A.B. MARX'S CONCEPT OF RONDO AND SONATA:  
A CRITICAL EVALUATION OF HIS  
EXPLANATIONS OF MUSICAL  
FORM  

THESIS  

Presented to the Graduate Council of the  
University of North Texas in Partial  
Fulfillment of the Requirements  

For the Degree of  

MASTER OF MUSIC  

By  

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July, 1993

The third volume of A.B. Marx's theory treatise Die Lehre von der musikalischen Komposition is discussed. His definitions of rondo and sonata formal types are demonstrated in the first chapter in addition to the manner of their derivation through a developmental process originating in the Liedform.

Musical examples chosen by Marx are examined in chapter two. These examples, taken from Mozart's and Beethoven's piano works, are evaluated in relation to Marx's definitions of the various types of form.

The third chapter is concerned with the progression from microstructure to macrostructure and the functional interrelation of the parts to the whole. In addition, Marx's opinion on musical form is compared with perspectives of philosophers from his time period and the immediate past.
Denn alle Kraft dringt vorwärts in die Weite,
Zu leben und zu wirken hier und dort;
Dagegen engt und hemmt von jeder Seite
Der Strom der Welt und reißt uns mit sich fort:
In diesem inneren Sturm und Äußern Streite
Vernimmt der Geist ein schwer verstandenes Wort:
Von der Gewalt, die alle Wesen bindet,
Befreit der Mensch sich, der sich überwindet.

Johann Wolfgang von Goethe
ACKNOWLEDGEMENTS

Dr. Graham Phipps, my major professor and advisor, has always been helpful and supportive during the time of the completion of this thesis. It would be difficult to mention the variety of levels in their entirety on which he directed the development of my studies in a perceptive and subtle way. It is my pleasure to thank him for his assistance and constant encouragement as well as for his adroit guidance in addition to his outstanding professional suggestions.

My further acknowledgement is directed toward those members of the faculty at the University of North Texas who helped me in various ways including Dr. Edward Baird, Dr. Gene Cho, Dr. John Covach, Dr. David Schrader, Dr. Thomas Sovik, and Mr. Adam Wodnicki. In addition, I would like to express my sincere appreciation to Dr. Kevin Korsyn whose thorough advice was a constant source of support, and, in particular, his insightful piano interpretations in addition to his detailed comments regarding my compositions were of inestimable value for me.

It would be difficult to mention all people who have encouraged me; the following list is far from being complete: my students in Nürnberg and Schwabach who have waited patiently for the completion of my work as well as the Government of Bavaria/Germany and the Town of Schwabach-Nürnberg, in particular Mayor Hartwig Reimann, Dir. Bernt-Heilmann, and Oberstudiendirektor Erich Kröner, whose permission for sabbatical made these studies possible.

I can hardly find the words with which to express the depth of my gratitude to my mother, Mrs. Margarete Lang, to my aunt, Mrs. Betty Keilholz, and to my uncle, Mr. Benny Keilholz, who supported my studies by their devotion to me and my work, as well as to Mrs. Gunda Kirchdörfer who helped me constantly during the one year of the completion of my studies at the University of North Texas. They never hesitated to give their constant encouragement.

Finally, I would like to express my appreciation to Prof. Dr. Achim von Arnim, Barbara and Erich Appel, Prof. Dr. Hans Becker, Dr. Bernhard Billeter, Dr. Rudolf Breitschopf, Oliver Cobentz, Peter Daum, Dr. Hans Graetschel, Dr. Helmut Heiger, Dr. Fritz Hieber, Elizabeth Kingdon-Grümwald, Reinhold Kirchdörfer, Prof. Rainer Kretschmer, Adolfo and Ricardo Odnoposoff, Dr. Hilma Oehl, Heinz Prandl, Dorothée and Eva Schuh, Dr. Robert Seiler, Wolfgang Semig, and Matthias Steiner for their valuable support.
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"The number of forms is unlimited."¹ This statement by Adolf Bernhard Marx represents his understanding that the form of a piece is not governed by an established canon. For him, form was "the way in which the content of a work -- the composer’s conception, feeling, idea --"² is expressed. He takes compositions by such composers as Ludwig van Beethoven and Wolfgang Amadeus Mozart and employs them as models that represent well-rounded entities themselves; for him, "'form' was almost synonymous with whole."³ Based upon Marx’s opinion, pieces may share similar forms, but these forms are not based upon obligatory compositional procedures. His belief was that form and content are inseparably intertwined; moreover, an underlying idea--allowing for the combination of parts into a unified whole--is evident because of the existence of the shared similar forms. Thus, Marx rejected the notion that form is a "'convention’";⁴ rather, forms are abstract traditional

²Bent, "Analysis," 351.
³Bent, "Analysis," 351.
⁴Marx in Bent, "Analysis," 351.
organizational patterns that may be discovered by the analyst.

A.W. Schlegel (1767-1845) had a similar understanding to that of Marx in reference to the ways in which nature and art are related. The former maintained that "...beneath the consciously molded work of art must lie an unconsciously molded work of nature." According to Schlegel, nature [...] should be understood] not as a mass of products but as itself a producing [force]. Marx's beliefs were vested in the gift of genius, an artist's creativity, the breaking of existing rules, and the importance of an idea that can be developed. Another influence on Marx was the Swiss educator Heinrich Pestalozzi (1746-1827). His view was that the law of man's development is an internal, organic growth process rather than the sum total of external circumstances. Furthermore, every process has a beginning and a period of growth; all parts form together a whole. Marx's descriptions of each process begin with a Motiv which may be described as the ballistic force that carries the drive to expansion.

Marx's writings on sonata form differ from Carl Czerny's in the sense that Czerny's development of sonata is

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an almost exclusively theoretical one that is abstracted from the music. In comparison, Marx provided a discussion on sonata form that was directed toward the music. In his treatise *Die Lehre von der musikalischen Komposition*, he pursued the discussion by citing examples from the music of Beethoven and Mozart. Marx mentions their unique key organization and recommends that other composers may carefully consider the advantages of such schemes; that is, the importance of considering the abstract theoretical definition of form from the actual music.

A public disagreement between Marx and G.W. Fink may serve to reveal Marx's contemporary philosophical standpoint; *Die alte Musiklehre im Streit mit unserer Zeit* (1841) records these proceedings. *Die Lehre von der musikalischen Komposition* served as a tool in theoretical education during the twentieth century, and its influence was felt on succeeding generations.

In his treatise *Die Lehre von der musikalischen Komposition*, Adolph Bernhard Marx uses a restricted number of terms for his definition of Rondo and Sonata Forms. Throughout his discussion of musical forms, he adopts this set of technical terms as a consistent one and uses them as such. Marx describes five increasingly more complex rondo types. From the fifth of these, he develops a new type, the sonata form. In this paper, I have elected to retain the original German version of these terms in order to preserve
the flow of my presentation of Marx's idea. Marx's terms and their English equivalents are given below.

**Practical Definitions of Terms That Marx Uses in His Composition Treatise**

**Abschnitt**
a "segment" (in the mathematical sense in comparison to "sector" [Ausschnitt]; a Abschnitt might be a smaller segment; whereas Ausschnitt might be a larger section.

**Anknüpfung**
a connective passage between two musical phrases, periods, or parts

**Bewegung**
a motion that can be understood either in regard to its inner forward drive, or to its rich emotional content

**Erweiterte Periode**
extended period; that is, a passage that closes with a cadence, but is extended in the middle part

**Gang**
a part carrying the motion forward that is understood with regard to the process of time (Zeitverständnis)

**Gestaltungsanliegen**
formal concern

**Hauptmotiv**
the main or first theme stated at the beginning of the exposition

**Hauptsatz**
first part of the exposition that is devoted exclusively to the main or first theme

**Kontinuitätsprinzip**
law of continuity

**Kopfmotiv**
headmotive

**Liedsatz**
a complete musical song-like statement; it might be a single phrase or a more complex period consisting of two or more phrases
**List of Terms (continued)**

**Lied**
- song

**Liedform**
- song form

**Nachsatz**
- consequent phrase that follows its antecedent

**Nebensatz**
- second part of the exposition, containing the second theme; Marx uses this term interchangeably with *Seitensatz*

**Nebenwerk**
- side-effect

**Periode**
- a passage that is concluded with a cadence

**Ruhe**
- point of repose

**Satz**
- phrase

**Sätzchen**
- if translated literally from German, it is defined as a small *Satz*; in Marx’s terms, however, it means the subdivision of a phrase into "head" (if it is its first part) or into "tail" (if it is its last part)

**Schlußsatz**
- final phrase

**Seitenpartie**
- secondary section

**Seitensatz**
- second theme

**Übergang**
- a transitional passage that links *Haupt- und Seitensatz* transition (a specific use or sub-meaning of *Gang*)

**Überleitung**
- a link passage that is shorter than a transition
List of Terms (continued)

Vordersatz
   antecedent phrase that is followed by its consequent

Zwischensatz
   connecting phrase between two main sections
CHAPTER I

A.B. MARX'S THEORY OF FORM: HIS CONCEPT OF RONDO AND SONATA AND HIS DEVELOPMENT OF SONATA FORM

The Small Rondo Forms

It is Marx's opinion, that the development of sonata form has its origin in the rondo forms. His definition of rondo is that it is derived from Lied which in turn finds its origin in the variation form. Marx understood variation as a modified repetition of Lied, in which the theme, the liedförmige Satz, was most important. The next step beyond the Lied, the Gang or Satz in either homophonic or polyphonic manner is introduced. This Liedsatz, then, remains the only Hauptsatz; in comparison, everything else is of secondary importance.

