fugue has been suggested only by Keller and Sondheimer, and neither support their arguments by historical evidence. From the present study, it is clear that the writing of fugues was initiated in the symphonies,

continued to be worked through in the baryton trios and culminated in three fugues from the Op. 20 set of string quartets. From then on, Haydn wrote no fugal movements in any genres other than the string quartet (as mentioned before, isolated fugato passages are found in most other genres but no complete fugal movements as such). This is strong evidence that after the Op. 20 fugues, fugal style became part of his 'string quartet style'. The kind of contrapuntal texture we associate with the string quartet is not just any kind of Classical counterpoint, but a kind of texture which is founded on a new genre - the fugal-sonata or sonata-fugue.

Any analytical method based on modelling risks oversimplification, but the following diagram does reveal a startling correspondence between the symphonic fugal movements and the later fugal works:

<table>
<thead>
<tr>
<th>Symphony no. 40</th>
<th>Symphony no. 3</th>
<th>Symphony no. 14</th>
<th>Symphony no. 13</th>
</tr>
</thead>
<tbody>
<tr>
<td>(baryton trio fugas)</td>
<td>(baryton trio 'fugatos')</td>
<td></td>
<td></td>
</tr>
<tr>
<td>3 Fugal finales, Fugas</td>
<td>Fugal finale, Fuga</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Sonata-fugue (textural & stylistic)  Sonata-fugue (textural, stylistic & formal)  Fugue-sonata  Fugal - sonata (Motto-theme sonata forms)
This table suggests that there are four distinct types of fugal style from which Haydn derived his technique of creating hybrid forms, the most enigmatic of which are the 'fugal-sonatas' exhibited in the late quartets. However, all quartet movements are substantially more complex than their predecessors. While a link between these works is possible, the ensuing studies of the later works reveal that the relationships shown here are less direct. Even if the quartet movements can be categorized, the technique involved in mixing sonata and fugal styles in each of the later movements overlaps to a large extent. The latest works make use of almost all four categories to create one of the most complex Classical forms.
CHAPTER THREE

The Fugal Finales of the Op.20 String Quartets (1772)

3.1 Introduction

As the foregoing chapters amply prove, the Op.20 fugues are neither 'isolated events' in the history of music, nor innovations within Haydn's oeuvre. But to look upon this group of three fugal finales as a sheer step forward from the earlier fugal works is an equally unhistoric view. The venture into string quartet fugues proved to be a revelation. The discovery of the 'usefulness' of fugal writing in shaping the quartet style seems to have been a musical eureka for Haydn.

That the Op.20 quartets, in particular the fugal movements, are extraordinary achievements is acknowledged by many. It is therefore surprising that the fugues have not been subjected to analytical scrutiny in the way they deserve. In his most recent contribution to Haydn scholarship, Webster laments that 'no detailed analyses of these fascinating and original fugues have been published.' He concedes that some comments (on these movements) are found in Tovey's article, 'Haydn's Chamber Music' and Finscher's monograph on the history of the String Quartet; but even in

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1 Webster, *Farewell*, p.294.
2 In *Cobbett*, pp.533-538.
Kirkendale's extensive study of fugues and fugatos in Rococo and Classical chamber music, there are still no 'full-dress analyses' of these finales.

In addition to the three most frequently cited commentators mentioned by Webster, a few others have discussed the Op.20 fugues. The most notable of these are Hans Keller in The Great Haydn Quartets, Robert Sondheimer in Haydn: A Historical and Psychological Study Based on his Quartets and Leonard Ratner in Classic Music. At the same time, detailed voice-leading analyses of all four of Haydn's quartet fugal finales (i.e. including Op.50 No.4) have been attempted by Susan Tepping. Tepping's primary aim is to develop further the use of Schenkerian technique in polyphonic music rather than to contextualize Haydn's achievements through analysis. Therefore it is still legitimate to conclude that 'full-dress analyses' of the works are lacking. Firstly, studies which embrace both history and analysis of the fugal finales are still wanting; and secondly, apart from Tepping who analyses all four fugues in full, the other writers have endeavoured only to tackle selective parts of the movements to bring out specific characteristics of the compositions. This

1 Geschichte, pp.218-237.
4 Kirkendale, Fugue and Fugato, pp.143-145.
5 The Great Haydn Quartets, pp.30-63.
6 Haydn: A Historical and Psychological Study Based on his Quartets, Bernoulli, London, 1951, pp.75-93.
7 Classic Music, pp.263-265.
8 "Fugue Process and Tonal Structure in the String Quartets of Haydn, Mozart, and Beethoven", Ph.D. diss., Indiana University, 1987, pp.73-175.
includes Webster's comments on the C-major fugue as part of a discussion on 'the finale as culmination'.

In the analyses in this chapter, each movement will be examined in full highlighting in each case the most relevant feature which gives the movement characteristics of 'sonata style'. The analyses will focus on elements which are taken up later by Haydn in the Op.50 fugal finale. The aim is twofold: first, to introduce the essential theoretical issues involved in understanding these and the Op.50 finales; and secondly, to set up a basis for comparison with the later work. The analyses do not purport to be 'full-dress' in themselves but may complement others to furnish a more rounded picture of these multi-faceted works.

Webster remarked that if the movements are heard in the order they are composed - that is, No.5, No.6, No.2 in increasing number of subjects used in double-counterpoint\(^\text{10}\) - 'the cycle progresses: from traditional to severe, through the galant, to a mixture in which the galant eventually predominates.'\(^\text{11}\) This may be true especially when the type of fugue subjects employed are considered. But when other elements of the fugues are taken into account - form and texture for instance - then such a 'progress' is less obvious. It is fairer to say that a different mode of adapting

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\(^9\) See Webster, *Farewell*, pp.294-300.

\(^{10}\) See Webster, *ibid.*, p.299, footnote 30 for ordering of the six quartets of Op.20.

sonata style to a fugal process is used in each case, the only difference being that some sonata-style elements are manifested more obviously in the foreground than others.
3.2. String quartet Op.20 No.5, F minor, Finale: Fuga a 2 Soggetti (1772):

The Punctuated Fugue

In terms of the type of subject it uses, this fugue is indeed the most traditional. The subject is categorized as a 'patho-type theme'\(^\text{12}\) and it is often noted that Handel also made use of the same kind of subject in Messiah to demonstrate that the subject is not a modern invention.\(^\text{13}\) Moreover, the movement is set in the traditional alla breve metre. All of Haydn’s instrumental fugues up to this point adhere to this tradition; but thereafter, diversions begin to emerge as all three subsequent quartet fugues are set in 'modern' metres (4/4 and 6/8). See Example 3.1

In terms of its procedures, this movement can be seen as a natural continuation from the earlier fugal works, the baryton trio fugues in particular. The increased complexity and length of the movement is due mainly to the increased number of

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\(^{12}\) This is a term coined by Kirkendale to describe "subjects in minor keys frequently beginning with the baroque formula which Erich Schenk named the 'hymn'-type (see Zeitschrift für Musikwissenschaft, 16, 1934, pp.554-60) and which always expresses deep grief." Kirkendale refers to them as pathotype subjects "in order to keep the affective content [of the themes] in mind." The characteristic of the theme is "the leap of the diminished seventh, nearly always descending, with the leading note accented." See Kirkendale, Fugue and Fugato, p.91.

\(^{13}\) See Kirkendale, p.143: "This theme is often compared... with the fugue 'And with His stripes' in Handel's Messiah and [J.S. Bach's] WTC II.a." Kirkendale also cites works by the Viennese composers Caldara (op.1/9/11) and Birck (Quartet 15) as works which make use of this type of subject. Other examples with this subject type are found in works by Monn, Pugnani, W.F. Bach, Gassmann, Huber, Gounod, Draesecke, Ordoñez, Albrechtsberger, Mozart, Spech, to name but a few. See Kirkendale, Fugue and Fugato, p.91.
parts rather than the employment of a greater variety of fugal devices. For as with all of Haydn's earlier fugal works, this F-minor fugue is essentially a 'simple fugue' (a fugue in which all subject entries are direct transpositions of the original version untransformed). The subject is reversed only once (at bar 92 and marked al rovescio).

One most notable feature in this fugue inherited from the baryton-trio finales nos. 101 and 114 is the rather surprising pause on a dominant chord (at bar 111) which breaks up the otherwise continuously spun-out texture of the movement. In the two baryton trio fugues, the pauses mark off the final closing segment of the movement. But in the quartet fugue, the same gesture assumes a different meaning. Instead of being a moment of poise before the final statement, the pause in this fugue precedes a section which comprises more than a third of the entire movement. Moreover, after the pause on the dominant-ninth chord at bar 111, the subsequent bars recall the tonic 'fugal exposition' at the beginning of the movement, now in stretto. This articulation of the movement when viewed in the context of the tonal and thematic organization of the entire fugue suggests that Haydn is insinuating a reference to a sonata-form recapitulation. Even if the long dominant pedal cannot be deemed a retransition as such, its dissonant nature (the very high-pitched hanging ninth, Db) demands resolution and points sharply to the double return of the tonic and the original theme in the next bar. Hence, even though the reference is stylistic rather than structural, the hint of sonata form is manifest. The fugue may be traditional and strict in the foreground, yet in its background it tends towards the punctuated form.
of sonata, more so than with the other two Op.20 fugues.

3.2.1 Sonata Form in Fugue

Example 3.2 shows the thematic development, tonal organization and formal interpretations of the movement. Interpretation of the movement as a fugue (shown at the bottom of the graph) is discerned by the manner in which the fugue subject is elaborated and transposed. In turn, the interaction between the fugal themes and the small- and large-scale tonal argument indicates a rather clear-cut, punctuated sonata framework (shown at the top of the graph).

To support this claim that the tonal framework exhibits a clear outline of sonata form, there must be evidence of the fugue being organized in an extraordinary way. In theory, from a fugal point of view, no 'rules' of composition are broken. The only features which are unusual are the pause on the dominant-ninth chord at bar 111, and the sudden *forte* ending at the final cadence presented by two homophonic chords; both are features of sonata style. The rest of the discourse, however, is predominantly contrapuntal, the often complex web of weaving of themes is typical of a fugal texture.

A work is defined as a fugue as long as it follows a number of procedures. First, it must have a 'fugal exposition'. Bars 1 to 22 of the movement form just such
an exposition: it begins with an unaccompanied subject in traditional *alla breve* style and is then joined by the 'second subject' in bar 3. The principal subject is initially six bars long: four bars in *alla breve* style followed by two composed of notes in smaller values. This six-bar form of the subject is, however, only used twice: for the initial presentation and its answer. This answer, which enters at bar 7, is tonal, with the subject's characteristic falling fifth changed into a falling fourth. This well-defined feature distinguishes the 'subject form' from the 'answer form' whenever either appears within the fugal discourse and remains an important element throughout this work as the two forms perform distinctly different harmonic functions. See Example 3.3

The subject is always closed in order to establish a key and is easily recognized by its falling fifth motif, whereas the answer is open-ended and always signifies harmonic movement. Thus, the two types are easily distinguishable from each other. Haydn exploits this design by marking tonally stable and unstable areas with maximum contrasts. These contrasts are notably not between expositions and episodes as in most fugues, but between areas represented by subject and answer forms (the series of 'answer forms' beginning at bar 66 is a case in point and will be looked at in more detail below). In fact, episodes in this fugue can be rather stable tonally: bars 26-35 for instance sit firmly in Ab, the relative major (the significance of this will also be discussed below).

After the first subject and answer pair, the tail of the *alla breve* head is
abandoned. The next subject and answer pair merely retains the _alla breve_ head. In effect, the answer in the viola at bar 16 enters in stretto, after the fourth rather than the seventh bar. This could have been the end of the exposition, as all four constituent voices have entered; but as in all of Haydn's other _Fuga_ movements, the subject returns in the opening voice - here, the second violin - as a 'redundant entry'.

Tracing the treatment of the subject reveals that bars 1 to 22 of the movement exhibit typical characteristics of a fugal exposition. The choice of the order of voice-entries is, however, rather unusual: V2 - V1 - Vc - Vla (- V2).\(^{14}\) Such an ordering controls the tessitura and register of the opening to their best advantage. From a voice-leading point of view, the first note of the first subject entry provides the primary tone of the _Urlinie_, making this the absolute beginning of the fugue. The fugue then runs through uninterruptedly as a 5-line one-part structure up to the coda at the end (bar 160).\(^{15}\) If the primary tone was introduced by the first violin, the second violin would either have had to come in at a fourth above and thus at a higher tessitura than the first violin, or at a fifth below with an unattractively low tessitura. But more pertinent to the discussion here is the organization of the next two entries. Until the end of the first two entries, there is no strong bass-line. However, the 'abbreviated' subject entry in the cello at bar 13 has its 'subject tail' recomposed to continue accompanying the viola entry at bar 16, thus providing for the first time a

\(^{14}\) The order of entries in Op.20 Nos.6 and 2 is both V1-V2-Vla-Vc.

\(^{15}\) The significance of this will be discussed in conjunction with the structure in the fugal finale of Op.50 No.4 in Chapter Four. See also the next footnote.
true bass. This leads the cello down to its lowest note C".

All this has bearing on the design of the proportion and shape of the fugal process in the movement as a whole. The low C" in the bass acts as a firmly-rooted dominant which is led by the 'redundant subject entry' of the second violin to a perfect cadence in the tonic F minor at bar 22 (albeit not in root position). This closes the first 22 bars of the fugue as the first tonic section as firmly and explicitly as any fugue allows.

The next few bars mark the beginning of an episode where the principal theme does not feature anymore except through the notes in the bass in alla breve metre which recall the style of its head. These few bass notes in semibreves have the harmonic function of going through the circle of fifths and modulate to the next harmonically stable region - a region in the relative Ab major (from bar 27). It is not until bar 36 that the next subject entry appears (in the cello). Here, it confirms the key of Ab (the relative major) by introducing the subject theme in Ab; but most extraordinarily, this particular entry is incomplete by one note: the last tonic note (Ab) is completed by the viola which in turn is preceded by its dominant note (Eb). It seems obvious that this extraordinary organization of notes is so planned in order to highlight the 5 - 1 'mock perfect cadence' in Ab in the viola part. It is to direct the listeners' attention to the confirmation of this key. (See Example 3.2 for clarification.)
The rest of the section prolongs the relative major by various means until bar 53 (as shown in Example 3.2). At this point there is an obscured cadence which merges into the next section where the subject appears in the subdominant. Even though this juncture is obscure, it is nevertheless clear that two prolonged stable tonal areas have been used up to this point, and that thereafter, the theme in different transpositions enters at much closer intervals. Moreover, not only does the next section move into a harmonically remote region (bII from bar 60), it uses the 'answer form' for six differently transposed entries consecutively. As noted before, the 'subject' and the 'answer' forms of the theme are easily recognisable through the different intervals they traverse in the first two notes of the theme; but more pertinently, that they presuppose different harmonic meanings: the subject-form is a closed form; the answer-form an open one. The series of answer-forms from bars 66 to 84 engenders rapid modulation through different keys and is audibly different in character to the rest of the movement. It is distinctly developmental.

From bar 83, the entries revert to the subject-form, and from then until the surprise pause on the dominant-ninth chord at bar 111, no transpositions other than those in the dominant and tonic are used. The only inversion (*al rovescio*) of the subject theme takes place in this section, at bar 92. It is apparent that the goal of this passage is the resting point on the dominant-ninth chord which prepares for the new beginning in the tonic at bar 112.
The tonic entries in stretto from bar 112 are in exactly the same order as in
the fugal exposition: V2 - V1 - Vc - Vla. The redundant entry is here replaced by a
subject entry in the dominant followed by one in the tonic. From then on, entries
become fewer and further apart; no more transpositions take place, and only the tonic
subject and answer are used. At bar 145, another contrapuntal device - the canon - is
used to set the two outer parts in counterpoint with each other. This final climactic
moment also sees the fifth-descent from the primary tone of the Urlinie in the
obligatory register being completed in the foreground, even though it is not a
particularly convincing close. However, this moment is of utmost significance. For
thereafter, the upper voice climbs to a register an octave higher than the obligatory
register where it completes the Urlinie from bars 153 to 160. See Examples 3.2 and
3.4 (b.153ff.) Structurally, the movement ends at this point and what follows is a
genuine coda, which, in this case, prolongs the tonic note at the higher octave.
Coinciding with the throw of the Urlinie to the higher register at bar 153, the texture
in the foreground becomes increasingly homophonic. The 'wrong' register suggests an
ending different in kind from the movement's beginning. In this sense, it is not an
absolute ending; but one which seems to be, literally, at another level of thought. The
only attempt to bring the line back to its 'correct' register comes with the very last
utterance of the theme from bars 179 to 182; but a true descent of the fundamental
line cannot be found there. Nonetheless, the situation serves as a reminder that it is
at one 'lower' level of thought that the fugue - the genuinely fugal part of the
movement - ends. In this sense, I am suggesting that the ending in the higher register
is the sonata-form ending; not just texturally, but also structurally.\textsuperscript{16}

\textsuperscript{16} The concept of two registral planes defining two different generic spaces - fugue and sonata - will be discussed further in Chapter Four (Section 4.3) where the two registral lines are much more clearly articulated through a much larger portion of the movement.
3.2.2 Summary

From the above description of the movement, the insinuation of sonata-form tonal design and formal proportion is clear. Indeed, this is a most elaborate example of sonata form shaping a fugal process. It would be wrong, though, to assume that this fugue is actually in sonata form; for although the tonal procedures and proportions are similar, the linear fugal process dominates and the formal divisions are only referential and not structural. The move in the fugal exposition from tonic to relative major is effected via entries of the secondary subject leading through a circle of fifths. The different subject transpositions and the use of six consecutive answers in the middle section is an ingenious way of simulating the effect of a development section; and the long dominant preparation before the pause-bar evokes a 'retransition' without actually being one. The extended tonic section beginning with entries in stretto imitates the procedures of a sonata-form recapitulation. All this, however, is shaped within a strict fugal process: the relationship between tonal areas is created by a contrapuntal linear process rather than a homophonic dynamic process. The only part of the fugue which properly belongs to sonata form is the coda.

3.2.3 Final Thoughts on the Rhetoric of the Coda

Again, Tovey's statement is recalled: that Haydn's quartet fugues abandon
polyphony to end the work in sonata style. Here, not only does Haydn abandon fugal polyphony, he scores the whole coda wittily in a number of stops and starts. These recall the 'jokes' in the Op.33 and Op.50 sets of quartets: endings which either never end (e.g. Op.33 No.2, IV) or end many times (e.g. Op.50 No.1, IV). This fugue could have ended at bar 160; and indeed, the listener is fooled to believe that it has as it is followed momentarily by silence - rests. The next section reaches the dominant at bar 165 with the upper voice poised to articulate a close by introducing the leading-note. This resolves to the tonic in the next bar, but the harmony is steered away from closing with a perfect cadence. Instead, the next bar turns to a submediant chord to form a deceptive cadence; and thus we reached another deceptive ending. The first violin then repeats the melodic line. Now defeated, unsure of its purpose, it plays quietly; the dynamics are piano. The previous six-bar phrase is now extended creating the expectation of closure - but the harmony lands on a diminished-seventh chord (bar 177). After the longest rest in the coda, the movement proceeds with determination to come to its final statement: the fugue theme is reiterated for the last time by the first violin, forte, counterpointed by the lower three voices with variants of the secondary theme. It seems unmistakable that the ultimate close has been reached at long last - but then it has not!

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17 If this gesture is missed by other commentators, it may be due to the fact that the scores they consulted are contaminated with the editorial error of placing a piano mark at bar 161 as well as in bar 167. This appears in the Dover edition and the Eulenberg miniature scores as well as the parts published by Peters Edition. These were the scores and parts most widely circulated in the past decades in Europe and America. The dynamic marks for this quartet movement in the Dobinger Edition used as example for this thesis are correct. This has been checked against the autograph score.
The fugal statement is not the ending of the movement. As with all of Haydn's instrumental fugues, this is provided by homophonic chords. However, the chords here have a special meaning. Juxtaposed with the preceding stark fugal statement which serves to end the fugue aphoristically, the two homophonic chords are made to stand out even more blatantly than any of Haydn's other fugues as a statement to clinch the homophonic style underlying the entire work.

So often is this fugue in F minor described as a tragic work. Kirkendale remarks that 'the dark passion of the quartet is unusual for Haydn'; and that 'after the sombre first movement the fugue, with its melancholy pathotype subject, makes an appropriate finale.' Tovey finds that it represents 'a sublimation of an emotion of almost tragic pathos.' Kirkendale's remark is astute insofar as he realizes that the tragic pathos which seems to run through the entire work is unusual for Haydn. It is unusual as it is never intended to be heard or interpreted that way. This quartet finale is only one of three in the entire quartet repertoire by Haydn which is written in a minor key and ends in the minor key; nonetheless, it is not intended to end 'tragically'. Firstly, even though the final chord does not spell out an F-major triad, it does not spell out an F-minor one either. For despite the elaborate three-note double-stopping chords in the two violins, the third of the chord is missing: the final

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18 Kirkendale, *Fugue and Fugato*, p.143.

19 Tovey, *Cobbett*, p.536.

20 The others are Op.9 No.4 in D minor and Op.50 No.4 in F# minor.
chord can be interpreted as either minor or major; its mode is ambiguous. If anything, from the way the chords are contrived, they seem to encourage the listener to hear them as expressing major rather than minor harmony. The only sensible way to play the penultimate chord on the violin is in first position using the open E-string for the uppermost note, as Haydn would certainly have realized. This results in a bright sonority, something hardly associated with pathos or 'dark passion' or even solemn minor-mode endings. That he wrote this chord for both the first and the second violins is indeed unusual. Moreover, if all the authentic dynamic and articulation marks are properly observed, this final page of the score is inundated with wit and humour. Rather than being a tragic ending, it is one of Haydn's most exemplary illustration of 'jesting with art'.

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3.3 String quartet Op.20 No.6, A major, Finale: *Fuga a 3 Soggetti* (1772)

*Homophonic Counterpoint*

Of all Haydn's instrumental fugues, it is the one in Op.20/6, less archaic than its predecessor, which reflects the composer's personality most clearly... the capricious finale [is the] most carefully wrought of all Haydn's fugues.\(^{22}\)

Kirkendale's description of the A-major fugal finale is a direct reading of the surface features of the movement. The fugue is capricious and obviously less archaic than the F-minor one because of the character of the subject. Instead of the emblematic, traditional patho-type theme, the subject here is long, sequential and playful in character. For the first time, a truly 'modern' subject is used in Haydn's *Fugas*. Apart from the light-hearted quaver upbeats and the balletic octave jumps, the traditional *alla breve* metre is substituted by a 4/4 metre. See Example 3.5 Nonetheless, it is constructed as a strict fugue: there are no episodes without one of the three fugal themes. Moreover, despite the long subject theme, the same fugal devices are used as before, namely inversions (*al roverscio*) and strettos. Echoing these thoughts, Webster remarks:

Notwithstanding its playful high spirits, the level of contrapuntal artifice in its fugue is nearly as high as in the F minor; perhaps Haydn intended this to be understood as a deliberate

\(^{22}\) Kirkendale, *Fugue and Fugato*, p.144.
incongruity. Nevertheless, its tone marks it, stylistically, as a "light" or "galant" finale. 23

What marks this fugue from its predecessor is the predominance of the principal theme. Even though this is called a fugue with three subjects (Fuga a 3 soggetti), the second and third subjects can at most be regarded as accompanimental. The descending scale which characterises the second subject is subsequently used as a simple motivic idea rather than a distinctly recognisable theme 24 while the 'turn figure' of the third subject is intrinsically decorative. The result of which is that even though there are no homophonic passages until the last four bars of the movement, and that 'the finale is the most carefully wrought of Haydn's fugues', the counterpoint created has a 'homophonic air' to it. The principal subject always leads; and it is most often pointed to by entries after rests. Keller notes that 'at no point in this fugue does a contrapuntal textbook situation arise: there is one leading part at every given stage, which the others have to adjust to whole-heartedly, however important their own parts. 25 It is for this reason that even though the fugal process is strict, the texture is loose and the entire fugal discourse sounds exceptionally galant. In other words, the galant spirit so conspicuous in this finale is a result of both the boisterous character of the principal subject as well as the 'homophonically-conceived' contrapuntal texture.

