Corpus Studies, Sonata Typology, and the Nineteenth-Century Violin Concerto: Viotti, Saint-Saëns, and the Challenge of Recapitulatory Compression

Julian Horton and Peter H. Smith

ABSTRACT

A corpus study of first-movement form in the nineteenth-century violin concerto, encompassing works from Viotti to Elgar, addresses: the lack of attention to the genre by the New *Formenlehre*; the pitfalls of formal theory's focus on canonical Austro-German repertoire; and the question of how concepts derived from late eighteenth-century practice need to adapt to nineteenth-century evolutions. In some geographic subcategories of the corpus, recapitulatory compression is as prevalent as the presumably normative tonic return of P and S. Composers explore multiple alternatives: bypassing recapitulation of either of these zones, merging them, or recapitulating neither in a truncated form that flows into the slow movement. These practices unsettle the tendency to treat the Mozartian type 5 form as a yardstick, reveal a heretofore unrecognized type 2 lineage originating in the eighteenth century and stretching across the nineteenth, and expose the shortcomings of over-reliance on canonical repertoire. Two case studies of Viotti and Saint-Saëns highlight related practices across the corpus's long chronological span and counterbalance the corpus's bird's eye view with attention to the aesthetically compelling formal complexities revealed by close reading of individual compositions.

KEY WORDS: violin concerto, sonata form, corpus study, Viotti, Saint-Saëns

Despite the enormous body of scholarship inspired by the new *Formenlehre*, certain sonata-form genres remain largely unexplored. Hepokoski and Darcy's elucidation of the Mozartian type 5 concerto form[1] and recent analyses of nineteenth-century concerto movements,[2] for example, are exceptions that highlight a broader theoretical neglect of the concerto. Notwithstanding recent diversification, formal theory also remains predominantly focused on canonical Austro-German repertoire, and what attention analysts have paid to the piano concerto only underscores the neglect of other sub-genres such as the violin concerto.[3] The question of how concepts derived from late eighteenth-century sonata practice need to adapt to nineteenth-century evolutions likewise remains a topic of debate.

Responding to these imbalances, this article reports on a corpus study of first-movement form in the nineteenth-century violin concerto, which, as Example 1 clarifies, examines over 130 concertos by 27 composers, spanning from Viotti's Parisian concertos, composed between 1782 and 1792, to Elgar, whose Op. 61, composed in 1910, is the last generically appropriate work we have included prior to the outbreak of World War I. The corpus purposely situates canonical concertos by Beethoven, Mendelssohn, Brahms, Bruch, Dvořák and others in a broader, non-canonical context, which also moves beyond Central-European repertoire (Spohr, David, Joachim) to encompass works that evidence important pedagogical genealogies stemming from the late eighteenth century (above all Viotti's Italian inheritance, which he bequeathed to the younger violinist-composers of the Franco-Belgian school) and composers whose concertos were influential in their time but which have left little trace in subsequent theories of concerto first-movement form (Paganini).[4] The corpus includes only movements exhibiting discernible sonata-type features. Concertos whose first movements are evidently not sonata forms—for example, Coleridge Taylor's Op. 80—are consequently absent.

The value of a corpus-based approach extends beyond questions applying to a single genre or sub-genre. Our contention is that corpus study has the potential to address two central research challenges. First, how should formal analysis address the novel practices that emerged across the nineteenth century, while attending to the continued relevance of eighteenth-century conventions? Second, how should theories developed from the habits of canonical composers deal with repertoire traditionally regarded as peripheral, if it was considered at all? A corpus framework accessing a range of practices in a specified form, genre, and historical span permits assessment of the extent to which canonical music manifests prevalent or novel formal tactics, independent of the assumption that canonical status or aesthetic value are coextensive with normativity. At the same time, this approach allows measurement of the New *Formenlehre*'s relative fit with the corpus-based evidence and both the reach and limits of current theory. Attending to a single genre or subgenre is both practical (given the amount of music available in a span like the long nineteenth century) and potentially revealing. Some formal practices may be pervasive in one genre and absent from another, while a practice that persists in a given genre offers evidence of musical possibilities that may exist in other genres, even if as rarities.

These considerations raise, in turn, the foundational distinction, recently addressed by Markus Neuwirth, between "realist" and "nominalist" theories of form.[5] For Neuwirth, the New *Formenlehre* predominantly adopts a nominalist position, in that its categories, whether applied to themes[6] or whole-movement forms,[7] are usually

conceived as ideal types or heuristic models, rather than concrete features of the repertoire. Neuwirth consequently charges *Formenlehre* with operating under a contradiction between theory and analytical practice, since its heuristic models tend to transform into real historical agents under analytical application. Hepokoski and Darcy's notion of dialogue engenders this problem: sonata theory's norms are heuristics at the level of theory but become historical entities as soon as individual cases are analyzed. A given movement, for instance, is considered to be "in dialogue" with a sonata type (types 1–5), a conversation that immediately compromises the type's abstract heuristic status, imbuing it with a concrete historical reality.

To be clear, although we make use of sonata theory's typology, we do not apply its categories as ideal types, but as *deductions from a corpus*. The concept "type 5 sonata" is a shorthand for a group of works exhibiting a particular set of properties. It is not an *abstraction*, so much as a *descriptor*, into which a body of information is compressed under a single label; the materiality of the type 5 sonata ultimately resides in the corpus. The process is circular, to be sure: the typology exists (itself derived from musical evidence—in the case of the type 5, Mozart's concertos), it confronts the evidence of a larger corpus, it adjusts accordingly, and the process repeats as more compositions enter the mix. Ultimately, however, the music drives the process. The typology's categorical boundaries are delimited by the presence or absence of formal characteristics: for example, concerto first movements with ritornellos are type 5 sonatas; those without are not.

In broadening *Formenlehre*'s corporeal purview with respect to concerto first-movement form, our aim is to test the degree to which inductive extensions of sonata theory's Mozartian heuristic correspond to deductive representations of the repertoire lying beyond Hepokoski and Darcy's purview. This is not to say that our categorical language maps nominally onto a historical practice: the concept "type 5 sonata" is not a discovered feature of any individual composer's working mentality. Rather, it is a neologism that *corresponds* to a historical practice represented by a given corpus; and in this correspondence resides its explanatory heft. The information disclosed by a body of works is not a triviality, as committed historicists might insist, but a major source of historical evidence. After all, if the evidence of past musical practices is not to be found primarily in surviving music, then where is it preferable to look, and why?[8]

Furthermore, although we do not impute intention directly from compositional usage—we are well aware of the intentional fallacy and its ramifications—in the large-scale formal matters that distinguish Hepokoski and Darcy's sonata types, we think it is reasonable to locate the agency for decision-making with the composer, and to

conclude that terms such as "type 5 sonata" describe practices in which agency is embedded. The fact that Viotti, as we shall see presently, omits the secondary-theme recapitulation in many movements but not in others is presumably sufficient evidence to suppose that he was conscious of the difference. And when Paganini composed first movements without a primary-theme recapitulation—his practice in all of his concertos, as highlighted by our corpus study—it is reasonable to assume that he (and the many other trained musicians who encountered his concertos) was aware both of other concertos in which this happens and of concertos in which it does not.

The sonata-theory typological distinction that emerges as most relevant to the corpus is that between the type $5^{\text{type 3}}$ and the type $5^{\text{type 2}}$ forms compared in Example 2: that is, between concerto first-movement forms in which a complete, tri-rotational sonata form is embedded, and concerto first-movement forms that have no first-theme recapitulation and consequently embed a binary sonata design, in which the development and reprise of second-theme material, and consequently the post-exposition solo episode (S2), function as a single "rotation" that duplicates the material order of the exposition.[9] We focus in particular on the proclivity for recapitulatory compression that this distinction engenders, which, as the columns for type $5^{\text{type 2}}$ and truncated forms in Example 1 indicate, is often as prevalent as the presumably normative type $5^{\text{type 3}}$ tonic return of the primary and secondary themes (P and ST) in some geographic subcategories: for instance, in the Italian, French, and Belgian repertoire (e.g., Viotti, Paganini, Kreutzer, De Berio, Vieuxtemps, Saint-Saëns). Similar strategies appear in non-canonical Austro-German repertoire, too, as with some of David's and Spohr's concertos. Composers explore multiple alternatives: bypassing recapitulation of one or the other of these zones, merging them, or recapitulating neither in a truncated form that flows into the slow movement.[10] Although the type 3 remains predominant, at 56% of the corpus, these alternatives are far from rare at 43%. By far the most common at 30% is the strategy whereby P never returns in recapitulatory restatement in favor of direct motion from the development into the tonic grounding of ST. Rather than interpret these movements "negatively" as deformational type 3s, the combination of their form-functional attributes and their frequency supports "positive" analysis as instances of concerto type 2 form, contra skepticism about the persistence of that type in the nineteenth century, expressed most recently by Vande Moortele.[11]

Viotti (1755–1824), a crucial figure in the violin concerto's evolution from classical to Romantic practice, crafted first movements with a striking Haydnesque breadth of recapitulatory freedom. Although his roots lay in the eighteenth century—he was born a year before Mozart—he composed well into the nineteenth and had an enormous

impact on his younger and influential French-school colleagues Kreutzer (1766–1831), Baillot (1771–1842), and Rode (1774–1830), and the founder of the Franco-Belgian school De Bériot (1802–1870).[12] Although Rode exclusively composed type $5^{\text{type 3}}$ first movements and Viotti favored that design, too, Viotti also engaged the type $5^{\text{type 2}}$ format (his type $5^{\text{type 2}}$ first movements outnumber his type $5^{\text{type 3s}}$ with conventional recapitulations by a margin of five to four). When Viotti did compose type $5^{\text{type 3}}$ forms, he often did so with notable deviations from recapitulatory conventions, measured not just in relation to Mozart but to our corpus overall (we consider these unusual type $5^{\text{type 3s}}$ and other of Viotti's practices below.) Kreutzer and De Bériot made the type $5^{\text{type 2}}$ central to their practice, representing 42% and 50% of their first movements, respectively.[13]

Even more prominent was Paganini (1782–1840), whose concerto first movements all forgo P recapitulation and consequently follow the type $5^{\text{type 2}}$ design. Considering the many ways Paganini's forms conservatively follow eighteenth-century ritornello routines alongside their close tracking of eighteenth-century type 2 conventions, it seems more likely that he—along with Viotti and the other French-school violinists—perpetuated an existent practice rather than invented a new Romantic concerto form. This is especially the case when one considers that Paganini and the French-school violinist-composers all received their formative musical training within the eighteenth century. The influence of this generation's type $5^{\text{type 2}}$ practice may be readily observed in prominent violinist-composers of later generations, for instance, the Paganini-influenced Lipinski (1790–1861) and Ernst (1814–1865), and De Bériot's student Vieuxtemps (1820–1881). All these later composers generally avoided the type $5^{\text{type 3}}$: when they did not compose type $5^{\text{type 2}}$ movements, they, like De Bériot, crafted truncated forms (apart from the type $5^{\text{type 3}}$ first movements of De Bériot's Fifth and Lipinski's First concertos).[14]

Some readers may question the validity of these type 2 attributions, in light of recent debates about the viability of such forms in the nineteenth century.[15] Are not alternative conceptualizations based on transformation of the type 3, such as recapitulatory reversal, main-theme deletion, and development-recapitulation fusion, more plausible, given the emergence of the type 3 as the dominant sonata type post-1770 and the absence of the type 2 from nineteenth-century form treatises?[16] We take up this question before continuing with two non-canonical case studies of Viotti and Saint-Saëns, which highlight related practices across the corpus's long chronological span and counterbalance this section's bird's eye view with attention to the aesthetically compelling formal complexities revealed by close reading of individual compositions.