If two Liedsätze follow each other without any inner connection, they form together a sequence of Liedsätze, but not necessarily a new form (see Example 2-1, Chapter II). Based upon Marx's opinion, new forms are created when different Sätze and Gänge are unified into an internally connected whole, so that the resultant form shows only a loosely connected series of single forms in the foreground rather than a chain of loosely connected Sätze. There are two main possibilities of combination: first, either that
the initiating Liedsatz remains the main part; that is, the Hauptsatz, beside which everything else is secondary material; or, second, a second Liedsatz, of equal importance to the first, appears. Marx calls the former possibility Rondo Form, derived from the Rundgesang or Rondeau.

This idea of Marx may be summarized as follows: a Liedsatz becomes Hauptsatz when it has an additional content besides its own. Marx conceives a unified whole as being of tripartite structure. He calls this form Satz -- Gang -- Satz on the level of musical reality as a microcosm, whereas its macrocosmic region mirrors natural law in expressing eternal sequence of Ruhe -- Bewegung -- Ruhe. Marx translates this relation into harmonic terms as Tonic -- Dominant -- Tonic, and draws a close relation to the Dreiteilige Liedform, which turns away from and returns later to the first Satz (see Example 2-2, Chapter II). The following diagram shows the interconnection of its levels:

Figure 1:

\[
\begin{align*}
\text{Dreiteilige Liedform} \\
\text{Satz} & \quad \text{Gang} & \quad \text{Satz} \\
\text{corresponds to} & \quad \text{Ruhe} & \quad \text{Bewegung} & \quad \text{Ruhe} \\
\text{corresponds harmonically to} & \quad \text{tonic} & \quad \text{dominant} & \quad \text{tonic}
\end{align*}
\]
The First Rondo Form

A Liedsatz becomes Hauptsatz in that it has an additional content besides its own. Consequently, this is only the case if the Satz itself is not entirely self sufficient or if the composer does not provide the appropriate background of mood and sensitivity to lend it a sense of independence. The direction of expansion, then, is dependent upon the specific mood of expression that draws by itself its limits and means of dissemination.

The new element described above demands its right to expansion causing the development of the Gang out of the Satz. Therefore, the Satz-like element withdraws increasingly into the background, whereas the Gang-like element becomes predominant. This process finds its harmonic expression in modulation where the harmonic motion opens various possibilities for its continuation. At this point, it becomes evident how closely related the first rondo form is to the Dreiteilige Liedform. According to Marx, the main Satz of the first rondo form becomes so satisfactory in realizing musical expression that the introduction of any new material would become a redundancy (See Examples 2-3 through 2-8, Chapter II). The following diagram summarizes the above:
Figure 2: Marx’s Concept of the First Rondo Form

Satz

consists of

Liedsatz or Hauptsatz

Marx calls it Hauptsatz, when it fulfills the following presuppositions:

Liedsatz + Hauptsatz
additional content besides its own

From this scheme, Marx develops the second rondo form.

The Second Rondo Form

When new musical material is introduced, it creates a subordinated material which we may call Seitensatz. According to Marx, the main characteristics of the second rondo form are Hauptsatz -- Seitensatz -- Hauptsatz, thus corresponding to that of the first rondo form of Satz -- Gang -- Satz. The consideration how to connect one Hauptsatz to the other permits the accommodation of modulation to another closely related key for the Seitensatz, frequently the dominant or subdominant key. If C-Major is the tonic of the piece, then, the closely related keys are

Figure 3: Key Relations

C Major -- G Major -- C Major
C Major -- F Major -- C Major
C Major -- A Minor -- C Major
C Major -- C Minor -- C Major.
In this form, both new musical material and subordinated thoughts may occur. The form combines two song-like Sätze both of which are two-part songs. The following diagram may illustrate Marx's concept:

Figure 4: Diagram

<table>
<thead>
<tr>
<th>Hauptsatz (HS)</th>
<th>Seitensatz (SS)</th>
<th>Hauptsatz (HS)</th>
</tr>
</thead>
<tbody>
<tr>
<td>these Sätze are interconnected because they contain material whose sequence is based on the previous section as follows</td>
<td></td>
<td></td>
</tr>
<tr>
<td>theme 1</td>
<td>theme 2, contrasting</td>
<td>return of theme 1, indifferent key</td>
</tr>
<tr>
<td>two-part song form</td>
<td>two part song form</td>
<td>two-part song form</td>
</tr>
</tbody>
</table>

Marx uses Beethoven's Sonata in A-Major, Op. 2, No. 2, to illustrate the second rondo form. (See Chapter II, Figures 11 through 15, and Example 2-9, where the first movement of this sonata is cited with markings to indicate how Marx illustrates his second rondo form).

Specific Observations of the Individual Parts

At this point, Marx describes the Hauptsatz and the Neben- or Seitensatz in greater detail. Since he believes that as rondo tends toward sonata, Haupts- and Nebensatz increasingly become a unified whole through their strengthened interconnection, he conceives the section described above as the central point of the rondo that itself contains independent material; it therefore occurs in
Liedform, either bipartite or tripartite, thus containing material for contentional dialogue. In the case where a fully developed, independent Seitensatz does not exist—as was the case in the first rondo form—the Seitensatz is called Gang. The Übergang is conceived as a link passage between Haupt- and Seitensatz. Finally, in Marx's opinion, the pedal point plays an important dramatic role that enhances the move to the dominant key. Marx explains the rhythmic structure as a contraction that causes an overlap of the end of one section with the beginning of the following one both on the level of individual measures and of sections Satz -- Gang -- Satz.

The Third Rondo Form (in Slower Tempo)

Marx calls the forms greater when there are two different Seitensätze. The first of these greater forms is the third rondo form. Marx conceives this form as two intertwined rondos as shown in the figure below:

Figure 5: Third Rondo Form

G

HS -- SS -- HS

HS -- SS -- HS, or:

If the Haupsatz is A, the first Seitensatz B, and the second one C, the model becomes A - B - A - C - A. In addition, he provides a discussion on the individual parts
of the third rondo form **Hauptsatz -- Seitensatz -- Verknüpfung.** Marx uses Mozart's Rondo in A-minor, K. 511, as a model for third rondo for, as shown in Chapter II.

Marx distinguishes furthermore between faster and slower meter in this form. In his opinion, the basis of slow meter is a predominant mood of lingering (vorherrschende Verweilen) in the single movement. The basis of a faster meter is the predominance of motion. The ground form of this motion is called **Gang,** whereas the fixed form is called **Satz** (see Chapter II).

The **Hauptsatz** in fast meter presupposes a one-part **Periodenform.** Its content is found mainly in the **Hauptstimme** that has only a suggestion of an accompaniment so that the natural flow of the faster meter is not interrupted. This form becomes a bipartite structure in regard to its expansion. The **Übergang** of **Hauptsatz** and **Zwischensatz** consists of a fluent motion in the accompaniment of the **Hauptsatz,** followed by a **Seitenstaz.** In order that the **Seitensatz** may not overbalance the **Hauptsatz,** it must not exceed the proportions of the **Satz-** or **Periodenform.** Therefore, the two-part **Liedform** may be preferred over the mere **Periodenform.** Marx states that in a rondo of faster meter we may find a satisfactory period that is closed in itself forming the **Hauptsatz.** The **Seitensatz** may consist of a **Satz** and its repetition; the **Seitensatz** is followed by another **Gang.** Generally in faster compositions,
the Gänge must be more elaborate, and the second Gang should be more broadly conceived in order to complement the first short one.

Marx discusses the finale of Beethoven's Sonata in C-Major, Op. 53, which he considers to be a perfect example of the third rondo form. The first movement is already in faster meter. The characteristic of faster motion is predominant in that the adagio is not conceived as a middle movement between the first and the last allegro, but as an introduction to the latter one. The last Allegro (Allegretto moderato, then Prestissimo) illustrates Marx's third rondo form, as may be seen in Chapter II (Mozart's Rondo in A-Minor, K. 511, in Example 2-10, illustrating the third rondo form in slower meter and Examples 2-14 in faster meter, illuminated by Beethoven's Sonata in C-Major, Op. 53).

The Fourth Rondo Form

Rondo form was developed in that it grew out of an accumulation of grouping of sections of the composition; that is, departing from the Lied, a Gang was added, then a Seitensatz, finally two Seitensätze, and a Anhang.

The fourth rondo form possesses the structure HS -- SS1 -- HS -- SS2 -- HS -- SS3 (HS -- SS1). Marx rejects the possibility of expanding the rondo form by adding more Seitensätze because that procedure would adversely affect the unity of the movement; the composer must invent four
contrasts, the Hauptsatz and the three Seitensätze, which need to form a unified whole either by their mood or by their inner connections. Marx considers this occurrence to be the limit of this form; further extension is possible but not desirable. The necessity of repetition of single parts in order to achieve a desirable connection among them would have a tiring effect. Thus, the Hauptsatz and the Seitensatz form a closely related multitude of sections (Massen) the interconnections of which are even more established through modulation. Marx demonstrates as examples Beethoven's *Sonata in A♭-Major*, op. 26 and his *Sonata in A-Major*, op. 2, finale, as discussed in the Chapter II in Example 2-12 as well as in Figure 16.

