

# Form in the Finale of Haydn's *String Quartet, Op. 64, No. 5*

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In the single chapter on form (Chapter 5) in Free Composition, Heinrich Schenker presents a sketch of a new form theory to which he attaches great importance. Schenker views "form as the ultimate manifestation of that structural coherence which grows out of background, middleground, and foreground,"<sup>1</sup> basing his theory on the background structure of a composition, rather than on considerations of phraseology, or on thematic or motivic relationships. Quoting composers from C.P.E. Bach ("One must have a vision of the whole piece")<sup>2</sup> to Brahms ("More from the whole"),<sup>3</sup> Schenker puts forth his theory as the "true interpretation of the words of the masters."<sup>4</sup>

Several background structures which support ternary design are outlined in Chapter 5. Prolongation of the dominant in the bass arpeggiation I-V-I can create the "contrasting," or B, section; this can be seen in several of Schenker's examples. Arpeggiation may occur with an undivided Urlinie, as demonstrated in the analysis of Chopin's Mazurka, Op. 41, no. 2,<sup>5</sup> in which 5 is prolonged over a

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<sup>1</sup>Heinrich Schenker, Free Composition: Volume III of New Musical Theories and Fantasies, trans. and ed. Ernst Oster (New York: Longman, 1979), p. 130.

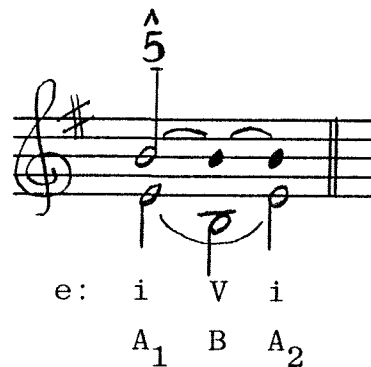
<sup>2</sup>Ibid., p. 128.

<sup>3</sup>Ibid., p. 129.

<sup>4</sup>Ibid., p. 130.

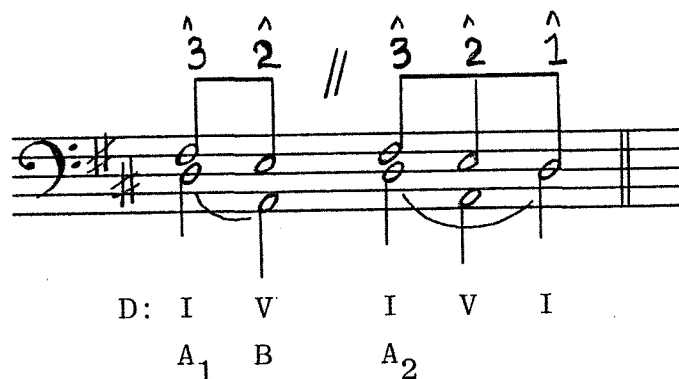
<sup>5</sup>Ibid., Figure 75.

Example 1. Chopin, Mazurka, Op. 41, no. 2.



dividing dominant. (See Example 1.) The prolongation of the dividing dominant in the middle section may also occur in conjunction with an interruption of the fundamental line, as the "Ode to Joy" theme of Beethoven's Ninth Symphony shows.<sup>6</sup> (See Example 2.)

Example 2. Beethoven, "Ode to Joy" Theme.

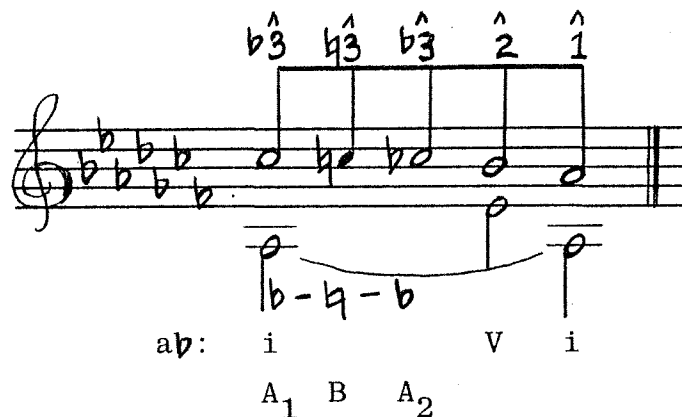


Chromatic alteration in the Urlinie ("mixture"), generally of the third scale degree, may produce a ternary division, as can be observed in Schenker's analysis of the