THEORIZING TYPE 5$^{\text{TYPE 2}}$ RECAPITULATORY COMPRESSION

The ritualized conventions of concerto form—for instance, the formal "signposts" provided by the various ritornellos or the punctuation of the solo exposition and recapitulation with a display episode and trill cadence—offer clarity on theoretical issues, which is not necessarily as immediately forthcoming in other genres. Attention to Caplinian form-functions has advanced discussion of the type 2 alongside the competing type 3-derived conceptualizations just enumerated.[17] Concerto form often makes these functions exceptionally vivid, including those that are crucial to a type 2 attribution: the status of any passage—but above all, the tonic restatement of the secondary and closing zones (ST/C) and any possibly P-based material that follows—as beginning, middle, end, or after-the-end.[18]

The final passage of a concerto first movement, for instance, conventionally follows a trill cadence punctuating a C display episode (DE). These latter two phenomena are end-of-the-end gestures: that is, they are the final stages of the ST/C complex, which itself ends the solo recapitulation (S3), as it did the solo exposition (S1). In a type 5 movement, the final passage will be a ritornello (R4), although in the nineteenth century it might alternatively be led by the soloist, if the context is a "pure" type 2 or 3 form (i.e., one that forgoes the ritornello framework).[19] The formal outlines in Example 3 of movements from Viotti, Kreutzer, Paganini, and Vieuxtemps illustrate this point, making clear that the final passage—R4 in these type 5$^{\text{type 2}}$ movements—falls beyond the main sonata framework governed by the soloist.[20] That framework has been closed by the soloist's restatement of ST/C, undermining the applicability of recapitulatory reversal, regardless of whether this final passage begins with P material. Even within Hepokoski and Darcy's notion of the "large recapitulation" encompassing S3 and R4 (or S2 and R4 in these Type 5$^{\text{type 2}}$ movements), R4 "completes the recapitulatory rotation": that is, it is a terminal event.[21] The interthematic formal functions remain in chronological series, as Example 3's formal outlines highlight: (1) non-tonic P launching the (2) development; (3) TR (or at least MC) as crux; (4) ST/C; (5) R4 or soloist-led final passage. Even in the absence of pivotal end-functioning structural markers—say, an ST that forgoes cadential closure or a display episode that cadences deceptively to *fVI—the rhetorical markers clarify the conventional—that is, not reversed—location of the final, possibly P-based passage. Deferral of a closing PAC from S3 to the final passage is a matter of structure-design asynchrony (dimensional counterpoint or parametric non-congruence) rather than a reversal of recapitulatory formal functions.

Rotational considerations and conventions specific to the concerto are similarly germane at the other end of the formal process—the emergence of ST from what comes before it. An ST reprise might either complete a single, post-exposition rotation initiated by a non-tonic P in the manner of a type 2 form or, following a development, participate in a type 3 recapitulation initiated by a tonic P. The tutti/solo dichotomy illuminates here as well: in a type $5^{\text{type 3}}$, a third ritornello (R3) often coordinates with the entrance of the third solo section (S3) to mark off the recapitulation. R3 might be a retransition that culminates in the soloist's P launch of the recapitulation, for instance, or a buildup of the soloist's virtuosic display at the end of the development might discharge onto a climactic R3 double return.[22] In either case, the tutti/solo dichotomy provides a rhetorical signpost that helps divide the post-exposition music into two sections—the S2 development and the S3 recapitulation.

There are numerous movements in the corpus that include neither a tonic P after the development nor the kind of R3-S3 marker just described, including those of Example 3. The sheer number—again, 30%—raises doubts about the idea of main-theme deletion. Moreover, what often transpires instead of such a beginning-functioning P recapitulation is the reemergence of the end-of-the-middle medial caesura from the exposition, followed by the tonic entrance of the end-functioning ST/C, as seen in the excerpts from S1 and S2 in Paganini's concertos No. 3 in E major in Examples 4a and 4b and No. 4 in D minor in Examples 4c and 4d. The form appears neither to fuse development and recapitulation nor to delete P. Instead, the MC at the end of the development prepares precisely what comes to pass within an overarching S2. The development's non-tonic P launch acquires beginning function in this context, not ST's tonic return in a reputed recapitulatory deletion or reversal. The ST/C complex retains its ending function both intrinsically (all its terminal characteristics in the exposition remain in place) and contextually (it follows rotationally from the non-tonic P initiation, the P-based development, and then TR and/or MC). The irony of this "positive" interpretation is that it is based not on a new Romantic formal type but an alternative that originated in the eighteenth century, which, although significantly less common post-circa 1770, apparently "never disappeared altogether from the horizons of some nineteenth-century composers."[23]

Admittedly, the circumstances are not always so clear-cut. One complication arises from conventions of the concerto development. In both eighteenth- and nineteenth-century concerto first movements, the development frequently forgoes the kind of *motivisch-thematische Arbeit* based on expository ideas common in other genres. Virtuosic, "non-thematic" passagework often dominates, in alternation with statements of new, more lyrical themes. The dichotomy may be especially pronounced in virtuoso concertos, such as those by Paganini, in which, in addition

to musical contrast, the lyrical episodes offer the soloist a respite following the display episode-like sections' pyrotechnics. One consequence is that the development may not be P-based, thus requiring the notion of "writing over" as a conceptual extension of a more literal rotational pattern.[24] Departure from P may still be present—even if tenuously—thus maintaining a framework of rotation; this is the case in Paganini's major-mode first movements, including the one outlined in Example 3. Paganini's minor-mode first movements, however, forgo even these minimal references to P, such that concerto principles of development replace (i.e., write over) a P basis for the section. Although for some theorists this may weaken a type 2 interpretation, these movements (and similar instances in the works of other composers) maintain all the other type 2 markers of those that include a P presence in either the initiation or body of the development (or both).

Another concern might be whether the type $5^{\text{type 2}}$ was indeed a formal option for the *eighteenth*-century concerto, as it was for other genres, especially prior to circa 1770. Our survey of Viotti's violin concertos, the earliest of which date from before 1800, indicates the presence of the type 2. Moreover, scholars who have studied this music and the contemporaneous treatises—principally Galand but also Stevens and Hepokoski and Darcy—have observed the existence of concerto type $5^{\text{type 2}}$ form and included it as a sub-type in their theoretical formulations.[25] Although Galand does not present explicit corpus data, he describes the basis of his generalizations in "an informal survey of outer movements from roughly 300 [keyboard] concertos by composers active c. 1740–1785, mostly from Northern Germany, Mannheim, the central European Hapsburg territories, England, and France."[26]

Regarding contemporaneous treatises, Galand reports that, "Although not specifically prescribed by eighteenth-century theorists, [the type $5^{\text{type 1}}$, type $5^{\text{expanded type 1}}$, and type $5^{\text{type 2}}$] are implied" by these theorists' advice for the novice concerto composer first to write a standard two-reprise sonata movement and then add the ritornellos and accompaniments. Once the ritornellos are added, the first reprise of the preliminary sonata form (the exposition in modern terminology) yields the first solo section, while the second reprise yields the second. Galand clarifies that "[a]ny type of second reprise will conceivably do for the second concerto solo."[27] Stated otherwise, the neophyte eighteenth-century composer could compose either a type 3 second reprise subdivided into a development (S2) and recapitulation (S3) or a type 2 with only a development and ST tonal grounding (a single, undivided S2).

No less a figure than Mozart followed this pedagogic routine for his first seven keyboard concertos, which were arrangements of pre-existing sonata movements by other composers, including several by J. C. Bach.[28] As

Galand notes, several of the original movements are type 2s that Mozart transformed into type 5^{type2} concerto forms.[29] Galand also cites several type 5^{type2} first movements of keyboard concertos by Johann Samuel Schröter, specifically those of concertos 2–5 of his op. 3 set of 1774.[30] Among Mozart's original concertos of later years, Galand makes a case for the first movement of the Piano Concerto in C minor, K. 491, as a type $5^{type\ 2}$, and Hepokoski and Darcy mention the first movement of the Violin Concerto in D major, K. 218, and the Andante moderato of the Serenade in D major, K. 204/ii (the first movement of the violin concerto Mozart embedded within this work, as he often did for his serenades).[31] Hepokoski and Darcy also add the first movement of J. C. Bach's Keyboard Concerto in F major, Op. 7, No. 2.

Galand and others have identified many Mozart concerto finales cast in expanded type 1 form[32]—a design that is closely related to the type 2, with the crucial difference that the second rotation begins with P in the tonic rather than the non-tonic P of type 2 form. The many concerto slow movements in sonata-without-development form—the standard type 1—offer further evidence of eighteenth-century, parallel-binary sonata practice in the concerto. Although this argument is vulnerable to accusations of Mozart-centrism (Galand's topic is, ultimately, Mozart's keyboard concertos), we believe it—along with the many type 2 forms in eighteenth-century instrumental music more broadly and also specifically in the concertos of Viotti, the French-school violinist-composers, and Paganini—tentatively establishes a type 2 concerto lineage beginning in the eighteenth century and continuing onward across the nineteenth, which does not require orientation around a Mozartian heuristic. A thoroughgoing corpus study of eighteenth-century concertos, however, is needed to confirm this hypothesis.