**The Fifth Rondo Form**

Marx distinguishes a fifth rondo form in which the Haupt- und Seitensatz are more closely bound together as a single section of the composition (I). The second section (II) is then a second Seitensatz. The third section consists of the repetition of part I. The form may be outlined as shown.

![Diagram](image)

It is noticeable, however, that the Hauptsatz is not found in the middle part. It is from this concept of the fifth
rondo form, that Marx develops his idea of sonata form. Examples containing detailed discussion are given in Chapter II.

**Overview of The Smaller and Greater Rondo Forms**

**Figure 7:**

<table>
<thead>
<tr>
<th>Origin of Sonata:</th>
<th>First Rondo Form</th>
<th>Second Rondo Form</th>
<th>Third Rondo Form</th>
<th>Fourth Rondo Form</th>
<th>Fifth Rondo Form</th>
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<tr>
<td>Variation, Liedformiger Satz or Liedsatz</td>
<td>The Gang develops out of the Satz because of its urge to expansion</td>
<td>Hauptsatz (SS)</td>
<td>Two intertwined Rondos</td>
<td>A series or Anknüp-fung of different HS and SS</td>
<td>HS-- SS 1-- HS-- SS2-- HS-- SS1</td>
</tr>
<tr>
<td>Hauptsatz if it has an additional content besides its own</td>
<td>The Satz-like element comes into the foreground</td>
<td>Seitensatz (SS)</td>
<td>A--B--A--C--A</td>
<td></td>
<td>Return to HS-- SS 1</td>
</tr>
<tr>
<td>Dreiteiliger Liedsatz if there is a Satz corresponding to Ruhe-Bewegung-Ruhe</td>
<td>It resembles the Dreiteilige Liedform in that it shows the same proportions: Satz-- Gang--Satz, or Ruhe-- Bewegung--Ruhe, or</td>
<td>Hauptsatz (HS)</td>
<td>Hauptsatz-- Seitensatz-- Verknüpfung</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Harmonic correspondent: tonic-- dominant-- tonic</td>
<td>Tonic-- Dominant-- Tonic</td>
<td></td>
<td></td>
<td></td>
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<td></td>
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</tbody>
</table>
To essential points in Marx's discussion of the rondo forms, are: 1) rondo is the basis of the Hauptsatz; 2) this Hauptsatz leads naturally to the Seitensätze; 3) the Hauptsatz returns as an important part thereby creating a tripartite concept. His notion of sonata form is derived from this tripartite model.

Two Types of Sonata Form

As described above, the fourth and fifth rondo forms surpass the boundaries of the simpler rondo forms in the sense that they combine the first Haupt- and Seitensatz into a more unified whole, as HS -- SS1.

Marx's idea of sonata form realizes what was begun in the fifth rondo form in two different types: 1) that the "foreign element" -- the second Seitensatz -- that was retained in the fifth rondo form, is abandoned. 2) a new second middle part is presented in unification with the first part. The first type Marx calls Kleine Sonatina or Sonatinenform; the second type he calls Soantenform.

The Sonatina Form

The sonatina consists of two sections, the exposition and the recapitulation; but it lacks a development section. The exposition itself includes two parts: the Hauptsatz and the Nebensatz. In contrast to the sonata, the themes (Hauptmotive) have a lighter character and are non-developmental. In contrast, Marx conceives sonata as a
tripartite form that consists of exposition, development, and recapitulation. The exposition, like that of the sonatina, contains a Haupt- and a Nebensatz. In the sonata, however, these two Sätze are composed in contrast. The Hauptmotive are developmental and we may find them continued not only into the development section, but also throughout the entire piece.

Marx cites several examples and definitions of the single parts of sonatina form.7 Its first part is similar to the first part in the fifth rondo form with the difference that the sonatina lacks the middle part, which is represented in the fifth rondo form as a second Seitensatz. The principal characteristic of sonatina form is the direct connection of the individual sections. Marx's discussion of several examples is given in the Chapter II with the Example 1-13.

The phrases in sonatinas in major keys may be divided into Vorder- and Nachsatz and the modulation is less thoroughly worked out than that of the sonata. Unlike the tripartite rondo, the sonatina is bipartite—the second Seitensatz has been omitted. Its sections, therefore, are Hauptsatz, Seitensatz, Gang, and Schlußsatz, whose interconnection is less intricate than for example that of sonata. Marx outlines the form of the sonatina as follows:

---

Figure 8: Sonatina

<table>
<thead>
<tr>
<th>Part I</th>
<th>Part II</th>
</tr>
</thead>
<tbody>
<tr>
<td>HS</td>
<td>HS</td>
</tr>
<tr>
<td>SS</td>
<td>SS</td>
</tr>
<tr>
<td>G</td>
<td>G</td>
</tr>
<tr>
<td>SZ</td>
<td>SZ</td>
</tr>
</tbody>
</table>

The Sonatina Form in Minor

Marx finds it more difficult to justify the sonatina form in minor because the minor mode would not express its lighter character as appropriately as does the major mode.\(^8\) The exposition follows the same rules as that of the exposition of the sonatina in the major key. It could not contain the most profound emotional expression possible as Marx shows in Chapter II. His discussion on Mozart's Sonata in D-Major for four hands, however, is his main argument for the discussion of this form.

Sonata Form:
A Discussion of Its Individual Parts

According to Marx's definition, sonata--in contrast to sonatina--is conceived with a middle part, and it is therefore tripartite. This middle part, however, must not contain foreign musical material. For example, a second Seitensatz, as found in the rondo forms would destroy its unity. Since the purpose of the sonata is to achieve unity, such a procedure would be self-contradictory. The second part of the sonata form, therefore, must develop the content

\(^{8}\)Ibid., 236.
of the first part either exclusively or almost exclusively.

Figure 9: *Sonata Form*

<table>
<thead>
<tr>
<th>Part 1</th>
<th>Part 2</th>
<th>Part 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>HS - SS - G - SZ</td>
<td>--------</td>
<td>HS SS G SZ</td>
</tr>
</tbody>
</table>

Marx considers three points as important characteristics for *sonata*: 1) Since all three parts consist of the same musical material the content must be highly concentrated, thereby balancing the close thematic relation of the constituent parts. Thus, Marx considers the *sonata* directed toward a higher form; 2) In the *sonata* form, it is not enough merely to bring back the musical material in a series of mechanical repetitions; rather, the cadences must give life and spirit to it. Marx uses the Allegro vivace of Beethoven's *G-Major Sonata*, Op. 31, No. 1, as an example for the demonstration of *sonata* form, as shown in Chapter II; 3) The *höhere Sonatenform* requires a formal Übergang that leads directly from the *Hauptsatz* into the *Seitensatz*. This transition provides a sense of drive that characterizes the *sonata* form.

Since the second part of the *sonata form* does not contain new material, it is therefore a combination of the material of *Hauptsatz*, *Seitensatz*, and eventually that of *Schlußsatz*. According to Marx's understanding of a higher form, the individual sections will change according to their content, to their compositional conception, and to the order...
in which they occur. These elements can only combine into a unified whole if they follow the eternal law of motion that carries in itself the extremes of Ruhe -- Bewegung -- Ruhe in all three parts of sonata form. In particular, the middle part, that of motion, carries in itself the utmost variety of compositional motion. 9

Marx lists several prototypes for connections of the first and second principal sections. 1) the direct return to the Hauptsatz; 2) the Anknüpfung by means of a Zwischensatz that contains foreign musical material; 3), the Anknüpfung by means of a finale that points in retrospect toward the Hauptsatz; 4) the introduction of the second part by means of an individual final movement; and 5) the Gang-like introduction.

A section comprising a complete Hauptsatz and a Seitensatz, introduced into the tonic key by the dominant and subdominant keys follows the connective passage and represents the third part of sonata form. The modulation may occur in several different ways, the choice of which is dependent upon the context used.

Use of Sonata Form in Slow Movements

Whereas the rondo forms are characterized by stability embodied in a Hauptsatz, that forms a stable central point of the movement, the principle of motion in the sonata form

9Ibid., 256.
is unstable requiring motion from the Hauptsatz to a
Seitensatz in a contrasting way. This Seitensatz, Marx
connects to previous occurrences with his discussion of the
rondo forms, relating to the parts Ruhe -- Bewegung -- Ruhe.
We assume the same section in the Seitensatz in the manner
of that found in the Rondo in terms of balance of weight.
It may be diagramed as HS -- SS -- HS -- SS; that is,
a sonata form in compressed version. Marx employs
Beethoven’s B♭-Major Sonata, Op. 22, II, adagio, to
illustrate this form⁶ (Chapter II).

Further Discussion of Sonata Form

The term Hauptsatz refers not only to the mere form in
general, but also to the special way it proceeds toward the
entrance of the Seitensatz. Marx gave the Hauptsatz a
similar meaning in his discussion of the rondo form;
particularly in the fourth and fifth rondo forms the
Hauptsatz is given a more flexible interpretation. The
sonata carries in itself the contrast to the sonatina, the
possibility of conveying a main idea that is supported by a
secondary one leading to its unity.

The Satzform is conceived to expand the Satz from
within and to augment its effect it by repetition; whereas
the Periode cannot be understood entirely in the modern

⁶Ibid., 253-254: The formal structure resembles that
of sonatina, but the character of the individual sections is
quite different.
sense of the term; it is, moreover, equivalent to Exposition
or Development or Recapitulation; that is, Marx conceives it
as a larger section. Thereby, he distinguishes between
three different subtypes: 1) the Periode with unresolved
consequent Nachsatz; 2) the extended Periode (erweiterte
Periode) that contains additional musical material; and 3)
the Satzkette which may be understood as a loosely connected
chain of single Perioden.