23 Webster, Farewell, p. 295.

24 Tepping describes the second subject as reminiscent of 'the practice of assigning a scale as cantus firmus in traditional counterpoint and figured-bass instruction.' (Tepping, "Fugue Process," p. 100) Haydn himself used this type as principal subject once before in one of his 'fugato' movements - the finale of baryton trio no. 75, also in A major.

25 Keller, Great Haydn Quartets, p. 63.
On the larger scale, to create an ambience of 'homophonic counterpoint' seems also to be part of the fundamental design of the fugal process. Example 3.6 is a subject-entry diagram of the fugue devised to highlight the distribution of the principal subject. It can be seen from the diagram that the first violin part carries the subject theme most frequently: there are seven complete entries as compared to three in the second violin, four in the viola and six in the cello. Even though the cello has nearly as many entries, its part as a whole is most often interrupted by rests or pedal point. It is by far the least densely worked-out of the four parts. From this alone, it can be seen that the four parts here do not carry equal weight as they generally do in fugues; or as common belief has it that writing fugues for the string quartet is a means to solving the 'equality problem' of part-writing and the four parts are therefore always equally weighted. By this subtle shifting of weight, the fugue sounds unusually 'top-heavy'; giving the impression that there is one top voice 'accompanied' by the others much more so than in other fugues. This, of course, is a more sophisticated way of achieving contrapuntal homophony than the methods used in baryton trio no.97 where a pair of voices in harmony counterpoint the third voice. In this quartet movement, not an iota of localized homophonic writing exists until the last four bars and yet the overall impression of the discourse belies that fact.

26 '...fugue texture is a most important resource as a type of instrumentation. Obviously it solves the problem of equality in quartet-writing... See Tovey, Cobbett, p.536.
Ironically, if the expositions\textsuperscript{27} of the fugue seem not to encourage equal treatment of all four parts, the episodes make up for some of the inequality. The texture and technique of combining themes are those so often found in sonata developments: most of the episodes contain imitative writing between all four parts, and fragments of the principal theme are used as well as those of the subsidiary subjects. The procedure exemplifies Kirkendale's remark that

the texture of Haydn's sonata movements has become so closely related to that of his fugues that there is no essential stylistic distinction, for example, between imitations and contrapuntal intensification in a sonata movement (as used especially in development sections), on the one hand, and the free entries and episodes in fugues, on the other.\textsuperscript{28}

There are five episodes in this fugue. As both Kirkendale and Tepping note, they are characterised by the frequent use of stretto and canonic imitation.\textsuperscript{29} Tepping points out that 'all of the episodes present motive $a$ [the head of the subject] in stretto at half-measure intervals, at the fourth, fifth and octave.' Not only do the episodes present the motive, but the motive is always used to articulate the end of the section.

\textsuperscript{27} By 'exposition', I am referring to the parts of the fugue where the complete principal theme appears. This is how the term is defined in the next few paragraphs in this chapter.

\textsuperscript{28} Kirkendale, \textit{Fugue and Fugato}, p.151.

in anticipation of an entrance of the complete subject at the subsequent exposition.\textsuperscript{30} Such a device is used rather indulgently in 'Episode 3' between the theme in the dominant in the cello (bars 52-55) and the theme in the tonic in the first violin (bars 61-65). In effect, the entire episode is made up of the interplay of the motive between the four voices. Here, it can only be interpreted as part of the compositional logic of this movement; but in Haydn's last quartet fugue (Op.50, No.4, IV), the same device performs the kind of function described by Schoenberg in connection with sonata 'retransitions':

The motive material often derives from subsidiary themes; sometimes references to features of the principal theme forecast its return.\textsuperscript{31}

How much of this is already in Haydn's mind can only be a matter of speculation. Nonetheless, it at least raises the question of whether stretto tonic returns of the principal subjects in Haydn's fugues do share a function with sonata-form recapitulations. It is significant in this movement that the dominant subject entry is articulated by the cello (i.e. in the bass-line); thus highlighting the harmonic preparation to the tonic. Here, though, the transition is seamless, unlike the F-minor fugue where there is a pause on the dominant, and there is no hint that the listener is supposed to make such a reference. It could only be surmised from Haydn's previous

\textsuperscript{30} Episode 4 is the only exception (apart from the final homophonic episode, naturally) as the subject theme in the following 'exposition' is inverted.

\textsuperscript{31} Schoenberg, \textit{Fundamentals}, p.181.
fugue that these features might hint subtly at an underlying formal strategy.
The Chromatic Fugue

If there can ever be an equivalent of Bach's Chromatic Fantasy and Fugue in Classical chamber music, it is this C-major string quartet by Haydn. Not only is the finale fugue chromatic, but the Adagio second movement of the work is close to being a 'chromatic fantasy'. Indeed, all four movements make use of chromaticism in one way or another. However, as Kirkendale points out, 'the graceful upbeat introduces, for the first time in a fugue subject, the chromatic passing-notes familiar from Viennese classical melody (as opposed to the chromatic harmony-notes of the baroque).'

The subject of this C-major fugue is often described as chromatic, yet of its five bars, only half of one bar consists of a chromatic descending scale with a sharpened fourth. The rest are diatonic. See Example 3.7 However, since the chromatic motive is the head of the subject, it is repeated more frequently than any other motive. Consequently, chromaticism becomes the predominant feature of the fugue.

The teasing intensity with which chromatic notes are manifested here is

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32 Kirkendale, Fugue and Fugato, p.145.
obvious, but the function of the chromaticism as part of the work's structural design has never been discussed. Moreover, the fact that chromaticism is exploited in other movements as well as the finale is also seldom noted. Indeed, the use of chromatic devices is one of the most important factors integral to the composition of the work as a whole. Therefore, in order to fully appreciate the chromatic function in the finale fugue, chromaticism in the first three movements must first be examined.

3.4.1 First Movement: *Moderato*

The first movement begins in a quasi-fugal manner. Both the subject and its counterpoints or accompaniments are diatonic. In fact, there is no hint of chromaticism in the entire 'exposition' except for the rather unexpected modulation to flat-side keys at bars 37 to 41 and the use of a German-sixth chord with chromatic notes C# and Eb at bar 42 to steer back to the dominant key.

The beginning of the development section tells a different story. Thematically, it exploits motivic material which is unimportant in the exposition, namely, the arpeggio figure in the cello at bars 16-17. Harmonically, the section from bars 48-60 shifts through almost as many keys as there are bars. The combination of the thematic and tonal fabric of this section together with the sudden *forte* dynamics makes it sound incongruous to the rest of the movement. It is also contrasted with the preceding and subsequent parts of the movement by dint of its chromaticism. It is a tumultuous outburst, a 'purple patch' which exists for just thirteen bars.
A remarkable feature of this interlude is the way in which the twelve notes of the chromatic scale unfold. The following table traces the bar-by-bar chordal progression and the number of pitches completed accumulatively:
<table>
<thead>
<tr>
<th>Bar number</th>
<th>Triad/Chord</th>
<th>Pitches</th>
<th>Number of pitches completed</th>
</tr>
</thead>
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<tr>
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<td>G minor</td>
<td>G, Bb, D</td>
<td>3</td>
</tr>
<tr>
<td>49</td>
<td>A major</td>
<td>A, C#, E</td>
<td>6</td>
</tr>
<tr>
<td>50</td>
<td>D minor</td>
<td>(D), F, (A)</td>
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<td>B major</td>
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</tr>
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<td>E minor</td>
<td>(E), (G), (B)</td>
<td>10</td>
</tr>
<tr>
<td>54</td>
<td>C major</td>
<td>C, (E), (G)</td>
<td>11</td>
</tr>
<tr>
<td>55</td>
<td>C major</td>
<td>(C), (E), (G)</td>
<td>11</td>
</tr>
<tr>
<td>56</td>
<td>A major</td>
<td>(A), (C#), (E)</td>
<td>11</td>
</tr>
<tr>
<td>57</td>
<td>D minor</td>
<td>(D), (F), (A)</td>
<td>11</td>
</tr>
<tr>
<td>58</td>
<td>Bb major</td>
<td>(Bb), (D), (F)</td>
<td>11</td>
</tr>
<tr>
<td>59</td>
<td>Diminished 7th</td>
<td>G#, (B), (D), (F)</td>
<td>12</td>
</tr>
<tr>
<td>60</td>
<td>A major</td>
<td>(A), (C#), (E)</td>
<td>12</td>
</tr>
</tbody>
</table>
The pitch G# appears for the first time only in bar 59, then in all four parts. It is highlighted by the fact that it forms the bass of a novel diminished-seventh chord; and that in the cello part, the segment which leads into the G# in the bass sustains a different contour from that of its previous segments. At the same time, it is the last pitch to complete the twelve notes of the chromatic scale; and the diminished seventh to which it belongs is the last chord to put an end to the chain of reckless triads.

Bars 48-60 articulate a part in the development section which is an 'island formation' - a closed paragraph in its own right. The end of the paragraph is a 'false retransition', as is clear from the following bar, which reiterates the elaborate contrapuntal gestures of the opening but with a different scoring and in the supertonic. These thirteen tumultuous bars recall the 'D-major interlude' from the 'Farewell' Symphony. Even if there are motivic connections between them and the exposition, aesthetically, they remain divorced from their context as does the 'D-major interlude'. By contrast, the passage here is stormy while its surroundings are serene and dolce. No matter how they are related to the rest of the movement, in both cases, the episodes stand out as being incongruous. Neither case is 'explained' within its context,

33 This is a term used by Schoenberg in his Gedanke manuscript. See Schoenberg, The Musical Idea; and the Logic, Technique, and Art of its Presentation, ed. Patricia Carpenter and Severine Neff, New York: Columbia U.P., 1995.

34 See Webster, Farewell, p.43.
nor do the same ideas return. As Webster concludes, 'its [the interlude’s] resolution can only come elsewhere - on a level which involves the entire symphony,' by the same token, the 13-bar episode in this movement is not resolved nor is the function of its chromaticism explained, until later in the quartet.

3.4.2 Second Movement: *Adagio*

'Elaborate figuration, shifting harmonies, sudden contrasts, full textures, disembodied melodic figures - in short, a sense of improvisation and loose structural links between figures and phrases' is Ratner's description of *fantasia* style. The same description could perfectly characterize this C-minor *Adagio*. Its dark, unison beginning with tortured melodic intervals evokes the *ombra* which is again typical of the eighteenth-century fantasia. Yet despite its tormented expression, the first four-bar statement of the movement is completely diatonic. The ensuing passage from bars 5-13 depicts a calmer scenario; but the gestures continue to be dramatic: there are sudden textural contrasts, a wide range of dynamics, and abrupt changes of melodic ideas.

All this, however, is still only a preparation for the climax of the fantasy. From bars 13-24, the texture juxtaposes dark, awesome diminished arpeggios with *dolce*, pleading recitative-like segments, contrasting *forte* and *pianissimo* dynamics at the

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same time. The harmonies within this passage comprise a set of three different diminished-seventh chords: one on A at bar 14, one on Bb at bar 18, and one on B♭ at bar 21. The one at bar 23 on F♯ is in fact the same as the first, now spelt differently to prepare for the dominant version of the theme. The triplets in bar 18 at first outline a Bb-minor chord; but with the arrival of the E♭s on the strong third beat, the sonority of the Bb-Db-E-G pitches become most prominent, even if only momentarily. In whatever case, the three sets of chords presented in this short space completes all twelve notes of the chromatic scale.

In the 'development section' of the first movement, there is a distinctly different section which is presented once but never returns. This is the most stormy, most chromatic passages of all. Here, the use of all twelve tones is even more audible as it is contained within three well-defined diminished chords. Again, the completion of the chromatic collection articulates a self-contained episode.

3.4.3 Third Movement: Menuetto. Allegretto

The movement begins diatonically with simple harmonies. It is only from bar 21 onwards that chromaticism is hinted at: the descending chromatic figure in the first violin is to become a prominent feature in the fugue subject. The truly chromatic passage in this movement does not appear until near the end of the trio. From bars 69-86, the sequential formulation shifts through different harmonies to arrive at a
dominant chord at bar 87 in preparation for the return of the minuet. But even when the harmony is stabilized on the dominant chord, the accompaniment carries on a descending chromatic scale until bar 81. Consequently, all twelve tones of the chromatic scales are completed within this second part of the trio. Each half of a trio is normally repeated but notably, the second half of this trio is not. The effect of completing twelve notes can only be experienced once; if repeated, the purpose of exercising such a strategy would be defeated.

3.4.4 Fourth Movement: *Fuga a 4° Soggetti. Allegro*

Chromatic passages in the preceding three movements are all highlighted as unstable areas inserted between harmonically more stable and tranquil ones. Because of their unusual characteristics, they are prominently highlighted so that when they are never repeated, explained or resolved within the movements, the aural memory of these passages becomes increasingly strong and the call for their resolution increasingly pressing.  

As mentioned above, the fugal finale of this work is chromatic - as a whole. Expressively, chromaticism in this movement obviously works at a different level than in previous movements: for not only is the fugue not stormy or imbued with tortured

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37 The same rhetorical technique is used to highlight remote key areas within movements to promote unity between multi-movement works. See Haimo, "Remote Keys and Multi-Movement Unity: Haydn in the 1790s," *Musical Quarterly*, 74, 1990, pp.242-68.
harmonies and melodic lines, it is one of Haydn's lightest and most graceful of instrumental essays in this genre. In Kirkendale's words, 'no previous fugue subject was distinguished by such elegance and charm'\textsuperscript{38}, and in Finscher's, 'the main theme with its 6/8 dance-like rhythm... [and] its precious chromaticism... captures the relaxed-playful character of a Classical finale...''\textsuperscript{39} From this aesthetic point of view, the distorted, chromatic harmonies in the previous movements are 'resolved' by a movement which treats chromaticism as decorations which are 'precious', 'relaxed', and 'elegant'. Moreover, chromaticism in this fugue is now the norm rather than the exception.

But chromaticism in this movement does not work on the expressive level alone. Certain groupings of subject and answer themes combine to complete all twelve chromatic notes. This does not seem surprising since every statement of the theme introduces a chromatic note; sooner or later, all twelve notes will appear. Indeed, in the episodes, when just the subject heads appear in close succession (e.g. bars 50-63), the twelve pitches are completed every few bars. Having said this, however, the first set of twelve notes is not completed at random. (Refer to Example 3.7) After the 'fugal exposition', in which the subject and answer pair in the tonic each present one chromatic note of the scale (F# and Bb), the subject enters in the submediant. There is almost no episode between the submediant entry and the 'redundant entry' in the

\begin{flushright}
\textsuperscript{38} Kirkendale, \textit{Fugue and Fugato}, p.145.
\end{flushright}

\begin{flushright}
\textsuperscript{39} Finscher, \textit{Geschichte}, p.232. The translation here is borrowed from Webster, \textit{Farewell}, p.295.
\end{flushright}
first violin (bars 15-18), but an extension of the subject theme (a descending scalar segment) which serves to shift the harmony to the submediant (A minor). This procedure is rather unusual in Haydn's fugues because, normally, an episode would follow the last entry in the 'exposition' and the subject entries which ensue would be in the dominant or subdominant. Here, the spinning-out of the subject carries on to bar 30 when the first episode begins.

From the point of view of 'chromatic completion', the submediant entries are exceedingly significant. The subject transposed to the sixth degree provides a third chromatic note of the scale D#. Only G# and C# are left to complete all twelve notes. The pitch G#, though not part of the subject in submediant, is prominent in the counter-subjects supporting the theme, in the viola in particular. Only the pitch C# remains.

Bars 29 to 30 witness the first perfect cadence to punctuate the fugue significantly. The end of the subject in the cello is recomposed to assume an independent cadential motion (at bar 29): a bass-line progression now poses as a cadence into G. As this happens, C# is introduced as part of the dominant of the dominant (V/V/V, A major - V/V, D major - V, G major). With this C#, the twelve notes of the chromatic scale are duly completed.

Example 3.8 shows the unfolding of the twelve chromatic notes of the scale
from bars 1-30. All seven pitches of the diatonic C major scale are used in the subject with an addition of F#. Eight of the twelve notes are therefore completed at the outset. The answer produces the ninth note Bb; and the theme in the submediant the tenth and eleventh tones. Finally, the twelfth note C# appears as part of the extension of the submediant theme in the cello part. Even though the G-major cadence at bars 29 to 30 is a significant foreground event, its role in the tonal structure of the movement is foiled. The cadential motion does not actually tonicize G major and establish it as the key for the episode and middle entries to follow. Rather, it relocates G major as a dominant chord of C major which acts as a point of departure for the ensuing modulatory episode. In the large-scale tonal structure of the movement, the role the G-major chord plays is insignificant. It is all the more unusual that the G-major chord should be so prominently placed in the movement's foreground elaboration. Its function can only be to act as a foil for a formal closure; a closure which leads from a tonic area to a dominant one.

The idea of 'chromatic completion' as a formal device is one which has been developed by recent scholars; most notably James Baker in 'Chromaticism in Classical Music'. Baker demonstrates in Mozart's music that 'the completion of the full

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chromatic aggregate coincides with a major point of formal articulation. In this Haydn fugal finale, not only does the appearance of the C# suggest a point of articulation within the movement's form, but the C# continues to control the subsequent points of tonal division.

Example 3.8 shows that at bar 42, the subject enters on the supertonic (D minor). This entry is preceded in bar 41 by a dominant-seventh of D minor in second inversion (V4/3 - I). At bar 45, the supertonic answer enters, including the note C#; this is now part of D minor, even though a descending minor-key scale would normally neutralize the leading note. It is thus ambiguous at bar 46 whether the C# or C♮ is dissonant. The tension created between these two pitches is even more noticeable as they are juxtaposed. When at bar 48, a C♮ is firmly established in the bass-line as part of a cadential progression towards the subdominant F major, the negation of the tone C# is all the more striking. In this sense, Haydn seems to have extended the technique of 'chromatic completion' to include 'chromatic deletion'. By highlighting and prolonging the 'twelfth note' of the chromatic scale, a further two points of punctuation are effected.

Beyond bar 50, the pitch C# remains a sensitive note by which defines many of the subsequent points of punctuation. Three instances are worth noting. The first is at bar 60 where the descending chromatic cello line makes use of every note of the

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chromatic scale except A# and C#. The two notes are completed at the beginning of
the subject in E minor at bar 64, the A# as the chromatic note in the theme, and the
C# as part of an E melodic-minor ascending scale in the bass. The second is at bar
76 where the dominant is tonicized. This is prepared by a dominant entry of the
subject (bars 72-76) in which C# is the foreign note in the G-major theme. The third
and most striking instance is the return to the tonic at bar 124. At that juncture (bars
122-124), the pitches C\# and C# oscillate in the bass before finally resolving to C\# as root of the tonic chord. This inaugurates the final section in the tonic.

So far, the tone C# , which was initially the twelfth note to be introduced,
seems to perform a rather special function in the design of the movement. Its presence
is felt again at the point of strongest intensification. At bar 102, the subject is inverted
for the first time in the first-violin line. The inversion makes it into a statement in the
subdominant, F major. This is counterpointed in stretto by a subject in the original
form in the second violin, whose chromatic addition is C#. At the same time, the
bass-line becomes detached from the fugal texture. Instead of enunciating one of the
four subjects, it slows down: notes of a longer value are sustained, mimicking and
forecasting the onset of a pedal-point. This is a striking event after which the cello
line effects a chromatic descent towards an actual pedal-point, beginning on the Bb
at bar 101 falling to the dominant pedal G at bar 114. As in bars 122-124, this line
oscillates between C# and C\# at the end of the descent before proceeding towards the
dominant pedal G via the cello’s lowest note C\# (bar 112). The long C# in the second
violin at bar 107 and the C# at bar 109 in the cello line are together conspicuous features since they belong to two chromatic chords which intensify the harmony: an augmented sixth at bar 107 and a diminished seventh at bar 109.

As a sharpened chromatic note in the flat-side key F major, C# is heard as dissonant. By the same token, F# makes another pungent effect. At another level, the section from bars 107-111 is dominated by the sequential passage initiated by the inverted subject head (violin 1) and completes ten of the twelve chromatic notes except B♭ and F#. B♭ appears at bar 112 in the bass-line and F# functions as the leading note to the dominant G at bar 113. With these two notes, the chromatic collection is once again completed and a major point of formal articulation reached. The ensuing passage underpinned by the dominant pedal is the nearest this fugue gets to a tonic return of the principal subject in stretto and thus to a 'recapitulation'. All the entries are truncated, though they are in the same order as in the 'fugal exposition'. Though this formal juncture is articulated with the subtlest of means as compared to the other two quartet fugues, it is still one of the strongest mark-off points within this fugue.

The process of chromatic completion here is interwoven with the texture more intricately than in the first three movements. In this fugue, parts which unfold the chromatic collection do not stand out against the diatonic environment as do those in the earlier movements, but are submerged within a uniformly chromatic discourse. In
this sense, chromaticism forms part of the background design rather than deviation in the foreground. This principle holds good up until bar 128. Then, the texture changes dramatically.

The Coda

Bar 129 has often been described as the beginning of the fugue's long homophonic coda. Apart from the abrupt change of texture, there is a sudden rise of dynamics. The change in the use of pitch material, however, is seldom discussed.

The first section of this coda is predominantly diatonic. Even though the first three bars contain all twelve tones of the chromatic scale, their sequential formation directs the listener to hear them as a rapidly modulating passage rather than as a highly chromaticised one. The function of chromatic notes here is harmonic more than decorative. The stark contrast of a diatonic section within a chromatic fugue is the reverse tactic from that found in the previous three movements. The next section of the coda (bars 146 - 151) recaptures the chromatic head-motif of the subject and once again, uses up all twelve notes of the scale over a dominant pedal. The coda thus captures the opposition between chromaticism and diatonicism as an appropriate denouement of the four-movement work; one whose dynamicism is weighted heavily upon the opposition set up between the two tonal qualities.

42 See for instance, Webster, *Farewell*, p 296.
The very final statement (bars 156-162) is divided starkly into two parts: a chromatic beginning and a diatonic ending. If this coda is to be regarded as a 'true coda' as Webster suggested, it is not only by dint of its homophonic, 'sonata-style' ending, but also by virtue of the symbiotic existence of the chromatic and the diatonic.

3.4.5 Summary

In this fugal finale, the extraordinary chromatic passages in the first three movements are neutralized, 'explained', resolved. This is another factor contributing to the success of this finale as a conclusion of the four-movement work, more so than the other two fugal finales in the set.

The concept of chromaticism by itself cannot be said to define sonata style; but used in the context of the present work, it performs an important function as a parameter of composition secondary to the tonal organisation in clarifying the formal boundaries of a movement. Tepping remarks that 'subject entries occur in all cases at important points in the tonal structure.' In most of these cases, the process of 'chromatic completion' or 'deletion' or the signalling by the note C# enhances these 'important points in the tonal structure.' The significance of this will become apparent only in the next chapter when chromaticism is discussed in Haydn's Op.50 fugal finale. This C-major fugue plays a vital part in rehearsing the scene for the later work.

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3.5 Conclusion

It is apparent that sonata-style elements in all three fugues are manifest in the foreground in one way or another: the contrasting dynamics, the homophonic episodes and endings, the modernized, galantry subjects. These phenomena are well known. However, the foregoing studies in this chapter show that in fact, 'sonata-style' penetrates much deeper into the fugal processes than meets the eye.

As these underlying formal strategies are not made clearly audible, they seem only to rank among Haydn's untold compositional formulae. Even the more audibly discernible divisions articulated by the pause-bar in the F-minor fugue and the stark textural contrasts in the C-major fugue only hint at a punctuated style more akin to sonata form than fugues: they do not directly infer a sonata-form background. However, even though the procedures are not explicitly audible, they may well work at an unconscious stratum of perception even for the most uninitiated, for the specific ordering of fugal material in each individual case is evidently out of the ordinary. This is perceptible even without close examination of the works.

In Haydn's life-time, critics were astounded by the extraordinary quality of his fugal and contrapuntal writing. It is said that 'instead of their [contrapuntal works by earlier composers] former stiffness, they [Haydn's works] assume a pleasing manner as soon as he prepares them for our ears.'\textsuperscript{44} The secret of such 'aural pleasure'

\textsuperscript{44} See Chapter One, p.6 and footnote 21.
obviously lies in Haydn's idiosyncratic manner of handling fugal processes in the popular style. When comparing Haydn's chamber music fugues with those of his contemporaries who are supposed to have been exposed to similar influences, we can see that Haydn's method of 'modernizing' his fugues - of mixing fugue with other contemporary styles - is more subtle and sophisticated. Two comparisons will prove the point.