Before turning to our case studies of Viotti and Saint-Saëns, we consider a final preliminary question: why might the violin concerto have become a locus for type 2 form in the nineteenth century? Scholars have identified type 2 (and closely-related expanded type 1) movements in other post-classical genres, but none have claimed anything like a 30% frequency for such occurrences.[33] A thoroughgoing corpus study of these other genres (symphony, piano and strings chamber music, string quartet, piano sonata, etc.) is urgently needed, too.[34] Our own survey of the post-classical piano concerto has yielded comparatively few type 2 first movements—that of Field's Concerto No. 1 is one example—suggesting that the violin concerto is indeed a special case. Our best hypothesis is that certain key figures early in the century made an artistic choice to favor (Paganini), or at least include (Viotti and his French-school colleagues), a streamlined, bi-rotational form in their practice. In the case of Paganini, this decision may have been motivated by the expansiveness of his expositions and, especially, his developments. His P

zones often consist, like his developments, of the alternation of lyrical themes with lengthy, non-thematic virtuoso flights. Paganini may have been concerned to avoid the tedium of recapitulating this type of P zone following a protracted development based on the same formal principle.[35] In contrast, the tonic resolution of ST/C apparently remained requisite for him and many other nineteenth-century composers of violin concertos (although not consistently for Viotti, as we shall see presently). Once a figure of Paganini's stature chose the type 2 as a personal norm, other violinist-composers could have easily followed, especially the many who, aspiring to his renown, took him as their model.

Similar musical motivations may account for the type 2 interests of the French-school composers. A type 2 influence comparable to that of Paganini may have followed, as part of their more general influence. In the case of Vieuxtemps, the example of his principal teacher De Bériot was likely crucial, just as Viotti's was for his younger French-school colleagues, who had their own impact on De Beriot. This is all to say that the violinist-composers' pedagogical lineage and the larger network connected to it—as distinct from that of, say, the pianist-composers—likely contributed to the type 2 form's genre-specific status. A corpus study of the eighteenth-century violin concerto might reveal a similar propensity for the type 2, thereby establishing not just the origins of the concerto type 2, but also a generic emphasis on it among precursors of the French-school composers and Paganini.

To return to an earlier point: our claim is not that these or any other composers in the corpus conceived their forms (type 2 or otherwise) in modern terms. The principal factors that distinguish the types—for instance the return of both P and ST in a type 3 solo recapitulation versus a type 2 restatement only of ST—are nevertheless straightforward enough to assume they reflect composers' actual empirical choices. In this way, our method follows Neuwirth's proposed solution to the challenges he identifies with the "ideal type" approach to *Formenlehre*:[36] "[T]he models we use in analysis could be understood as acting as historically informed working hypotheses that must be subject to continuous refinements and revisions when new evidence is encountered."[37] We have found that the corpus generally confirms the relevance of Hepokoski and Darcy's sonata types (principally types 2 and 3, often in interaction with a ritornello, i.e., the type 5) as "working hypotheses," although we also have confronted "new evidence" requiring refinements in our engagement with Viotti and Saint-Saëns, among others.

VIOTTI'S RECAPITULATORY FREEDOM

Although Viotti's younger French-school colleagues Kreutzer and De Beriot and others such as Paganini and Vieuxtemps followed a relatively narrow range of practice in their type $5^{type\ 2}$ recapitulatory compressions, Viotti engaged in a far more highly varied and flexible treatment of the recapitulation in forms of all types. His concertos offer an instructive case study for several reasons. He is the most prolific composer in the genre in his time, and possibly the most influential. Between 1782 and 1817, he composed 29 concertos: nineteen in Paris up to 1792 and the remainder predominantly in London. Modern *Formenlehre*, on the other hand, has no purchase whatsoever on Viotti's concertos: no model in current circulation draws on them and no perception of his formal proclivities informs current theory, notwithstanding his evident significance.

Even cursory engagement with Viotti's first movements reveals substantial divergences from those of Mozart. On the largest scale, he differs from Mozart most consistently in his recapitulations.[38] Mozart's type 5 recapitulations are almost always complete rotations, meaning that he favors the type $5^{type\ 3}$. As Example 5 shows, Viotti composed only four unequivocal examples of the type $5^{type\ 3}$, which we have called sub-type 1. More common are three recapitulatory habits that Mozart seldom or never employed. First, as previously mentioned, five of Viotti's first movements adopt the type $5^{type\ 2}$ (sub-type 2), passing from the retransition directly into ST in the tonic (more on these movements presently). Far more common, and as far as we can tell unique to Viotti, is sub-type 3: seventeen of his recapitulations omit the expositional ST, often closing the first theme with a PAC and moving directly into a display episode. Least common is sub-type 4, in which ST is either significantly truncated or moved, in a reduced form, into the display episode's interior (three concertos adopt this tactic).

Viotti's Sub-Type 3 First Movements

Concerto No. 22 in A minor, the work that alone sustained Viotti's reputation into the later nineteenth century, is exemplary of sub-type 3, and is quoted in Example 6. This movement has been analyzed by Feredico Celestini, who points out that its overall scheme conforms to the model described in Heinrich Christoph Koch's *Versuch einer Anleitung zur Komposition* of 1793 but diverges from several of the basic precepts of Mozartian type 5 form.[39] Celestini however glosses over Viotti's recapitulatory strategy, describing it, without further comment, as a third iteration of the first theme followed by a final episode of virtuoso passagework. But Viotti's strategy raises questions, on which the theory of concerto first-movement form has scant purchase. The orchestra initiates the recapitulation with the return of R1 P in m. 240, punctuated by the soloist's display interjections, and this passage is

fused with the return of S1 P's antecedent at m. 247, which now functions as a consequent, thanks to the addition of a tonic PAC. The display episode then begins in m. 254, in correspondence with S1 DE, except that Viotti now overlays motivic elements of P onto the violinist's *brillante* figuration. This correspondence is maintained until the trill-cadence in mm. 280–81, which leads directly into R4.[40]

Viotti's tactic here is more complex than a simple excision of ST. The return of S1 DE could initially be mistaken for a transition, given its formal location after P. It is only when no medial caesura or ST subsequently appears and Viotti moves, at m. 280, to a trill-cadence i:PAC that this perception is categorically dispelled. If we follow Caplin's view, then a display episode in a type 5 sonata functions as an additional subordinate theme.[41] By this argument, Viotti does not omit the second theme altogether, only subordinate theme 1 (ST^1).[42] In S1, this task falls to two intra-thematic units: the lyrical second theme in mm. 124–31, which supplies ST^1; and the display episode commencing at m. 132, which in Caplin's terms is subordinate theme 2 (ST^2). In the recapitulation, second-theme function is conveyed by ST^2 alone, ST^1 being discarded, and closing-section function is presumably deferred to R4.

This reading takes no account of the perception that m. 254 initiates TR; we assume that ST^2 follows directly and unproblematically from the primary theme. Yet interpretation of mm. 254–81 as ST^2 does not resolve the question of formal omission; it rather replaces ST omission with ST truncation. The omission of TR remains to be explained: the succession P–ST^2–R4 is no less unorthodox than P–C(DE)–R4. At the very least, we should acknowledge a process, completed with the arrival of R4, whereby TR "becomes" (in Schmalfeldt's sense) ST^2.[43] A further problem with the Caplinian reading is that the DE of mm. 254–81 does not behave syntactically like a second theme. Unlike ST^1, which is an unambiguous period, the DE consists almost exclusively of passagework above tonic-dominant vamps or, in mm. 268–71, a weakly articulated cadence of limited scope. In other words, these measures exhibit the hallmarks of post-cadential prolongation rather than thematic presentation and consequently behave as a series of codettas in the manner of a type-3 closing section.

Analysis of this passage from the perspective of sonata theory adds a further layer of complexity. In contrast to Caplin, Hepokoski and Darcy discern as conventional for Mozart an "S1:\EEC": the non-tonic PAC delineating the end of S1's ST and the start of DE, which consequently functions as a closing section ("S1:\C-space") rather than an additional second theme.[44] S3's tonic reproduction of this structure generates the "S3:\ESC,"

which "is usually the recapitulation equivalent of the non-tonic S1:\EEC" but in some cases "may be articulated only with the final trill-cadence (in which case there will be no S3:\C-space; the DE will be part of S-space)."[45]

Yet Viotti's practice in Concerto No. 22 evades easy description in these terms as well. We could identify the trill cadence in mm. 280–81 as the S3 ESC; but in Hepokoski and Darcy's theory, the trill-cadence-as-ESC usually follows some statement of pre-DE subordinate-theme material, even if its cadence is indecisive or absent. Viotti's trill-cadence, however, rounds off a DE that follows P's rather than ST's PAC. The identification of the i:PAC that closes P in mm. 243–54 as the S3 ESC is even more problematic, because the DE that follows initially has the capacity to function as TR and is experienced as music in advance of a medial caesura. Moreover, production of the ESC is, for Hepokoski and Darcy, an ST, not P, remit.

There are two remaining options, neither of which sits easily within a sonata-theoretical perspective. First, we could call the S3 DE "S^{C}", adapting Hepokoski and Darcy's term for a closing section that begins rhetorically in advance of the EEC.[46] They, however, employ this concept in sonatas possessing an ST that is distinct from material projecting closing-section rhetoric, which includes display episodes in type-5 sonatas. It is not clear that we can apply this label in situations where no ST return occurs. Second, we could argue that Viotti replaces a two-part exposition with a continuous recapitulation, since both the MC and ST are jettisoned and the music proceeds directly to the trill-cadence in analogy with "*Fortspinnung* modules" occupying the space between P and the EEC in a continuous exposition. Again, this option is not considered in Hepokoski and Darcy's type-5 theorization. They regard instances of recapitulatory TR/ST omission following a two-part exposition in other genres—for instance in Beethoven's Leonore No. 2 Overture—as "extreme deformations," which are "extremely rare and reserved for special effects of high distress," going so far as to term them "anti-recapitulations," since they seem to renege on their generic responsibilities.[47] Yet this option is not marginal or experimental for Viotti; it is his standardized type-5 practice.

Example 7 substantiates this point by collating information about Viotti's demarcation of P, DE, and R4 and whether the DE material corresponds to that of S1, in all seventeen of his sub-type 3 movements. Concertos nos. 11, 12, 19, 23, 25, 26, 27, and 28 all reproduce the tactics of No. 22 more-or-less verbatim. In nos. 4 and 5, however, structural weight is allocated more decisively to the trill-cadence that closes S3, because P terminates in an IAC in both cases. In nos. 4 and 20 there are further complications arising from the fact that S3 DE does not replicate S1 DE. In No. 4, the IAC that closes P leads to entirely new material. In No. 20, quoted in Example 8, the DE begins in

correspondence with S1 TR and no reference at all is made to S1 DE, which means that S1 TR's function is transformed as the music's reprise progresses: from the viewpoint of R4, TR becomes C. Concerto No. 29 also begins S3 DE with new material, but recovers correspondence with S1 DE at its midpoint.