The Progression Toward the Seitensatz

Marx does not want to subject himself to any
restrictions or rules in describing the continuation of the
Hauptsatz into the Seitensatz. The only "law" that he
accepts, is the natural conception that the single element
grows out of the former one. In this respect, his "law"
corresponds to Goethe's understanding of art that each
macrostructural entity mirrors its microstructural parts in
augmentation, thus representing "natural law." The
formation of the Hauptsatz is the first result of the idea
which then becomes the driving force to its continuation in
that it carries in itself tension that demands its
expansion."

Marx describes the following types of progression
(Fortschreiten): first, the progression of the last member
of the Hauptsatz which he considers as the most common type.

"Ibid., 232."
As an example, he mentions the finale of Beethoven's C♯-Minor Sonata, Op. 27, No. 2, in which the forward motion can be accomplished quickly because the essential content of the Hauptsatz, especially the Hauptmotiv, shows a Gang-like nature, see Chapter II. A similar procedure is found in the großen C-Major Sonata.12

If the Satz does not come to a satisfactory conclusion, it motivates a return to the previous thought; that is, to the Hauptmotiv of the Hauptsatz. Examples of this type are given in Chapter II. A third type is the progression toward the Seitensatz by new motives, as found in Beethoven's C-Major Sonata, Op. 2, Nr. 3, found in Chapter II. Another possibility is a modulation for the motion toward the Seitensatz. In contrast to the sonatina in which simpler material demands simple means of connection, the sonata requires more complex musical material. A further exception of this rule is Beethoven's Sonata in F-Major, Op. 10, in which significant differences in the character of Hauptsatz and the Seitensatz demand a separation; they need a neutral transitional passage to connect them.

Definition of Character of Haupt- und Nebensatz

The Seitensatz may be written in form of a period or a two-part Liedform -- as already demonstrated in the case of

12Ibid., 268.

13Discussion: Ibid., 269-270.
the Hauptsatz. The Seitensatz possesses the following general characteristics: 1) it must form a unity with the Hauptsatz concerning mood, content, places of modulation, and metrical structure; 2) it should express contrast in each respect; 3) since the Hauptsatz is the energetic element, the Seitensatz should represent the subservient element with a dependent function that is the complementary counterpart to the Hauptsatz, thereby forming a unity with it; and 4) it should maintain its own individuality and right to a meaningful existence and should not serve merely as a side-product (Nebenwerk). The following elements are Gang and Schlußsatz.

Overview of Sonatina- And Sonata Forms

**Figure 10:**

<table>
<thead>
<tr>
<th>Characteristics of Sonatina Form</th>
<th>Characteristics of Sonata Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>Bipartite Structure, no Development Section</td>
<td>Tripartite Structure</td>
</tr>
<tr>
<td>Vorder- and Nachsatz</td>
<td>HS--SS--G--SZ --- HS--SS--G--SS</td>
</tr>
<tr>
<td>lighter in character</td>
<td>Deeper Musical Content</td>
</tr>
<tr>
<td>two separate sections</td>
<td>Three interconnected sections that build together a unified whole</td>
</tr>
</tbody>
</table>

Summarizing the above paragraphs, we may emphasize the following points: 1) Each musical creation shows a development out of a germ, similar to the growth-process in nature. This generative cell is called Motiv. The various ways in which the composer continues this Motiv, Marx
designates as Gang, thus emphasizing its element of motion;

2) Because of this element of motion, the Gang itself is not satisfactory in itself. Moreover, it requires a stable element as its complement which must be a closed musical section. Marx has chosen the term Satz which, in the German language, describes best a statement that stands exclusively for itself in that is clearly separated from the Motive which precede and follow it. Based upon his opinion, the terms Gang and Satz represent the Grundformen in music.

3) If two Sätze show a closer connection to each other, they represent a pair which is called Periode. The Periode is then necessarily divided into two sections: one that initiates and another that responds. Marx describes this Satzpaar as Vorder- and Nachsatz. Since these forms always involve at least a pair, they are called zusammengesetzte Kunstformen. However, even if those Sätze do not come to a full close, they may carry the name Satz. Marx demonstrates with this statement that he acknowledges the exception contained in each rule. In his book on Beethoven, Marx demonstrates his opposition to any kind of constraint when he writes:

... For the last time, the visioning (Gespensterschrei) about the compulsion toward form may be brought to silence. Not even a full close or consequence of the previous Satz is required, although the desire for it would be a natural occurrence. Goethe's poem "Der Untreue Knabe" gives at the end with the following line "Die wendt' sich --" a perfect example for the exception from the rule, which is found also frequently in Joh. Seb. Bach's
4) The reason for this opinion is that even a Periode may not be sufficiently closed in itself. If this were the case, the resulting piece would be bipartite because the second period does not contain at all the material from the first one; they represent two different musical parts, called zweiteiliger Satz. If, however, the single parts are connected, they occur mostly in the form of a dreiteiliger Satz, which is closed in itself and represents a larger unified whole. The cases described above are collectively known as Liedformen. 5) A more detailed contemplation leads to the realization that the single parts of a unified whole may be of unequal importance in order to function as complements to each other. In consequence, Marx distinguishes between those of greater importance which he calls Hauptsatz, and those of minor importance, designated as Nebensatz. A Satz that shows intermediary function between two parts of equal importance is called

\[ \text{Music.}^{14} \]

\[ ^{14} \text{A.B. Marx, Ludwig van Beethoven: Leben und Schaffen, (Hildesheim, New York: Georg Olms Verlag, 1979), 89.} \]

... Zum letztenmale sei die Gespensterseherei des Formenzwangs zur Ruhe gebracht. Nicht einmal vollkommener Abschluß oder Nachfolge eines ihn bringenden Satzes ist befohlen oder Herkommens, wiewohl das Verlangen danach in den meisten Fällen naturgemäß sich meldet. Das goethesche wunderschöne Gedicht "Der untreue Knabe" gibet in seinem Abbrechen

"Diewend't' sich --"

ein glorreich Beispielin der Abweichung, deren auch in der Musik von [Joh.] Seb. Bach her genug zum Vorschein gekommen sind. (My translation)
Zwischensatz, whereas he calls an introductory section an Einleitung, and a concluding one Schlußsatz. The subordinated part which is mostly represented by the second theme or second musical thought is called Seitensatz.

In the different rondo forms, we find a combination of those sections, as outlined above. The same consideration exists for sonatina and sonata forms that he develops out of the fifth rondo form.
CHAPTER II.
AN EVALUATION OF THE MUSICAL EXAMPLES CITED BY
A.B. MARX IN HIS DISCUSSIONS OF
RONDO AND SONATA FORMS

The Small Rondo Forms
The Liedsatz

As an example for the Liedsatz, Marx shows Beethoven’s
Sonata in Eb-Major, Op. 27/1.

Beethoven, Sonata in Eb-Major, Op. 27, I; Example 2-1
When Marx describes this sequence of Liedsätze as being "without any inner connection,"\textsuperscript{15} he wanted to express that two musical sections both of which end with a full cadence on the tonic key, carry enough closure in themselves—like the full cadences on E\textsubscript{b}-Major in mm. 4 and 9 in Beethoven's Sonata Op. 27/I in the above example—and therefore are emancipated entities themselves which do not form a unity together. This section appears to be bipartite on three levels: first, it consists of two sections closing with a full cadence; second, each of these sections is repeated, thus creating duality; finally, each section is divided into two subsections that could be called Motive which themselves consist of rhythmically equal figures that are treated symmetrically, as demonstrated in Ex. 2-1.

Based upon Marx's definition a Liedsatz becomes a Hauptsatz when it has additional content besides its own; that is, because of its cadence-disposition it forms a unified whole consisting of three parts, as shown in Beethoven, Sonata in E\textsubscript{b}-Major, Op. 27, II; Example 2-2. The first Satz ends on a half-cadence (mm. 7-8)—thereby demanding continuation, whereas the second Satz closes in mm. 16-17 on a full cadence to A\textsubscript{b}-Major. Thus the entire Satz in this example differs from that in Op. 27/II.

\textsuperscript{15}In reference to Chapter I/A, 7.
This piece has reached its natural closure, in that the first part represents a unified whole in Satz--Gang--Satz, corresponding to Ruhe--Bewegung--Ruhe, which by itself
corresponds to Tonic--Dominant--Tonic. From this concept, Marx draws a close relation to the Dreiteilige Liedform that turns away from the first Satz and returns later. Thus, according to him, the dynamic section is found in the middle part.

The First Rondo Form

As an example for the first rondo form, Marx has chosen the Liedsatz shown in Ex. 2-3.

Marx's Example; Example 2-3

This piece is conceived as an orchestral work; it ends in the tonic key, or in the manner shown in Ex. 2-4.