<sup>6</sup>Ibid., Figure 109e,3.

third movement of Beethoven's Piano Sonata, Op. 26<sup>7</sup> (see Example 3). A prolonged neighbor note may have the same result, as illustrated in the analysis of Chopin's Etude, Op. 10, No. 8.<sup>8</sup> (See Example 4.)

Example 3. Beethoven, Piano Sonata, Op. 26/3.

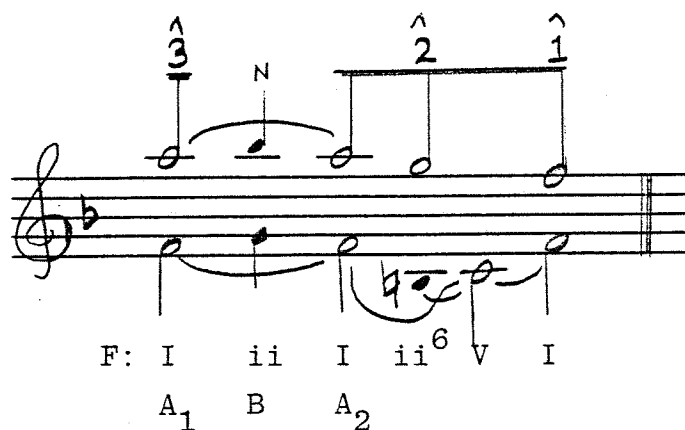


The music of Joseph Haydn, which belongs to that literature best suited to Schenker's techniques of graphic analysis, should serve as well to illustrate his formal theories. Haydn's string quartets Op. 55 (published in 1789) and Op. 64 (published in 1790), dedicated to Viennese cloth merchant Johann Tost, reveal the composer's mastery of the newly-developed string quartet genre. One characteristic which binds the twelve quartets together is the appearance of fugato sections in four of their movements – Op. 55/1/IV, Op. 55/2/II, Op. 64/2/IV and Op. 64/5/IV. Complete fugal movements, more characteristic of Haydn's earlier work, can be found in the finales of the quartets Op. 20, nos. 2, 5 and 6, and Op. 50/4. Haydn's only other use of fugato in his string quartets may be found in the first movement (theme and variations) of Op. 76/6, in which one variation is a fugato.

<sup>7</sup>Ibid., Figure 40.6.

<sup>8</sup>Ibid., Figure 76.

Example 4. Chopin, Etude, Op. 10, no. 8.



The Quartet in D, Op. 64/5, thought by some<sup>9</sup> to have originally been intended as the final quartet (no. 6) of the opus, is nicknamed the "Lark." A typical description of the first movement (Allegro moderato), from which the quartet's name is supposedly derived, is: "From the earth-bound accompaniment of the lower parts, the first violin soars up to heavenly heights."<sup>10</sup> There has been little discussion of the other three movements of the work (II: Adagio cantabile; III: Menuetto, Allegretto; IV: Finale, Vivace) in the literature.

The finale of the "Lark," with its virtuosic first violin part (possibly a tribute to violinist Tost), is in ternary form. Sections A<sub>1</sub> (mm. 1-28) and A<sub>2</sub> (mm. 76-120), both small three-part forms in themselves, are characterized by a treble-dominated homophonic texture, in which a moto perpetuo line carried mostly by the first violin is accompanied by block chords in the lower three voices. The middle section (B, mm. 29-75) is a fugato in the parallel minor, in which the constant sixteenth note motion established in the A section is carried by all voices in turn. (See Example 5 for a formal diagram of the movement.)

The ternary structure of section A<sub>1</sub> is an example in

<sup>9</sup>See Warren Kirkendale, Fugue and Fugato in Rococo and Classical Chamber Music, rev. and expanded 2nd ed., trans. Margaret Bent and the author (Durham, N.C.: Duke University Press, 1979), p. 146.