Concertos nos. 13 and 15 introduce yet further complexities. In No. 13, Viotti fuses the tonic reprise of P with the second half of ST, creating one larger unit housing aspects of both themes, before moving on to a tonic reprise of S1 DE. In No. 15, excerpted in Examples 9a and 9b, the expository S1 DE dissolves its *brillante* passagework after ten measures in preparation for an MC-effect in m. 126, which could reasonably be interpreted as heralding a trimodular block in light of the previous MC and ST in mm. 94–111[1]; the material that follows in m. 127 is moreover redolent of a second ST or TM[3]. Yet the V:PAC in mm. 134–35 leads back into the DE material initiated in m. 111, a turn of events that devalues the thematic currency of mm. 127–34's reputed TM[3] status and fosters the impression that both these measures and the preceding MC are interior features of a single, overarching DE. These characteristics return in the recapitulatory S3 but follow directly from the first theme's PAC in mm. 233–34. In this context, the exposition's retrospectively "retracted" TM[3] now generates the impression of a solitary MC prefacing a solitary ST, which the PAC in mm. 255–56 closes. Again, however, the recovery of the DE material after this cadence problematizes this reading, suggesting that the interpretation of mm. 234–55 as S3's TR, MC and ST should yield to the projection of an encompassing DE, which begins in m. 234 and closes with the trill-cadence in mm. 268–69. If we favor the view that a trimodular block in S1 reduces to a two-part recapitulation in S3, then Concerto No. 15 more properly belongs to sub-type 4 (abridged S3 ST). If we privilege the circumscribing DE material, then No. 15 belongs more plausibly to sub-type 3 (absent form-functional ST in S3).

A similar typological ambiguity arises in Concerto No. 17, a sub-type 4 leaning example due to the return of at least some ST material. Here, the S1 ST has two elements: an initial phrase unit in F minor (ST[1]); and the main body of ST (ST[2]), which follows in F major. In the recapitulation, TR returns and leads into ST[1] in D minor via an overwritten i:PAC MC. ST[1] then reaches its own PAC, and C DE follows with no ST[2] return. In Concerto No. 21, Viotti proceeds directly from P to a closing-section DE in the recapitulation and the movement consequently more closely resembles sub-type 3; but the exposition's C DE includes a midpoint recuperation of aspects of ST, which the C DE recapitulation preserves.

It is, altogether, difficult to characterize what happens in these movements without recourse to some concept of exposition/recapitulation (S1/S3) non-correspondence. In No. 22's first movement, P's PAC in m. 254 is

clearly not the ESC, and the material that follows cannot reasonably be explained as ST, unless we jettison any syntactic requirements to that effect and ignore the parallelism between it (mm. 254–80) and the S1 DE. The absences are, however, inter-thematic rather than generic in Hepokoski and Darcy's sense: they are a matter of S1/S3 non-correspondence, which is standardized for Viotti.[48] One intriguing alternative is to explain sub-type 3 as a special instance of "becoming" in Schmalfeldt's intended meaning, which is different in crucial respects from the TR=>ST^2 reading appended to the Caplinian interpretation of No. 22 offered above: Viotti converts a transition retrospectively into a display-episode closing section, jettisoning the second-theme function that should intervene and moving to a structural cadence in mm. 280–81, which is the only plausible ESC candidate, notwithstanding the problems diagnosed above. Yet this reading takes us beyond the parameters of Schmalfeldt's theory, because the reinterpretation of TR as C DE involves non-adjacent functions: in effect, we have a kind of "gapped" becoming, in which pre-thematic music (TR) becomes post-thematic music (C DE).

Viotti and the Type $5^{type\ 2}$ Sonata (Sub-Type 2)

Viotti's type $5^{type\ 2}$ movements—sub-type 2 in Example 5—are far less numerous, although, as noted previously, they still outnumber his type $5^{type\ 3}$ first movements with conventional recapitulations (five, as opposed to four). Viotti's type $5^{type\text{-}2}$ practice varies considerably over time. In Concerto No. 1 (C major; 1782), R1 ST consists of a TMB, in which TM^1 introduces ST^1 at m. 37 in the dominant minor and TM^3 ushers in ST^2 at m. 55 in the dominant major. In S1, the soloist picks up R1 ST^1 at m. 153 and frames it with new second-group material in the dominant major (ST^3), entering at m. 130 and creating a ternary second group (ST^3–ST^1–ST^3), closed with a PAC, which functions as the EEC and leads into the DE. The developmental S2 concludes with a PAC in the tonic minor, from which R3 ensues at m. 278.[49] Viotti then remains in the tonic minor and commences the S3 tonal resolution at m. 292 with ST^1. From here, the tonal resolution proceeds in correspondence with S1: ST^3 duly returns in C major at m. 312, and the DE closes S3 at mm. 372–73 with a trill-cadence leading into R4. The ternary ST zone of S1 (ST^3–ST^1–ST^3) reduces to a return of the B and A′ sections only (ST^1 and ST^3). Concerto No. 2 (1782; E major) is more straightforward. R3 closes the development with a de-energizing, rather attenuated iii:PAC culminating in a caesura effect at m. 229, after which S1's ST and DE return in the tonic major.

Concertos nos. 3, 18 and 24 are more complex again. Concerto No. 3 (A major; 1781–1782) commences its tonal resolution in m. 183 with the second half of S1's ST, but compensates for the resulting proportional imbalance

by fusing its cadence with a contiguous solo reprise of R1 P's consequent at m. 193, which nevertheless remains tonally open: an IAC replaces the original PAC. The display episode then ensues; another tonic IAC is reached midway through DE at m. 205, decisively establishing the PAC trill-cadence that announces R4 at mm. 215–16 as the ESC.

Viotti then neglected the type $5^{\text{type 2}}$ between the composition of the first three concertos in 1781–1782 and of Concerto No. 18 in E minor in 1790–1793. No. 18's first movement, appraised in Example 10, picks up No. 3's strategy of following the tonal resolution of ST with P material, and develops it to the point at which type 2 shades into reversed type 3. S1's ST returns in the tonic major at m. 247, following a caesura effect, to initiate the tonal resolution; yet ST's closing PAC is elided with a tutti, tonic-minor return of R1 P at m. 263, which functions as R3, and ST's cadential strength is qualified by the orchestra's strong melodic emphasis on ^5 at R3's start. Viotti then additionally reprises S1 P at m. 290, to which falls the task of supplying the ESC and initiating the DE, duly fulfilled with the PAC in mm. 312–13. The qualification of ST's terminal cadence weakens its claim to be the ESC and concomitantly strengthens the sense of recapitulatory reversal, since the strongest PAC is that which closes the S1 P reprise. It is also possible to hear ST's tonic return at m. 247 as the final stage of a developmental rotation considering the development's own tonic orientation originating as early as m. 195, which means that R3 could be heard as initiating a recapitulation and No. 18 could be understood as a further example of sub-type 3 (S3 solo recapitulation with no ST). Rather than arbitrate this dispute in favor of one reading, it may be better to perceive No. 18 as a sub-type 2/sub-type 3 hybrid, which initially proceeds as a type $5^{\text{type 2}}$ but latterly becomes a type $5^{\text{type 3}}$ without ST reprise. (We will encounter a similar strategy presently in our analysis of Saint-Saëns's Concerto No. 1.)

Concerto No. 24 in B minor, composed between 1793 and 1797, discloses a different set of complexities centered on the relationship between the tonal resolution and the model bequeathed by the solo exposition, as outlined in Example 11. Here, one might consider S1 in light of TMB conventions: a III:HC MC in m. 100 leads to R1 ST (as TM^1), which closes with a III:PAC in m. 120 that initiates a display episode (TM^2). In m. 133, this DE appears to be heading for a trill-cadence, but its resolution in m. 134 elides with the start of a new second theme, ST^2 (TM^3), which obliges us to reconceive R1 ST as ST^1. This new theme also closes with a PAC, achieved in mm. 148–49, whereupon the DE first encountered in m. 120 begins again and clinches the decisive trill-cadence PAC in mm. 168–69 that ushers in R2. Characterizing this design as a TMB, however, is problematized by the unequivocal cadence that closes ST^1, the DE rather than TR character of the reputed TM^2, and the elision of the DE's IAC at m.

134 with ST^2, in lieu of a second MC. Similar to the circumstances in No. 15 described above, ST^2 rather has the character of a lyrical episode within a larger DE, which is suspended at m. 134 and resumed at 149. In m. 269, the movement's tonal resolution begins with ST^2, now in the tonic major, yielding a PAC in mm. 283–84, which shades into the tonic minor, supplying a clear ESC and releasing the second S1 DE as a closing section, working towards the tonic trill-cadence articulating the start of R4 in mm. 304–5. The exposition's complexities are alleviated in the recapitulation, in the sense that a more straightforward progression from ST^2 to the DE removes the possibility of either a TMB or a lyrical insertion within an overarching DE. The situation is not unlike Concerto No. 1's recapitulatory compression, where Viotti reduces S1's ternary secondary zone to a streamlined progression from just the B (ST^1) and A′ (ST^3) sections to the DE.

SAINT-SAËNS'S TYPE 2 PRACTICE

Unlike his sub-type 3 recapitulations, Viotti's type $5^{\text{type 2}}$ variant participates in a larger trend in the repertoire. In addition to the composer-violinists mentioned earlier, figures as diverse as Wieniawski, Saint-Saëns, and Elgar sustained the type 2 tradition deep into the century and beyond, adapting its formal habits to the harmonic language and thematic style of these later eras. The first movement of Saint-Saëns's Concerto No. 3 in B minor, Op. 61, of 1880 evinces numerous characteristics supporting a type 2 interpretation. The *Morceau de Concert* in E minor, Op. 62, of the same year traces a similar parallel-binary design, suggesting that Saint-Saëns found this formal type congenial at this time (the Concerto No. 2 in C major, Op. 58, of 1858 follows type $5^{\text{type 3}}$ conventions). The earlier Concerto No. 1 in A major, Op. 20, of 1859, in contrast, resists straightforward typological categorization. It maintains traces of type 2 form, especially when viewed in the context of both the nineteenth-century violin concerto's type 2 tradition (above all among Saint-Saëns's French precursors) and Saint-Saëns's own type 2 proclivities displayed straightforwardly in the B-minor concerto and *Morceau*. The situation, however, is complicated by an extreme scarcity of cadences, the off-tonic reprise of ST, and a two-dimensional component that arises via the interpolation of an Andante within an overarching single-movement Allegro. Additional topics of interest in these three movements include: possible motivations for the type 2 form of Concerto No. 3 and the *Morceau* in idiosyncrasies of their P and TR sections; Saint-Saëns's decision, on the one hand, to extend Concerto No. 3's bi-rotational design with a third, expansive coda rotation (60 mm.), while, on the other, to punctuate the *Morceau* with only a brief nine-measure coda following a display episode and cadenza still within sonata space; and

the tri-rotational design Concerto No. 1 shares with No. 3, despite differences in how they embed bi-rotational, type 2 characteristics within this larger tripartite framework.