Marx's Example; Example 2-4
In the first case, it seems that, based upon Marx's opinion, the important content of the Satz is not expressed entirely over the space of fourteen measures. The concise change of the softer high voices in addition to the ponderous bass in the last bars will most likely not provide us a sense of repose. Therefore, Marx suggests that the ending be given more weight, especially because the motive leads to the conclusion shown in Ex. 2-5.
This motive can be brought to an end in the manner of the *Liedform*. The above described new element demands its right to expansion which causes the development of the *Gang* out of the *Satz*. Therefore, the *Satz*-like element, in contrast to the broadened and accumulative motion of the *Gang*, withdraws increasingly more into the background, whereas the *Gang*-like element becomes predominant. This element, however, causes the need for modulation in which the motion finds its expression. The effect of this motion reveals several possibilities for continuation; for example, a third *Motiv* in retrograde could be added. This, however, would contradict the progressive character of the modulation which does not carry a closing element. A better solution for continuation, therefore, could be the one shown in Ex. 2-6.

Marx's Example; Example 2-6
Following its expansion, the Motiv in the bass and tenor, and later in the upper voices, leads to a half-cadence in A-Minor. As a result, a feeling of completion seems to occur for the first time. At this point, a satisfaction concerning expression seems to occur for the first time.

To summarize everything that Marx has presented to this point: Example 2-1 ended with a fixed Liedsatz which we called Hauptsatz; in contrast, Examples 2-2 through 2-6 demonstrate the development of new musical material that does not have any relationship to the former one. With this new material, the mood is transformed to a more excited level, thus carrying an increasing expansive force. The character of the Gang, however—in comparison to the Satz—does not lead toward a new main thought; rather, it is a series of interconnected Motive. Since the Gang does not provide a satisfactory conclusion, something that carries in itself the desired element of closure must follow. An entire new section could be added, or the first Satz could be repeated. For the sake of unity, Marx decides on the second possibility, as demonstrated in Example 2-7.

Marx's Example; Example 2-7
The modulation develops toward its dominant that is the mediant of the new key and the tonic of the first section. Now, the Hauptsatz is repeated entirely, as demonstrated in Ex. 2-8.
The first part serves as a remembrance of the first section and provides a sense of closure in that the content is independent and does not require further musical definition. The movement has come to its natural closure; in retrospect, it may be considered a tripartite unified whole.

Applications of the Second Rondo Form and its Discussion of Intermediary Types

The characteristic of the second rondo form is that it consists of two song-like Sätze, both of which are two-part songs themselves. Marx uses the exposition of the first movement of Beethoven's Sonata in A-Major, op. 2, No. 2, to illustrate a transitional formal archetype that combines characteristics of variation and rondo. Marx diagrams the exposition as HS -- SS -- HS. He conceives the Hauptsatz from mm. 1-58 which by itself is divided into two sections: mm. 1-22 represents the first part, mm. 22-58 the second. Marx calls both subsections T1 and T2, followed by a Gang that leads into the Seitensatz (mm. 58-76) on the dominant in E-Major. It builds the supplementary counterpart of different character to the first part T1. The third part is the repetition of the Hauptsatz. He then discusses the relation between the parts in stating that balance. When letters for the transitional passages are added, the scheme is the following, whereby the numbers in the middle line express the frequency of occurrence of the single parts and their relative proportion to each other.
Figure 11: Proportionality

<table>
<thead>
<tr>
<th>HS........</th>
<th>S........</th>
<th>G........</th>
<th>HS......</th>
<th>A........</th>
</tr>
</thead>
<tbody>
<tr>
<td>T1,T2</td>
<td>T1,T2</td>
<td>T1,T2</td>
<td>1:2:1 (3)</td>
<td>T........</td>
</tr>
<tr>
<td>mm. (1-58)</td>
<td>mm. (58-76)</td>
<td>mm. 76-110</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

The balanced equality that results from this scheme could be supported by further developments in the piece. The sections, however, are completely independent; that is, individual parts of the whole may either be left out, shortened, or expanded. In other words, each part may be used in a variety of ways. This opinion can be proven by examining the relation of the parts. It is noticeable, however, that Marx describes mostly the macrocosmic regions of the piece; the microcosm which is the cell for each ballistic force—and therefore significant for the progression of a musical section—may only be inferred from his explanations of Satz and Gang that he gives at the beginning of his discussion of form. Example 2-9 shows the first movement with Marx's sections which are a combination of variation and rondo forms.

An evaluation of the musical considerations described above may show that Marx's notions of proportionality, forward motion, and expansion are based upon the natural

---

16i.e., the Hauptsatz (HS) consists of three parts with the proportions of musical material of 1,2, and 1 subdivisions.
sequence of Ruhe--Bewegung--Ruhe. In particular, when new musical material, i.e. that of the Nebensatz (mm. 12-20) is introduced, it causes not only this forward motion, but also a combination of two forms: the rondo and the variation forms.

In reference to the \textit{Andante} of this \textit{Sonata in A-Major} op. 2, No. 2, Marx mentions the relationship between the single Sätze. Although he does not mention the musical content of the subsections, his ideas about phrase structure may be applied here, as shown in Fig. 12:

Figure 12:\textsuperscript{17}:

\begin{center}
\begin{tabular}{cccc}
HS & SS & SS & G & SS & SS & HS & SS & SS & \textsuperscript{A}
\hline
T1 & T2 & T1 & T2 & T1 & T2 & T1 & T2 & T1 & T2 \\
8 & 8 & 10 & 5 & 8 & 8 & 14 & 16 & 15 & 16 & 14 measures
\end{tabular}
\end{center}

The Larger Rondo Forms

The Third Rondo Form in Slower Meter

As an example of his third rondo form, Marx discusses Mozart's Rondo in A-Minor, K. 511. Its \textit{Hauptsatz} is written in \textit{dreiteiliger Liedform}. The first of the three parts (mm. 1-8) consists of two four-measure phrases in parallel construction (\textit{Vordersatz} and \textit{Nachsatz} (5-8) with half cadence and full cadence in A-Minor, respectively. The second part, mm. 9-21) expands upon this same

\textsuperscript{17}whereby the sections T1 and T2 refer to the parts into which the \textit{Hauptsatz} is divided.
Beethoven, Sonata in A-Major, Op. 2, I; (Exposition) Example 2-9 (score)
Beethoven, Sonata in A-Major, Op. 2, I; (Exposition) Example 2-9 (continued)
Beethoven, Sonata in A-Major, Op. 2, I; (Exposition) Example 2-9 (continued)

Übergang (continued), reestablishment of
Vordersatz/Nachsatz structure in the relative major key of C. Its antecedent phrase of four measures ends with full cadence; its final eight measures comprise a double Nachsatz: the first ending with a deceptive cadence, the second ending with a full cadence. The third part of the Hauptsatz (mm. 23-30) restates the first part with only slight figural variation. A two measure Übergang connects the end of part two with the beginning of part three.

The Seitensatz, in the submediant key of F-Major, (mm. 31-64) has a more complex form than the Hauptsatz. Its first part (mm. 31-41) comprises a single phrase with repeated "head"—that defines cadential harmony in F-Major at m. 33 and again at m. 35—and a compound "tail" that modulates to the dominant key of C-Major with a cadential figure appearing in mm. 37, 39, and 41. The second part is a developmental Gang that makes use of the Hauptmotiv from the Hauptsatz and passes through the tonal regions of C-Minor, G-Minor, D-flat Major, to the dominant of F-Major/Minor, as indicated in Ex. 1-10. The third part of the Seitensatz repeats the material of part one with the significant difference that the "tail" now appears at the temporary level of F-Major with its respective three appearances of the cadential figure at mm. 60, 62, and 64 respectively.

The passage (Gang) that follows is a retransitional one that prepares the return of Hauptsatz at m. 81. In place of
its expected second part in C-Major (as found in mm. 9-21), a second \textit{Seitensatz} appears, this time in the tonic major key (mm. 89-108). This \textit{Seitensatz} is also in three parts as follows: 1) four measure phrase ending on dominant harmony in the nature of a \textit{Vordersatz} with a five-measure extension; 2) a middle section using material from mm. 1-8 in a fashion reminiscent of the middle part of \textit{SS1} (mm. 41ff.), thus remaining in the temporary key; and 3) and ornamented return to the material of the first part with a full cadence lending the quality of a \textit{Nachsatz}.

When we continue to observe the entire piece, we may realize that Marx's idea is applicable for the entire work. In sum, the piece has tripartite structure in a great variety of levels: first, the overall form combines two tripartite structures, each expressed in the large formal design A B A. Each section (\textit{Hauptsatz} and the two \textit{Seitensätze}) is divided into three parts, as is each subsection until the smallest unit, the \textit{Motiv} (see markings in the score). Marx's terms \textit{Vordersatz} and \textit{Nachsatz} are equivalent to the modern terms antecedent and consequent phrase. The detailed comments in Ex. 2-10 may illuminate these statements throughout the entire piece.
Mozart, Rondo in A-Minor, KV. 511/I; (Hauptsatz and Seitensatz) Example 2-10 (score)
Mozart, Rondo in A-Minor, KV. 511/I; (Hauptsatz and Seitensatz) Example 2-10 (continued)
Mozart, Rondo in A-Minor, KV. 511/I; (Hauptsatz and Seitensatz) Example 2-10 (continued)
Mozart, Rondo in A-Minor, KV. 511/I; (Hauptsatz and Seitensatz) Example 2-10 (continued)
Mozart, Rondo in A-Minor, KV. 511/I; (Hauptsatz and Seitensatz) Example 2-10 (continued)
Mozart, Rondo in A-Minor, KV. 511/1; (Hauptsatz and Seitensatz) Example 2-10 (continued)
Mozart, Rondo in A-Minor, KV. 511/I; (Hauptsatz and Seitensatz) Example 2-10 (continued)
Mozart, Rondo in A-Minor, KV. 511/I; (Hauptsatz and Seitensatz) Example 2-10 (continued)
The Third Rondo Form in Faster Meter