The title of the final movement of Filtz's\textsuperscript{45} string trio Op.3 No.2\textsuperscript{46} summarily describes the trend of contemporary fugue: \textit{Fuga con Stile mixto}. See Example 3.9

A cursory glance at the score reveals the manner in which 'fugue' is mixed with other styles. Many features seem to echo those in Haydn's quartet fugues: use of homophonic passages, punctuated texture, stark contrasts of \textit{piano} and \textit{forte} dynamics, a final eight-bar statement of material derived from the principal subject ending in a double-stopping homophonic chord. Apart from the fact that all of these features are much more blatantly presented than in Haydn, the fugal process is not strict; not even a complete fugal exposition exists. In other words, the movement cannot be deemed a fugue by any criterion. It is merely fugal by dint of its contrapuntal opening.

A later work written by the Viennese composer Carlos d'Ordoñez\textsuperscript{47} is even

\textsuperscript{45} Anton Filtz was a pupil of Stamitz in Mannheim. See also footnote 48 in Chapter One.


\textsuperscript{47} Vienna 1734-1786. Ordoñez was 'registrar of the provincial court of Lower Austria about 1760, violinist at the court chapel from 1766(?), and the \textit{Tonkünstler orchestra} from 1766 (?)' (Kirkendale, \textit{Fugue and Fugato}, p.9) It is also recorded that in 1773, Burney 'wrote an enthusiastic account of a
more telling since his set of string quartets Op.1 was composed at around the same
time as Haydn's Op.20. See Example 3.10 A. Peter Brown notes that 'the weightier
movements [i.e. the second and the fourth] often emphasize a synthesis of fugue and
fugal procedures with the more homophonically oriented sonata and part forms;' and
so they seem certain to resemble Haydn's fugal movements. The finale of Op.1 No.1
is marked Allegro Fugato. The movement begins with a complete, strict fugal
exposition. The subject is set in the traditional alla breve metre. The stretto entries
from bar 76 forwards seem also to parallel those in Haydn's fugues. However, after
the sixteen-bar exposition, an episode begins with a new thematic idea which runs
through all four parts. In a loose sense, it may be regarded as a second subject. From
this point of view, Ordoñez's fugal ideal is distinctly different from Haydn's. He
introduces new material after the first complete exposition. The styles of this second
theme are loosely contrapuntal or homophonic. Apart from the 'second exposition' and
the subsequent 'episodes', the principal subject returns only twice to punctuate tonic
areas (bar 39ff. and bar 76 ff.). In other words, after the fugal exposition, the rest of
the movement does not follow a strict fugal procedure. It is apparent that Ordoñez's
means of 'popularizing' fugal writing is to introduce a second thematic idea in galant

performance of a Haydn quartet in which Ordoñez participated.' (A. Peter Brown, Preface to the 1980
Madison edition of Ordoñez's Quartets Op.1, p.vii). The quartet is most likely to be one of the Op.20s.
Ordoñez seems to have had much contact with Haydn as his parody opera Alceste was first performed
at the marionette theatre in Esterhaza on 30 August, 1775. He was principal second violin for a
performance of Haydn's Il Ritorno di Tobia in 1784.

48 A. Peter Brown notes that 'in 1771 the professional Viennese copyist Simon Haschke advertised
Ordoñez's works; and in 1777 two issues - the six quartets known as Opus 1... were sold by the short-
lived publishing house of Guera in Lyon.' (Brown, 1980, p.vii).

49 Ibid., p.viii.
style which becomes the dominant factor of the movement. The development of the principal subject is not as consequential. The movement is more akin to the fugal movement in Haydn's Symphony No.3 than to his quartet fugues.

By comparison, therefore, Haydn's 'modernized' fugues are of a different order. While other composers 'popularize' their fugues by breaking down the fugal process, Haydn does so by subtle adaptations of the linear process to various formal styles while adhering strictly to traditional fugal procedures. Haydn's art of sculpting fugal processes had been tested through many earlier works; the Op.20 quartet fugues are a culmination of years of experience in practising such an art - they are not born of a single stroke of inspiration. Nevertheless, even though they are only a step beyond the baryton trio fugues, they are much superior. When fugues are in four instead of three voices, the scope for manipulating counterpoint is much increased. Most importantly, the cello part can often be exonerated from its fugal role to act as a harmonic bass while the upper three parts continue their strict counterpointing. In this way, the overall fugal attire of the work is kept perfectly intact while the structural function of the discourse shifts towards a more dynamic process. These are the strategies emerged from the three Op.20 fugal finales; but it is in the Op.50 fugue written fifteen years later that Haydn exploits the full effect of these devices to create the ultimate 'sonatacized', dynamic fugue.
CHAPTER FOUR

The Fugal Finale of Op. 50 No. 4 (1787)

4.1 Introduction

Fifteen years after Haydn wrote his Op. 20 set came the fourth and last of his quartet fugues, the finale of Op. 50 No. 4. In between 1772 and 1787, only one other instrumental fugal movement had been composed - the finale of Symphony No. 70. But as we have seen, this finale is not a complete fugue; rather, it is 'framed' by homophonic sections.¹ The reason for Haydn's renewed interest in writing a complete fugal movement is unclear. It has been suggested that since the set of quartets was dedicated to the King of Prussia, Haydn was once again inspired to write in the 'regal style'.²

In Op. 20, the tendency for the three fugal finales to progress from the severe to the galant is apparent.³ At least, this holds true from the listener's point of view,

¹ See Chapter Two, List 2.2.

² See Kirkendale, Fugue and Fugato, p. 145. As discussed in connection with baryton trio no. 97 in Chapter Two, the fugue connotes a regal style because it is the style which the Austrian Emperor favoured. Of Haydn's nine fugues, two were a kind of 'royal dedication' for special occasions of his royal patrons: baryton trio No. 97 for the Prince Esterhazy's birthday celebrations, and Notturno No. 5 for Lira organisatta written for the King of Naples (c. 1788).

³ As remarked by Webster. See Webster, Farewell, p. 300.
for the 'progress' is most noticeable in the foreground articulation of themes.¹ Fifteen years on, even though no more fugues had been written, the progress seems to have continued: in Op.50, the galant elements in the fuga finale are exaggerated in every respect. Even if this is not part of a 'progression', the Op.50 fugue sees the culmination of all the devices used in the earlier works to form its unique synthesis of the two compositional principles. In the Op.20 fugues, galant style is assimilated into the texture by dint of homophonic episodes, use of 'modern subjects', and references to the punctuated style of sonata form.² In the Op.50 fugue, not only is there no shortage of homophonic episodes, but the traditional patho-type subject is 'modernized' and its form is moulded distinctly into a 'sonata shape', punctuated more explicitly by readily audible devices. In this work, Haydn pushed the concept of fugue to the very limits. From it, no 'progress' towards an even more galant style can be achieved. It is perhaps no coincidence that this is Haydn's last fugue written within one of his main genres of composition.³

In many different ways, the Op.50 fugue is one of Haydn's most idiosyncratic

¹ That is, in No.5: traditional patho-type subject (alla breve); in No.6: galant subject (4/4); in No.2: 'modern' chromatic subject (6/8). But in terms of procedure, No.6 is in fact the strictest (contains the least number of episodes) and No.5 exhibits the strongest reference to sonata form (in terms of proportion and punctuation) as discussed in Chapter Three.

² See Chapter Three. In the Op.20 fugues, the reference to a punctuated style is tenuous. The most obvious punctuation is the pause on the dominant-ninth chord at b.111 in No.5. Other than that, Tepping has demonstrated that every subject entry in all three fugues punctuates a significant key change: "the reappearance of the principal subject after an absence signals significant points of arrival in the tonal structure." See Tepping, "Fugue Process," p.299ff.

³ The only instrumental fugues written after Op.50 are the finale in Nocturne No.5 for Lira organizzata (c.1788) and the single movement for the Flute-clock (1789).
and progressive quartet movements. It is for this reason, perhaps, that this F#-minor quartet is often regarded as the most challenging for performers and interpreters. In the past, scholars who have assigned the idiosyncracies of the movement to its reference to sonata style have based their arguments mainly on questions of texture and mode of expression or the general spirit of the work. As in the three earlier fugues, Tovey points out that the end of the fugue 'more or less abandons fugal polyphony so as to end the work in sonata style.' Keller argues that because the fugue is monothematic and therefore variety cannot be created by different contrapuntal combinations of the subjects in multiple fugues (as in the three Op.20 fugues), variety has to be generated by setting the subject in different types of accompanimental texture. As a result, the fugue 'incorporates enough homophony for the movement to be clearly audible against the background of sonata form.' This view is echoed by Kirkendale who finds that 'the counterpoint (in the Op.50 fugue) is handled less strictly than in Op.20, dissolving into absolutely homophonic writing with a longer episode and coda.'

Commenting on more specific elements of the fugue, Günther von Noé finds an extraordinary mixture of styles in 'the charm of the subject... its contrast of dance-

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7 See Keller, Great Haydn Quartets, pp. 4, 45, 99-101.
8 Tovey, Cobbett, p. 536.
9 Keller, Great Haydn Quartets, p. 99.
10 Kirkendale, Fugue and Fugato, p. 145.
like 6/8-rhythm with the sombre pathotype melody.\textsuperscript{11} Indeed, the 'sonatisation' of the fugue begins with the construction of the subject. Even though it is generally classified as a 'patho-type' fugue subject,\textsuperscript{12} the sense of pathos is weakened considerably: by interpolating the falling diminished-seventh which characterises a typical patho-type subject with the fifth degree of the scale; by setting it in 6/8 metre; by avoiding a strong and solemn down-beat \textit{alla breve} beginning; by additions of appoggiaturas which gives it even more of a spritely, dance-like character. See Example 4.1

It is obvious from the comparison of the Op.50 subject with a typical patho-type subject that the former is far more light-hearted in spirit. The paradox of mixing sonata and fugal elements, galant and learned styles, is invoked right from this very beginning. As the movement unfolds, many other surface elements continue to reinforce the dramatisation of the fugue: the direct contrasts between legato and staccato in articulation (especially in the 'coda'), the quasi-Alberti bass accompaniments, the sudden outburst of \textit{fortissimo} near the end of the movement, the dialogues between upper and lower strings in the 'coda'; all these are overt sonata-style gestures.

The above observations show that even on the musical surface, the fugue


\textsuperscript{12} Kirkendale, \textit{Fugue and Fugato}, p.91.
carries on the tradition of fugal writing as in Haydn's earlier works: galantry elements are conspicuously interwoven into the fugal discourse. However, through analysis, it is revealed that the profundity of the mixture of styles extends far beyond these surface features. The movement is moulded in the punctuated style of sonata form. This is how the movement is designed in the background; but in the foreground there are signs which direct the interpreter to comprehend the movement as such. The signs need only to be deciphered.

4.2 Interpretation of the Formal Design of the Fugue

4.2.1 Defining Haydn's 'Sonata Form'

When Keller remarked that the fugue incorporates enough homophony to be heard against sonata form, he was most likely to be referring to the sonata as a predominantly homophonic way of writing, contrasting it thus with the fugue as a contrapuntal way of writing. But even if the sonata is best described as 'a certain kind of texture,' it cannot be denied that in sonata-form movements, a specific scheme of ordering the content applies. As Rosen puts it, the sonata defines 'a method of ordering many widely contrasting textures.' And I argue that this specific 'method of ordering' which distinguishes sonata form from all other Classical forms is the very method Haydn used as background design for this finale.

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14 Ibid.
Haydn's method of ordering musical material in his sonata-form movements is by and large no different from the common practice of the time. It is only when the nineteenth- and twentieth-century normative approach to defining the sonata is applied to Haydn's forms that discrepancies arise. The incongruity between sonata-form theories and Haydn's practice is found mainly in the description of thematic distribution within the form; the harmonic organisation of Haydn's sonatas is consistent throughout and conforms to the general understanding of the sonata-form tonal scheme. The reasons behind this phenomenon are reflected in writings by eighteenth-century theorists. With the exception of Francesco Galeazzi's treatise, theories which describe 'first-movement forms' are based mainly on harmonic rather than thematic functions. Thematic organisation was never a defining element of the form in Haydn's time. In Galeazzi's treatise published in 1796, his notion of a secondary theme which he calls 'Characteristic Passage' or 'Intermediate Passage' is described in the text as 'a new idea introduced for the sake of greater beauty, toward the middle of the first part [of the form]. However, in the example he gives, the Characteristic Passage is not a completely new contrasting theme but one which is clearly derived from the principal subject. The character of the theme may be altered by its mode of accompaniment or rhythmic setting, but the material content remains the same. All this does not conflict with Haydn's use of the form, not even in thematic


terms. Defining Haydn's sonata forms is only 'problematic', a notion Larsen clearly puts forward in his much-discussed article 'Sonata Form Problems',\textsuperscript{17} when set against nineteenth- and twentieth-century ideals.

The statement by Rosen which has nowadays become something of a cliché - sonata form could not be defined until it was dead\textsuperscript{18} - is true insofar as the original eighteenth-century concepts were never explicated fully in theoretical terms.\textsuperscript{19} In Newman's words, 'at no time during the Classic Era itself did theorists provide comprehensive discussions that take into account both the cycle and the single movements, including a systematic treatment of melody types, phrase syntax, bridges, dualistic opposition of themes, 'developments,' recapitulations, codas, tonal plans, and over-all designs.'\textsuperscript{20} Therefore to define Haydn's sonata forms, we have to balance contemporary treatises which describe the large-scale tonal and formal organisation common to most sonata movements of the time against the most common procedures used by Haydn (particularly in the 1780s when the work in question was composed) within the large-scale tonal and formal parts.

\textsuperscript{17} Larsen, "Sonata Form Problems."

\textsuperscript{18} Rosen, Classical Style, p.30.

\textsuperscript{19} For a full discussion on this point, see Newman, The Sonata in the Classic Era, third edition, New York: Norton, 1983, pp.26-35. Newman notes that of the eighteenth-century theorists, Koch's description comes the closest to our understanding of sonata form; even though the term was never employed. Moreover, whenever Haydn's works are used as examples, only works from the 1760s and early '70s are chosen as models. By the 1780s and 90s, Haydn's forms are further developed.

\textsuperscript{20} Newman, ibid., p.26.
Large-scale tonal and formal organisation [Period Style]

All descriptions of Classical sonata form of the late eighteenth century, whether the form is thought to be bipartite or tripartite, agree on at least one point: the tonal organisation follows the schemes

\[ \text{I - V } \| \ X - I \] for major-key movements and
\[ \text{i - III } \| \ X - i \] for minor-key movements.

Implicit in these tonal schemes is the formal concept that the first part I - V or i - III is a closed, self-contained period, marked off by a double bar-line. The relationship between the two tonal areas is a dynamic one. What follows after the double bar-line is highly variable but the material would eventually return to the tonic upon the return of the principal theme. Within the confines of this tonal and architectural outline, the content may be ordered in any particular way.

Variations on this general outline do occur. This arises mainly from the fact that most treatises describe forms which were written in the mid-eighteenth century. For instance, Galeazzi allows the first part of the form to modulate to the subdominant rather than the dominant and likewise, a recapitulation in the subdominant is considered common practice. By the 1780s, however, the above tonal schemes are...
more or less standard formulae. At any rate, it is significant for our purposes that all of Haydn's quartet sonata forms from the 1780s follow the above large-scale tonal outlines without exception.

Haydn's procedures [Personal Style]

To systematise Haydn's procedures of structuring each formal and tonal part within the large-scale tonal outline of the sonata is an impossible task; for Haydn seems to create a new interpretation of the form each time he writes one. His forms are never straightforward, they are always full of surprising turns.

But the very fact that we hear surprising turns indicate that a norm must exist. Surprises can only be created when there is a typical referential framework. It may indeed be true that Haydn's forms are more variable than those by other composers; if so, it is only because Haydn's primary rhetorical style is to 'jest with art'. His technique is to insinuate the norm but never to make it explicit.

There are certain elements within each formal part of the sonata which, by the 1780s, Haydn was using consistently. Moreover, the development sections have become sufficiently substantial to be regarded as a separate part of the form such that three instead of two main sections are clearly identifiable.

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22 This idea is the basis of Wheelock's book, *Haydn's Ingenious Jesting with Art*. [140]
Exposition

Within the exposition, the two tonal areas form a dynamic relationship with each other. Tonicisation of the secondary key is always clearly established. The appearance of a completely new theme seldom occurs at the secondary-key area. Conforming to Galeazzi's description of themes, the 'second subject' is normally just a variation of the principal theme or the same theme put in a different accompanimental or contrapuntal setting. The exposition is always repeated, making this part of the form a closed period in its own right.

Development

Many of Haydn's development sections return temporarily to the tonic at an early stage. This can either be interpreted as a hangover from the tonal pattern found in early binary form movements (such as the baryton trio fugal movements in binary form\(^{23}\)) or in expressive terms, as a rhetorical gesture personal to Haydn, one which plays with the idea of creating a false reprise.\(^{24}\)

Although the tonal organisation of the development follows no consistent schemes, the use of the submediant (the relative minor) in one form or another is

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\(^{23}\) See Chapter Two for a description of this type.

common in Haydn's major-key movements. This may have evolved from an earlier convention as Rosen suggests, but the ultimate expression of such a scheme is to juxtapose major and minor-key modes to further dramatise tonal events within the form. By the same token, therefore, in minor-key sonatas, the use of the relative major is common. Because there are far fewer minor-key works than there are major-key ones, it is difficult to substantiate such a claim by statistics. Nonetheless, such tendencies can be found in Haydn's minor-key sonata forms.

Haydn's handling of 'retransitions' is always imaginative. They are often the point of central interest in the entire development section. But no matter how the tonic reprise is approached, a dominant preparation is always present in forms written from the 1780s, even if it is only a nominal one.

From a voice-leading point of view, sonata form is defined mainly by the fact that the Urlinie is interrupted before the return of the tonic principal theme. This analytical feature also applies to Haydn's sonata forms.

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26 As in the first movement of Op.76 No.3 where the dominant up-beat is in fact part of the principal theme.
Recapitulation

A double return of tonic and principal theme is an essential feature of the late Haydn recapitulations. The presence of one without the other never occurs in works composed from the 1780s onwards. Haydn's recapitulations are characterised by the fact that they are much recomposed. Thematic material is usually extensively rearranged. The presence of a coda is usual, though not habitual.

To write a fugue using the above ideals of sonata form set out by Haydn himself as a background ordering of events, every defining element of the form must be clearly articulated. Just as a piece which employs a 'march style' as its musical topic must exaggerate the march rhythm for it to be recognisable as such, a fugue which is designed against a 'sonata form' topic must exaggerate its formal features for it to be comprehensible and audible. First and foremost, its style of punctuation must be as clearly articulated as possible within the confines of a fugue; for it is the one characteristic of sonata style which is most obvious to the listener.

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In sonata form, the central aesthetic event of the entire movement is a return to the main theme within the second part, timed to arrive simultaneously with the return to the tonic. Neither a simple restatement of the main theme, nor a simple return to the tonic, has the intense impact of this 'double return'.

4.2.2 'Sonata Form' in the Fugal Finale of Op.50 No.4

Normally, fugues are typified by the fact that they are written in one continuous part with no obvious sectional divisions. To create this effect, cadences are obscured as far as possible to engender a feeling of continuity. In the Op.20 fugues, even though points of punctuation do occur - in the F-minor fugue where the dominant chord at bar 111 is written over a pause, for instance - they are not actual separations between parts. In the Op.50 fugue, Haydn goes a step further to mark the point of punctuation at a similar juncture to that in Op.20 No.5: at bar 45 when the dominant-seventh chord is reached after a long dominant pedal. Here, it is actually separated from the next bar by rests, after which the subject re-enters in the tonic in stretto and in exactly the same order as in the exposition. This division is immediately noticeable because such an explicit division is a most surprising feature in a fugue. Even though the same fugal procedures are found preceding and following the pause bar in Op.20 No.5, the rests in this (Op.50) fugue create a different effect, both in terms of its aural perception and structural intention.

'Recapitulation'

With the rests preceding the final tonic entries of the subject, the section is distinctly articulated as a beginning of a new section. Moreover, in comparing this section of the fugue with the corresponding sections in the Op.20 fugues, it occurs much earlier here than in the earlier works:
In all three of the Op.20 fugues, the return of the tonic entries takes place roughly two-thirds of the way through the movements; whereas in Op.50, the return begins almost exactly at the half-way point. Tovey noted that if Haydn followed any 'rules' at all in his writing of fugues, it is that, like Cherubini, he tended 'to save up the stretto until the end.' In his sense, the function of the stretto is one of closure. In the Op.50 fugue, the onset of the stretto is decidedly not a gesture of closure. To the contrary, it signals a beginning; one which resembles closely the kind of beginning in a sonata-form recapitulation. Not only does this 'beginning' articulate a double return of the tonic and the 'principal subject', it is also preceded by a pedal point which is cast in the fashion of a 'retransition'. Even though the dominant chord in the Op.20 No.5 fugue is also preceded by a pedal point, the expression of it is completely different. The section in the earlier fugue is reached through a natural progression of

29 It is significant that in a sonata-form movement, if both the exposition and the development-recapitulation sections are repeated, the point of the recapitulation does come more or less at the half-way point of the movement. Thus:

\[ \text{EXP|EXP|DEV||RECAP|DEV|RECAP} \]

\[ \frac{1}{2} \quad \frac{1}{2} \]

30 Tovey, Cobbett, p.535.

31 It should be noted that six years later in the first sonata-form movement of the string quartet Op.74 No.1, after the first statement of the principal subject, the theme is treated in stretto in the recapitulation.
contrapuntal devices. The pedal point there underpins two complete entries of the fugue subject (in the viola and in the first violin) before they extend towards the dominant chord at bar 111. In the Op.50 fugue, however, contrapuntal writing is abandoned some nine bars before the pedal point begins. Bars 35-36 see the last complete entry of the subject before this section ends. From bar 37, not only is the texture completely homophonic, the fugue subject is being liquidated; only the first two notes of the subject theme remain. This is a classic construction of a retransition where the material used 'consists of little more than liquidation of the motival residues'; and makes reference to 'features of the principal theme to forecast its return.32

Even in a sonata form movement, the division of the two formal parts may not be as clear-cut. Here, the articulation is exaggerated to make the reference explicit. Moreover, when the voice-leading structure of the movement is analysed, it is at this point that an 'interruption' occurs,33 analogous to voice-leading behaviour at the development-recapitulation juncture of a sonata form structure.34 The fact that this portion of the movement is much recomposed as compared to the 'exposition' is in line with Haydn's normal practice of writing substantially altered recapitations.

33 See Tepping, "Fugue Process," p.303. Voice-leading behaviour in this movement will be discussed in more detail below.
The 'problem' of interpreting the formal design of this fugue as framed by a sonata form background is that before bar 46, the movement is written in one continuous part - there is no obvious division between an 'exposition' and a 'development section'. If one were to argue that Haydn intended the fugue to be heard literally against the background of a tripartite sonata form, there must be a way in which this juncture between the first and the second parts is made audible: a sign analogous to a double bar-line dividing the exposition and development section of a sonata form.

As a fugue, no double bar-line is possible to indicate a division, the structural characteristics of the exposition must therefore be exaggerated if it is to be heard as such. In a minor-key sonata form, the exposition is characterised by its move to the relative major and a decisive ending (with a perfect cadence) in that key. On that level of structure, the exposition can be regarded as a closed section in its own right. So without a double bar-line, in order to characterise the two formal parts vividly and to make the division audible, three elements of the formal part must be made to be heard clearly:

1. A strong move to the relative major.
2. Its articulation as a closed section in some way.

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35 One of the main features of Haydn's fugues as opposed to those of some of his contemporaries is that his never contain double bar-lines; this is one of the prerequisites for Haydn to mark a movement as Fuga.
3. The move away from the relative major (the bar-line division) must be as audible as possible.