The First Movement of Concerto No. 3

The most straightforward case is the first movement of No. 3, whose form appears in outline in Example 12. Perhaps the exposition's most striking characteristic is the major subdominant as secondary key. Also noteworthy is the expansiveness of the P zone, whose length may have motivated Saint-Saëns to forgo its recapitulation in favor of type 2 compactness. A tonicized HC at m. 20 punctuating the opening parallel period, and the series of V^7–VI deceptive progressions in mm. 38–40, are both followed by passages that seem like they could initiate the transition. Saint-Saëns instead steers back to B minor in both cases, and closes the P zone with a PAC only at m. 64 in overlap with the genuine onset of TR.

Although m. 98's otherworldly lyrical ST departs from its dominant and otherwise delays a root position E tonic, it also culminates in closure, the understated EEC at m. 122, which has the further end-of-the-end attribute of confirmation via a codetta (mm. 122–29). Here, as in so many nineteenth-century expositions of other genres (the symphony, for instance), ST's intrinsic ending function arises not from a loose-knit process of energy gain culminating in an emphatic PAC, as in classical models. Instead, ST maintains its lyrical, inward turn even including its recessive closing cadence. Unlike many concertos—whether type 5 forms (i.e., with ritornellos) or type 2s or 3s (without)—in which a subsequent C DE provides the energy gain and a forceful closing (trill) cadence, Concerto No. 3 offers characteristics of a more "pure" Romantic design. It sheds those emblematic concerto characteristics in favor of something that might occur in a nineteenth-century symphony or chamber work: the entrance of the development immediately following ST's peaceful close and brief codetta. These considerations will prove crucial to both a type 2 interpretation and speculation about motivations for the expansiveness of the third, parageneric rotation.

The second rotation follows type 2 conventions to a tee. Non-tonic departure from P at m. 130 is followed by a developmental-like display passage, accompanied by fragmentary references to P in the orchestra. The P launch of this second rotation even opens on the E major harmony that closes the exposition along the lines of eighteenth-century practice, although it transforms the E tonic into a dominant 4/2 chord. The crux arrives at m. 169, with the solo passage from m. 82 of TR transposed up a fifth, so that ST can enter and close in the home key. Crucially, the

development offers no signals pointing to a P restatement that then fails to transpire, in the manner of main-theme deletion. Rather, like the type $5^{\text{type 2}}$ examples from Paganini excerpted in Example 4, the form produces the ST restatement forecast by the merger of the development into TR material.[50] ST's closure, the ESC at m. 221 and its codetta confirmation, signal the end of sonata space. ST maintains both its intrinsic and contextual signs of terminal function—it remains intrinsically a lyrical, "inward" second theme, contextually follows the medial-functioning TR, and includes the end-of-the-end punctuation of a PAC extended through a codetta. Rather than contradicting attribution of ESC status, the cadence's understated character supports that attribution, at least when understood in relation to the nineteenth-century conventions described above. The entrance of P that follows at m. 229 is not, therefore, part of a reversed recapitulation but instead initiates a third, after-the-end, coda rotation.

The parallelism of this final P launch with the version that initiates the second, developmental rotation supports this parageneric interpretation (cf. mm. 130–47 and 229–45). Rather than restating the expository version of P in the manner of a recapitulation, the passage follows the Beethovenian practice of creating a development/coda rhyme. The expansiveness of this coda appears to be motivated by dramatic-expressive considerations, as opposed to a need for a recapitulatory correction of a reputedly missing P following the development. The second rotation's ST close remains recessive and in a dreamy major mode, as it had been in the exposition. The coda provides the collapse into B minor, whose tragic impact Saint-Saëns underscores through the length and intensity of this final section. The ST zone's B major is underplayed and ethereal; the coda's B minor is extensive, emphatic, and grimly of the real world. And there is no going back: once ST floats away, it is never to return, which results in a partially rotational coda. To say that this gripping conclusion falls beyond the main sonata-form frame, is not to imply that it is inessential or unimportant. On the contrary, it serves as the climax of the movement's tragic expressive arc.

The Morceau de Concert

The *Morceau de Concert* is also clear in its parallel-binary design, as Example 13 outlines, although there are some crucial differences in its adaptation of type 2 conventions. Its P-based slow introduction (Largamente; mm. 1–8) and P zone are noteworthy for their failure to define E minor as tonic, in contrast to the concerto's unambiguous B-minor opening. The resulting tonal ambiguities may have made this material difficult to reconceive as a recapitulatory initiation, thereby inspiring a type 2 form. The introduction departs from an F*s, half-diminished seventh chord that could have functioned as E's supertonic. Yet, instead of leading to V/E, it progresses to $V^{4/2}$/D in

mm. 6–8 in preparation for the start of the exposition. The expansive sentence that opens the exposition similarly favors tonal mobility. Its basic idea (b.i.) of mm. 9–13 avoids E in favor of motion to a tonicized C major, and although the b.i. repetition (mm. 14–18) arrives on a tonicized E minor, the continuation (m. 19) stresses A minor as overarching key. The sheer length of the continuation and its culmination on an HC MC in m. 49 likely lead a listener to assess it as a continuation that becomes TR. Yet it is not clear whether this V/E is either a i:HC MC (B as home dominant) or, heard in relation to the extensive A-minor tonicization, a v:HC MC (B as V/v). In any case, the MC is declined by the absence of a subsequent ST. What follows instead is a series of additional passages punctuated by MCs, each of which is also declined, until the final one at mm. 89–95 (with caesura fill) is accepted by ST's entrance in G major.

In contrast to the P zone, the ST/C complex is notably more conventional: ST's parallel period of mm. 96–112[1] expresses a stable G major and concludes with a III:PAC EEC in overlap with the entrance of a C DE. This DE, in turn, cadences climactically on the G tonic at m. 132 following an emphatic V/G expansion and in overlap with the entrance of an orchestral tutti on ST, also in G.

Although one should never underestimate the powers of a composer like Saint-Saëns to stitch a complex P zone into a type 3 recapitulation, the opening of the *Morceau* poses distinct challenges. Saint-Saëns leads the development to V/E in mm. 194–211, adumbrates P with fragmentary statements of its basic idea, and punctuates the passage with an MC-like gesture and caesura-fill in the solo violin. But V/E logically prepares neither P's presentation (with its departure from V/D) nor the continuation (with its departure from *fII of A minor and overarching focus on A minor). Rather than engage in extensive P recomposition, Saint-Saëns chooses a different path: the caesura-fill connects the V/E with the crux at m. 212 on material corresponding with that of m. 68. This was the last of the passages leading to MCs in the exposition—the one that was finally accepted by the entrance of ST in G major. Here, the MC comes to function as a bi-focal close: in the exposition, the i:HC MC at m. 89 is followed by the G-major ST; in the recapitulation (m. 234), it is followed by ST in E major at m. 242.

As is the case in Concerto No. 3, ST returns measure-for-measure, including its PAC, which serves as the ESC (m. 258). In this case, the C DE follows, still within sonata space. (Recall that in the concerto, there is no DE; the ST reprise's codetta is followed immediately by the P-based launch of the coda, parallel to the entrance of the development immediately following the expository ST.) The *Morceau*'s ST restatement has affected a shift to the major tonic, as is also the case in the Concerto. But, in this instance, Saint-Saëns chooses to end the movement in the

affirmative major, in a darkness-to-light narrative. Because ST and DE have already achieved the shift—and decisively so—there is apparently no need for a discursive coda, as was the case in the after-the-end fall to minor in Concerto No. 3.

The decisiveness of the mode shift arises from both an expansion of the expository version of DE and the inclusion of a cadenza on its penultimate dominant (m. 301).[51] Both concerto convention and the template of the *Morceau*'s exposition indicate that these passages fall within sonata space. The brief P-based coda that follows (mm. 302–10) is a vestige, within the *Morceau*'s type 2 form, of a signature type 5 concerto convention: the completion, following the cadenza, of the final ritornello (the ritornello that conventionally begins before the cadenza), that is, a vestige of R4.2 in the pattern R4.1–cadenza–R4.2. The *Morceau*, however, eschews an R4.1, and instead leads directly from DE to the cadenza. The vestigial R4.2 is nevertheless after-the-end, as it would be as part of a complete R4, in the sense that the cadenza's trill cadence is, in this case, also the cadence that closes DE—it is the moment that ends the solo recapitulation, in other words. Despite these crucial distinctions between the *Morceau* and Concerto No. 3's first movement, both trace parallel-binary forms, although the latter movement acquires an additional ternary profile through its expansive coda.

Concerto No. 1

Unlike these sonata forms, the single-movement Concerto No. 1 is marked by a near total absence of cadences, as indicated in Example 14—a feature that poses interpretive challenges. The P zone is one exception: it sits on the dominant but closes with a PAC in overlap with the onset of TR at m. 14.[52] Otherwise, the modulating ST of m. 41 builds toward closure in the E dominant after its lyrical beginning in the mediant (C*s minor), but P's entrance on a G dominant at m. 74 initiates the second, developmental rotation before an EEC is secured. This second rotation eventually completes with an ST restatement at m. 173 in the minor subdominant (D minor) and modulating to the flat submediant (F major). This thematic return occurs, however, only after the initial, P-based development is interrupted, at m. 118, by an interpolated Andante movement in the major subdominant (D major) that introduces a two-dimensional component into the form; this Andante also fails to close tonally. Despite the similarity to a type 2 second rotation—a non-tonic, P-based development followed, after the two-dimensional Andante interruption, by a complete ST restatement—ST is neither in the tonic nor does it provide a cadence even in its goal F major. Instead, its buildup to closure is again thwarted by the entrance of P at m. 206.[53]

In contrast to Concerto No. 3's P-based coda, this P restates the expository version in the tonic (although it maintains the original's dominant focus) and, as just noted, the preceding ST provides no ESC (it is not even in the tonic key). Several interpretive responses are possible. Hepokoski and Darcy's theory offers the concept of a failed tonal resolution (i.e., the restatement of ST does not provide the ESC), which defers tonal closure to a zone past sonata space, presumably a coda. Analysts open to the possibility of recapitulatory reversal might counter that P here is clearly not after-the-end, and that reversal is consequently implied: a subdominant, out-of-order ST reprise is followed by a tonic P return that presumably will acquire the end-of-the-end ST-like function of leading to the ESC. Alas, such a P-generated ESC fails to materialize: as Examples 15a and 15b show, Saint-Saëns cuts the final two measures of P so that it overlaps with TR at the entrance of V rather than reiterating the exposition's overlapped I:PAC. This recomposition, along with several other features enumerated below, problematizes the notion of recapitulatory reversal in favor of a sonata-theory interpretation, although one nuanced to take into account aspects of two-dimensionality.