As an example for the third rondo form in faster meter, Marx discusses the first two sections (mm. 1-312) of the third movement of Beethoven's Sonata in C-major, Op. 53/III. Its Hauptsatz shows the following Sätzchen (mm. 1-8)--Marx uses this diminutive form of the term for a less extensive Satz--in C-Major which is divided into two four-bar phrases, the second of which is the exact repeat of the first one. It is followed by an equally composed one on the dominant (mm. 9-16). The accompaniment of the Sätze is given under the letters a (mm. 1-8) and b (mm. 9-16), whereby a represents a pedal-point, whereas b shows an unisono Gang. Both Sätze are repeated, and the second one is followed by a pedal point on G (dominant) of three measures (mm. 20-22), after which the first one recurs with diatonic accompaniment. After its repeat on the dominant, it is followed by a überleitungsartigen Gang (mm. 51-53) of four measures (mm. 51-54), consisting of a trill-figure that is continued as an accompaniment into the next restatement of the Satz in the soprano in C-Major (mm. 55-58). This series of five Sätze including repetitions seems like a unified whole because of their equal formations of endings which give the impression of a question because of the ascending third c-e at the end of each Sätzchen, and the uninterrupted flow of accompaniments. This series ends with a closing, but incomplete cadence in m. 62.
At this point, a new figuration (mm. 62-66) emphasizing C-Major, is introduced; it leads into the Seitensatz (mm. 70-74) in the relative minor key A-minor. Its Vordersatz (mm. is repeated one octave higher which is followed by the Nachsatz (mm.78-82), and its figurated mirror-inversion (mm. 82-86) in the bass voice one octave lower (see Ex. 2-11). A coda (mm. 86-101) leads into the final cadence in a-minor in m. 98. An Überleitung follows that is reminiscent of the first part of the Satz (mm. 1-4), but with a cadential ending in A-Minor, and, after two restatements in F-Major (mm. 101-105) and G-Major (mm. 105-111), the Satz is repeated in the original key, C-Major.

The second Seitensatz occurs in C-minor in m. 175 the first part of which is repeated in F-Major (mm. 178-182), whereas the Nachsatz ends in Ab-Major (mm. 182). To be able to return to the key region of C-Minor in m. 198, this Satz is remodeled by means of sequential patterns as indicated in the score (mm. 190-197). In addition, this new Satz is repeated in the upper voice (mm. 198ff.), whereas the bass contains the triplets in free imitation, and is followed by a close on C-Minor in m. 216. After the modulations to Ab-Major (m. 221), F-Minor (m. 224), and Db-Major (mm. 228-238), a Gang follows in the keys of Db-Minor, Ab-Minor, Eb-Minor, Bb-Minor, F-Minor, and C-minor that ends on C-Major. At this point, a pedal point is unfolded that leads back to the Hauptsatz. This section is followed by a modulatory
passage, starting in C-minor and proceeding through F-minor, Ab-Major, Ab-Major, F-minor, back to C-Minor. In this fashion, the initial key of C-minor was never really omitted. In order to return to the original key C-Major, a modulatory Gang is introduced that erases the impression of the previous key.

The Hauptsatz returns in abbreviated form (mm. 312). The movement is closed with a Prestissimo section that functions as Coda (mm. 402-542). Based upon Marx's opinion, the proportions of this rondo movement are:

- Hauptsatz: 62 measures,
- first Seitensatz with Gängen: 52 measures,
- Hauptsatz: 62 measures,
- second Seitensatz with Gängen: 138 measures,
- Hauptsatz until the Prestissimo: 90 measures,
- Coda (Prestissimo): 141 measures.

The Fourth Rondo Form

Marx uses Beethoven's Sonata in Ab-Major, op. 26, finale, to illustrate fourth rondo form. Marx summarizes the form of the movement as follows:

Figure 13: Beethoven, Sonata Ab-Major, op. 26 (Modulation Plan):

<table>
<thead>
<tr>
<th>HS</th>
<th>SS1</th>
<th>HS</th>
<th>SS2</th>
<th>HS</th>
<th>SS1</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>B</td>
<td>A</td>
<td>B</td>
<td>A</td>
<td></td>
</tr>
<tr>
<td>Ab</td>
<td>Eb</td>
<td>Ab</td>
<td>C-Min.</td>
<td>Eb</td>
<td>Ab</td>
</tr>
<tr>
<td>mm. 1-28</td>
<td>32-52</td>
<td>57-64</td>
<td>80-88</td>
<td>100-106</td>
<td>107-128</td>
</tr>
</tbody>
</table>
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11
(score)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11
(continued)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11

(continued)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11 (continued)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11 (continued)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11

(continued)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11
(continued)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11

(continued)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11

(continued)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11
(continued)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11

(continued)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11 (continued)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11 (continued)
Beethoven's Sonata in C-major, Op. 53/III, Example 2-11 (continued)
A further elaboration of this modulation scheme will be demonstrated in the following outline:

The *Hauptsatz* (mm. 1-28) consists of two separate Sätze. The first of these is divided into Vorder- and Nachsatz in parallel construction, each further subdivided into "head" and "tail."

\[
\text{HS 1-28} \\
\begin{align*}
1\text{st Satz} & \quad \text{Vordersatz (1-6) ends on V} \\
& \quad \text{Nachsatz (9-12) ends on I}
\end{align*}
\]

In contrast, the second Satz is an assimilation of a single phrase that is repeated; the phrase states its motive three-times in sequence.

\[
\text{2nd Satz 12-20} \quad \text{3 times motive established to cadence} \\
\quad 20-28 \quad \text{repeated Satz}
\]

It is followed by a Gang, that moves from I to V and leads into the first Seitensatz in Eb-Major, as shown in the following outline:

\[
\begin{align*}
\text{Gang (28-32)} & \quad \text{I -- V} \\
\text{SS1 (32-52)} & \quad \text{in Eb} \\
& \quad \text{single phrase with head repeated three times with Stimmtausch and tail leading to cadence.}
\end{align*}
\]

An exact repeat of the Hauptsatz follows:

\[
\text{HS (52-80)} \quad \text{exact repeat of 1-28}
\]

The second Seitensatz occurs in m. 80-88 as follows:

\[
\text{SS2 (80-88)} \quad \text{2 four-bar phrases, ending on C-Minor (m. 84) and ending on G-Minor (m. 88), repeat}
\]
The following part leads back to the literal restatement of mm 1-7, see below:

89-91  Gang: consisting of "tail" of the second Seitensatz with cadential ending on G-Minor

91-93  modulatory passage to F-Minor, then to Eb-Major (m. 96)

96-106 literal restatement of mm. 1-7, ending on V

107-128 literal restatement of mm. 6-28, followed by the imitation of 2-bar phrases (mm. 128-130, 130-132, 132-134, and 134-138) with the proportions 2, 2, and 4 measures.

Although these two- and four bar phrases have properties that combine elements of Gang and Satz, I prefer to use the term Gang to describe this passage because of the motion forward that is created by repetition, although the figure itself is the second part of the Nachsatz.

138-142 equals mm. 32-36, followed by a restatement of the Seitensatz in Stimmtausch. The following Gang leads directly into the Schlußkadenz (final cadence) in Ab.

In Marx's opinion, as discussed in Chapter I, the fourth rondo form possesses the structure HS -- SS1 -- HS -- SS2 -- HS -- SS3 (HS - SS1) and should not be expanded because then, it would lose its inner coherence. This sonata by Beethoven is a perfect example of fourth rondo in the sense that Beethoven expands the scheme suggested by Marx only until the second Seitensatz.
Beethoven's Sonata in A#-Major, Op. 26/finale, Example 2-12
(score)
Beethoven's Sonata in Ab-Major, Op. 26/finale, Example 2-12

(continued)
Beethoven's Sonata in Ab-Major, Op. 26/finale, Example 2-12
(continued)
Beethoven's Sonata in A\textsubscript{b}-Major, Op. 26/finale, Example 2-12

(continued)

Vorlaufer (literal restatement)

of mm. 1-7

Literal restatement of mm. 6-28

imitation of 1st bar of mm. 28-32

these passage combines "Grungy" and "Saturn" elements
Beethoven's Sonata in A♭-Major, Op. 26/finale, Example 2-12 (continued)
The Fifth Rondo Form

As an example for the fifth rondo form, Marx discusses Beethoven's Sonate Pathétique, Op. 13/IV. He divides this piece into three sections--HS -- SS1; SS2; and HS -- SS1-- according to his model, as described above in Chapter I.

The formal structure follows the outline given below:

Section I     HS (1-17)
    1-78
    Complete Satz (single phrase) 1-8
     Nachsatz that serves as an extension of the basic eight-measure Satz (9-12);
    it is followed by a
     Nachsatz fragment of two measures that is repeated (13-14)(15-16) and extended to final cadence in m. 17.

The Zwischensatz -- or Gang modulates to Eb--that is, a transition (18-25). It is followed by the first Seitensatz SS1

     single Satz in three parts:
     1) "head" (25-29);
        repeated in minor mode (30-33)
        to arrival on dominant;
     2) extension of V harmony (33-36)
     3) "tail" (37-43) cadential material.