1. Strong Progression to the Relative Major

After the exposition of the fugue at bar 8, the cello enters stating the subject in the tonic again (redundant entry). The second bar of this subject entry, however, is harmonized so as to lead into the relative major: bass G in bar 10\textsuperscript{2} is coupled with e\textsuperscript{4}" to form a V\textsuperscript{6} chord of III as opposed to the V\textsuperscript{#} of i in bar 9\textsuperscript{2} or 6\textsuperscript{2}. Moreover, the descent onto d" which in turn falls to c#" in the next bar emphasizes its function as a cadential dominant seventh to the relative major (E\textsuperscript{7} chord to A major). At bar 11, the viola states the head-motif of the subject in A major (III) as part of a two-bar episode. At bar 13, the complete subject with extension re-enters, now in E major - V of III - leading to a complete subject entry in III at bar 16. At the same time, the bass notes from bar 16\textsuperscript{2} to 19\textsuperscript{1} articulate a strong V-I progression in III. See Example 4.2

All these gestures serve to highlight the move to and confirmation of III. This is not typical of fugues, Haydn's or otherwise. Rather than a spinning-out of subject entries of no particular order of transpositions, the subject entries in this fugue (this and other parts as well) make use of their linear process to function as a dynamic process: they progress towards specific tonal goals within each part of the form.
2. Articulation of Bars 1-19 as a Closed Formal Section

From the analysis of the first nineteen bars of the fugue, it may be noted that in terms of pitch content, this section can be regarded as a closed form. As discussed before, the fugue subject as a patho-type theme is characterised by the falling interval of a diminished seventh. The diminished-seventh spread-out chord which appears in the subject is \( E\#-G\#-(B\#)-D\# \).\(^{36}\) The answer in the dominant then spells out a second diminished-seventh chord, even more explicitly than the subject, since all four notes are represented in the first four notes of the theme, \( A\#-F\#-B\#-D\# \) (bar 3). Further subject entries in the mediant - III (bar 16), V/III (bar 13), IV/III (bar 18) - describe the same two diminished-seventh chords, only in different orders. The sudden turn from the stable use of these eight pitches of the two diminished-sevenths to a third diminished seventh is therefore a rather striking event. This occurs at the second beat of bar 19. At that point, not only does the music move away from the relative major tonally but at the same time, the twelve notes of the chromatic scale are completed as the third set of diminished-seventh chord is introduced. The gesture of closure by chromatic completion\(^{37}\) together with a decisive move away from the relative major (second tonal area in a sonata form exposition) refer clearly to the gestures which signal the end of the exposition in a sonata-form movement. See Example 4.3

\(^{36}\) The B natural does not actually appear in the subject itself, but its existence is implied by the presence of the other three notes of the chord. It then does actually appear at the second entry of the subject at bar 5 as part of the same diminished chord, now verticalized.

\(^{37}\) The idea that chromatic completion is extensively used as a formal device by Classical composers is also promoted by other commentators of Classic music. See footnote 40 in Chapter Three.
In addition, the subject theme introduced in IV/III at bar 18 is the first subject entry whose ending is cut short rather abruptly and reshaped to create a closing effect. Instead of following the ascending line of the appoggiatura figures, the second group of the sequence jumps a fourth and contours downwards into a decisive B-minor chord. See Example 4.2 (bars 18-20)

3. Strong Motion Away from the Relative Major

The momentary turn to IV/III (D major) linearly allows the introduction of the pitch G₄ logically, a pitch which is necessary for the formation of the third diminished chord. But the main function of introducing a subject entry in D major is to create such a harmonic surprise that the ear would be forced to focus on the tonal events in these few bars (bars 18-20). For while the bass is enacting a strong cadence in A major (bars 16-19, A-E-A = I-V-I in A), the upper voices force the bass A to become interpreted as V-pedal of D major (VI). The turn to VI is totally unprepared and is in conflict with the strong linear progression of the bass. The resolution of this conflict then comes as abruptly and surprisingly as the onset of the subject entry in D: The sudden chromatic ascent from A to A# in the bass and the sudden reshaping of the ending of the subject creates the vertical diminished chord in bar 19² which steers this section of the movement from A major to B minor in a striking way. Every gesture points to the diminished chord. Its presence and function is particularly audible. See Example 4.2 (bars 19-20)
As if all this is not enough to highlight the significance of the diminished chord, Haydn emphasises it further by a fz marking. This fz is, in its own right, a most exceptional feature; for in all of Haydn's earlier quartet fugues, dynamic markings are sparse.\footnote{The autograph scores now housed in the Archiv der Gesellschaft der Musikfreunde in Vienna were consulted (Vienna, GdM, A150). See Appendix II. I am most grateful to Dr. Horst Walter for letting me examine and photocopy the copies housed at the Haydn Institute in Cologne.} Except for the initial sempre sotto voce marking, no other markings are indicated until near the end of the movements. In line with this tradition, dynamic marks in the Op.50 fugue do not appear until bar 70,\footnote{Most modern editions (except Doblinger) make the following mistakes: first, the assumption that Sempre sotto voce (or mezza voce as used by Eulenburg) is implied for the beginning when Haydn in fact indicated no dynamics; second, the indication of a forte marking appears most often four bars too early, at bar 66. This latter point is a serious interpretative mistake, but most performers nowadays know only the incorrect version.} except for the fz at bar 19.\footnote{This is according to the autograph score and authorized copies of parts. Most printed editions contain another fz at bar 29 which is, in fact, an editing mistake. This issue will be elaborated below under Section 4.2.4.} This fz is therefore highly significant. It can be no accident that Haydn placed one single dynamic emphasis at the one place where the closure of one formal section and the beginning of another is indicated from all other points of view. The fz together with the diminished-seventh chord can, I shall argue, be interpreted as a sign for a double bar-line. As a matter of fact, all the fz markings within the movement perform a similar function, as will be discussed when the 'coda' is analysed below.
Four main points indicate that the portion of the fugue from bar 20 to 45 is composed with reference to a sonata-form development section. Firstly, the treatment of themes is developmental. Instead of stating the subject in full, motive forms within the subject are separated and recombined in different formations to create a texture which is decidedly different from the first nineteen bars of the movement. Secondly, as discussed above, the presence of a retransition is prominent. Thirdly, the subject returns rather prematurely at bar 26, a gesture similar to feigning a reprise. Fourthly, the rather extensive section in A major (the relative major) underpinned by its dominant (bars 29-41) conforms to key schemes Haydn uses in development sections. The last two points require further explication.

From bars 20 to 29, there are three subject entries: one in iv at bar 20, then in v at bar 22; this is followed by an episode for two and a half bars and a third subject entry in the tonic. The tonic subject is diverted only when the subject is extended by sequences formed from the 'appoggiatura motif' (bar 28ff.). At the same time, the bass introduces a surprising E\(^7\) chord (V/III), articulated as a two-note chord played by the cello (bar 29\(^1\)). This is the only bar in the entire movement where double-stopping technique is introduced. Intrinsically, these notes would be heard louder than their neighbouring notes simply because two notes are sounding together instead of one. Moreover, in order to produce a good tone on double-stopping chords
on string instruments, the bow must apply more pressure than usual.\textsuperscript{41} The function of such an articulation is two-fold: first, it highlights the fact that the return to the tonic is only a temporary one - it is, thus, only a 'false reprise'; secondly, it sets the mediant in motion, which is to become increasingly prominent in the latter half of this second section of the fugue.

As discussed in Section 4.2.1 (see also footnote 25), the tendency for Haydn to employ the submediant in development sections of major-key sonata-form movements is overwhelming. However, a similar tonal tendency is not evident in Haydn's minor-key works. Within Haydn's Op.9 to Op.77 quartets, only eighteen are minor-key sonata-form movements. Of those, twelve were written before or as part of the Op.50 set.\textsuperscript{42} While it is eminently possible to conclude that a consistent pattern does exist in Haydn's structuring of major-key works, it is much less convincing to argue that any single trend governs minor-key works. The twelve minor-key movements written between 1769 and 1787 all behave slightly differently; a common trend cannot be readily found. However, in four of the development sections, the idea of moving towards the relative major instead of the tonic minor as the goal of the section seems also at play. They are namely Op.17/4/I, Op.33/1/IV, Op.42/I, and most notably, Op.50/4/I. Moreover, the procedure in this fugue at bars 30 to 41: V/i - i

\textsuperscript{41} As mentioned in footnote 32, the $f$ accompanying this chord is an editing mistake. But in some performing editions, a $f$ is marked which is, in fact, redundant because of the reasons just discussed.

(bars 30-34) followed by V/III (bars 35-41) is a similar procedure to the one in the first-movement development section of Op.64 No.2 in B minor, written three years later. Even though these references may seem tenuous, the progressions in this part of the fugue are too schematised to have been conjured up randomly or for it to be referring to any other formal concepts. To analyse the tonal organisation here in purely fugal terms does not illuminate the tonal planning in this section either (see section 3.2.2 below).

'Codd

The fact that the tonic re-entries of the subject occur far earlier than in the Op.20 fugues means that the final tonic section is much extended; for after these entries, the rest of the movement remains by and large in the tonic, in congruence with procedures in all of Haydn's fugues and at the same time, of sonata-form recapitulations. In this movement, the tonic section is lengthened mainly by the last homophonic 'episode' of the fugue, which is more elaborated than the episodes of the earlier works. From bar 62, all fugal devices are abandoned. The entire section is galant in spirit, completely homophonic, at most imitative. Strictly contrapuntal constructions are completely evaded. Even the last utterances of the fugue subject (bars 83-87) are adorned by homophonic chords and galant-style accompaniments. Given that all of Haydn's fugues are characterised by his abandoning fugal polyphony to end the four-movement work in sonata style, the homophonic episode here is the epitome of such a strategy.
Even more pertinent than the sheer length of the final homophonic section is the fact that 'Sonata style' adopted here extends beyond a sudden textural change as appears in the Op.20 fugues. The style is invoked not only by texture, but also by the manner in which motivic ideas are transformed, combined and synthesised. This is unprecedented in Haydn's quartet fugues; but they are motivic developments characteristic of his 'Classical forms'. They are classic examples of the idea of motivische-thematische Arbeit\(^{43}\) so often used to label the 'new and special way' Haydn used in writing the Op.33 set of string quartets.\(^{44}\) In earlier fugues, the subjects may be segmented or inverted, but the fragmented motives are always recognisable as part of the original subjects. Here, the subjects are so transformed that their derivations can only be traced back to conceptual ideas of the original subject motives. See Example 4.4

The actual 'coda' does not, however, begin until bar 72. It may be argued that it begins six bars earlier at bar 66 when the harmonic progression becomes predominantly cadential. Many modern editions place the start of dynamic markings

\(^{43}\) Although this term is imprecise and considered old-fashioned nowadays, it has nevertheless not been replaced by any other terminology which describes Haydn’s mode of developing themes precisely. Discussing the concept of thematicism, Webster lists five categories of thematic 'relation': thematische Arbeit, thematic transformation, developing variation, motivic unity, and generation from a Grundgestalt or the equivalent. (See Farewell, p.196.) All these describe types of motivic/thematic transformation in one way or another, but none can be defined precisely. What they have in common, however, is that they are all non-fugal means of transforming themes.

\(^{44}\) See Sandberger, Geschichte, pp.258-63. Also, Webster’s comment on 'Sandberger’s Tale' in Farewell, pp.341-347.
at this point\textsuperscript{45}, branding bar 66 as the beginning of a new section, but these are mistakes and misinterpretations. See Example 4.5 Haydn’s dynamic markings do not appear until bar 70 (as in the Doblinger score used here and in all authentic manuscripts\textsuperscript{46}).

Two pieces of evidence strongly support the idea that the ‘coda’ is meant to be heard from bar 72. First, from a voice-leading point of view, it is at bar 73 that the structural 1 of the \emph{Urlinie} is reached. See Example 4.6 In \textit{Free Composition}, commenting on the "Third part: the repetition (recapitulation)" of sonata form, Schenker states that "Once the 1 is reached, a coda section may follow."\textsuperscript{47} He also considers that the arrival of the structural 1 marks the ‘definitive close of a composition’:

The middleground and background also determine the definitive close of a composition. With the arrival of 1 the work is at an end. Whatever follows this can only be a reinforcement of the close - a coda - no matter what its extent or purpose may be.\textsuperscript{48}

This same idea is echoed by Schoenberg:

\footnotesize
\begin{itemize}
\item \textsuperscript{45} Two of the most widely circulated editions used nowadays, the Dover edition and the Eulenberg miniature scores, make this mistake.
\item \textsuperscript{46} Locations of all authentic manuscripts are cited below.
\item \textsuperscript{47} Schenker (trans. Oster), \textit{Free Composition}, p.138.
\item \textsuperscript{48} \textit{Ibid.}, p.129.
\end{itemize}

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Since many movements have no codas, it is evident that the coda must be considered as an extrinsic addition... it would be difficult to give any other reason for the addition of a coda than that the composer wants to say something more.49

The 'coda' which Haydn constructed here is a classic, idealised form of this concept. The movement could have ended convincingly on the first chord of bar 73. But instead of doing so, Haydn certainly had 'something more to say'. Beginning on a dominant-seventh chord at bar 72 where the 'correct' structural 2 (G# rather than G 1; i.e. 2 rather than b2) is reinstated, the following bar immediately cancels that stability by reintroducing G 1s in the upper two voices. Despite the insistent C#s in the bass, the effect of a stable dominant pedal is much weakened by the D-majorness in the upper voices and the E 1s which precede and lead on to the C#s. The listener is thrown into disarray; the instability created here is particular poignant by contrast with the long stable tonic section which precedes it. The disturbance continues with six bars of elaborated diminished-seventh spread-out chords, functioning as the dominant of the dominant. Finally, the five-bar 'codetta' repeats the subject theme four times passing through all of the voices in mock fugal style. At the same time, harmonic stability finally reigns as the underpinning exchange of tonic and dominant chords provides the cadential close. This rich and varied section is a most unusual ending for a fugue, but an exemplary 'sonata-form coda'. It matches even the most generalised, theoretical description of codas:

49 Schoenberg, Fundamentals, p.185.
Usually they [codas] start with richly elaborated cadences, containing deviations leading even into rather remote regions... The last codettas may omit even the cadential subdominant. Interchange of V and I often gives way to mere repetitions of the tonic. The motive material is, for the most part, derived from previous themes, reformulated to conform to cadential harmony and effectively liquidated. Many codas grow out of a final repetition of the main theme, which becomes, in effect, a part of the coda.⁵⁰

The second piece of evidence which reveals bar 72 to be the beginning of the coda is, once again, signalled by Haydn's organization of dynamic markings. As noted before, the authentic markings begin at bar 70 as printed in the Doblinger edition and not at bar 66. However, the placing of the f's there is still not exactly accurate either. In the autograph score, the f's are carefully and clearly written under the second quaver of the bar, underpinning the G's in the first-violin and the cello parts, and the D/B chord in the second-violin part. The fz underpinning the f# in the viola part is correct.⁵¹ See Example 4.7

Again, a single sforzando is meticulously placed, this time under an F# in the viola line. The chord to which the F# belongs is a B-minor chord. Beyond this chord, which occupies only one quaver beat of the bar, the harmony progresses to G major, a rather surprising turn, and the surprise is suitably registered by the sudden increase

⁵⁰ Ibid., pp.185-6.

⁵¹ I am most grateful to Dr. Horst Walter for checking all the dynamic markings in this part of the movement against the autograph score for me.
in dynamics. But more pertinently, it should be recalled that the last time a B-minor chord was heard was at bar 20, the beginning of the 'development section'. It therefore seems reasonable to interpret the $f$ here as signalling the point at which the 'recapitulation' ends and the 'development' should be repeated. In other words, the other end of the double bar-line.

This interpretation pushes the beginning of the coda forward by a few bars. If the end of bar 69 marks another double bar-line, after the repeat, the ensuing bars must represent the onset of the 'sonata form' coda. However, from all the above evidence, the coda proper does not actually begin until bar 72. Bars 70 to 71 seem to be two redundant bars, but they are in fact crucial components of the movement which enable the presentation of continuity in the foreground and division in the background to coexist. The reasoning is as follows.

The four sforzandi at bar 71 which underpin another diminished-seventh chord can, surprisingly enough, be referring to yet another double bar-line. Here, to mark off a second ending of the recapitulation and the beginning of the coda. If this were written in a hypothetical sonata-form format, it would be laid out as in Example 4.8. If the movement were to be rewritten in sonata form, a certain degree of recomposition would be inevitable, especially at junctions like this. In the simplest case, the two connecting bars would not be necessary.
Not only is this final homophonic section long, it contains two endings and a 'double coda': it may be interpreted that the first is an ending in the foreground which functions to recapture and synthesise important motivic and textural elements from the foregoing three movements; and the second is a structural ending in the background, which functions to conclude the four-movement work in the formal/structural style in which it began.

The complexity of these divisions in an undivided texture is a riddle for the interpreter to solve. It is not without reason, therefore, that many editors of modern-day scores and parts are confused about the formal functions of these final parts of the movement and therefore shift the placing of dynamic markings five bars forward.

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52 This point has been demonstrated by Sutcliffe. See W. Dean Sutcliffe, *Haydn: String Quartets, Op. 59*, C.U.P., 1992, pp. 90-93.
4.2.3 The Finale of Op. 50 No. 4 as Fugue

In whatever way one wishes to interpret the idiosyncratic design of this movement, the fact that it is composed first and foremost as a fugue must not be overlooked. Moreover, it is in understanding the movement as a fugue that the most intricate diversions from 'traditional' fugal concepts can be detected, and hence, the intricate assimilation of sonata ideas into the structure can be seen.

From a fugal point of view, its analysis would be as follows:

<table>
<thead>
<tr>
<th>Bar nos.</th>
<th>Function</th>
<th>Tonality</th>
<th>Texture</th>
</tr>
</thead>
<tbody>
<tr>
<td>bb. 1 - 10 (10)</td>
<td>Exposition</td>
<td>Subject entries: i-v-i-v-i (redundant entry)</td>
<td>Cpt</td>
</tr>
<tr>
<td>bb. 11-12 (2)</td>
<td>Episode 1</td>
<td>III to V7 of VII</td>
<td>Cpt</td>
</tr>
<tr>
<td>bb. 13-23 (11)</td>
<td>Middle entries</td>
<td>VII-III-VI-iv-v</td>
<td>Cpt</td>
</tr>
<tr>
<td>bb. 24-26(1\frac{1}{2})</td>
<td>Episode 2</td>
<td>v to V</td>
<td>Cpt/Hmp</td>
</tr>
<tr>
<td>bb. 262-28 (2\frac{1}{2})</td>
<td>Middle entry</td>
<td>i</td>
<td>Cpt/Hmp</td>
</tr>
<tr>
<td>bb. 29-34 (6)</td>
<td>Episode 3</td>
<td>V7/III-V/V/i-i</td>
<td>Hmp/Cpt</td>
</tr>
<tr>
<td>bb. 35-36 (2)</td>
<td>Middle entry</td>
<td>VII</td>
<td>Hmp</td>
</tr>
<tr>
<td>bb. 37-45(1) (9)</td>
<td>Episode 4</td>
<td>VII - V# of i</td>
<td>Hmp</td>
</tr>
<tr>
<td>b. 45(2) (1\frac{1}{2})</td>
<td>G. P.</td>
<td></td>
<td></td>
</tr>
<tr>
<td>bb. 46-50 (5)</td>
<td>Final subject entries in tonic in all four parts set in stretto</td>
<td>Cpt</td>
<td></td>
</tr>
<tr>
<td>bb. 51-87 (37)</td>
<td>Episode 5</td>
<td></td>
<td>Hmp/Imt</td>
</tr>
</tbody>
</table>

[Cpt=contrapuntal; Hmp=homophonic; Imt=imitative]
As there are no fixed rules governing the order of subject entries, the number and length of episodes, or the tonal structure of a fugue (except beginning and ending in the tonic), this interpretation is, in theory, eminently valid. In terms of thematic process, this movement is not only a fugue, but a strict fugue; for at no point is new material introduced, all episodic material is derived from the single subject itself. However, despite the freedom which is allowed and expected in processing a fugue, the organization of parts in this fugue is nonetheless unusual.

First, to introduce an entry in the remote key of the flat seventh (Ⅶ) straight after the fugal exposition is extraordinary. Only when it is understood as a tonal event (as V of III) directing the process towards an intermediate goal - the relative major (III) - can it be deemed logical. The same applies to the entry at bar 35: the sequence of entries - VII, VI, iv, v, i and VII again before the final entries in i - is most unusual. Again, only when it is understood as V of III, and when its significance within Haydn's style of composition is realised, can it be interpreted satisfactorily.

53 In Marpurg's *Abhandlung von der Fuge* for instance, he states clearly that the entrance of voices after the exposition 'should be arranged so that in each case they make possible a cadence in a related key. The rule prescribes that ordinary modulations should precede the extraordinary ones.' On this point, Mann explains that ordinary modulations refer to those to the fifth, sixth and third degrees; and extraordinary modulations, those to the fourth and second degrees in major, and to the fourth and seventh degrees in minor keys. (See Mann, *Study of Fugue*, p.180) This view reflects that which is generally accepted by theorists in the eighteenth century. To introduce a voice on the seventh degree immediately after the exposition would have been considered 'extraordinary'.

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Secondly, the tonic entry at bar 26 is not totally out of the ordinary. For a voice in the middle entries to pass through the tonic key within the context of other modulations is not unusual. The surprise therefore is that it is treated as an unusual event. The move away from the tonic is emphasized by the double-stopping chords at bar 29 (and highlighted by a forte marking in some manuscript parts). A gesture of this which dramatises a premature return to the tonic is again more akin to a sonata style of writing.

Thirdly, the coda is disproportionately long. The length and complexity of the last tonic section does not function as a fugal coda, as discussed above. Rather, it is an ending for the four-movement sonata cycle.

Example 4.9 summarises the interpretation of the fugue as designed against a background of sonata form. Such a comparison clarifies the fact that the fugue is ordered in a very specific way to resemble the tonal and formal strategies of the sonata form.
4.2.4 Authentic Dynamic Markings in Haydn's Autograph Score

Much of the foregoing analysis is supported by signs indicated by Haydn in the score; namely the dynamic markings. So far, every sign reflects the picture as expected from the analysis. However, this only became clear when the autograph score and other authentic manuscript parts were consulted. That is to say, all currently available printed editions are contaminated in one way or another.

Most of the dynamic markings occur after bar 70. Those have been verified by consulting the autograph score and the markings are clearly articulated in the score; there is no question about their authenticity. However, the *sforzando* at bar 29, which is present in all modern printed scores, is a slightly more complex issue. The autograph has also been consulted for its authenticity, but unfortunately, because of the state of the score, the authenticity of this particular marking cannot be validated from this source alone. The following discussion will focus on these authentic markings in the relevant sources consulted.

The *sforzando* at bar 29

We begin with the *sforzando* at bar 29. Its presence weakens to a considerable extent the argument for Haydn's wish to highlight the diminished-seventh chord at bar 19 as the most significant formal event in the first part of the fugue. From all stylistic

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54 The score was cropped in the nineteenth-century for binding. See below for further explanation.
points of view (as discussed above), the sforzando at bar 29 is misplaced. However, in all modern printed editions,\textsuperscript{55} this marking is present, so its authenticity seems difficult to contest. This conflict between expectation based on stylistic analysis and what seems to be actual fact is indeed puzzling. The only means of solving this mystery was to find out if the sforzando at bar 29 was Haydn's authentic marking or if it was an editor's mistake. A comparison of all available authentic manuscripts and printed editions shows the latter to be the case.

\textit{The Autograph Score}

First and foremost, the autograph score of the quartets Op.50 Nos.3 to 6 was examined.\textsuperscript{56} Although this score is undoubtedly the most authentic source, one of the problems it has is that, at some stage in the history of the score, the pages were cropped in order to bind the four separate scores in one volume. As a result, most of the markings which were written in the outer margins and the bottom of the pages were cut out. It was then assumed that whoever cropped the pages tried to reinstate the cut-out markings by copying from the excised strips of the score. This implied that these annotations should be deemed authentic.\textsuperscript{57}

\textsuperscript{55} At least the most commonly used playing editions: Peters and Doblinger contain the \texttt{fz} at bar 29.

\textsuperscript{56} The autograph score was brought to London from Melbourne to be auctioned at Sotheby's on 18 May 1995. I am most grateful to Dr. Simon Maguire for letting me examine the score before it was sold.