Following the P launch, TR also returns, conjuring the medial function it fulfilled in the exposition. Saint-Saëns appears to progress from a P beginning function, to a TR medial function that points ahead to a terminal function—an overarching third rotation, in other words. TR's restatement eventually breaks off in favor of a passage leading to an expanded dominant in mm. 256-65 that invites expectations of the ESC. Saint-Saëns, however, separates V and I with an MC-like gesture and caesura-fill in mm. 265-68, as seen in Example 16. The tonic pedal that enters at m. 268 perhaps indicates that this is nevertheless the ESC.[54] Still, the material continues to be TR-based, which, in combination with the caesura, anticipates a more resolute cadence to come—an unequivocal I:PAC ESC. That close eventually arrives at m. 300, where there is indeed a shift to P-based coda-like material. But crucially, this occurs only after thematic ideas from ST's buildup to closure return in mm. 286-95, as illustrated in Example 17.

These factors compel an alternative to recapitulatory reversal that engages both the type 2 and two-dimensional components. The subdominant restatement of ST completes a second, P-initiated and Andante-interrupted rotation, in dialogue with type 2 form. ST's return in the subdominant, however, complicates this type 2 attribution, despite support for it from Saint-Saëns's type 2 proclivity expressed in the Concerto No. 3 and *Morceau* (including the commonality of a third rotation in both concertos Nos. 1 and 3), as well as the broader type 2 tradition

in the nineteenth-century violin concerto. It is also the case that, apart from this formally ambiguous Saint-Saëns movement, there is scant evidence of recapitulatory reversal in the corpus.

Further complicating the picture is another aspect of formal multivalence that emerges from the continuity of the subdominant Andante and subdominant ST. Recall that, in addition to sharing the subdominant key, the Andante never tonally closes. This continuity raises the possibility that the ST return contributes to a larger interior section in the two-dimensional layout. The exposition and development initiate the overarching sonata form; the D-major Andante is an unambiguous interpolated second movement, and the D-minor ST joins it as an interior-movement-like entity; finally, P's return in its opening form is a gesture of initiation and not completion in a recapitulatory reversal. It simultaneously fulfills a quasi-finale function following the subdominant middle "movements" and a recapitulatory initiation in the overarching sonata. In this sense, both the subdominant ST and the tonic P fulfill "double functions" characteristic of two-dimensional form—one function within the overarching sonata form and the other within the embedded multi-movement cycle: ST alludes to both the completion of a second rotation within a type 2 form and a middle movement; P resonates with both a finale and a type 3 recapitulation.[55] Notably, the recapitulatory aspect occurs in rotational order: P eschews end-of-the-end closure (or end-of-the-beginning closure, for that matter), TR ensues, and material from ST's buildup to closure eventually follows. It is this ST material, and not P, that participates in the delivery of the ESC, which is followed by a P-based coda. Ultimately, the overarching sonata form embraces aspects of both type 2 and type 3, similar to the hybridization we saw in Viotti's E-minor Concerto No. 18: both movements initially proceed as a type $5^{\text{type 2}}$ but latterly become a type $5^{\text{type 3}}$ without ST reprise.

CONCLUSION

Three essential points flow from these explorations. First, the theorization of the type 5 sonata by induction from Mozart's practice is inadvisable and imposes normative generalizations from which much of the repertoire deviates in whole or in part. When Celestini notes the peculiarity of defining London and Paris as the "others" of Vienna despite their overwhelming economic and political significance at the turn of the nineteenth century, he echoes a plea for non-canonical reorientation, which scholars of the London Pianoforte School have periodically voiced over the past several decades.[56] For the violin concerto, there are no good historical grounds for treating Mozart as a center and much better grounds for orientating our theories towards the Italo-Anglo-French traditions stemming

from Viotti, his circle in Paris, and Paganini. The prestige that Mozart's piano concertos, above all, have accrued as a foundation for *Formenlehre* speaks to their enduring aesthetic worth, but has for more than a century placed formal theory's claims about concerto first-movement form in conflict with the genre's historical realities. Our research indicates that *Formenlehre* will consistently fail in its responsibility to capture the diversity of generic practices until this dichotomy between theory and history is resolved.

Second, sub-generic differences matter for the theory of concerto form. It isn't clear that the practices we describe in Viotti's and Saint-Saëns's violin concertos are representative of late- and post-classical piano concertos, for example. Extensive research into the post-classical piano concerto reveals that the type $5^{\text{type 2}}$ variant is far less common in that context; and Viotti's ST omissions are replicated in no piano concerto the authors have discovered.[57] Although similar issues of historical indifference and neglect of non-canonical repertoire attend theories of the type 5 sonata formulated for the piano concerto, it is important to differentiate practices by sub-genre: a theory of the type 5 sonata in the violin concerto will not necessarily supply, by induction, principles which can be generalized across all generic variants.

Finally, our corpus study makes plain formal theory's potential for revealing hitherto invisible patterns of reception and exposing just how large the gaps are in our knowledge of sonata-type genres. In Viotti's case, an entire body of formal practices, which are as numerous as Mozart's mature type 5 habits, has gone unnoticed by mainstream theory and has consequently played no role in our analytical discourse on concerto forms. In Saint-Saëns's case, a variety of formal strategies, which inevitably emerge as deformational in relation to the type 3, have their unconventionality mitigated, if not completely dispelled, by knowledge of a type-2 genealogy stretching back continuously into the late eighteenth century. The transmission of the type $5^{\text{type 2}}$ into the nineteenth century offers one clear opportunity, among many, to address such lacunae in future research.

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[1]Hepokosi and Darcy (2006, 430–602).

[2]Horton (2011 and 2017); Hepokoski (2012); Smith (2016 and 2022); Taylor (2021).

[3]Leistra-Jones (2015), Smith (2022), Maliniak and Greenberg (2022), and Chapter 7 from Greenberg (2022) are among the small list of publications that address the violin concerto from a New *Formenlehre* perspective. Of these important contributions, only Leistra-Jones's and Smith's share our concern with nineteenth-century manifestations, and they each focus on a single canonic composition—Brahms's Violin Concerto and Dvořák's, respectively—whereas we take a corpus-based approach. Maliniak and Greenberg also advocate for corpus study, but they address eighteenth-century repertoire.

[4]As Hepokoski and Darcy (2006, 469) observe, "Even while [Mozart's] preferences are instructive and provide a basis for investigation outside of the Mozart canon, they should not be elevated into pan-European norms for the decades around 1800. Any study that also included examinations of other composers' concerto practices would introduce other possibilities, other realizations of the more broadly based network of choices."

[5]Neuwirth (2021).

[6]Caplin (1998).

[7]Hepokoski and Darcy (2006).

[8]We naturally acknowledge the importance of diverse historical evidence, encompassing treatises, correspondence, reviews, performance practice and history, and much else besides. But all of this is ancillary to the persisting evidence of actual compositions, without which the concept of a history of *music* loses its meaning. In this respect, we regard analysis as an instrument of music-historical research.

[9]In contrast to classical practice, nineteenth-century composers might choose either to retain the eighteenth-century ritornello framework or dispense with it. We adopt several labelling conventions in response to this and other aspects of flexibility. Following Hepokoski and Darcy (2006), *type 5* indicates a ritornello form. Further distinctions of sonata type within these ritornello forms appear in superscript: *type 5*$^{type\ 2}$ and *type 5*$^{type\ 3}$, for instance. Forms without a ritornello follow standard sonata theory labelling: *type 2*, *type 3*, etc. The addition of "(2-dim)" indicates

the presence of a two-dimensional component through the insertion of a slow movement within the overarching sonata form of whatever type (type $3^{(2\text{-dim})}$, type $2^{(2\text{-dim})}$, etc.). We opt for ST for the secondary theme zone rather than S to avoid confusion with the many instances of S—for instance, S1, S2, S3, etc.—as indications for the main solo sections. Finally, the Appendix provides complete terms and definitions for the abbreviations, while the first terminological usage in the text introduces the abbreviation parenthetically only after statement of the full term.

[10]Truncation and the related topic of two-dimensional concerto form fall beyond the purview of this article. We plan to address them in a separate study, although we engage two-dimensionality in one instance: Saint-Saëns's Concerto No. 1. Because our concern is recapitulatory compression and its typological implications, Example 1 categorizes movements based on sonata type, as opposed to other equally important distinctions, such as the presence or absence of a ritornello or whether the opening ritornello modulates. These are also topics worthy of independent study.

[11]On the type 2, see Vande Moortele (2021). On the negative/positive dichotomy, Vande Moortele (2013).

[12]According to *Grove Music Online*, Viotti "was the most influential violinist between Tartini and Paganini and the last great representative of the Italian tradition stemming from Corelli. He is considered the founder of the 'modern' (19th-century) French school of violin playing, and his compositions, among the finest examples of Classical violin music, exerted a strong influence on 19th-century violin style."

[13]Baillot does not appear in the corpus summary due to the inaccessibility of scores or even complete parts (including the solo part) for most of his violin concertos.

[14]And even in the case of De Bériot's Fifth, the formal classification is debatable. The tonic return of the soloist's initial flourish ($P^{1.1}$ or perhaps $P^{1.0}$) of mm. 58–65 in mm. 289–96 and the preparation of that return by a retransitional dominant support a type $5^{\text{type 3}}$ categorization. As Dominik Mitterer (2023) has argued, however, the more substantial, form-functionally complete P of mm. $66–90^{1}$ never returns in favor of the immediate entrance of ST in the tonic at m. 297. He therefore interprets the form as type $5^{\text{type 2}}$. At minimum, one could say that if this is a type $5^{\text{type 3}}$, its recapitulation is "ST heavy" in the manner of a type $5^{\text{type 2}}$. The entire situation is complicated by the slow movement De Beriot inserts, in the manner of a two-dimensional form, between R2 and the retransition. A more complete label would thus be either type $5^{\text{type 3(2-dim)}}$ or type $5^{\text{type 2(2-dim)}}$.

[15]Arguments in favor of a nineteenth-century type 2 appear in Davis (2014), Smith (2019 and 2021), Hepokoski (2021), and Hyland (2021). Vande Moortele (2017 and 2021) offers a more skeptical viewpoint, while Wingfield (2008) dismisses the possibility.