The second Seitenzatz is constructed as follows:
The second section of this piece is conceived as follows:

Section II

62-78 SS2

Vordersatz (43-47) ends on V;

Nachsatz (47-51) ends on I;

Übergang (51-61);

(a retransition)

HS (62-78) exact repeat of 1-17.

79-120 SS2 and Gang

Vordersatz (79-82) ends on V of A;b;

Nachsatz (83-86) ends on I of E;b;

87-94 ornamented repeat of 79-86;

95-98 Übergang made of related material

Gang 99-120

begins with repeat of Vordersatz (99-102 = 79-82) thereby suggesting repeated SS2, but Nachsatz is changed in its third measure to become a Gang (retransition) extended by means of pedal point to m. 120

Section III

mm. 1-8 Satz is repeated exactly but Nachsatz has been left out, but the Gang at 128-134 acts as transition.

m. 134: the Seitensatz appears transposed to C-Major, followed by Schlußsatz

m. 139: no change in mode (see m. 30), in m. 143 the "tail" appears again like in m. 34

m. 153: SS2, consisting of Vordersatz (mm. 154-157) and extended Nachsatz (157-171)

mm. 171-178 Hauptsatz appears again, followed by a Gang-like passage that leads into the Anhang (m. 34).
The illustration is given in Ludwig van Beethoven's Sonata in C-Minor (Pathétique), Op. 13/IV (see Example 2-13). The observations that are made in this example allow for the following considerations. When Marx states in Chapter I that "in the fifth rondo form, the Hauptsatz is not found in the middle part," we may observe that in the above sonata, the Hauptsatz recurs between the first and second Seitensatz; one may ask whether this particular sonata may be a perfect example for the demonstration of this form. Since based upon Marx's opinion either the first part of fifth rondo form or the third part equal each other; that is, both section I and section II consist of HS and SS1 in his theoretical explanations. In the above example, however, the third section contains in addition also SS2, so that we may state, that this example given by Marx is at least not a "perfect" one, but comes close to his suggested form.

Marx's Discussion About the Application of Sonatina Form In Works of the Piano Literature

Marx uses Mozart's Sonata in D-Major, KV 381 (123'), for four hands to illustrate sonatina form. Marx outlines the form of the sonatina as follows:

<table>
<thead>
<tr>
<th>Part I</th>
<th>Part II</th>
</tr>
</thead>
<tbody>
<tr>
<td>HS</td>
<td>HS</td>
</tr>
<tr>
<td>SS</td>
<td>SS</td>
</tr>
<tr>
<td>G</td>
<td>G</td>
</tr>
<tr>
<td>SZ</td>
<td>SZ</td>
</tr>
</tbody>
</table>
Beethoven, Sonata in C-Minor (Pathétique), Op. 13/IV,
Example 2-13 (score)

Rondo

Alegro

end of HS sequence using circle of 5ths as harmonic basis to modulate from C-minor to Eb Major
Beethoven, Sonata in C-Minor (Pathétique), Op. 13/IV, Example 2-13 (continued)
Beethoven, Sonata in C-Minor (Pathétique), Op. 13/IV,
Example 2-13 (continued)
Beethoven, Sonata in C-Minor (Pathétique), Op. 13/IV,
Example 2-13 (continued)
Beethoven, Sonata in C-Minor (Pathétique), Op. 13/IV,
Example 2-13 (continued)
Beethoven, Sonata in C-Minor (Pathétique), Op. 13/IV,
Example 2-13 (continued)
Beethoven, Sonata in C-Minor (Pathétique), Op. 13/IV,
Example 2-13 (continued)
As already stated in Chapter I, the characteristic of sonatina is that it does not contain a development section. Part I of the movement consists of a Hauptsatz (a single phrase in three parts—Sätzchen—developed out of two motives that occur originally in mm. 1-3). The same procedure occurs in the Seitensatz which now appears to be in the main key for its first seven measures and ends on a full cadence. (Marx uses the term Sätzchen to define a part of a Satz; if there are two Sätzchen in a Satz, we might use the terminology "head" and "tail" for them. In this particular movement, the first Satz is comprised of three Sätzchen, which we might then refer to as "head," "middle," and "tail." Therefore, in this context, Sätzchen does not mean little Satz). The second Seitensatz and Schlußsatz are in the dominant key, as indicated in the score. An important feature of this part one, which might also be referred to as "Exposition" of the sonatina form, is that it lacks a transitional phrase (Gang) that is commonly found in the sonata and in the more complex rondo forms.

Marx dismisses the possibility of regarding mm. 31-51 as a second Seitensatz with the following commentary:

"The Überleitung follows with twenty-one measures. One may pose the question if this movement might be considered a rondo of the fifth form rather than a sonatina, but—regarded more closely—this section cannot be defined as a second Seitensatz, because Mozart writes another bipartite Satz in the parallel dominant key (mm. 31-34), which he then repeats one step lower in A-major (mm. 34-37). It is followed by a Gang (mm. 38-52) that leads back to the Hauptsatz."
Therefore, the Sätzchen in mm. 38-51 is only intermediary and is not a real Seitensatz.18

The main point of Marx’s commentary is basically to describe mm. 31-51 as a retransition (Übergang) rather than as a second Seitensatz (development section).

In the final part (recapitulation), Marx points out that the Seitensatz appears first in the expected manner in the major mode (m. 68-76) and then is repeated in the tonic minor key (mm. 77-89). It ends with a Gang (m. 69) that leads into the Schlußsatz (m. 76).

The Sonata Form

Marx uses the Allegro vivace of Beethoven’s G-Major Sonata, Op. 31/I, to illustrate his idea of sonata form. Even though he addresses in his treatise merely the Hauptsatz of this sonata, we may try, to apply his system onto its entire first movement. The following observations can be made: The entire movement is conceived of three parts which we—in the modern terms—would call Exposition (mm. 1-111), a tripartite Development section (mm. 111-192), and a Recapitulation that restates almost literally the thematic materials of the Exposition (for further detail see markings in the score).

Although Marx cites this movement as "a particularly fortunate example of sonata form," he does not provide any

18Marx, Ibid., 217.
Mozart, Sonata in D-Major, KV 381 (123ª), for four hands,

Example 2-14 (score, primo part)
Mozart, Sonata in D-Major, KV 381 (123\textsuperscript{a}), for four hands,

Example 2-14 (continued)
Mozart, Sonata in D-Major, KV 381 (123'), for four hands,
Example 2-14 (continued)
commentary. Therefore, all of the interpretations that can be made must be inferred from his definition of the form (as discussed in Chapter I).

The sonata starts with two introductory measures that, at the same time, are the first part or "head" of the Hauptsatz followed by a Nachsatz or "tail" (mm. 1-11). We may say that the Hauptsatz is a bipartite song in which thematic material restated literally in mm. 12-22 at a different level, and is followed by a Gang that leads to the dominant key D-Major in m. 44. Then, the Hauptsatz is repeated with a modulation to B-Major. The first Seitensatz follows in that key (m. 66). The original Satz in B-Major is a single phrase (mm. 66-73). After an Übergang of two measures (mm. 73-74), a second Satz, that is derived from the first one, appears in the parallel minor key; it is made up of two Motive and comprises a digression before the cadence in B-Minor (mm. 74-88). The second Satz is repeated with different voicing (mm. 88-98).

The continuation is the second part or development section. In Marx's terms, this section is the second Seitensatz. Like a central pivotal component, it is divided into two sections (mm. 114-217, part I, and 119-193, part II), thus conceived symmetrically in terms of proportionality. Its first part, consequently, is directed retrospectively toward the Exposition, containing parts of the first theme or Hauptsatz, whereas the second part is
conceived of musical material from the Seitensatz and, therefore, prefigures the notion of the last part, the Recapitulation (mm. 193-295) which begins with the Hauptsatz (mm. 193-204) that is not followed by a Gang. The Seitensatz 1 is introduced in mm. 219-225, but in E-Major, followed by another restatement (mm. 226-234) in E-Minor, then restated in G-Major (m. 241). This sequential passage is continued until m. 256 where it ends on G-Major. Another Gang-like passage that is constructed of the "tail" of the Seitensatz (mm. 256-259) continues after a Überleitung of six measures until in m. 271 starts the literal restatement of mm. 134-192 in abbreviated version. At m. 295, the Anhang begins.