\textsuperscript{57} As discussed by Sutcliffe, at the foot of the page facing the content list, the following note is inscribed:
'\textquote{The interlineations "VV", "Viola", Violoncello" \&c are Clementi's writing}'. (See Sutcliffe, \textit{Op.50}, p.39) This was presumably written by the first owner after Clementi, now known to be a gentleman.
As it turns out, bar 29 of the fugue in question was written on the bottom stave of the page. Unfortunately, therefore, it is impossible to prove beyond doubt that there were no markings made in Haydn's own hand at this point. In the autograph score, a *sforzando* is marked at bar 29, but only by the foreign hand. (The first *sforzando* is clearly present in Haydn's own hand at bar 19.) When other dynamic marks written by the foreign hand are examined, it is possible to see, in most cases, fragments of Haydn's original markings underneath, however faint they may be. But in this particular case, the added marking in the foreign hand is completely clean, and it is not possible to see any trace of Haydn's original writing underneath. Although this evidence alone is not enough proof that the *sforzando* should not be there, it at least raises a question-mark over it. The other authentic manuscripts and the publishing history of the Op.50 quartets answer the question as to whether or not the annotations in the foreign hand (in particular the *sforzando* marking at bar 29) on this autograph score were authentic. It is to the publishing history of the Op.50 set that I now turn.

*Publishing History of the Op.50 set*

In both sets of the authorised manuscript parts now housed in the British

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named Alex Lean, who was the ancestor (grandfather) of the owner in Melbourne. To my mind, until the handwriting is expertly identified as Clementi's, the authenticity of the annotations remains doubtful. Sutcliffe suggested that this could have been done by Clementi who might have cut the paper off for his own use (see Sutcliffe, *ibid.*, pp.39-40). That a composer would cut off two inches of autograph pages of another composer's works for his own use is doubtful. It seems far more likely to me that the trimming was done when the quartets were bound. In which case, I am suggesting that the annotations are not Clementi's but Alex Lean's or the binder's, or could even have been added at a much later date after the binding.
Library, the second $fz$ (on D/E $\frac{1}{2}$) does not appear. We can begin to doubt that Haydn intended it. One of the sets of parts (Egerton 2379) is the one sent to the first publisher of these quartets, W. Forster in London. Therefore in Forster's edition of 1787, the $fz$ was naturally not there. But most interestingly, the cello part printed by Forster has the note A-sharp with the $fz$ and the D/E $\frac{1}{2}$ chord exactly aligned, one above the other as in Example 4.10. The lay-out in this edition is the key to the misinterpretation of dynamic markings in the movement.

In the Vienna Artaria parts, also of 1787, but printed later that year, the two $fzs$ are both present, but the notes A-sharp and D/E-natural are not aligned as in the Forster edition. See Example 4.11 Robbins Landon considers the Artaria edition to be the authentic one, but from the following evidence, his argument must be contested.

58 This is also housed in the British Library: catalogue no. R.M.14. f.21(4).

59 Forster's reprint of the quartets in c.1800 shows exactly the same arrangement. The same plate was probably used.

60 British Library catalogue no.: h.2872 k.

61 It is known for a fact that the parts for W. Forster were sent on 20 September 1787 as this was written on the first page of the manuscripts. From Forster's records, we know that he received the parts on 5 October 1787 and promptly went ahead with the printing. The publication of the Artaria edition was announced in the Wiener Zeitung on 19 December 1787. See Landon, Haydn: C & W, vol.2, p.625.

62 See Landon, ibid., p. 625. But in private conversations, Dr. Horst Walter, director of the Haydn Institute (until 1996), affirmed that he considers the two editions as parallel: a London and a Vienna first edition respectively.
Haydn's correspondence with Forster and Artaria shows that the publication history of the Op.50 set of quartets is particularly complex. The set of parts sent initially to Artaria were stolen, and Haydn was appropriately indignant. But before the theft, Haydn had already sent Forster a different set and the printing went ahead promptly. When the Forster edition appeared, Artaria was in turn much angered, as Haydn had initially promised him the sole rights to publish these quartets. It was not recorded whether Artaria recovered the lost parts or if Haydn eventually sent him another set. Considering how delicate the relationship between Haydn and Artaria was at the time, it seems most likely that Artaria ultimately had to make final adjustments to the proofs by copying Forster's printed edition. And in copying the cello part of the sections in question, Artaria mistook the \( f^z \) to apply to both the upper and the lower notes. From then on, all later editions repeated this same mistake.

The only other set of manuscript parts in existence, that which was used by the Esterhazy musicians and now housed in the National Szechenyi Library in Budapest, shows that the D/E\( \text{b} \) chord is not emphasized by a \( f^z \) either. But instead, a forte is indicated. It is uncertain who the copyist of these parts was (though possibly Joseph Elssler Junior); nor can it be certain in exactly which month of 1787 they were copied and from what. Until these manuscripts are examined, I am unable to make any further comments, except that parts used for performance might contain

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63 For a detailed account, see Sutcliffe, Op.50, pp.33-36.

64 See Bartha/Somfai, Haydn als Kapellmeister, Budapest, 1960, pp.414-417.
marks (dynamics or otherwise) made by the performers. In any case, the dynamic
mark in question is decidedly not a fz.65

Example 4.12 and 4.13 (Table 1 and 2) summarise the preceding observations
concerning the placement of sforzandos in the different sources and the relationship
between the sources. It is my contention that before the exact circumstances under
which the autograph was cropped and the dynamic and other markings were reinstated
are known, it cannot be taken for granted that all annotations in the foreign hand are
authentic. But most pertinent to the present analysis of the movement is that from the
above evidence, the second fz is unlikely to have been intended by Haydn. This
reinforces the argument that the fz at bar 19 is unique and performs a special
function: that of signalling a formal division between the exposition and development
of a sonata-form movement.

A Postscript regarding the Autograph Score

The fact that most of the above evidence suggests that the second fz was not
written by Haydn, means that whoever annotated the autograph would have copied
the markings from a printed edition other than Forster's - a printed edition which
could be full of other mistakes as well. For this reason, every marking by a foreign

65 I am indebted to Katalin Szerző, the Head of the Music Department of the National Széchenyi
Library, for information concerning these manuscripts.
hand must be scrutinised in ways similar to the search conducted above. At any rate, the question of whether annotations by an unidentified hand on an autograph score should be deemed more authentic than markings by Haydn's own amanuensis on signed copies of manuscript parts must be critically addressed. Finally, by comparing the parts copied by Radnitzky and the parts used by the Esterhazy musicians, it is probable that a distinction between authentic 'compositional' copies and authentic 'performing' copies could be made. Examining the two types of manuscript parts could possibly distinguish between dynamic and articulation marks which might have been considered by Haydn to be intrinsic to the internal structure of a piece and those which might have been regarded as necessary surface effects to enhance a performance.

Ultimately, except for the problems associated with the unidentified hand(s), the rediscovered autograph must be considered the most reliable source of the four Op.50 string quartets. As the last collected edition of these quartets - the Doblinger Edition - was printed before its discovery, it is hoped that the Haydn Institute will bring out a new critical edition in the near future.

66 There seem, in fact, to be two foreign hands. The most obvious markings showing three different hands are at the beginning of the finale of No.4: A legro molto is undoubtedly in Haydn's own hand, but the designations 'Finale' and 'Fuga' are written in two dissimilar foreign hands, as the writing style of the letter 'F' in each case is noticeably different. This complicates the matter further.

67 The autographs reappeared just after the Doblinger edition had been prepared. Their editors claimed to have made changes to the engraved plates required by the new source, but as we have seen, there are still rather serious mistakes in the edition.

68 A JHW edition of the Op.50 quartets is now being undertaken by James Webster.
4.3 Sonata-Fugue Synthesis in Op.50 No.4, Finale

It is evident that ultimately, this movement is neither a fugue nor sonata form. The essence of its composition is that it is a synthesis of the two ideas in a formulation never exhibited before, not even in the earlier quartet fugues. Hence, the unique quality of the work is not simply in its formal shape or texture but in the consequence of superimposing a homophonic, punctuated, dynamic form onto a contrapuntal, undivided, linear procedure. The result is a structure which resembles neither sonata nor fugue but one which sets its own agenda as regards proportion, texture and its means of dynamic propulsion.

Structure

Unlike genuine sonata-form structures where the points of maximum repose are inevitably the ends of sections, these very locations in this movement are points of maximum instability. The end of the exposition and recapitulation (if a coda exists) are points of closure defined by their cadences in the secondary and tonic keys respectively. They are the most consonant tonal areas on the large scale. But the expression of cadence and of division in an undivided linear procedure calls for a more complex compositional strategy. The result is a configuration of vertical and horizontal presentations of conflicting ideas made somehow to conform. The essence of this manifestation is embodied in the bars surrounding the sforzandi discussed above: bars 18 to 19 and bars 70 to 72. In these bars, the interface between the linear
and the dynamic, continuity and division, tension and equilibrium is epitomized.

Example 4.14a shows a simple voice-leading analysis of the four most problematic bars of the movement, from bars 16 to 20. The clearly articulated bass-line I-V-I supporting the subject entry in III is stable and expresses a closed structure in its own right. The introduction of the G₄ turns the otherwise stable closure in A major into an unstable tonal area. While the horizontal bass-line articulates bars 18 to 19 as closure, the vertical harmonic progression promotes continuity. The conflicting messages make bars 18 and 19 conspicuously unstable and dissonant. The articulation of one formal section to the next is undoubtedly veiled by the confusion in these two bars, but then for the same reason, the two unstable bars bring out the juxtaposing stable areas and act as a watershed between them. The sforzando still has its place in highlighting the division; even if it is better said that its function is to dramatise further these extraordinary events on the musical surface rather than to act solely and directly as a bar-line division.

Example 4.14b is a hypothetical model simply to show how Haydn could have composed-out the overlap between A-major and D-major ideas in bar 18. In this way, the first beat of bar 18 could have been a clear-cut closure in A followed by the introduction of a G₄ turning the tonic A-major chord into a dominant-seventh chord which tonicises D major in the next bar. This is common procedure in homophonic music. The crux of the matter here is that at this juncture, Haydn is writing both
homophonically and contrapuntally at the same time. Instead of composing these tonal elements out, they are telescoped in.

*Large-scale structure*

The fact that the movement exhibits a double formal identity suggests that its structure must also be unique in reflecting this dual nature. In her dissertation, Tepping unearths the movement's interrupted voice-leading structure. See Example 4.15 This in itself is an extraordinary phenomenon. Not only is the musical surface of the fugue punctuated, its background structure is also divided. Schenker's definition of sonata form states that the form cannot be understood from the organisation of themes and motives, ‘only the prolongation of a division (interruption) gives rise to sonata form.’ Figure 26 in his volume of examples lays out clearly the background structure of a minor-key sonata form, with the interruption occurring just before the recapitulation. See Example 4.16 This basically is how the background of the fugue structured. The only difference between Tepping's interpretation and Schenker's model is the distribution of the 5-line progression in the first part of the form.

Tepping's reading of the 5-line descent is that the structural 5 in the upper voice (sustained by c#') is prolonged until bar 25 when it is thrown into the next octave. The note c#" is prolonged 'until the interrupted descent of the Urline (bars 33-

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69 Schenker, *Free Composition*, pp.133-134.
The structural 4 which forms part of this descent is a passing seventh. Tepping clearly indicates this by the figures 8-7. Because the descent occurs so late and the structural 4 is not tonicised, the division of this first half of the Urlinie does not support a sonata-form exposition and development. In Schenker's model, the descent from structural 4 to 3 corresponds to the transition and the secondary key area of the exposition respectively. Tepping's reading of the Urlinie in this movement does not.

Example 4.17 shows an alternative reading of the movement's voice-leading structure. The complexity of the structure seems to be a result of the fact that it comprises two Urlinie instead of one, each occupying a different register of the contrapuntal plane. This is revealed first and foremost by the tonicisation of III and its dominant at bar 13. From bar 11 to 16, the bass harmony does in fact unfold a complete cadential progression in III, A major. The note b' at bar 13 provided by the subject in E is a convincing structural 4, thrown into the higher octave from the pitch b at the beginning of the bar. It is this higher plane of thought which ultimately describes the sonata-form structure. (It is interesting to note that every structural point reached in the higher register is prepared by its lower octave, revealing that the two

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71 In fact, a 3-line reading would seem more appropriate if the structural 4 is in effect only a passing note. Tepping's 5-line here is not a genuine one, none of Schenker's 5-line models admits a passing seventh as structural 4. See Free Composition, Figures 16, 1(a) to 6.

72 This may be compared with the behaviour of the Urlinie in Op.20 No.5 (see Chapter Three, Example 3.2 and its commentary). The background structure of the Op.50 finale reflects the dual nature of the form much more clearly: the interrupted Urlinie and the much clearer separation of the two registral lines. Cf footnote 16 in Chapter Three.
planes exist in parallel.)

Some would argue that the higher register *Urlinie* simply belongs to a lower structural level in the sense that the third degree (III) of the scale is only part of the prolongation of the tonic in the bass. However, my reading of the two bass-lines suggests that they are independent of each other. Neither the III in the upper graph nor the iv in the lower graph can be said to be a more foreground event than the other. The difference between the two interpretations is that the background structure in the upper graph relates more readily to prominent events in the foreground: each structural descent of the *Urlinie* is highlighted by a subject entry. The only slight ambivalence is the identity of structural 3 for the reason that a" carried by 'Subject VI' in bar 18 is not supported locally by A major. As the strong bass-line A-E-A" is only a foil to disguise the continual spinning-out of transposed subjects, the progression E-A" at bars 17 to 18 is in fact moving towards an interrupted cadence in A. In this sense, the note a" belongs in the foreground to the realm of D major. It is for this very reason that the a" at bar 18 is part of the background linear descent of the *Urlinie* and is prolonged from the a" at bar 15 and supported by bass A' at bar 16.

As can be seen from the voice-leading graph, the emergence of the G4 in bar 18 assumes yet another important function. The linear progresssion from g' to f' in the viola line (bars 181-191) is a middleground motif which is at once duplicated in the
next two beats with the recomposed subject tail in the second violin line in bar 19 and the head-motif of the subject in B minor in bar 20. This is another technique by which continuity is fostered at a junction where division is made to be heard. At this point, the battle is not yet won; neither the punctuated style of the sonata nor the Fortspinnung style of the fugue has taken the lead. The two compositional concepts are present in perfect synthesis.

In the upper graph, the distribution of the Urbinie and the bass arpeggiation resembles closely that of Schenker's model for sonata form. In Schenker's model, the prolongation over the 'development section' is ambiguous. Indeed, the composing-out of the interval from structural 3 to 2 is unique in every case. However, in his article regarding minor-key Classical development sections,73 Jan claims that the ascending linear progression 3-5 shown in Schenker's Fig. 26 'represents an octave doubling of the usual bass motion, logically filling in the third between the roots of III and V with the passing note D as root of iv.'74 See Example 4.18 Later, he explains that 'depending upon the degree of elaboration involved, additional components are often inserted between elements of this basic structure'75 which he shows as Example 4 in the article. See Example 4.19. These models are founded primarily on examining Mozart's G-minor music. However, Jan argues that 'an investigation of a tonally and


74 Ibid., p.39.

75 Ibid.
chronologically representative sample of [Mozart's] minor-key works has indicated that the principles discussed are widely applicable to his minor-mode music as a whole. Furthermore, it is not unreasonable to suggest that they are relevant to late eighteenth-century minor-key music in general.\textsuperscript{76} Indeed, the voice-leading behaviour of bars 18 to 35 in the upper graph of the finale resembles closely Jan's models for minor-key Classical development sections. Not only do foreground events refer to formal characteristics of the sonata, the background structure reinforces these interpretations.

At the lower register, structural 5 is indeed prolonged for a long stretch of space. Differing slightly from Tepping's reading, the throw into the higher octave does not occur until the final descent. If each of the two registral planes occupies its own 'formal space', then the rise to the upper octave indicates a transfer of generic identity - from fugue to sonata. This coincides, in fact, with events in the foreground. It is at bar 32-33 that the subject begins to be liquidated and the texture becomes increasingly homophonic.

The fact that this manifestation of structuring is described as 'bi-registral' implies that they coexist in equal terms and pertain to no hierarchical system. The 'sonata background' is intended to be heard more than the 'fugue background'. The more hidden fugal plane is, however, compensated for by its more obvious foreground

\textsuperscript{76} Ibid., p.38.
rendition of the genre. After the strict fugal exposition (bars 1-12) in this first half of
the movement, the two generic ideas are in total synthesis with each other. After the
interruption of the *Urlinie*, the 'sonata register' takes over completely as the stretto of
the subjects throws the structural 5 into the upper octave in a very short space of
time. The mixture of sonata and fugal principles in this movement works on two
dimensions. From bars 13 to 45, the mixture is a 'vertical' synthesis of the two ideas.
But on the horizontal plane, as time unfolds, the movement *progresses* from fugue
(bars 1-12) to a synthesis of fugue and sonata (bars 13-48) to sonata (bars 49-87). The
idea of 'progression' which spans the three fugal finales of the Op.20 set, from the
severe to the galant,\(^7\) seems to be compressed in this single, concise movement. This
interpretation is supported by events in the foreground as well as the background.

\(^7\) See footnote 3.
4.4 Conclusion

In analysing this movement, I have relied on a knowledge of earlier fugal styles which Haydn had established as a personal language. Without the benefit of such hindsight, the significance of the galant elements in this fugue would never have been fully appreciated. At the same time, the dynamic markings in the first part of the fugue would not have found their true meaning.

The value of such an interpretation - the interpretation of the fugue as shaped by sonata form - is manifold. The fugue as a principle can, in effect, be moulded into any pre-determined formal shape. In this fugue, Haydn effectively used 'sonata style' as a background topic\textsuperscript{78} to design its form. This implies that the sonata can, to a large extent, be understood as an outer form. As with the use of any topic, reference to the style must be so exaggerated that it is recognisable. In this fugue, therefore, by analysing how Haydn transforms the fugue by sonata elements, we are also able to discern what would have been Haydn's conception of the essence of 'sonata form'. Hence, in analysing this fugue, we have not only discovered the unique hybrid nature of the fugue itself, but indirectly, have confirmed Haydn's reading in the 1780s of sonata form.

\textsuperscript{78} That is, sonata form is used as a topic of the synchronous (foreground-background) type rather than the successive type. See Agawu, \textit{Playing with Signs: A Semiotic Interpretation of Classic Music}, Princeton U.P., 1991, p.50 (subsection No.5 in particular). These concepts will be discussed in Chapter Five.
The principles of writing the Op.20 fugues, as we have seen, gave rise to a new technique of part writing (a kind of homophonic counterpoint or contrapuntal homophony) which Haydn more or less established as characteristic of the genre String Quartet. In this Op.50 fugue, the single subject restricts the possibility of counterpoint considerably as the fugue is strict - that is, no new material is introduced. The only way to generate content is by motivic transformation, motivic development as found in Classical forms. But even so, the task of generating content for an entire movement by building up motives extracted from a two-bar fugue subject proves to be too enormous even for Haydn. This finale is, as a result, extremely concise, disproportionately short. It has only 87 bars (of 6/8) as compared to 184 bars (of 3/4) in the first movement. The only compensation for this imbalance is that implicitly, the two halves of the movement are each supposed to be repeated. If this were written out, the movement would contain 150 bars. In reality, the complexity of thought woven into this one short movement is enough to compensate for its disproportionate concision. However, Haydn never tried his hands on writing a 'monothematic fugue' again; and in fact, this fugue is the only true monothematic form Haydn ever composed; none of his sonata forms, as is now commonly recognised, is genuinely monothematic.

79 Compared to the Op.20 fugues, it is also considerably shorter: No.2 contains 162 bars (of 6/8); No.5, 184 bars (of 2/2); No.6, 95 bars (of 4/4).

80 Haydn's sonata forms are labelled as monothematic purely for the reason that the onset of the secondary key area in the exposition does not introduce a new theme. This does not mean that the entire form is made up of one thematic idea only. Firstly, the principal key area may contain more than one theme and secondly, the transition and closing sections may also contain new themes.
Even though this technique of writing fugues proved to be something of a dead-end, it was an important experiment in moulding fugal principles in paradigmatic forms. Where the Op.20 fugues may loosely be considered as fugues which admit embellishments by sonata elements, and may be deemed 'galantry fugues' not too dissimilar to those of his contemporaries, the Op.50 must be defined more literally as a 'sonata-fugue' - a fugue which is moulded in sonata form. The significance of this innovation can be felt in Haydn's later 'sonata forms'. The table is only turned when his late sonata forms are seen to be imbued with fugal elements.
5.1 Introduction

In the preceding chapters, quartet movements which were specifically marked *Fuga* by Haydn were examined; the fourth and last of these was written in 1787. Through the use of increasingly contrapuntal writing since the Op.17 set, Haydn elevated and established the string quartet as a 'serious genre' in eighteenth-century Vienna, the four quartet fugues being the epitome of the style. Even though Haydn never wrote another complete fugue after 1787, his string quartet style continued to be contrapuntal. Between the last fugue (Op.50/4) and the last complete quartet (Op.77/2), Haydn wrote another 26 string quartets. The texture within some of the sonata movements, as Kirkendale noted, became 'so closely related to that of his fugues that there is no essential stylistic distinction' between the two.\(^1\) Tovey remarked that from the time of the fugal finales, 'Haydn knows not only how to write a whole fugue for instruments, but how to let a fugue passage break out in a sonata movement

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\(^1\) Kirkendale, *Fugue and Fugato*, p.151.
and boil over quickly enough to accomplish dramatic action instead of obstructing it. Evidently, Haydn not only continued to write contrapuntally for the genre after his last fugue, he continued using fugal ideas extensively in his homophonic forms.

The few examples Kirkendale cites as homophonic quartet movements which incorporate fugal style are works in which 'interpolated' fugatos are found. The movements are namely the finales of Op.55 No.1 and Op.64 No.5, and the first movement of Op.76 No.6. By 'interpolated' fugato, Kirkendale means that fugato passages are juxtaposed with homophonic sections within the form. The passages in all three examples are eminently detachable - that is, even if they are taken out, they would not affect the overall structure of the form. Moreover, none of the movements begin with fugato passages; the fugue sections are all found deep within movements which clearly begin homophonically. In these cases, the main function and effect of the fugatos is to create contrasts in texture and style; their existence does not alter the structure of the movements beyond their formal proportions. In some of Haydn's other quartet movements, however, not cited by Kirkendale, fugal ideas can be seen

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2 In his article on Haydn's chamber music (in Cobbett), Tovey makes use of the idea of 'dramatic action' to describe Haydn's sonata style in many incidences (e.g. p.523 re-Op.2/4, p.524 re-Op.3/1, p.528 re-Op.17s). Tovey's notion of drama in sonata forms is somewhat different from Rosen's in the sense that by 'dramatic action', Tovey is relating to the surprises and suspense created by contrasting textures rather than the opposing tonal force created by polarized key areas. It is notable that fugal passages in Haydn's homophonic forms create drama when juxtaposed with homophonic passages even though the fugue itself is decidedly an undramatic style of writing. The expression of interpolated fugal passages in Haydn's forms is a climactic gesture and often occupies the most significant structural points within a form as the analyses in this chapter will show.

3 Tovey, Cobbett, p.536.

4 Kirkendale, Fugue and Fugato, p.145ff.
to infiltrate the composition of the movements quite explicitly, but they are not ‘isolatable’ events as the interpolated fugatos are. Rather, features of traditional fugue subjects or elements of fugal forms are part of the design of an entire movement. In other words, the use of fugal style is not confined to creating textural and stylistic contrasts, but takes an important part in moulding the structure of the form within a sonata scheme. In effect, the reverse of the process found in the Op.50 fugal finale takes place.

The difficulty analysts face is to define a method which can clearly express the unique structure of such movements. In recent years, attempts have been made to interpret the obviously unusual composition of one of Haydn’s late quartet movements in particular - the first movement of Op.76 No.2, the ‘Quinten’ (the ‘Fifths’). The two most notable writers - László Somfai and Kofi Agawu - approach the subject from two different points of view. Somfai as historian relates the elaboration of the ‘fifth motif’ to fugue technique taught by Albrechtsberger in his treatise on fugal composition. Agawu, as semiotician, describes this distinctive motif as an ‘internal sign’ whose process of development creates a special effect in the listeners’ perception.