<sup>10</sup>Karl Geiringer, Haydn: A Creative Life in Music (New York: W.W. Norton & Company, Inc., 1946), p. 256.

Example 5. Haydn, Op. 64/5/IV, Formal Diagram.

A <sub>1</sub> (ternary)			B (fugato)									
$\text{♩} a_1$	$\text{♩} b$	$a_2$	S...CS...CS.. S...-----									
4+4	4+4+4	4+4	CS..A....-----									
8	12	8	S....--CS..-----									
			S...CS..-----									
			<u>exposition</u>					<u>episode</u> (sequential development of S, CS)				
D: I	V	I	i	V	i	III	iv	i	V	i	V	
D: I			i									

mm. 1 5 10 15 20 25 30 35 40 45 50 55 60 65 70 75

A <sub>2</sub> (ternary)				Coda
$a_1$	$b$	$a_2$ (ext.)	$a_3$	
4+4	4+4+4	4+4+5	2+2+2 + 4+2	4+4
8	12	13	6 + 6	8
			12	
I	V	I	IV V I	
I			IV V I	

75 80 85 90 95 100 105 110 115 120 125

miniature of three-part form achieved by the prolongation of 2 over the dominant in an interruption of the fundamental line. The first section ( $a_1$ , mm. 1-8) prolongs 5, with a foreground descent to 2 leading into the middle section (b, mm. 9-20), in which 2 is prolonged over the dominant. In section  $a_2$  (mm. 21-28), 5 is regained and prolonged. At the final cadence of the section, a foreground descent to 3 occurs, seemingly closing the form. At a deeper level in the structure, a prolongation of 5 over the tonic is effected throughout  $A_1$ . (See Examples 6a and 6b.)

The examples given by Schenker in Free Composition suggest that a ternary form built around an interruption of the fundamental line has a middle section consisting essentially of a prolongation of 2 over the dominant. In this movement, however, the interruption of the Urlinie occurs at the end of the middle section; the B section, beginning in the tonic minor, prolongs 5 over the tonic through the first three subject entries of the fugato, in first violin, second violin and cello. The viola enters in m. 42, stating the subject on III, a tonic substitute. The final subject entry (first violin, m. 48) on the minor subdominant accompanies the introduction of the upper-neighbor to 5. This entry unfolds an inner voice which moves down in a line of the fourth to regain 5 - and tonic harmony - in m. 54. Tonic is then firmly established with a I-V-I bass arpeggiation in mm. 54-56. (See Examples 7a and 7b.)

Through a complex circle-of-fifths sequence pattern involving overlaps in the upper three voices, the highest pitch in the movement is reached with the dominant, at which point the Urlinie begins its descent as 8-7 (that is, 5-4) over a dividing dominant (m. 61). 3 occurs over tonic, and 2 occurs over the progression  $ii^6-V$  (m. 65), where the descent is interrupted. 5 is regained over the prolongation of the dominant (mm. 65-75), in preparation for the return of A in the tonic major. (See Example 8.)

$A_2$  begins as a literal repeat of  $A_1$ ;  $a_1$  is repeated verbatim, as are the first two four-bar phrases of b. The third phrase of b is altered somewhat, the melodic line unfolding into an inner voice, though register transfer carries the parts up an octave. (Compare Examples 9a and 9b.) A reorchestrated presentation of the theme in  $a_2$  (mm. 96-102) is harmonized in parallel thirds and sixths in an inner voice, followed by a five-bar extension (mm. 103-108) in which 5 is transferred down to its original octave through a tonic triad arpeggiation. The dominant in m. 107 prepares for the restatement of a in m. 109. (See Example 10.)

Section  $a_3$  diverges for the first time from the four-bar phrase structure established in the movement, breaking the theme into two-bar fragments made up of a compressed version of the head of the A theme. (Compare Examples 11a and 11b.)