[16]Vande Moortele (2021) defends the viability of recapitulatory reversal and additionally proposes main-theme deletion and development-recapitulation fusion, all as alternatives to the type 2. He stresses the absence of type 2 descriptions in nineteenth-century *Formenlehre* in Vande Moortele (2017, 237–38).

[17]Smith (2019) and Vande Moortele (2021).

[18]Here, we retain the concept of a closing zone (C) from Hepokoski and Darcy, even as we engage Caplin's form-functional perspective, which otherwise rejects it. Caplin favors instead the idea of multiple subordinate themes because, in his view, no identifiable form-functional distinction separates an initial subordinate theme or themes from subsequent themes of a reputed closing zone. In a concerto, however, ST is conventionally followed by a display episode, so there is indeed a dramatic shift from characteristic material to non-thematic passagework often based on simple tonic-dominant alternation of a "closing" character.

[19]Soloist-led final passages also occur in ritornello forms, including some of the most famous: the first movements of the Beethoven and Brahms violin concertos, for instance.

[20]The exception is the Vieuxtemps movement, which forgoes R4 in favor of a brief coda led by the soloist (mm. 259–64). The "4" in "R4" refers to functional characteristics of the final ritornello in the other three movements rather than serial order. Because these are type $5^{\text{type 2}}$ forms there is no R3; only an R1, R2, and R4. The final ritornello nevertheless maintains the characteristic features it displays in a type $5^{\text{type 3}}$, where an R3 has occurred: it enters in overlap with the trill cadence, leads via its R4.1 segment to the cadential 6/4 chord for the cadenza, and concludes following the cadenza with its R4.2 passage.

[21]On the large recapitulation, see Hepokoski and Darcy (2006, 596–602).

[22]Galand's (2000, 400) Types 1 and 2 model these two possibilities. Hepokoski and Darcy (2006, 437) label them Subtypes A and B.

[23]Galand (2008, 240).

[24]On the concept of writing over, see Hepokoski and Darcy (2006, 212–15).

[25]Galand (2000), Stevens (1974), and Hepokoski and Darcy (2006). Galand's Type 5 and Hepokoski and Darcy's Subtype E model the type $5^{\text{type 2}}$ form; their Type 6 and Subtype F, the type $5^{\text{type 1}}$.

[26]Galand (2000, 443–44). A corpus survey of eighteenth-century Italian violin and keyboard concertos might prove a crucial expansion of Galand's geographic and generic boundaries (his focus is the keyboard concerto), considering Viotti's and Paganini's Italian identities and their apparent contribution to the nineteenth-century type 2 tradition.

[27]Galand (2000, 407).

[28]As explored by Hepokoski and Darcy (2006, 453–68).

[29]Galand (2000, 438).

[30]Galand, (2000, 401). Schröter may be an obscure figure to us, but he was prominent enough that Mozart wrote cadenzas (K. 624) for three of these concertos, as Galand (2000, 388) notes.

[31]Galand (2000, 436–39); Hepokoski and Darcy (2006, 431).

[32]See Daverio (1994), for instance.

[33]On the nineteenth-century type 2, see Davis (2014), Smith (2019), Hepokoski (2021), Vande Moortele (2021), and Hyland (2021). On the expanded type 1, Daverio (1994), Galand (2008), Smith (2018), and Hepokoski (2021), among others.

[34]And is being undertaken by Julian Horton, Benedict Taylor, and Steven Vande Moortele.

[35]The well-known Concerto No. 1 in D major is as good as any to illustrate. The 24-measure S1:\P comprises three units alternating virtuosic display with lyricism: the opening flourish of mm. 95–102 ($P^{1.0}$); the lyrical theme of mm. $103–10^1$ ($P^{1.1}$); and the display-episode-like codetta of mm. 110–18. The 80-measure, B-minor dominated, S2 development has no fewer than eight sections: departure from the $P^{1.0}$ flourish in mm. 231–34; a new lyrical theme in mm. 235–42; the $P^{1.0}$ flourish again in mm. 243–46; another lyrical theme related to the previous one in mm. $247–60^1$; an ABA′ section consisting of a display episode in mm. $260–80^1$ (A in B minor); another lyrical theme related to the others in mm. $260–90^1$ (B in B major); and a return of the DE in $290–302^1$ (A′ in B minor leading to V/D); and the MC and caesura-fill in mm. 302–10, which prepare the tonal resolution of ST at m. 311.

[36]Neuwirth (2021, 334–42).

[37]Neuwirth (2021, 339).

[38]Another disparity is their attitude toward R1. Mozart writes a monotonal first ritornello in all but two of his piano concertos, and in all five of his violin concertos. By contrast, 24 of Viotti's 29 first ritornellos unequivocally modulate for their second theme. Viotti's R1s reflect the norm for our corpus's broader practice. Combined with the prevalence of the modulating R1 in the post-classical piano concerto (Horton 2011; 2021), this practice reveals Mozart to be the outlier and Viotti the exemplar.

[39]Celestini (2006, 261). Concerto no. 22 has an interesting nineteenth-century afterlife. Mendelssohn programmed it as a representative "historical" work at the Gewandhaus in preference to Mozart, it was championed by Joachim,

and Brahms expressed admiration for it. It is telling that Joachim and Brahms valued this piece despite its apparent recapitulatory "anomalies," at least as viewed from a New *Formenlehre* perspective. On Brahms's reception of it, see Fellinger (1990); on its Gewandhaus reception, see Mitterer (forthcoming).

[40]There are also ambiguities of ST identity bequeathed from R1 and S1. In R1, TR begins in m. 26 with a lyrical tonic-major theme, which could also be heard as an ST candidate, but this yields to TR rhetoric at m. 30 and R1 ST proper commences in the dominant major after a V:PAC MC in m. 33. S1 reproduces the same tonal trajectory: here, an MC-like event on V/I arrives in m. 101, after which the soloist picks up R1's rejected tonic-major ST; the true MC follows in m. 118, and R1 ST is adopted in m. 125, anacrusis 124. The jettisoning of material in S3 responds to the comparative thematic fecundity of R1 and S1.

[41]Caplin (1998, 247–48 and 2013, 686–89).

[42]Caplin severely restricts the identification of closing sections in concerto first-movement form, describing R2 as a "subordinate-key ritornello," which sometimes ends with a PAC and a closing section, but in other cases does not. Caplin argues that, although R2 is "clearly the formal analogue of a closing section, ... in the majority of cases it is not organized as a series of codettas" (1998, 248).

[43]Schmalfeldt (2011).

[44]Hepokoski and Darcy (2006, 542–44).

[45]Hepokoski and Darcy (2006, 588).

[46]Hepokoski and Darcy (2006, 190–1).

[47]Hepokoski and Darcy (2006, 247 and 249).

[48]Although even from the perspective of non-correspondence, there is a generic component in the sense that S1/S3 parallelism is itself a sonata-form convention and characteristic of type $5^{\text{type 3}}$ forms throughout our corpus.

[49]The earlier discussion of the movements outlined in Example 3 stressed the type $5^{\text{type 2}}$ option of a single, overarching S2, without division into S2 and S3 via the intervention of R3. The present analysis (and those of Nos. 2 and 18 below) illustrates the possibility of such bifurcation—more characteristic of type $5^{\text{type 3}}$ forms—in the type $5^{\text{type 2}}$ context.

[50]Galand (2008, 251–53) and Daverio (1994, 115–16) offer a similar conclusion in relation to Mozart's expanded type 1 rondo finales.

[51]The display episode spans 20 measures in the exposition and 44 in the second rotation, not even including the expansion of its closing cadence via the cadenza.

[52]TR arrives on V/C*s in m. 38 and a caesura follows, but if this is an HC, it is surely not paradigmatically so. Deruchie (2015, 126) interprets the passage at m. 14 somewhat differently. He hears it as a second main theme, although he also observes that this "open-ended
main theme 2 shades into the transition" (128). It is true that P's dominant prolongation gives it a preparatory character answered by TR's "grounding" shift to an initial tonic expansion in mm. 14–22. P nevertheless outlines a sentence punctuated by a PAC, and locking onto the tonic for TR departure is hardly exceptional. Moreover, following its opening tonic, TR leads onward with its tonal motion to V/C*s; both intrinsically and contextually, the passage functions as TR.

[53]Deruchie (2015, 126) offers an alternative perspective. He regards the return of P's basic idea with an A-major harmony at m. 109 as suggesting the "onset of the recapitulation," *before* the entrance of the Andante. He nevertheless acknowledges the characteristics that lead us to hear this passage not as the beginning of a third, recapitulatory rotation (in a type 3 form) but as part of the development within an ongoing type 2 second rotation: "This [recapitulatory] function, however, immediately fizzles: the German augmented-sixth chord built on B*f in measures 102 and 104 instantly recolors the tonic as V of IV, undercutting the effect of tonal return, and a cadenza dissipates main theme 1 at measure 117." (The measures cited for the augmented sixth are erroneous; the chord occurs in mm. 110 and 112.) The A harmony is also prepared by a B*f sonority (m. 108), further undercutting tonic function even as it enters. Like us, Hunt (2017, 102n11) speculates about the possibility of a type 2 form (with subdominant ST reprise) but does not pursue that interpretation in any detail.

[54]Deruchie (2015, 128) regards the section at m. 268 as the coda, which implies that the ESC has indeed arrived.

[55]Deruchie (2015, 128) agrees that P at m. 206 introduces "the character of a Finale . . . into the recapitulation, reactivating the dimension of the cycle, such that both dimensions are now present." He interprets the subdominant restatement of S, however, purely from the perspective of the overarching sonata, without a double-function.

[56]Ringer (1970) and Gerhard (2002).

[57]Horton (2011, 2017, 2021, and 2023).