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8 Agawu argues that there are two types of signs in Classic music: referential signs which he calls ‘external signs’ and ‘pure’ or internal signs. The former refers to signs which connote extramusical
of the music. Even though their viewpoints seem to be in diametric contrast to each other, in the final analysis, both of their discussions are centred on highlighting the extraordinary process with which the 'fifth motif' is led through; the motif being one which is imbued with characteristics of the 'learned style'.

The idea of 'learned style in sonata form' establishes the basis of an analytic approach; just as 'sonata form' could be seen as a background topic in moulding a fugal process in the Op.50 finale. The merit of such an approach is that it acknowledges the use of musical topoi as an important aspect of the compositional process, which in reality is an attitude shared by many eighteenth-century composers. For this approach to be a useful analytical tool, the understanding of the usage of topoi by composers must somehow be systematised.

In his book Playing with Signs, Agawu proposes that the use of topics in Classic music can be defined in three ways. First, topics can be isolatable and used in succession to one another. The best-known example comes in Ratner's analysis of part of Mozart's 'Prague' Symphony. Topics whose characters are completely disparate are juxtaposed with one another, with little or no overlapping between them. Second, topics are organised hierarchically. Topics which are attached to parts of the associations and the latter are 'signs that provide important clues to musical organization through conventional use, but not necessarily by referential or extramusical association.' See Agawu, Playing with Signs, p.51.

form which in tonal-harmonic terms are structurally more important are ranked higher than those which are attached to less important structural parts. This theory as used by Agawu relies heavily on interpreting the music in Schenkerian terms. It is inferred that first and foremost, the different levels of tonal and voice-leading structure of the music must be elucidated and only then can the complex web of the topic-harmonic structure be clarified. Third, formal topics can be used as background to more readily expressive foreground ones. In this sense, the Minuet as a form, for instance, can be regarded as a background topic to the 'gavotte' or 'Gypsy style' presented in the foreground, since it upsets the natural rhythm of the traditional 3/4 time of the Minuet with accents on beats other than the first of the bar. This can be seen in the Minuet from Haydn's Op.20 No.4 string quartet.10

Here, topics are limited to 'fugal style', 'galant style',11 and 'sonata form'.12 In Haydn's works, fugal style is manifested at different levels of composition: in the

10 Agawu, Playing with Signs, p.42.

11 'Galant style' is an 'all too vaguely defined style concept' as noted by David Sheldon. See "The Galant Style Revisited and Re-evaluated," Acta Musicologica, 47, 1975; and "The Concept galant in the Eighteenth Century," Journal of Musicological Research, 9, 1989-90, pp. 89-108. To define galant precisely, the historical and theoretical contexts in which the style is used must be examined in detail in each case. Sheldon's two excellent studies deal with these very issues. Since the crux of the arguments in this thesis rests on notions of the 'learned' or 'fugal' style, my use of the concept galant here refers simply to topics in music which are not learned in style. This echoes Sisman's same attitude to its usage: 'At the risk of oversimplifying, I suggest that everything that is not learned, in this period [the eighteenth century], is 'galant' including 'Classical' (or 'galant') counterpoint.' (Sisman, Jupiter, p.71).

12 As discussed in Chapter Four.
foreground as texture and in the background as a principle of writing and even as form. These three types of fugal style relate closely to Agawu's three categories. Firstly, the theory of topical succession can only be applied to the fugue as texture. Secondly, according to the concept of hierarchy of topics, the topic used as principal subject at the beginning of the work must be deemed most significant. A work which opens in fugal style induces in the listener a certain kind of expectation. There is a distinct difference in expression in movements which begins in the manner of a fugue and those which contain insertions of fugatos in the middle of the discourse (as in all the examples given by Kirkendale). Thirdly, the fugue viewed as a form can also assume a position as background to a more explicit, more audible foreground scheme. Even if the fugue is normally understood only as a procedure and as texture, it can be qualified as a form at least within Haydn's own oeuvre. In the previous chapters, all of Haydn's instrumental fugues labelled by Haydn as Fuga have been examined. Even if interacting with sonata-style elements, certain formal features are consistently employed in all of Haydn's fugues. To summarise all these features as observed in previous chapters, they are:

1. One part form.
2. Complete fugal exposition (in quartet fugues, there is always a fifth, redundant entry).
3. Stretto to begin the final tonic section of the fugue (stretto is never used in middle entries). The device is used seemingly as a signal to indicate that no more transpositions of the fugue subject will be presented.
In addition to these form-defining elements, Haydn's fugues consistently utilize the following principles:

1. All of Haydn's fugues are 'strict fugues' in the sense that no new thematic material is ever used other than the subject(s) stated in the fugal exposition.

2. All of Haydn's fugues are 'simple fugues'. The fugal themes are never subjected to internal development except for a few cases of inversion (al rovescio) which he labels carefully whenever the device is used. Techniques such as diminution, augmentation, and retrograde, so often found in Bach's fugues for instance, are never employed.

3. The principal fugal theme is almost never out of sight, not even in episodes. In this sense, some theorists would hold the view that Haydn's fugues are without episodes.\(^{13}\)

All the above points are generally variable elements in fugues, but in Haydn's fugues they are employed in the same way consistently.\(^{14}\)

In both quartet movements in question, the first movements of Op.76 Nos. 1 and 2, the work begins with ideas comprising a mixture of fugal and galant styles but in each case, the mode of mixture is different. In Op.76 No.1, the mixture is mainly textural and can therefore be detected most easily. In Op.76 No.2, fugal style is manifested more elusively. In both cases, the diffusion of fugal style in sonata form transforms the movements beyond the boundaries of sheer expression. It is the

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\(^{13}\) Tepping, "Fugue Process," p.75.

\(^{14}\) Compare defining features of Haydn's fugues as explicated in Chapter Two, Section 2.2.
primary aim of this chapter to reveal how elements of fugal style in each type of 'fugal sonata-form' mould the fundamental sonata scheme into hybrid forms, and to discover whether in these hybrid forms, sonata and fugal elements can be deemed to exist in synthesis or in symbiosis.
5.2 Op. 76 No. 1 in G major. First Movement

A Study of Juxtaposed Textures in 'Learned' and 'Galant' Styles

Of all the late quartets by Haydn, the first movement of Op. 76 No. 1 makes reference to 'fugal style' most explicitly and extensively. Fugal or learned style passages are manifested directly in the foreground, juxtaposing distinctly homophonic sections. Indeed, the essence of the composition seems to be one of topical succession, and specifically of learned and galant styles. As a result, the entire movement is a study of textures, with different types of homophonic and contrapuntal procedures forming jigsaws with one another. This concern seems to override any considerations for formal comprehensibility of the work. In fact, divisions of different textural parts do not coincide with formal divisions, making the latter aurally imperceptible. From this point of view alone, the formal layout of the sonata movement is rather unusual.

5.2.1 Analysis

Exposition

Written in alla breve time, the movement begins with a two-bar 'introduction'.

15 A two-bar chordal statement can hardly be called an introduction. However, the idea of introduction is implicit as the two bars are written outside the boundary of the double bar. Moreover, this is in accordance with procedures used in Opp. 71 and 74 in which every quartet begins with an introduction and some (Op. 71/1&3, Op. 74/1) are only two bars long. However, the character of all of the two-bar 'introductions' is similar: they are all loud and chordal. On the musical surface, they may be said to function as 'call to attention' even though their role within the formal structure of the

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comprising three loud homophonic chords. Apart from the clear single-note progression in the bass, all three upper parts are engaged in double-stopping chords making this opening gesture a nine-voice statement. In stark contrast to this thick-textured opening, the 'exposition-proper' which follows uses a single melodic line as principal theme. The theme is introduced by the cello answered by the viola, still without accompaniment. The second violin then enters with the same theme counterpointed by the cello, which is answered in turn by the first violin counterpointed by the viola. The elaboration of a principal theme in such a manner is, to say the least, unusual. To juggle the theme from one part to another through all four voices of the quartet is a clear reference to the procedures of a fugal exposition, even if this entire section can also be heard and understood as an antecedent phrase followed by its consequent and the complete musical period intensified and restated. See Example 5.1

It is the fact that the second voice enters without a countersubject and that, harmonically, these statement-answer procedures do not follow the traditional subject-answer form in fugues (instead of tonic subject - dominant answer, the consequent here is presented in the supertonic which then leads back to the tonic: II-V-I) which makes the stylistic and generic identity of these opening sixteen bars confusing for the listener. Their identity is quite intentionally made to be ambiguous; from this very first idea, the movement promises to function as a work of a dual nature. The movements is in fact much more far-reaching.
incongruity between the playful character of the theme and its controlled, formal presentation in \textit{alla breve} time epitomizes the intention.

Thematically, it would appear that the 'first subject' ends at the close of this 'fugal section'; but harmonically, the 'first key area' (the tonic) has decidedly not come to a close. Instead, the movement goes on to explore other textures while staying firmly in the tonic. The scant contrapuntal lines open into a homophonic variation of the same theme underpinned by a tonic pedal (bars 19-25) - a strong indicator that the tonic is still under discussion. It is not until another change of texture is led through (bars 26-32) that the harmony begins to wander off in other directions. Instead of a 'principal subject group' of themes, here we have a 'principal subject area' comprising a display of different textures applied to a same thematic idea. The 'transition' (bars 33-48) makes way for yet another five changes of textures, clearly juxtaposing one another with clean boundaries (bars 33-34; bars 35-36; bars 37-40; bars 41-46; bars 47ff). When the cadence into the dominant is finally reached at bar 48, it is accompanied by the appearance of a new texture which began in the previous bar - that is to say, the cadence into D major and the beginning of a new textural section do not coincide. The cadence is concealed to simulate an unbroken flow of musical material. Though tenuous, the reference here to the ideal of fugal writing (where continuous spinning-out of themes and concealment of cadences are main concerns)
is nevertheless tangible.¹⁶

Thus, the arrival of the 'second key area' does not correspond to an introduction of a new theme. Not only is there no new theme, a 'second subject' as such, none of the material used in this area can be deemed thematic. The quaver movement set up in bar 47 simply dissolves into one textural environment after another, distinctly divided into sections as before. This chain continues until the end of the 'exposition', the last three bars being a vertical combination of learned-imitative style and homophonic-chordal style. See Example 5.2, bars 86-88

The rising upper voice of these last three bars and the cadential bass-line encompassing a descending octave echo the two-bar 'introduction'. When the exposition is repeated, the juxtaposition of these final three bars and the opening cello theme reminds the listener of the similar kind of contrast created between the introduction and the principal theme: the ending now acts as a beginning. This circular route from end to beginning and beginning to end re-enforces the sensation of a relentless and continuous spinning out of ideas in imitation of the procedures of a fugue. The utmost ingenuity here is evident in Haydn's ability to conjure up this sensation despite the clear-cut punctuation created by the strong cadences. By writing a I-V-I progression as a beginning gesture, Haydn has essentially redefined the

¹⁶ Compare bars 18-19 in Op.50 No.4, IV as discussed in Chapter Four. Even though the mechanism of obscuring divisions here is much less subtle and intricate, the same principle applies.
rhetoric of the cadence in this work. When heard, the cadence no longer signals an ending but rather, a beginning which calls for further development and continuation. This is how the final three bars of the exposition are heard when the exposition is repeated as well as when they proceed on to the development section. Moreover, the imitative texture in bars 86 to 87 where the arpeggio figure passes through all four instruments encourages a smooth transition between the purely homophonic section from bars 72 to 85 and the return of contrapuntal settings at the beginnings of the exposition and the development section.

Development

Just as the cadential ending does not sound like an ending, the onset of this new section of the form sounds like another return to the beginning of the exposition. The relentless circuit continues. Now in the dominant (D major), the viola reiterates the principal subject theme answered by the second violin with the same procedure as at the beginning of the movement: tonic statement followed by supertonic answer. Remarkably, the theme is now accompanied by a countersubject, the feature which would have made the opening 'exposition' a more convincing fugal procedure. As if to affirm the intended expression of the principal theme, the 'real answer' - fugue subject in the dominant presented by the second voice, the viola, accompanied by a countersubject - is now revealed, though separated by more than eighty bars of music (i.e. bar 6 should have led straight onto last note of bar 88).
After this 'second exposition', the countersubject idea is extended to form a brilliant-style passage articulated mainly by the first violin and sparingly punctuated by chordal accompaniments from the lower three parts. The texture and content of this passage (bars 96-118) is parallel to that of bars 47-55. So far, the 'development section' is not seen to be any more developmental than the procedures in the exposition. Again, there are stark contrasts between contrapuntal and homophonic textures, but there is no further thematic development as such. At bar 119, a further change of texture takes place which demonstrates the first sign of development, though not in the conventional sense: for the first time, the distinction between contrapuntal and homophonic textures is ambiguous - instead of developing themes, the use of textures is intensified. The four voices of the quartet each articulate a distinct line which meet to form at times contrapuntal part-writing (bars 119-120 & 122) and at other times, homophony (bars 121&123). The two styles seem to be interwoven into a web of four-part writing never so complex before.

The next passage from bar 125 develops the thematic ideas in a more conventional way. For the first time, the countersubject is inverted and the 'fugue theme' enters in the cello part (bar 127) 'in stretto' - that is, before the theme is stated in full in the first-violin part. Both devices are fugal ways of developing themes. Harmonically, this textural section encompasses both the end of the developmental part of the 'development section' and the onset of the 'retransition'. That is, once again, the change of texture does not quite coincide with the articulation of the form. The
submediant chord is prolonged until bar 129 and leads straight onto the dominant in bars 130-131. The next textural division, however, does not occur until bar 132.

The dominant pedal which underpins the bars before the recapitulation is another allusion to a typical fugal procedure: pedal points at the end of episodes before re-entries of the fugue subject(s). Here, it has the same function, only adapted to accommodate the sonata-form scheme. The long dominant pedal heralds the return of the principal theme in the tonic - the recapitulation.

Recapitulation

The recapitulation begins with the subject presented in the cello as at the very beginning but here, it is accompanied by the countersubject which appeared at the start of the development. The listener is disorientated as to whether this is a return to the beginning of the development or an altered reprise. The game of the circular maze continues, reinforced by the fact that the cello entry at bar 139 follows the first violin line without stop: there are no rests in between the two parts and the return of the 'first subject' arpeggio-motif is prepared by descending arpeggios in the first violin. The first note of the cello reprise d' (in that particular octave) is also a natural continuation of the bass-line from the previous eight bars. The only features which separate the two parts are the change of texture, the difference in articulation, and
most importantly, the $fz$ punctuating the first note of the recapitulation.\textsuperscript{17} The entrance into the new textural environment here is no different from contrasts in other parts of the movement. Apart from the subtle emphasis of the $fz$, there is no reason to hear this particular point as the onset of a new formal section. The only feature which may encourage the listener to hear this point as a tonic return of the principal subject - and hence the 'recapitulation' - is the long pedal which precedes it. But even this - the pedal point - is duplicated at a later stage (from bar 151\textsuperscript{4}: see below for further discussion on this point) when it is clearly not signalling another reprise. The function of the pedal becomes only a foil, even when the listener is only reminded of it at a later stage. From all points of view, it is clear that Haydn wishes to conceal this formal division as much as the others which precede it. In performance, therefore, this division should not be overly emphasized. It is part of the rhetoric of the movement to underplay all divisions of parts.

The recapitulation here is completely recomposed. The reprise treats the principal theme in a learned style much more affirmatively than does the exposition. After the cello statement of the theme with its countersubject, the next entry is shifted to the first violin with the second violin and viola parts following two crotchets behind in canon. \textit{In canone}, another of Haydn's favourite fugal devices, comes to surface. The next textural section, bars 152 to 158, treats the four parts in almost

\textsuperscript{17} Note that this is the same sign used to indicate the separation of the 'exposition' and the 'development' in the fugal finale of Op.50 No.4.
exactly the same way as bars 132 to 139, only transposed a fifth lower. Repetition of what is effectively the retransition 12 bars into the recapitulation is another ploy to disorientate the listener, another means of undermining the onset of the recapitulation as a separate section. However, the bass pedal this time does not lead on to entries of the subject theme, revealing that the play with this texture has no formal function this time; it is all a hoax! At another level, bar 152 to 158 is manifested merely to correspond to bars 19 to 25 in the exposition; and so are the subsequent six bars.

The attempt to order the sequence of events in the recapitulation after the initial recompositions takes another turn at bar 165. Even though it does make use of the same thematic idea as its corresponding part at bar 33, the theme is now treated completely differently. Once again, it is to contrapuntal technique that Haydn turned here. Three typical Haydnesque fugal devices are used to herald the final reiteration of the subject theme in the tonic: the upper two parts in canon create a stretto effect, the viola part sustains a dominant pedal, and all four parts enter with versions of the fugal theme. The first two devices, in particular, are used to anticipate the final entry of the principal subject in the tonic.

The rest of the recapitulation concentrates on elaborating the lyrical rendition of the theme in a purely homophonic setting. This part corresponds to the section from bar 72 to 88 in the exposition, now much extended. To reinforce a sense of closure, the consequent of the lyrical theme at bar 195 is not only altered and
extended, but also repeated an octave higher (bar 207\textsuperscript{4} forward). This final gesture heightens the climactic expression of an ending. As a result of this expansion, over half of the recapitulation is written purely in homophonic style (55 bars of the 85-bar section). We are reminded of Tovey's statement about Haydn's finale fugues: they end homophonically in order to conclude entire works in 'sonata style'. Here, at the end of a first movement, the gesture prepares for the next movement - an \textit{Adagio} set in the typical homophonic singing style.

The break of texture - the emphatic chords separated by minim rests at bars 221 and 222 - and the ascending lines from all four parts of the quartet preceding this (bars 219-220) assure the listener that closure is at hand. Without this, the very last cadence would have the same effect as all other cadences in the movement; for this almost duplicates the opening 'introduction' bars: the upper voice outlines the ascending g" - a" - b" motif and the bass delineate the cadential notes G' - D' - G". The similarity of opening and ending seeks to make the cadence even more unconvincing as a gesture of closure than before; but the last two chords in the first violin diminish the effect by introducing the descending motif d" - b". In theory, the d" - b" progression is only a prolongation of the note b"; but aurally, the descending contour at least fosters a sense of finality, even if the very last uppermost note is still not the tonic note but the third degree of the scale. See Example 5.3 Moreover, the fact that this final three-bar cadence is preceded by a dominant-seventh puts it into a different category: it assumes its rightful place as a closing gesture. Because it is
prepared by its dominant, the tonic chord at bar 223 can no longer be heard as a beginning. Here, the 'joke' is reversed: just as the listener is persuaded that this is the very final ending, the second divided part of the form (the development section and the recapitulation) is indicated to be repeated. In performance, if a smoother transition back to the development section is desired, it is possible to underplay the dominant chord in bar 222 and emphasize the g'-a'-b' 'beginning motif' to create a sensation of open-endedness, a sensation which is implicit in all other cadences in the movement. The absolute final utterance of this ending can then be played to bring out all intents of closure. It is the ingenious construction of the final three bars which allows such flexibility in interpretation. Furthermore, the imitative arpeggio figure which passes through all four parts can also be read either as anticipation for the return of contrapuntal ideas or a final flourish of a four-octave deep spread-chord. Subtle nuances can be added without actually distorting the markings in the music to bring out the dual nature of this cadence. See Example 5.4

5.2.2 Conclusion

In the foreground, fugal style is manifested in this movement most prominently as a texture. The play between different types of stylistic material is the main subject of

18 Not all of Haydn's sonata-form movements contain a repeat sign at the end of the movement. Though most of the first-movement sonata forms in his late quartets do, the ones in Op. 76 No. 4, Op. 77 Nos. 1 and 2 do not.
concern in structuring the movement. To make its effect felt, each textural type must
be of substantial length. Putting together a movement using patches of textures as
building-blocks means extending each formal part beyond the proportions of any other
sonata-form movements in Haydn's string quartets: within the Op.76 set of quartets
alone, this opening movement (due mainly to the length of the exposition and the
recapitulation) is by far the longest sonata form.

The contrast of contrapuntal and homophonic textures has its function in
another dimension. The fact that the two ideas are so recognizably different makes
them the perfect 'internal sign'. The homophonic cadential opening, and its
contrapuntal consequent function as signs, fooling the listener into hearing the
movement as a structure without endings - the aesthetic of the fugue is captured by
means of Classical rhetoric in the most ingenious way. This is also the reason why
the movement sounds repetitive to some ears.

Even though it is mainly through texture that fugal style is expressed here, the
function of the fugal parts is more wide-ranging than the 'inserted fugatos' in the
examples cited by Kirkendale. Firstly, the fugal parts are not confined to one section
but spread out in various strategic areas. Secondly, the distribution of the different
types of fugal textures does have a 'fugal logic' in its own right, however tentative it

19 Agawu's definition of the term. See footnote 8.

20 Kirkendale, Fugue and Fugato, pp.146-9.
is: beginnings are articulated by textures resembling fugal expositions, the retransition is underpinned by a pedal point, the final complete reiteration of the principal theme in the tonic is preceded by part-writing alluding to stretto technique. In this sense, elements of fugal form are adapted to highlight parts of the sonata scheme, a scheme which is otherwise made to sound continuous and seamless.

The aesthetic of the movement is in direct contrast to that of the fugal finale in Op.50 No.4. Instead of a fugue absorbed into sonata form, here a sonata-form movement is underpinned by a fugal procedure and immersed in a fugal aesthetic. Most noteworthy, however, is the fact that the degree of punctuation of the large-scale formal parts is similar in both cases as well as the technique used to create the punctuation. In Op.50 No.4, the end of the 'exposition' is underpinned by a sforzando and the end of the 'development section' is separated from the 'recapitulation' by rests. In Op.76 No.1 here, the technique is reversed: as a movement delineated in the foreground as sonata form, the end of the exposition is clearly articulated by a double bar-line but the end of the development section is not clearly demarcated from the recapitulation at all; here, the onset of the new section is signalled rather elusively by a sforzando. This gesture seems a clear sign to the interpreter that the exchange of sonata and fugal principles in these two works in particular is meant to be noticed, and that Haydn made a conscious effort to compose works in this hybrid style.
5.3 Op.76 No.2 in D minor, First Movement

Instrumental Fugue in Free Style

In contrast to the previous quartet movement, fugal texture is not an obvious feature of the movement. The mixture of fugal and galant styles operates at a much deeper level than the surface texture of the music. Indeed, the balance between the two styles is at its most intricate in this work, combining principles of fugal writing with those of sonata form. The fugal part of the composition is engendered mostly by the elaboration of the 'fifth motif', the motif itself being imbued with fugal-style characteristics. Even though the fugal nature of the movement is much less audible than in the quartet in G, the fifth-motif is characteristic enough and sufficiently different from the rest of the musical material in the movement for its development to be heard throughout the piece. The 'schizophrenic' nature of the form means that it is perfectly constructed for the Kenner as well as the Liebhaber. The fugal part of development is made sufficiently audible for the experts to recognize its presence and to appreciate the skill with which fugal thoughts are woven into a fundamentally galant-style form. To unveil the unique nature of this hybrid, all three topical aspects of fugal style - as texture, principle, and form - will be investigated in the following analysis.