Example 6a. Haydn, Op. 64/5/IV, Level 4, mm. 1-28.

level 4

⑤      ⑨      ⑬      ⑰      ⑳      ㉔

D:  $\frac{I}{I}$   $ii^b$   $V$   $I$   $IV$   $V$   $I$   $\frac{V}{V}$   $[vii^4_3]$   $V$   $[ii^b V]$   $V$   $\frac{I}{I}$   $ii^b$   $V$   $I$   $IV$   $V$   $I$

A<sub>1</sub>: a<sub>1</sub>      b      a<sub>2</sub>





HAYDN'S STRING QUARTET, OP. 64, NO. 5

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Example 8. Haydn, Op. 64/5/IV, Levels 3 and 4,  
mm. 56-76.

The image displays a musical score for Example 8, which consists of two systems of staves, labeled 'level 3' and 'level 4'. Each system contains two staves, likely representing the first and second violins. The key signature is one flat (B-flat), and the time signature is 3/4. The measures are numbered 56, 61, 65, and 76. The score includes various musical notations such as notes, rests, and accidentals. Above the staves, there are fingerings indicated by numbers 5, 4, 3, and 2. The score also includes a key signature change from one flat to one sharp (F#) in the final measures. The notation is complex, with many notes and accidentals, and includes a double bar line in the middle of each system.

Through a series of voice exchanges and unfoldings, this two-bar fragment is passed from voice to voice, eventually placing 5̂ in the second violin (m. 115), with an "alto" voice transferred above it, forming the basis of the first violin figuration. (See Example 13, Level 4.) The statement in the second violin extends the fragment by twice repeating its first measure, and then completes the phrase. (See Example 12.) The final descent of the Urlinie, in the second violin, mm. 118-120, is accompanied by a prominent inner voice in parallel sixths, transferred above into the first violin. The following Coda (mm. 121-128) expands the register outwards in each direction by an octave. (See Example 13.)

Two motives appear in the first phrase of the movement

## Example 9. Haydn, Op. 64/5/IV, Level 4.

a. mm. 17-21

b. mm. 92-96



which are prominent throughout the piece.<sup>11</sup> The first is the rising-third motive of the A theme (bracketed in Example 11); its activity is restricted mostly to the foreground. The second is the upper neighbor-note figure presented in an elaborated version in the A theme; it can be found operating at all levels of the structure. The frequent reappearances of the neighbor-note figure in sections A<sub>1</sub> and A<sub>2</sub> are bracketed in the foreground (level 4) graphs (Examples 6, 10, 13). The figure appears in the background structure of the B section, where <sup>b</sup>6, upper-neighbor of 5, is presented over the dividing subdominant (mm. 48-54), and is reflected as a decoration of the regained fifth scale degree before the return of A. (See Examples 7 and 8.)

The neighbor note and the rising third motives both appear in the fugato subject of the middle section. From 5, an inner voice (d) is unfolded, decorated with its lower neighbor, and accompanied in the countersubject by its inversion. An ascending-sixth gesture rises through two sets of thirds from the unfolded inner voice to the upper-neighbor of 5 in the subject, accompanied by sets of descending thirds in the countersubject, generating two-voice 6-10 exchange pairs. The resolution of the neighbor note to 5 occurs in conjunction with a 10-6 voice exchange with the countersubject. (See Example 14.)

Both motives — neighbor note and rising third — are elaborated in the Coda. The rising third is presented with its inversion, decorated by lower neighbor notes. At a somewhat deeper level in the structure, these gestures can be seen as elaborations of the upper-neighbor of the cadential 1. (See Example 15.)

<sup>11</sup>See Charles Burkhard, "Schenker's 'Motivic Parallelisms'" in *JMT* XXIII:2(145-175).

Example 10. Haydn, Op. 64/5/IV, Levels 2-4, mm. 76-109.

level 2

level 3

level 4

mm. 76-92 = 1-17

D: I ——— V ——— I

D: I V I N V I NV I NT<sup>b</sup> V I

A<sub>2</sub>: a<sub>1</sub> b a<sub>2</sub>

Handwritten musical analysis of Haydn's String Quartet, Op. 64, No. 5, Levels 2-4, measures 76-109. The analysis shows three levels of the score with various annotations including '4th', 'N req.', 'req.', 'arpegg/req.', and circled measure numbers (76, 92, 100, 103, 107). Below the staves are Roman numeral chord progressions for D and A2, and a sequence of notes a1, b, a2.