If we were to compare the proportions in this entire first movement, we may observe the following conditions:

Figure 14: Beethoven's G-Major Sonata, Op. 31/I
(proportions)

<table>
<thead>
<tr>
<th>Exposition</th>
<th>Development Section</th>
<th>Recapitulation</th>
</tr>
</thead>
<tbody>
<tr>
<td>3 sections</td>
<td>2 sections</td>
<td>3 sections</td>
</tr>
</tbody>
</table>

In following Marx's definition of sonata form, as described in Chapter I, Beethoven's second Seitensatz is constructed of exact transpositions of whole sections from the Hauptsatz and the first Seitensatz. When we compare this fact with Marx's statement that "this middle part must not contain foreign material because it would destroy its
Beethoven, Sonata in G-Major, Op. 31, No. 1/I, Allegro vivace, Example 2-15 (score)
Beethoven, Sonata in G-Major, Op. 31, No. 1/I, Allegro vivace, Example 2-15 (continued)
Beethoven, Sonata in G-Major, Op. 31, No. 1/I, Allegro vivace, Example 2-15 (continued)
Beethoven, Sonata in G-Major, Op. 31, No. 1/I, Allegro vivace, Example 2-15 (continued)
Beethoven, Sonata in G-Major, Op. 31, No. 1/I, Allegro vivace, Example 2-15 (continued)
Beethoven, Sonata in G-Major, Op. 31, No. 1/I, Allegro vivace, Example 2-15 (continued)
Beethoven, Sonata in G-Major, Op. 31, No. 1/I, Allegro vivace, Example 2-15 (continued)
Beethoven, Sonata in G-Major, Op. 31, No. 1/I, Allegro vivace, Example 2-15 (continued)
unity," we may realize that his observation appears to be a perceptive one with regard to the actual music of this sonata. When he furthermore states that "it is not enough merely to bring back the musical material in a series of mechanical repetitions," then, we may consider whether the transpositions of the first section are a satisfactory element for creating this unity. When we observe the cadences, however, which occur in such keys as B♭-Major (m. 134), C-minor (m. 142), D-minor (m. 150), E-Major (m. 219), E-minor (m. 226), and back to the original key, G-Major (m. 241), we might agree that those regions give at least "life and spirit" to the mere transpositions of this part. The passages are restated harmonically equal; in the first repeat, however, in m. 144, the previously treated harmonic passage is now written in unison. Then, the second repeat, Beethoven restates the harmonized version in m. 152, thus avoiding "mechanical repetition." In this sense, we may agree to Marx's choice of this example in that Beethoven does not only include harmonic but also thematic repetition which is treated in transformation.
CHAPTER III
CONCLUSIONS

Marx's concept of rondo and sonata may be evaluated by a critical observation of the examples he uses--as presented in Chapter II--to illustrate his definitions--as presented in Chapter I.

The basic formal unit from which Marx derives his concepts of rondo and sonata forms, is the Liedsatz. Its characteristic is a single musical idea. The transformation of this simple form into a Hauptsatz is the critical change that ultimately leads to the more complicated developmental forms that we know as rondo and sonata. The characteristic of the Liedsatz is that it closes with a full cadence, whereas the Hauptsatz ends on a half cadence, thus demanding expansion. The necessity for is thus displaced and ultimately realized by the restatement of the Hauptsatz, thereby creating a tripartite structure. Since Marx also conceives a unified whole as being of tripartite structure, we may follow his definition that "the first and second Liedform represent a series of different Liedsätze that are ordered in a series, that proceeds to the more complete Hauptsatz." The expansive part, he calls Gang, a term which in the German language expresses the element of motion; it corresponds in modern English to the term "transition."
The first rondo form grows out of the tripartite Liedform, but contains the additional element of expansion, caused by the musical content. When important content of the Satz is not expressed entirely in itself, the need for a satisfactory solution demands continuation. The musical material is expanded without losing the inner connections between the sections of the form. Marx mentions, for the possibility of several interrelated Motive as a means of maintaining this interconnectedness.

In the second rondo form, this tripartite structure is expanded to Hauptsatz--Seitensatz--Hauptsatz, whereby the Hauptsatz is to be understood as a compound unit, thus corresponding to the Satz--Gang--Satz of the first Liedform. The connection of the Hauptsatz to the other Sätze is achieved by modulation to a loosely related key, for the Seitensatz frequently the dominant or subdominant key. The Gang is always to be understood as a connective passage that lacks a final cadence. The other progressive change that is achieved in the second rondo form is that both new material and subordinated thoughts may occur.

The third rondo form takes a pivotal position among all discussed forms in that it may be interpreted either retrospectively toward the previously described forms or progressively toward the following ones. Therefore, Marx's understanding of this form may be summarized as follows: The third rondo form is described as a connective process of
two simple rondos. It can be used either for compositions in slow or for those in faster meter. The emergence of these rondo forms has its origin in a dynamic expanding quantitative force \((\text{Ausweitung})\), as opposed to a mere joining together of different units \((\text{Angliederung})\) that would cause a more static expansion \((\text{Weitschweifigkeit})\). This element of expansion creates the necessity to justify the new element of complexity. The element of complexity in third rondo may be expressed in two different ways: slow tempo in which there is a lingering quality \((\text{vorherrschende Verweilen})\), and fast tempo in which motion is the predominant quality.

The fourth and fifth rondo forms have to carry the characteristic of a closer connection \((\text{Ineinanderverweben})\) between \textit{Hauptsatz} and \textit{Seitensatz} than is found in the third rondo. These two most complex rondo forms are, in Marx's opinion, the necessary connecting link between fifth rondo and a new form, the \textit{sonata}. In the fourth rondo form, a new \textit{Seitensatz} is added, thus creating the common rondo form \((\text{in our terms A B A C A})\), whereas the fifth rondo contains \textit{sonata} elements because of its division into three sections. In the fifth rondo form, \textit{Hauptsatz} and \textit{Seitensatz} are more closely related to each other and section II is understood as the a prefigured form for the development section in the \textit{sonata}. 
As an intermediary stage to sonata, Marx regards the sonatina which only consists of two sections. In contrast to the sonata, however, the themes (Hauptmotive) have a lighter character and are non-developmental, while maintaining a contrast between them. He distinguishes between the type in major or minor mode, stating "the minor mode would not express the lighter character of the themes as appropriately as does the major mode."¹⁹

The culmination of Marx's explanation is a tripartite model that he designates sonata form or Sonatenhauptsatzform. His models are all taken from the Classic period composers, such as Mozart and Beethoven. In this form, the second key area (Seitensatz 1) appears to be less significant than the first key area. In this form, the Hauptsatz contains not only the main section, but also the modulation part to the first Seitensatz. A particular aspect of Marx's scheme is that he does not account for the Übergang between Hauptsatz and Seitensatz. Marx requires a highly concentrated content because all three parts in this form consist of the same musical material. According to Marx, the compositional concept must give color to the form and not consist of a "series of mere mechanical repetitions."²⁰

¹⁹Marx, Kompositionslehre, III, 91ff.
²⁰In reference to Chapter I.
Marx's model of the development section (Seitensatz 2) shows a place of discourse of opposing forces that originate in the first and second themes. In some instances, however, this section is brought back into the programmatic scheme of the lyrische Episode when, for example, developing moments have already occurred in the exposition. The final section containing recapitulation and coda, however, brings back the material of the Exposition. In this third part, which comprises a complete restatement of the thematic portions such as first key area and second key area (Haupt- and Seitensatz), the themes are both stated in the tonic key.

Since the sonata is a higher form, in the actual music, the individual sections will change according to their content, order and compositional concept. Only those elements can combine into a unified whole, thus fulfilling the law of motion Ruhe--Bewegung--Ruhe. Based upon the character of an intermediary passage, there may be either a the direct return to the Hauptsatz or an extension (Anknüpfung), where foreign material is introduced in the manner of a Gang. The Hauptsatz is to be understood as a part that proceeds toward the second key area (Seitensatz). Marx's term Periode may be expressed in the modern sense by the sections Exposition--Development--Recapitulation. The motion toward the Seitensatz is described by Marx as a progression (Fortschreiten) of the last part of the Hauptsatz or a progression by modulation, thus emphasizing
forward motion. The *Hauptsatz* itself may be conceived in a two-part *Liedform*, whereas the *Seitensatz* must form a unity with the *Hauptsatz* with regard to content, places of modulation, and metrical construction.

It should be mentioned that Marx's approach to form is not a mere harmonic one; rather, it is based upon phrase organization; that is, his opinion represents a thematic approach to form, as demonstrated in the examples for each section: as the terms *Satz--Gang--Satz* represent in Marx's view *Ruhe--Bewegung--Ruhe*, they signify events in a process of motion. These parts contain the element of interrelation to each other; that is, an interconnection of various levels such as thematic and harmonic relationships in addition to those of phrase organization. As described above, Marx's concept was the basis for the nineteenth-century concept of forms in general and *sonata* form in particular.

One may ask if Marx's statement that "the number of forms is unlimited" may contradict his extensive and detailed considerations on specific forms. A consideration of the philosophical background of Marx's time and the way of thought may lead us to the conclusion that these forms, must be viewed as a segment out of an "higher" (*übergeordnete*) entity of formal structure that does not exclude formal development for the future.

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2In reference to Introduction, p. 1.
SELECTIVE BIBLIOGRAPHY

I. An Annotated List of A.B. Marx's Theoretical Works

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This treatise is most important for the
introduction and definition of his term Idealmusik and
its projection onto Beethoven's Symphony Nr. 3,
"Eroica."

Die alte Musiklehre im Streit mit
This book concerns the philosophical and musical thinking of the nineteenth century and gives the reader the background for the Romantic term "absolute music."


The above listed treatise introduces the reader to the different forms in music as well as to their development in understanding during the eighteenth and nineteenth century.


Volume III contains the chapters on "rondo" and "sonata" which will serve as a basis for the proposed thesis.


This book introduces the reader to the music of the nineteenth century as it was conceived by its contemporaries.


This treatise is mainly concerned with the educational and pedagogical situation in nineteenth-century Prussia and its influence on performing and theory.


This autobiography may serve as background for a better understanding of Marx's ideas.
This treatise is one of the main sources for the proposed thesis. It contains Marx's understanding and explanation of the term "unity" in relation to form in music and to other genres of art such as poetry and painting.

This book gives the reader a good insight on Marx's view on the arts in the nineteenth century.

This treatise serves the same objective as the above.

This book is interesting for the understanding and treatment of form.
II. Secondary Sources