5.3.1 The Fifth-Motif

One of the simplest motifs used in a sonata-form movement, the fifth-motif is
nonetheless one of the most richly endowed with external signs: the reference to fugal style is explicit. Firstly, the motif is presented in alla breve style - minims in the context of 4/4 time - the most traditional rhythmic form for fugue subjects. Secondly, the descending fifth as a head-motif is commonly found in traditional fugue subjects. Haydn himself used this more than once: in the finales of Symphonies No.40 and Op.42. Thirdly, from a more abstract perspective, inherent within the four-note motif is a subject-answer pair: the first two notes (A-D) describe the tonic subject, the next two (E-A) the dominant answer. In direct contrast, the continuation of the motif is much less ponderous, much more flowing; it is presented in a melodic, singing style rather than a thematic, 'serious style'. Not only is the motif itself a reference to fugal style, but together with the accompanying repeated-note figures, it forms a direct imitation of the kind of subject-countersubject pair found typically in fugues with alla breve subjects (as seen in Symphonies No.40 and Op.42 as well). See Examples 2.3 and 5.12

To an eighteenth-century audience, to the Kenner at least, the expression and rhetorical meaning of this first phrase would have been obvious. To the Liebhaber and to some twentieth-century ears, despite the apparent contradiction in expression between the two halves of the phrase, it can nevertheless be heard as perfectly well-

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21 In the eighteenth century, the kind of rhythmic progression used for the 'fifth-motif' is scanned as Spondæus - a poetic foot described as being suitable for 'serious, thoughtful pieces', and akin to the alla breve style. This description is from Spiess, Tractatus, 1746, p.165. See also Ratner, Classic Music, p.71. In turn, alla breve subject used in the modern context is described as belonging to a Spondæus foot. See Koch, Lexicon, 1802, p.953ff.
balanced and logically constructed. In twentieth-century analytical terms, the phrase would be described as a four-bar antecedent of a twelve-bar musical period in which the antecedent itself bears characteristics of a musical sentence. See Example 5.5

In this sense, the first twelve bars of the movement are a rather typical 'principal idea' of a Classical sonata form. In such a context, the pair of descending fifths in minims does not sound archaic either. However, to analyse this opening from a purely abstract musical point of view and to disregard its inherent rhetorical meaning is impoverishing. In particular, the rhetorical function of the fifth-motif - its reference to fugal style - must be taken into consideration as it continues to work through the entire musical discourse of the movement.

5.3.2 Fugal Principle in Sonata Form

The expression of fugal style in this work may be subtle, but its effect on the movement's form is pervasive. When Somfai wrote his highly imaginative study on this, it is evident that he, too, sensed a strong influence of fugal thoughts in the structuring of the sonata form. He argued that the manner in which the fifth-motif is

22 A typical 'musical sentence' is described by Schoenberg as an eight-bar phrase which begins with a two-bar phrase which is repeated (either unvaried or transposed). This is then followed by four bars of liquidation of motives derived from the principal two-bar phrase. See Schoenberg, Fundamentals, pp.20-21 and p.59 in particular.

23 From this point of view, Agawu's analysis based on the 'fifth-motif' as a 'pure sign' is fundamentally flawed.
elaborated stems from a direct adaptation of Albrechtsberger's fugue technique:

A careful analytic examination of the first Allegro of the "Quintet" led me to the conclusion that in 1797 Haydn could have been stimulated under the direct influence of reading the fugue section of Albrechtsberger's book, to try out a bold compositional idea. This idea was, according to my hypothesis, the adaptation of principles of the fugue to the thematic-motivic elaboration of the sonata-form opening movement of a string quartet.²⁴

For Somfai to arrive at such a hypothesis without having researched in depth the subject of fugue and sonata mixtures in Haydn's works is admirable. To link Haydn's fugue technique to Albrechtsberger's teaching rather than to Haydn's own fugal skills is warranted insofar as Haydn's technique of subject development in his fugues has never been so complex before. It has been noted earlier that all of Haydn's fugues are 'simple fugues': the subjects are never transformed beyond inversions and abbreviations. Here, according to Somfai, devices such as augmentation and diminution in both rhythmic and intervallic terms are employed. In the final analysis, however, it seems unnecessary to link every transformation of the 'subject' - the 'fifth-motif' - precisely to a fugal device before the idea of 'fugue in sonata form' can be proven. Example 5.6 lays out every transformation of the fifth-motif exactly as they appear in the movement and labels them according to Somfai's adaptation of Albrechtsberger's terminology. There are nine basic types of transformation; all other

forms are variations or combinations of these same types. In effect, all of these except rhythm diminutio and interval augmentatio and diminutio are within Haydn's repertoire of fugue technique: subjectum rectum (original form), inversio stricta (real inversion), abbreviatio (abbreviation), different types of restrictio (stretto). In fact, they are all devices typically used by Haydn himself in his fugues. The three additions mentioned above can be explained as Haydn's extension of his understanding of fugue technique to function within a Classical form rather than as modifications of Albrechtsberger's fugal style.

Sopfai's notion that fugal principles are adapted to develop the principal motif of the sonata-form movement need not be a hypothesis at all. The rather unlikely event that Haydn read Albrechtsberger's treatise in 1797 and was immediately inspired to write a movement which combines Albrechtsberger's fugal technique with his own sonata form need not be a subject of contention either. When the development of the fifth-motif is examined in Example 5.6, the association with a fugal style of development is evident. Furthermore, with the benefit of hindsight and research, it can be seen that the kind of mixture of sonata and fugal styles in this work is a natural development from the previous quartet as well as from compositional ideals set up more than thirty years before.

Hence, motivic analysis of the movement has revealed that 'fugal style' as a topic manifests itself beyond sheer isolatable, localized texture. Even though such a
'motivic skeleton' cannot be as readily heard as fugal texture displayed in the foreground, the listener is guided through the evolution of the fifth-motif by the very fact that it is easily distinguishable from the rest of the musical material. As Somfai put it, in this movement, 'learned style' ideas are combined with fascinating novelties in the intended 'acoustic form' - perceptible to some extent at the first hearing while concealing the very essence of their intellectual beauty. The subtlety with which the fugal elaboration of the motif is blended into the sonata texture while remaining audible is a sign of a true work of art.

5.3.3 Synthesis of Fugue and Sonata Form

By examining the distribution of the alla-breve motive alone, the fugal part of the composition is not seen to be exerting any constraint on the form itself. Thus far, the fugal and sonata parts of the movement seem simply to coexist symbiotically. There does not seem to be any specific order in which fugal events took place; and transformations such as the rhythm diminutio in bar 22 and interval augmentatio in bars 34-35 adapt to the rhetorical expression or the harmonic scheme of the sonata form - in these cases, the form dictates the shaping of the subject. However, some of the fugal devices employed in this movement implicitly contain formal connotations; and others, in order to exert their fugal identity, force the sonata scheme to steer into specific harmonic regions. Moreover, because of the possible connotation of a chain

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of descending fifths, the motif also allows the sonata scheme to take abrupt harmonic
turns while keeping the syntax of the musical discourse intact. The following analyses
demonstrate these points.

**Exposition**

It is evident that in these late quartets, Haydn was making every attempt to compose
forms on a much grander scale. The string quartet was no longer an introversive,
intimate genre of composition. After Haydn's London days, its status has risen to
equal that of the Symphony. Haydn wrote his string quartets to be performed in
public; their expression has to be aimed at a much wider spectrum of audiences, and
at larger audiences in larger rooms too. Even though the Op.76 set was composed
back in Vienna and again for the Viennese aristocracy - the set is dedicated to the
Count Erdödy - Haydn's quartet style had already undergone a sea change. The Op.76
quartets are even more expansive than the 'London quartets', the Opp.71 and 74 sets.
As noted, the first movement of Op.76 No.1 is unusually long. The method of
expansion in that context is to create a diversity of textures to express each formal
part of the sonata form. In the case of the *Allegro* in Op.76 No.2, Haydn's technique
of extension in the 'exposition' is to cause disjunctions and then to compensate by
creating insertions to induce continuity and growth.

The most unusual quality of this exposition is the transition between 'first-' and
'second-subject' area; or rather, the *lack* of a 'transition'. At bar 13, the movement
plunges into F major, the 'second key area' of the D-minor sonata-form exposition, without warning, without preparation. The disjunction at this point encourages the listener to focus on the entries of the 'subject', the fifth-motif: this is the only perceptible connecting thought aurally. The motif is then led through one voice after another in true fugal fashion. Together with the first presentations of the motif, the background thematic scheme refers explicitly to the 'exposition' (two subject and answer pairs, four voices) and 'middle entries' of a fugue. See Example 5.7 This manner of harmonic and thematic continuation of the musical discourse is unsurprising in fugal terms, but unexpectedly abrupt when perceived within the context of the sonata forms written by Haydn in this late period. The lack of transition is temporarily compensated for by the viola entry of the subject (bars 13-14) acting as a foil, as it connotes a transitional cadential gesture into the key of F major, but the strain on the form causes an irrepressible eruption which re-establishes a 'proper transition' in sections to come. See Example 5.7

The actual harmonic and formal scheme is shown on the lower stave in Example 5.7. Bar 13 is the beginning of the 'subsidiary area' in the relative major; it cannot be interpreted in any other way. If the form unfolds in the normal course of events such that the secondary area is more or less proportionate in size to the first area, the exposition would be unnaturally short. In fact, this exposition is 56 bars.

26 Agawu believes that this abrupt change is in fact anticipated by the contour of the first violin line in bars 7 and 8 which describes an F-major arpeggio. See Agawu, Playing with Signs, p.102.
long. The 'second key area' is thus much extended by insertions, digressions, and parentheses. As if to make up for bypassing a proper transition for the 'second key area', the rest of the exposition is made to recreate the effect of transitions. Even though F major is established at bar 13, it never settles down as a stable area until near the very end, at bar 49/50.

Development

The development of a sonata form is least bound by prescription: the section can take any turn. In Haydn's development sections, however, certain elements are consistently featured, even if they may not be regarded as form-defining elements as such. These elements include extensive use of the submediant, 'false recapitulation', cadence on the dominant of the submediant to mark the end of the 'developmental part' of the section and either the beginning of the 'retransition' or the beginning of the recapitulation. The development section here exhibits all of these features. From this point of view, it is a rather typical 'development' in Haydn's sonata forms. From a thematic point of view, it is rather special.

Example 5.6 shows that the fifth-motif spreads across the entire section in

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27 See Agawu's analysis of the quartet movement in Agawu, Playing with Signs, pp. 104-108.

28 See Andrews, "Submediant."

29 See Bonds, "False Recapitulation."

30 Some sonata-form movements exhibit no 'retransitions'. This may be a remnant of designs of early sonata forms. See Rosen, Sonata Forms, pp. 262-283.
continuous transformation. The thematic skeleton laid out in the diagram may even be how Haydn himself sketched this section in the first stages of composing. Haydn might have determined the contrapuntal possibilities of the motif before filling the other parts out and adjusting some of the linear processes to fit the tonal scheme.  

The development of the motif in the first half of the section (bars 57-76) seems to follow a logic of its own, gradually working its way to a climax at bars 73-76 where all the voices form a four-part stretto. Divided into four stages, the development begins with the inversion of the subject - the device which is so often found meticulously labelled as *al rovescio* in Haydn's fugal movements. To draw attention to this device, Haydn uses the real or strict inversion starting on the note D\(^{\natural}\) - the natural continuation from the semi-quaver figures in the cello in the previous bar. The upper voices accompany as at the beginning of the movement; the inverted subject is therefore the only conspicuous melodic-idea at that point and for the next four bars (bars 57-62). With the strict inversion and transposition of the original subject in the following two bars, the linear process dictates the harmonic expression momentarily. Example 5.8 relays the rather convoluted harmonic process these four bars engender when analysed *vertically*. The harmonic goal of this section, the submediant (Bb major), at bar 63 seems to be prepared harmonically at this point in

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31 The recently discovered sketch (see *The Times*, April 15, 1997 & Sotheby's Catalogue for Sale LN7286, May 15-16 1997, Lot 181) of one of the outer movements of Haydn's last D-minor string quartet, Op.103, throws light on this point. It cannot be certain whether the surviving page is the *only* page Haydn made for the movement but if it is, the first sketch he made was to write out the contrapuntal possibilities between themes in the four parts. Interestingly, this movement in D-minor seems also to make use of a principal motif in *alla breve* style.
an unnecessarily complex way. The journey from F major, which is established before the double-bar, to Bb major should have been an easy step to make. The only cause for the complexity is the demand the linear process makes on the tonality. In order to highlight the fugal-style writing, simplicity is forsaken for the more laborious diversion.

Bars 61 to 62 correct the chaos by adjusting the linear process to conform to the harmonic strategy necessary to reach the submediant. The strict fugal procedure must yield to formal expectations of the development section. At bar 61, the subject is presented as an inversion again; but this time, the 'strictness' is lost when the Bb in the first violin is followed by an A₄ instead of an Ab, that is, a semitone instead of the original whole-tone. The A₄ provides the major third for the underlying chord - the seventh on F - acting as a cadential dominant to the ensuing Bb major. Even though a significant tonal goal is reached at bar 63 and the texture also changes to admit a counter-melody to the fifth-motif, the pattern of subject *inversio*-subject *rectum* continues. The perception of the subject in the last two bars (bars 63-64) is to reinforce the cadence into Bb, as the pair of descending fifths connote the harmonic progression I-ii-V-I in Bb. The overlapping between the linear pattern and the punctuation of a formal section insinuates the independent lives of the two styles and obscures the cadence to some extent. Example 5.8 summarises the overall discussion in these first eight bars of the development section.
Example 5.6 shows that in the next ten bars, the subject goes through another three types of transformation. While the first violin continues its semi-quavers in 'brilliant style', the subject counterpointing it gathers momentum as it evolves. The abbreviatio through to the diminutio et restrictio and syncope et restrictio follow no specific order other than the fact that they increase progressively in intensity, culminating in the four-part stretto. How the subject is transposed at the first two stages (bars 65-69) is largely governed by the harmonic direction; and this is dictated, in turn, by the use of the stretto. The stretto, it will be remembered, is one of the few form-defining elements in Haydn's fugues, and always occurs in the tonic. And indeed, the next tonal goal at the onset of the stretto is the tonic.

The stretto at bar 72 performs two rhetorical functions. Firstly, it is a climax reached through a series of thematic developments; and secondly, it is a 'false recapitulation', as it enacts a double return of the tonic and the principal theme. In sonata form, this 'false recapitulation' is elusive: the part which exactly reiterates the opening of the movement is buried in the second-violin line. But on closer examination, the stretto is made up of a matrix of subject forms presented in the first and second key areas of the exposition. Example 5.9 explains this phenomenon graphically. The embellished, spaced-out 'fugue' in the first 19 bars of the exposition is here sewn together in a continuous 4 bars. This 'fugal recapitulation' even provides the 'real answer' in the true fashion of a fugal stretto (bars 72-74: cello line).
The section following the stretto continues to recapitulate all the 'fugal material' - all the material presented by the fifth-motif - in the exposition and in the right order. Bars 77-78 are exact transpositions of bars 20-21 a fourth lower. This mimicks the effect of a sonata-recapitulation when all secondary material is reproduced a fourth lower or a fifth higher to remain in the tonic. The rest of the section is not an exact reprise of expository material, but corresponds to bars 34-40 in using the same kind of transformational technique and part writing. See Example 5.9

To reiterate and summarise, the stretto at bar 72 functions on many different levels of thought. First, it is a fugal device which enhances the intensity of development of the motif. Second, it refers directly and precisely to the concept of stretto as a feature in Haydn's fugal forms and makes explicit the synthesis of fugue and sonata as forms; as a result, the unfolding of the development is adapted to accommodate the harmonic and motivic make-up of a typical Haydnque fugal stretto. Third, because of the material it 'recapitulates', it reveals the fugal skeleton of the exposition, thus elucidating the fact that there is a fugal and galant part of the work, and that it is meant by Haydn to be understood that way; the stretto and the section following it (up to bar 85) can thus be regarded as a 'fugal recapitulation' of the parts of the exposition which belong to a fugal style. Hence, the function of the stretto and its continuation is both an audible rhetorical gesture and part of the background compositional design. Thereafter, the recapitulation is focussed on the galant elements,
and is more or less completely recomposed.

Recapitulation

Recomposition of the recapitulation, the 'altered reprise', is common practice in Haydn's sonata movements, especially in the later ones.\textsuperscript{32} Apart from the first ten bars, the rest of the section is completely reorganised and recomposed.\textsuperscript{33} A glance at Example 5.6 will show that the fugal part of the exposition is not duplicated at all: most of it has found its way into the development as discussed above. The fifth-motif is used sparingly in the whole section and only functions to clarify a few cadential points. In this sense, the motif's inherent harmonic quality (as cadence) is utilized to the full and its linear function somewhat reduced. The series of cadential fifth-pairs at bars 126 to 135 are the last utterances of the motif, and combine its harmonic and linear identity to articulate closure.

In Example 5.10, the 'subject' is shown to enter in transpositions on F (I), D (I), A (V) and D (I) again; a perfectly normal fugal procedure. In the present context, these 'entries' obviously underline the cadencing in the final moments of the recapitulation, though from a purely harmonic point of view, the progressions are not entirely grammatical. The pair of subjects transposed to F actually function as the dominant of Bb, the four bars (bars 126-129) in Bb being the last digression from the

\textsuperscript{32} See Haimo, "Altered Reprise."

\textsuperscript{33} Example 21, p.348 in Somfai's article compares the Exposition and the Recapitulation to show the degree of reorganization in the latter part of the form.
tonic. Rhetorically, this treatment of the subjects punctuates the dissonance of these few bars and heralds the perfect cadences expressed by the transpositions in the tonic and the dominant, or quite simply, the 'subject' and the 'real answer' in the tonic. See Example 5.10

With the presentation of the 'subject' and 'answer' in the tonic, the fugal part of the movement is wrapped up conclusively. From all other points of view, the tonic chord at the 'first time bar' is the absolute ending of the movement: the section ends on a perfect cadence; the rhythm slows down as if it is the final unwinding of the piece; from a voice-leading point of view, the Urlinie has reached its goal - the note d' in the first violin being the structural 1 in the 'right' register. Any further play after such a firm closure is likely to have a destabilising effect. The coda in question performs just such a function: the very last d'', two octaves higher than the obligatory register, deprives the movement of its rightful ending on d'; the syncopated accompanimental figures in the first few bars of the coda, each marked to be played with a short snap of a crescendo, create a feeling of unrest; the semi-quaver figures first introduced in the bass are a sign of preparation for further play (it first appears just before the end of the exposition; thus signals either a return to the beginning or continuation into the next section). Apart from all this, the movement has also

34 A complete voice-leading graph of the movement is not required to support the arguments posed by the present thesis, but such a graph has been worked out by the present author for other purposes and shows the movement to be a 5-line 'interrupted structure' where the first note played by the first violin in bar 1 - a' - is the primary tone leading through g'-f'-e' to reach d' at bar 98 as the ultimate goal of the Urlinie.
abandoned all play between galant- and fugal-styles. The final gesture of synthesis between both stylistic features has taken place before the first-time bar; nor does the fifth-motif even feature in the coda - except in one rather enigmatic and unprecedented presentation.

Coda

The *alla-breve* motives in bars 150-151 stand out as the only ones which recapture the learned-style material in any conspicuous way. None of the parts use the original form - the descending fifth - even though it would have been a useful tool to pose as the final perfect cadence of the movement. Somlai labels the transforming device *interval diminutio et augmentatio*. Indeed, the interval of the first pair of notes is diminished to a perfect fourth and the second pair augmented to a diminished seventh. But, in fact, the essence of this motive-form is no longer fugal. In this case, to analyse the motif in these terms alone is to overlook the reason for it to be transformed in just such a way.

For the first time, the four-note motif is obviously incomplete. The second pair of notes Bb-C# which form the unstable descending diminished-seventh interval must lead on to a D♭. Aurally, the theme is perceived as a five-note one, with the C♯ acting as a leading note to the more structural D♭. In other words, the original motif is

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35 This destabilization of the ending of the movement can only be heard fully if in the first place, the 'proper' ending - that is, the 'first-time bar' - is heard. It is therefore imperative that in performance, the second repeat is observed.
transformed and embellished, developed and 'composed out' in a Classical manner. As discussed above, the structural ending of the movement is reached at the first time bar; and what comes after it serves to destabilise the closure. Indeed, the coda here seems to be looking forward to the forthcoming movements rather than acting as merely a peroration: the fugal shading of the foregoing music is no longer present, and even the main source of material which makes up the fugal component of the movement, the fifth-motif itself, is recast to take up a new guise. This interprets the fugal idea as a purely theoretical thought, as this presentation of the motif is, in theory, the 'tonal answer' to the 'subject'. Example 5.11. The 'real' fugal penetration is diffused, the coda anticipates and paves the way for the next change of scene in the quartet, the purely homophonic Andante o più tosto allegretto.

5.3.4 An Earlier 'Model': the Finale of Op.42

Some twelve years earlier, Haydn had written his second quartet\(^36\) in D minor, the single work Op.42; the final movement of this resembles in many respects a 'small form'\(^37\) of the later D minor movement. It would not be completely unexpected for it to serve as some kind of a model for the later, more extended movement or at least, a source of inspiration for it.

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\(^36\) The first is Op.9 No.4 written c.1769.

\(^37\) Sisman's idea of 'small and expanded forms' is based on Koch's theoretical writing. The idea is that "the same small units of structure - phrases - underlie dances, arias, and symphony and concerto movements." By the same token, the same small unit can expand into a 'miniature sonata form' as well as an extended sonata form. See Sisman, "Small and Expanded Forms: Koch's Model and Haydn's Music," *Musical Quarterly*, 62, 1982, pp.444-78.
The quartet Op.42 does not belong to any set and its origins are ambiguous. All that is known is that it was written around the same time as the *Seven Last Words* commissioned for Cadiz and three short, three-movement quartets composed for Spain which are now lost. Robbins Landon and David Wyn Jones suggest that some of the Spanish music might have been incorporated into this work. But although Op.42 is unlikely to be one of the works mentioned by Haydn to Artaria since it contains four instead of three movements, it is, nonetheless, much shorter than any of his string quartets since Op.20.

Most pertinent to the discussion here is its *Presto* finale. Its contrapuntal and fugal character has often been highlighted as a component of the composition mixed with sonata style. Keller, for instance, remarks:

In its miniature sonata form, again monothematic, it accommodates fugato as well as playful homophony, asymmetry as well as dance-like recreation... Immediately after the opening announcement, however, the theme displays its contrapuntal features, stretto included.

This characterisation of the movement is shared by other commentators on the

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38 In a letter to Artaria written in April 1784, Haydn mentioned these three quartets. He wrote that he was working on three 'very short quartets of three movements only; they are intended for Spain'.


40 Keller, *Great Haydn Quartets*, p.86.
work and this alone seems reason enough for linking it with the later D-minor quartet-movement. But what makes the association even more convincing is the similarity between the 'subjects' of the two movements. Significantly, the 'subject' of Op.42/IV is made up of a descending-fourth alla-breve head-motif followed by a trail of notes in much smaller values set in 2/4 time. It is accompanied by quaver figures beginning on the upbeat. In all respects, the subject and its presentation is clearly a miniature version (more or less half) of the one in Op.76 No.2; or in other words, the 'subject' and 'countersubjects' in the latter are an extension of the earlier ones.

Example 5.12

Example 5.13 shows the elaboration of the descending fourth-motif in the movement and its sonata treatment. Development of the motif is much less rigorous than in Op.76/2, and its appearance much less abundant. Nonetheless, the resemblance between the motivic skeletons in the two movements is unmistakable. Made up of only two notes, the principal fourth-motif assumes the reverse harmonic function of the fifth-motif: where 5 - 1 connotes a harmonic progression of V - I, 4 - 1 is best understood as I - V. Hence, the fifth-motif (i.e. the two-note form rather than the complete four notes) is by and large an ending gesture, whereas the fourth-motif, is a beginning one. This is how the descending fourth idea is used in the quartet movement: it initiates all significant harmonic turns.

In the exposition, the most interesting use of the motif is in the transition. For want of revealing the four-bar principal subject (bars 1-4) as a 'fugue subject', it is presented from bars 8-16 in a quasi-fugal exposition, passing through all four instruments. The reference to fugue is clear, but if viewed as a genuine fugal exposition, its construction is highly unusual. Beginning with the fugal subject in the tonic, it is followed by the 'real answer' in the minor dominant. The next two voices enter in stretto, first in the tonal-answer form on the remote seventh degree, and then with the subject transposed to the relative major. The irregularity of entries is more commonly found in 'middle entries', but even so, the order seems extraordinary. However, this design has its purpose within the realms of sonata form. In effect, bars 8-16 see the transition from the principal-key area of the sonata-form exposition to the subsidiary relative-major area all telescoped into a nine-bar contrapuntal configuration. See Example 5.13, bars 8-16 The move into the secondary area is effected by a continuous spinning out of the subject theme in different transpositions, but this manner of establishing the relative-major area is as surprising, as sudden, as unexpectedly early as the technique used in Op.76 No.2.