Example 11. Haydn, Op. 64/5/IV.

a. Violin 1, mm. 1-5.

Two staves of music in treble clef, key of D major (two sharps). The first staff shows measures 1-5 with a dashed line indicating a fourth interval between the first and fourth notes, labeled '4th' and 'N'. The second staff shows measures 1-5 with a 2/4 time signature and various rhythmic markings.

b. Violin 1, mm. 109-110.

Two staves of music in treble clef, key of D major (two sharps). The notation shows measures 109-110 with various rhythmic markings.

Example 12. Haydn, Op. 64/5/IV, Violin 2, mm. 115-130.

Two staves of music in treble clef, key of D major (two sharps). The notation shows measures 115-130 with various rhythmic markings. Above the staff, there are fingerings: 5, (5), 4, 3, 2, 1, indicating specific notes or intervals.

Example 13. Haydn, Op. 64/5/IV, Levels 2-4, mm. 109-128.

level 2

level 3

level 4

D: I IV V I

A<sub>2</sub>: a<sub>3</sub> Coda

Example 14. Haydn, Op. 64/5/IV, Violins, mm. 29-33.

The image displays a musical score for Example 14, Haydn, Op. 64/5/IV, Violins, mm. 29-33. The score is presented in two staves. The top staff shows the original musical notation, including various accidentals and phrasing slurs. The bottom staff is a Schenkerian reduction, illustrating the underlying harmonic structure with notes, accidentals, and phrasing slurs. Handwritten annotations include "reg." (register) and "N" (Neapolitan) above the staff, and "6-10", "6-10", and "10-6" below the staff. Roman numerals "i 6", "iv", and "V 8-7 i" are written below the staff.

According to Schenker, "all forms appear in the ultimate foreground; but all of them have their origin, and derive from, the background."<sup>12</sup> When one examines the background structure of this movement, at the deepest structural level the interruption of the fundamental line seems to determine a binary division of the form. (See Example 16.) Schenker recognizes this problem, stating that "division plays the most important role in three-part form . . . , even though at the first level it brings binary characteristics to the fore, as a consequence of 3-2| 3-2-1 or 5-2| 5-1."<sup>13</sup> If form derives from the background, how is such a ternary form

<sup>12</sup>Schenker, *Free Composition*, p. 130.

<sup>13</sup>*Ibid.*, p. 132.



Example 15. Haydn, Op. 64/5/IV, Upper Voices,  
mm. 120-126.

Example 16. Haydn, Op. 64/5/IV, Background Graph.

5 4 3 2 1 5 4 3 2 1 6 7 4 3  
 # 4 (DIV) (DIV) #  
 D: I IV i V i IV V I IV V I  
 A, B A<sub>2</sub>

to be distinguished from a binary form at the background level of structure? Schenker's formal theory does not resolve the contradictory indications of ternary design shown at the foreground and middleground levels of structure, as opposed to binary design apparent at the background level. According to Schenker, "the element of time cannot alter the meaning of a musical phenomenon."<sup>14</sup> However, duration certainly has an effect on our perception of formal structure. Form is reflected here in the foreground and middleground, but while the form is closely connected with the tonal structure of the movement, it is not identical with it.

The design of statement-contrast-return of the "Lark" finale leads to the perception of the movement as a ternary form. The minor tonality and polyphonic texture of the middle section is set against the major tonality and homophonic texture of the A sections. Also, the middle section is of substantial length, approximately one-third of the duration of the movement. Rather than viewing form as an element of tonal structure (Schenker's approach), form and tonal structure should be seen as separate but interactive elements of the composition.

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<sup>14</sup>Translated from Schenker's Harmonielehre (p. 411) in Eugene Narmour, Beyond Schenkerism: The Need for Alternatives in Music Analysis (Chicago: University of Chicago Press, 1977), p. 87.