The logic behind the transition of Op.76 No.2 should now be clarified. The fact that the entries in bars 13-18 can be thought of as connected to the previous part fugally is further verified. In essence, the treatment is an expanded, composed-out version of the tactics used in the earlier quartet. There, the 'subject' in the tonic is separated from the move to the relative major by six bars of material forming the
'galant part' of the consequent phrase. Had Haydn used the same 'telescoping technique' in Op.76 No.2, the transition could have worked out just the same using the fifth-motif. This hypothetical, telescoped version is shown in Example 5.14; it should be compared to the first sixteen bars in Example 5.13. Moreover, this compressed form is actually revealed in the development's stretto section (bars 73-76) more elaborately, as discussed above.

The second part of the exposition in Op.42 sees the fourth-motif contorted into different shapes (bars 23-26). The descending fourth interval is no longer evident, and the original motif is recognisable only through its distinctive alla breve presentation. Now rid of its fugal guise, the motif returns to play yet another role. Its sudden recurrence abruptly checks the momentum gathered up in the last section, and in this way focusses the listener's attention to the twisted harmony encased within these few bars. Deprived of a clearly demarcated 'transition' in the move to the subsidiary key area in the previous section, the movement now compensates for this by inserting a second, more explicit harmonic preparation and cadence into the relative major. In four short bars, the harmony works through a circle of fifths with rapid chordal changes from bar to bar before arriving firmly in F major again at bar 27. In an abbreviated version, the design of this sonata exposition echoes that of the later D-minor movement. The telescoping of the transition counterbalanced by expansion of the second key area with more explicit transitional material forms the basic structuring of both expositions; this design is unique to these movements. The later movement
composes out the 'second transitional area' more extensively, but the fundamental compositional principle is the same.

The development of Op.42 finds the fourth-motif punctuating each significant harmonic change. At first it is presented with a homophonic accompaniment in the tonic major; but then, from bar 50, its fugal role emerges again and continues into the recapitulation. The subject entry in the dominant at bar 60 signals the 'retransition' to the tonic reprise of the subject at bar 67. Because of the return of the theme and the home-key, this area is designated as the 'recapitulation', but in many respects, it is a rather tentative one. The subject now enters in the cello and the rest of the section does not follow the order of events as they are laid out in the exposition. Like the recapitulation in Op.76 No.2, the fugal character of the subject is dissolved: only the 'convoluted' homophonic passage is reproduced, this time linking the dominant of bar 75 to the final tonic section. As finale of a four-movement work, the coda functions to reinforce the final closure. It is in these last eight bars that the original form of the 'fugue subject' (from bar 8) is reiterated, now in four-part unison, ending the movement both symmetrically and in total synthesis of the fugal and galant styles. It is interesting to note that the final perfect cadence in the bass finds the progression V - I presented for the first time in alla breve style. As a descending fifth, it may be interpreted as the 'tonal answer' to the descending fourth subject, appearing for the first time in this guise. Again, this anticipates the same gesture found in the last bars of the later D-minor quartet where the 'theoretical tonal answer' to the fifth-motif
captures the final moments of the movement. In both cases, Haydn reveals the dual nature of the motif most summarily and wittily.

Conclusion

The finale of Op.42 seems not only to serve as a 'model' but also to establish a method of composition for the Op.76 movement. In both cases, the principal subject is divided into two parts - an alla breve head-motif and a 'galant' consequent. Not only are the two parts presented in diametrically different styles as distinct components of the principal subject, the transformation of each of these parts also follows appropriate forms of development pertaining to its own individual style. Because of its concise nature, the Op.42 movement reveals the hybrid design more explicitly; and the Op.76 movement is then seen to be a more fleshed-out version of this basic design.

Viewed through the Op.42 movement, we can see that the ingenuity with which the Op.76 movement is constructed lies in its expansion of the principal subject to contain two pairs of alla breve motifs instead of one. These are more versatile for two reasons: first, two pairs contain more possibilities of transformation than one pair; and secondly, the harmonic implication of the two pairs is more multi-faceted and can therefore be adapted to many more changes of harmonic environment without losing its basic shape. Hence, the motif is able to weave in and out of the texture asserting its fugal character when desired, but can also assume the role of a 'sonata-style theme'
when required. In Op. 42, the manifestation of fugal and sonata styles is more localised and explicit; in Op. 76, the dual character of the motif is submerged in the texture more uniformly and intricately.¹⁴²

The combination of fugal- and sonata-style ideas in Op. 42 created the possibility of a form which on the one hand is concise enough to match the other movements of the work and on the other is as complex in conception as a fully-fledged sonata form in the most intrinsic of string-quartet styles. Even so, the fugal and sonata elements cannot be said to be equally weighted. At the formal level, the 'fugal exposition' made possible the structuring of a 'telescoped' transition from first-to second-subject area; apart from this, there is no specific order by which the other fugal elements appear. What sets the first movement of Op. 76 apart from all other works containing fugue and sonata elements is the fact that the fugal part of the work unfolds in an ordering similar to that of Haydn's formal fugues, even if the fugal components of the form are separated by other textures. In this sense, the fugal part of this work is not manifested only as texture, but as form. Hence, the movement can be most accurately described as being constructed from two overlapping formal...

¹⁴² It is notable that the principal subject bears considerable resemblance to that of the first movement of Mozart's D-minor quartet, K. 421. Haydn seems to have discovered a perfect way of integrating a fugal head-motif in a typical Classical periodic phrase by combining the principal ideas of his own Op. 42 finale and Mozart's quartet. It is unlikely to be sheer coincidence that all three are D-minor movements. It seems also apparent that Haydn's use of the key D minor is associated with learnedness: the Dorian mode being the first mode of the old tonal system, whereas Mozart's expression of D minor is a more romantic one: it is often associated with pathos and drama. For a detailed study in key associations in the eighteenth century, see Rita Steblin, *A History of Key Characteristics in the Eighteenth and Early Nineteenth Centuries*, UMI Research Press, 1983; rev. New York: U. of Rochester Press, 1996.
processes: in Agawu's terms, a background fugue superimposed on a foreground sonata form.

The fugue is most frequently used as a closing gambit in multi-movement works in Haydn's time. All the fugal movements discussed so far are finales, including that of Op.42. However, in the Op.76 example, this genre is expressed in an opening movement. To counter the potential rhetorical effect of closure, the main fugal parts of the work end at the close of the development section; but more importantly, it is the coda which seeks to negate all connotations of a fugal ending. For the coda is free of fugal elements, its function being to allow the first movement to lead smoothly into the next, homophonic movement. In normal circumstances, the function of codas is one of synthesis. Even if it can be argued that the coda in this case carries such a function as well, its more significant role is to destabilise rather than to confirm closure.

The comparison of the two D-minor movements has further highlighted the unique nature of their design, and places the rarely discussed Op.42 in its rightful

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43 Even in vocal works, fugues are most often used in final sections. Fugues do, in most genres in the eighteenth century, signal closure.


45 It is significant that the recently discovered sketch for the unfinished Op.103 quartet, also in D minor, contains a theme which is made up of an alla breve head motif as well. It seems likely that Haydn was contemplating another fugal sonata-movement, especially as this idea is endorsed by the surviving sketches. (Compare footnote 34.)
context. The above discussion also reveals that although the first movement of Op.76 No.1 is imbued with fugal elements, the manner by which 'fugal style' penetrates the structure of the form is unique; at any rate, completely different from how fugal elements are treated in Op.76 No.2. To reiterate an earlier point: without looking at these movements from such points of view, both of the Op.76 movements would simply be put in the same formal category - as two of Haydn's most stringently composed 'monothematic sonata forms'. From the above analyses, it is clear that the two works are conceived differently, particular in the design, function and development of their 'single principal theme'.
5.4 Conclusion

The texture within Haydn's sonata movements became so closely related to that of his fugues that there is no essential stylistic distinction between the two.\(^{46}\)

This ambiguous yet enigmatic remark made by Kirkendale can now be interpreted more accurately. Even though only two sonata movements of the twenty completed quartets after Haydn's last quartet fugue are examined in this chapter, they show that there are at least two other ways of combining fugue and sonata styles which are different from Kirkendale's 'inserted fugato' type. These examples show that not only does Haydn 'let a fugue passage break out in a sonata movement', allowing fugue and sonata texture to exist in juxtaposition with one another, but he is able to interweave the two textures so intricately that the end product can neither be said to be homophonic nor contrapuntal, but a genuine synthesis of the two. The two textures did not become 'closely related': they remain distinctly different when isolated. It is difficult to distinguish the two styles in the resultant homogenized texture, not because Haydn redefined fugue and sonata textures so that they became increasingly similar, but because the distinction can only be made by isolating the two styles through detailed analysis of the music. The distinction is difficult to make by 'the naked ear' unaided by analysis.

\(^{46}\) Kirkendale, *Fugue and Fugato*, p.151.
The methods of analysis adopted in this chapter aim solely to uncover the exact nature of the hybrid designs and how Haydn himself might have conceived them. However, this is not to discredit other aspects of the music. The dialectic between the two styles - whether in terms of texture, process or form - is of the essence here. Elements which create disjunction and contrast are emphasised; but this is not to say that unity and continuity are undermined. In fact, despite the vivid opposition of the two forces, the musical discourse is never felt to unfold illogically, nor does it sound fragmented. This suggests that the cohesive elements in the movement are even stronger than in other works. The use of a single principal recurring motif is one of the most binding and audible unifying forces; the organic composing-out of the linear structure is another, though this is less audible. An analysis of the movement's voice-leading would also be fascinating, though it is not within the aim of the present study.

One of the methods I omitted in this chapter is a test of the use of registers in these two quartet movements. It is apparent, by a sheer glance at the Op.76 D-minor movement, that a bi-registral design is also at work here. The unfolding of the fifth motif (as shown in Example 5.7) occurs mainly in a lower octave. However, the 'embellishments' in between, the virtuosic writing in brilliant style, take the upper voice to a higher octave. The 'fugal' ending at bar 138 (first-time bar) brings the Urlinie down to d' as explained before. However, the brilliant, 'sonata' upper line carries over to the end of the coda and finishes two octaves higher. The fact that a
lower and an upper linear unfolding of the voice-leading define the fugal and the sonata contrapuntal space of the structure seems to be relatively consistent in Haydn. As in both finales in Op.20 No.5 and Op.50 No.4, the movement progresses from fugue to sonata. The emphasis on the lower 'fugal' register in the exposition and on the upper 'sonata' register in the recapitulation is prepared and highlighted by the organisation of dynamics underpinning the principal subject in each case: in the exposition, the lower-octave beginning is directed to be played forte and the higher-octave repetition piano. In the recapitulation, the reverse is true: the lower-octave (bars 99-100) is marked piano and the higher-octave (bars 103-104) forte. In the exposition, the lower register reigns; in the recapitulation, the higher.

From the foregoing analyses, it is apparent that no single method is adequate to express the complex nature of these movements. The exact degree of penetration of fugal style must be tested through an understanding of its disposition as texture, as opening gesture and as form. Firstly, the combination of fugal and homophonic textures is observed by isolating the two types - in cases where the two textures are separable. This manoeuvre immediately puts a composition in one of two categories: those in which the two textural types exist in juxtaposition with each other and those in which the two types are woven into each other much more intricately and hence are not aurally separable. Secondly, the principal idea of the form is analysed to establish whether it contains elements of fugal style. Fugal style can take the form of an obvious allusion to a fugal exposition (as in Op.76 No.1, all the fugato movements
of the baryton trios and some of the symphonies) or a much more subtle reference to components of the style (as in, for instance, Op.76 No.2, Op.42, Symphony No.13) When an opening gesture is formulated as such, its consequence would inevitably have some bearing on the fugal process. Thirdly, as the 'fugal process' may develop differently in each case, its exact nature must be investigated. When it is ordered in a fashion which resembles Haydn's own fugues, each manifestation of the style is likely to carry with it formal connotations. In such cases, the fugal part of the work would have considerable influence on the composing-out process of the form; it would be an integral part of the structure, not merely a surface feature.

These three main points have been shown in the two Op.76 quartet movements; but there are other movements, especially within Haydn's string quartets, which exhibit such traits. Within fugal style, texture, process and form may be combined differently. Moreover, from a purely aesthetic point of view, these and other movements take on the spirit of the fugue by following the main compositional principles which define Haydn's fugues. For example, like his 'strict fugues', many of his sonata-form movements are built only on thematic material stated in the principal (tonic) area of the exposition; no new material is introduced anywhere else. As in his 'simple fugues', the principal theme of the movement is often never subjected to much transformation, so that it is eminently recognisable at every appearance. This method of creating thematic unity does not warrant sophisticated analysis to reveal the link

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47 See works included in List 2.2 in Chapter Two.
between transformations and the original subject-form. On the contrary, transformations are most often unmistakable derivations of the principal subject. In such types of movements, the principal idea - normally a short motif or a motto-type theme - usually appears to be reiterated continually throughout the movement: it is almost never out of sight, just as fugue subjects are constantly in sight in Haydn's fugues. An exemplary case where such a spirit of the fugue is exploited in a sonata-form movement is the first movement of the 'Emperor' quartet, Op.76 No.3.

All through the chapter, I have implicitly described these hybrid movements as 'learned style in sonata form'. In Classic Music, Ratner defines 'learned style' by quoting Koch:

The strict style, which is also called the bound style or the fugal style,... is distinguished from the free style principally

1. by a serious conduct of the melody, using few elaborations...

2. through the frequent use of bound dissonances...

3. through the fact that the main subject is never lost sight of, as it is heard in one voice or another, this ensures that each voice partakes of the character of a principal part and shares directly in the expression of the sentiment of the piece... 48

If the above points are used as bench-marks, the third point would apply to many of Haydn's sonata-form movements with motto-theme type subjects; the first would apply to only portions (usually the head-motif) of the principal themes of the movements.

48 Ratner, Classic Music, p.23.
each in their idiosyncratic way; and the second point would be seen only in localized areas. This kind of application of 'fugal style' which Haydn employed is highly personal; it is a compositional ideal evolved from many years of practice. To describe Haydn's forms analytically, Agawu's concept of foreground-background topical axis comes into good use. Resembling the case where gypsy style is imposed on a Minuet movement so extensively that it makes nonsense of the characteristic triple-time rhythm of the minuet turning the movement into another generic type, the imposition of fugal style on sonata form here is so strong that the movements in question seem to warrant redefinition as another genre. Especially in the case of Op.76 No.2, as well as a Schenkerian background tonal structure, there seems to be a background fugal thematic structure. Haydn's forms may therefore be most accurately described as having a fugal-style background superimposed on a sonata-style foreground. They are true hybrids of the two styles where sonata form should also be viewed as a topic in itself, for it does not only act as a formal constraint, but is itself the subject of discussion. A foreground-background relationship exists between the two styles, where one is simply more audible than the other; but there is no hierarchy as such - sonata form cannot be said to be the more dominating structural force than the fugal form nor vice versa. In this sense, the first movement of the string quartet Op.76 no.2 as a kind of 'fugal-sonata' is closer generically to the finale of Op.50 No.4 as a

49 See text related to footnote 10 in this chapter and Agawu, Playing with Signs, p.42.

50 Agawu, ibid., p.101.
'sonata-fugue'\textsuperscript{51} than to movements where sonata-style acts as the sole agent of formal constraint.

\textsuperscript{51} The ordering of the two terms depends only on where on the foreground-background axis the two styles lies. That is, on audibility rather than on hierarchy.
CODA

Sonata-fugue synthesis in Haydn's string quartets emanates from two clearly defined sources: a period style which was undergoing a revolutionary process of transforming contrapuntal writing, and a personal style which developed from an impetus to create a language unique to the string quartet. There is no question that Haydn's instrumental fugal works are rooted in a tradition, as exemplified in the early fugal movements of the symphonies and baryton trios. If his string-quartet fugues are more idiosyncratic, it is, ironically, because Haydn viewed the concept of fugue far more idealistically than his contemporaries: rather than bringing the fugal process to a state of dissolution as some of his contemporaries did, his method of 'sonata-cising' a fugue is to keep the process strict while expanding and 'modernising' the non-functional parts of the form. It is this manner of transformation which eventually led to the synthesis of fugue and sonata form epitomised in the finale of Op.50 No.4.

Further development of such a synthesis meant that a strict fugal process could no longer be sustained. The result gave rise to Haydn's complex 'fugal-sonata' forms as exemplified in this thesis by the first movements of Op.76 Nos. 1 and 2. Ostensibly, these forms were formulated by a reversal of the technique of absorbing sonata-style elements into a fugal process, but from the fact that the procedure and function of the fugal form are still recognisable in these works, however abstract they have become, these 'sonata movements' may be perceived as 'expanded fugues' rather
than 'fugal sonatas'. Historically, in the same vein as Sechter viewed Mozart's 'Jupiter' finale,¹ Haydn's quartet movements may be deemed instrumental fugues written in a free style, where the 'freedom' is the admittance of sonata form as a topical referential frame which restrains and distorts the strict development of the fugal process. From a twentieth-century theoretical viewpoint, they are a special kind of sonata form. They may be generally categorised as 'monothematic', but the elaboration of themes is certainly not the only nor the most important defining element. Rather, it is the imposition of an idealised fugal form and aesthetic on sonata form which contributes to their unique character. How Haydn himself conceived them compositionally can, ultimately, only be a subject of speculation. However, there is enough evidence to suggest that creating a perfectly balanced hybrid form comprising an equal share of sonata and fugal principles is at the forefront of his mind. The fact that different points of view give priority to different aspects of these movements indicates this complexity. In the final analysis, the essence of their formal constitution is their hybrid character. They are neither fugue nor sonata form, but a synthesis of the two.

The chronological lay-out of the present thesis seems to insinuate an evolutionary process in Haydn's development of the hybrid forms. It cannot be denied that firstly, a shift of weighting from fugue to sonata does occur chronologically, and secondly, a direct link between one work or a group of works and its immediate predecessor does seem to exist. However, as the three groups of works (the Op.20s,

¹ As discussed in Chapter One, pp.34-38.
Op. 50 and Op. 76s) are written as much as fifteen and ten years apart from each other respectively, it must be acknowledged that their changing styles are also influenced by the rapidly evolving musical trend of the time as well as by Haydn's own changing conception of fugal and sonata aesthetics. In particular, the wide-spread development of sonata form into an increasingly complex and expansive form would have been a major factor offsetting Haydn's own compositional ideals.

However, whatever factors did influence the changing styles of Haydn's forms, the crux of this thesis is to argue that even though the movements shown are written over a span of more than 30 years, a fundamental principle centred around the idea of sonata-fugue synthesis can describe the compositional and stylistic make-up of all of them. Their differences are only a result of the different constellation of fugue and sonata elements. From this point of view, it would seem that a more precise theoretical model could and should have been found to define these forms precisely and scientifically. However, my contention is that while it is possible to adopt an interpretational standpoint, to devise a theoretical paradigm for describing Haydn's hybrid forms is undesirable. For the specific means of combining sonata and fugal principles in each work is highly individual. In this thesis, the closest to a definition of a sonata-fugue theory is by way of the concept of 'bi-registral complex'. But it must be recognised that this is only one of many factors which make up these movements and at the same time, it may be found in other forms even if the exact registral articulation is different. The idea of 'register as sign' as a theoretical issue in
its own right could nonetheless be developed further within a wider context. And indeed, examining the precise manner by which Haydn handles registers in different formal situations can shed light on how registral behaviour in sonata-fugues may be specific.

In the final analysis, the technique of combining genres and styles is characteristic of the Viennese Classical style at large. Hybrid forms such as Rondo-Sonata, Sonata-Variations, Rondo-Variations, or hybrid genres such as symphonic keyboard sonatas, concerto sonatas, symphonic concertos are frequent occurrences in Classical music. Sonata-fugues are therefore only one of its many facets. If it is the most complex and subtle, it is because concepts of both the fugue and the sonata are connoted in more than one level of thought: they do not only function as abstractable outer forms but they are also distinct types of texture, identifiable dispositions of compositional aesthetics, and distinguishably different styles of writing. They are so perceived by modern theorists as well as by eighteenth-century composers. The fusion of fugue and sonata styles therefore involves manipulating many more levels of

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4 See Rosen, *Classical Style*, p.45 where he describes Haydn's Piano Sonata in C (H.48), Mozart's Sonata in Bb, K.333 and his Piano Concerto in F, K.459 as belonging to these categories.
compositional logic than the combination of any of the other styles stated above.

Ultimately, the most idiosyncratic of all hybrid forms discussed is the Op. 50 fugal finale. It is one of the most progressive of Classical forms. Its concentration of thought, its intricate fusion of contrapuntal and homophonic principles, its use of chromaticism, and its aphoristic nature, all seem to anticipate directly the ideals which typify the music of the Second Viennese School. It can fairly be said that Haydn had no true, immediate successor. The most frequently asked question of whether Beethoven should be perceived as a revolutionary or an eccentric betrayer of a great tradition is not a subject of contention here, but the fact remains that Haydn's torch was dimmed by Beethoven's appearance on the musical scene. Even if Beethoven learnt his fundamental technique of composition from Haydn, he never understood or chose to understand Haydn's own practice of composition. He simply set his own agenda to achieve his own compositional ideals. So it seems that Haydn's craft, his Art of Fugue, was not truly appreciated and understood until more than a century after his death, when the likes of Schoenberg and Webern rejuvenated a similar principle of composition⁵ albeit within a new tonal framework and a different musical aesthetic.

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⁵ I am referring particularly to Schoenberg and Webern's notion of 'the synthesis of horizontal and vertical presentation of musical ideas.' Apart from Schoenberg's and Webern's own writings, Regina Busch's three articles are most illuminating (the third in particular) in illustrating the connection between synthesis of homophonic and contrapuntal thoughts in the Classical era and in the Second Viennese School. See Busch, "On the Horizontal and Vertical Presentation of Musical Ideas and on Musical Space (I), (II), (III)," Tempo, 154 (1985), 156 (1986), 157 (1986), pp.2-10, 7-15, 22-26.
Appendix

Original German texts:

(1) p.26
Die drei Fugenquartette problematisieren den zyklischen Zusammenhang auf andere Weise... indem sich die Fugen-Finale an den Charakter des jeweiligen Kopfsatzes anschliessen, stärken sie den Zusammenhang durch prononcierte Charakter-Einheit, aber als Fugen heben sie sich von den übrigen Sätzen der Quartette so sehr ab, dass sie keine überzeugende Finale-Funktion mehr haben.

(2) p.26
Sie [die Fuge] erscheint gänzlich unvorbereitet, nicht als Abschluss, sondern als Anhängsel - nichts in den früheren Sätzen lässt ein solches Finale erwarten.

(3) p.27
Die Fuge hat durch ihre Auflockerung zum Fugato hin in Verbindung mit der kapriziösen Thematik deutlichere Finale-Charakteristik als die beiden anderen Fugen und steigert den Charakter des Kopfsatzes von der unspezifisch spielerischen zur spezifisch kapriziösen Kontrapunktik.

(4) p.29
In der C-dur-Fuge schließlich sind alle vier Themen Individualitäten, die zur Tradition barocker Fugenthematik kaum noch Beziehungen haben; vor allem das Hauptthema... schlägt mit seinem tänzerischen 6/8-Rhythmus, seiner verschleierten Liedperiodik, seiner preziösen Chromatik und seinen kadenzierenden Sechzehntelgirlanden einen Ton an, der den aufgelockert-spielerischen Charakter eines klassischen Finalsatzes in die Strenge der Fuge faßt, aber mit der Tradition der Schulfuge fast nichts mehr zu tun hat.
(5) pp.29-30

Nicht nur die traditionellen Charaktere, sondern auch die Formen einer barocken und
nachbarocken Fuge sind in diesem Satz so weitgehend aufgehoben, daß sich die
Grenzen zum kontrapunktisch vertieften Sonatensatz, [wie ihn das dreistimmige
Hauptthema des Kopfsatzes eben dieses C-dur-Quartetts fast programmatisch
angekündigt hatte], nahezu verwischen.

(6) pp.69-70

Die Symphonien der sechziger Jahre bieten ein außerordentlich buntes Bild, das
zunächst verwirrend wirkt und jedenfalls keine schrittweise voranschreitende
Entwicklung auf ein klares stilistisches Ziel hin erkennen läßt. Dennoch gibt es einen
Grundton, der fast alle diese Symphonien bestimmt: den Charakter des Experiments,
des unruhigen, immer wieder neu ansetzenden und in ganz verschiedene Richtungen
zielenden Suchens.
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