Example 1. Corpus and typology

Composer	**Type $5^{\text{Type 3}}$ or Type 3**	**Type $5^{\text{Type 2}}$ or Type 2**	**Truncated**	**Reversed**	**Percentages** **Type 3**	**Type 2**	**Truncated**	**Rev.**
Beethoven	op. 61				100	0	0	0
Brahms	op. 77				100	0	0	0
Bruch	op. 44, op. 58		op. 26 (with deformational "recap.")		100	0	0	0
David	No. 5	Nos. 3, 4	Nos. 1, 2		20	40	40	0
Dvořák			op. 53		0	0	100	0
De Beriot	No. 5 (Type $5^{\text{Type 3 (2-dim)}}$ or possibly Type $5^{\text{Type 2 (2-dim)}}$)	Nos. 2–4, 8 (No. 1 is Type $5^{\text{Type 1 expd.}}$)	Nos. 6, 7, 9, 10		10	50	40	0
Elgar		op. 61			0	100	0	0
Ernst		op. 23	op. 12		0	50	50	0
Gade	op. 56				100	0	0	0
Glazunov	op. 82 (with inserted slow mvt.)				100	0	0	0
Goldmark	op. 28				100	0	0	0
Joachim	op. 3, op. 11, No. 3 (WoO)				100	0	0	0
Kalliwoda		Concerto No. 1	Concertinos Nos. 1–6		0	14	86	0
Kreutzer	Nos. 1–6, 8–10, 18, 19	Nos. 7, 11–17			58	42	0	0
Lalo	op. 20, 21, 29				100	0	0	0
Lipinski	No. 1	Nos. 2–4 (No. 4 is Type $5^{\text{Type 2(2-dim)}}$)			25	75	0	0
Mendelssohn	op. 64				100	0	0	0
Paganini		Nos. 1–5 (No. 6 not available)			0	100	0	0
Rode	Nos. 1–12 (No. 7 as Types 1+2 hybrid)				100	0	0	0
Saint-Saëns	op. 58	op. 20 op. 61, op. 62, op. 20 (or reversed recap.)		op. 20 (or Type $2^{(2\text{-dim})}$)	25	50	0	25
Schumann	WoO 23				100	0	0	0
Sibelius	op. 47				100	0	0	0
Spohr	Nos. 1–5, 7, 9, 10 (R1 is slow intro.; recap. of P incomplete and begins in IV), 15 (Type. 3;	Nos. 6, 11 (R1 is slow, S-based intro.)			78	22	0	0

	short tuttis replace ritornelli). (8, 12–14 not sonata forms)							
Tchaikovsky	op. 35				100	0	0	0
Vieuxtemps		Nos. 1, 3, 6, 7	Nos. 2, 4, 5 (No. 5 is 2-dim)		0	57	43	0
Viotti	Nos. 4, 5, 6, 7, 8, 9, 10, 11, 12, 13, 14, 15, 16, 17, 19, 20, 21, 22, 23, 25, 26, 27, 28, 29	Nos. 1, 2, 3, 24		No. 18 (or type $5^{\text{type 2}}$)	83	17	0	0
Wieniawski		op. 14	op. 22		0	50	50	0
TOTALS: 135 mvts.	**76**	**40**	**18**	**(2)**	**56%**	**30%**	**13%**	**< 1%**

Example 2. Comparison of Type $5^{\text{type 3}}$ and Type $5^{\text{type 2}}$ sonata forms

(a). Type $5^{\text{type 3}}$

Rotations:		Rotation 1		Rotation 2	Rotation 3		
R–S succession:	R1	S1	R2	S2	R3⇒S3	S3 (cont.)	R4 (inc. cadenza)
Sonata functions:	Exposition referential layout	Exposition		Development	Recapitulation		
	R1 versions of P–TR–ST–C	S1 versions of P–TR–ST–C + C from R1		pre-core–core–RT	P (from R1 and/or S1)–TR from S1	ST (from S1 and/or R1)–C from both S1+R1	
Essential sonata trajectory:	R1 MC→R1 EEC	S1 MC→S1 EEC			→MC	→S3 ESC	

(b). Type $5^{\text{type 2}}$

Rotations:		Rotation 1		Rotation 2			
R–S succession:	R1	S1	R2	S2		S2 (cont.)	R4 (inc. cadenza)
Sonata functions:	Exposition referential layout	Exposition		Development		Tonal resolution	
	R1 versions of P–TR–ST–C	S1 versions of P–TR–ST–C + C from R1		pre-core–core–RT		ST (from S1 and/or R1)–C from both S1+R1	
Essential sonata trajectory:	R1 MC→R1 EEC	S1 MC→S1 EEC			→MC	→S2 ESC	

Example 3. Type 2 form of movements by Viotti, Kreutzer, Paganini, and Vieuxtemps

(a). Viotti, Violin Concerto No. 24 in B minor, first movement

Ritornello 1 (R1)
mm. 1–22: R1:\P in B minor
mm. 23–30: TR to III:HC MC
mm. 31–49: R1:\ST in III. Consequent of m. 41⇒retransition to V
mm. 50–74: return of B minor with R1:\P[1.1] at m. 50, codettas at m. 58, and R1:\P[1.0] at m. 70

Ritornello 2 (R2)
mm. 169–92: In D minor. New thematic ideas but including trill motive from R1:\P[1.0] (cf. mm. 174–76 and 2–4)

Ritornello 4 (R4)
mm. 305–12[1]: R4.1 with motive from end of R2 and arrival on cadential 6/4
mm. 312: cadenza
mm. 313–23: R4.2 with codetta motive from R1

Rotation 1: Solo exposition (S1)

mm. 75–90: S1:\P in B minor

mm. 91–100: TR with III:HC MC at m. 100
mm. 101–120[1]: R1:\ST in D major with III:PAC at m. 120[1] (EEC?)
mm. 120–34[1]: Display episode with III:IAC trill cadence in mm. 133–34[1]
mm. 134–49[1]: S1:\ST in D major with III:PAC at m. 149[1] (EEC?)
mm. 149–69[1]: Display episode with III:PAC trill cadence in mm. 168–69[1]

Rotation 2: Solo Dev. and tonal resolution (S2)
mm. 193–207[1]: Dev., part 1 with new theme in D minor
mm. 207–27: Dev., part 2. Display episode leading from D minor to V/C minor (bii:HC MC at 227
mm. 228–43[1]: Dev., part 3. S1:\ST in C major with bII:PAC at m. 243[1]
mm. 243–68: Dev., part 4. Display episode leading from bII to V with . . .

. . . i:HC MC at m. 268

XXXXXXXXXXXXXXX

XXXXXXXXXXXXXXX

mm. 269–84[1]: S1:\ST in B major with i:PAC at m. 284[1] (ESC)
mm. 284–305[1]: Display episode with i:PAC trill cadence in mm. 304–05[1]

(b). Kreutzer, Violin Concerto No. 13 in D major, first movement

Ritornello 1 (R1)
mm. 1–14[1]: R1:\P
mm. 14–27: TR to vi:HC MC
mm. 28–40[1]: R1:\ST in vi
mm. 40–43: retrans. to D
mm. 44–51[1]: R1:\P in D
mm. 51–68: R1:\C in D

Ritornello 2 (R2)
mm. 151–55: running 16ths leading from A to V/A
mm. 156–86: based on R1:\P and codetta of R1:\ST. From A minor to A major at m. 186
mm. 187–203: R1:\C in A major

Ritornello 4 (R4)
mm. 300–304[1]: R4.1 with arrival on cadential 6/4

mm. 304: cadenza

mm. 305–13: R4.2 with restatement of R1:\P

Rotation 1: Solo exposition (S1)
mm. 69–80: R1:\P in D major

mm. 81–93: TR with V:HC MC at m. 90 and caesura-fill in mm. 90–93

mm. 94–122[1]: S1:\ST in A major with V:PAC EEC at m. 122[1]

mm. 122–51[1]: Display episode with V:PAC trill cadence in mm. 150–51[1]

Rotation 2: Solo Dev. and tonal resolution (S2)
mm. 204–15: Dev., part 1 with complete restatement of R1:\P in V

mm. 216–27[1]: Dev., part 2. P-based TR to C major and theme in C (m. 220) with bVII:PAC at 227[1]

mm. 227–49: Dev., part 3. Display episode leading from C major to A minor and culminating on . . .

. . . I:HC MC in m. 249

mm. 250–77[1]: S1:\ST in D major with I:PAC ESC at m. 277[1]

mm. 277–300[1]: Display episode with I:PAC trill cadence in mm. 299–300[1]

(c). Paganini, Violin Concerto No. 3 in E major, first movement

Ritornello 1 (R1)
mm. 1–14: Slow intro.
mm. 15–34[1]: R1:\P
mm. 34–60: TR to V:HC MC
mm. 61–78[1]: R1:\ST in V
mm. 78–90: retrans. to E
mm. 91–128: R1:\P in E

Ritornello 2 (R2)
mm. 227–51: TR-based from B to V/C#

Ritornello 4 (R4)
mm. 367–87[1]: R4.1 with arrival on cadential 6/4

mm. 387: cadenza

mm. 388–408: R4.2

Rotation 1: Solo exposition (S1)
mm. 129–58: S1:\P in E major

mm. 159–84[1]: TR with V:HC MC at m. 180 and caesura-fill in mm. 181–84[1]

mm. 184–206[1]: R1:\ST in B major with V:PAC EEC at m. 206[1]

mm. 206–27[1]: Display episode with V:PAC trill cadence in mm. 226–27[1]

Rotation 2: Solo Dev. and tonal resolution (S2)
mm. 252–87[1]: Dev., part 1 based on R1:\P. In C# minor with tonicizations of A and G#

mm. 287–318[1]: Dev., part 2. Display episode leading from C# minor to V/E and culminating on . . .

. . . I:HC MC at m. 318 and caesura-fill in mm. 319–22[1] (mm. 314–22 = 176–84)

mm. 322–44[1]: R1:\ST in E major with I:PAC ESC at m. 344[1]

mm. 344–67[1]: Display episode with I:PAC trill cadence in mm. 366–67[1]

(d). Vieuxtemps, Violin Concerto No. 6 in G major, first movement

Ritornello 1 (R1)
mm. 1–36: almost entirely R1:\P based, with no MC and R1:\ST. Only motivic foreshadowing of one of S1:\ST's ideas (cf. mm. 22–26[1] with 93–100[1])

Ritornello 2 (R2)
mm. 127–57[1]: based on R1:\P ideas (descending 16th-note scales and dotted rhythm from mm. 17 and 1, respectively. Leads from D major to V/E minor

No ritornello 4 (R4)
xxxxxxxxxxxxxxx

Rotation 1: Solo exposition (S1)
mm. 37–54: S1:\P. G major

mm. 55–76: TR with V:HC MC in m. 74 and caesura-fill in mm. 74–76

mm. 77–100[1]: S1:\ST starting in D minor but shifting to D major with V:PAC EEC at m. 100[1]

mm. 100–127[1]: Display episode with V:PAC trill cadence in mm. 126–27[1]

Rotation 2: Solo Dev. and tonal resolution (S2)
mm. 157–83[1]: Dev., part 1 with S1:\P-based launch in E minor leading to V/E in mm. 179–83[1]

mm. 183–201[1]: Dev., part 2. Display episode leading to . . .

. . . vi:HC MC in m. 201 and caesura-fill in mm. 201–03

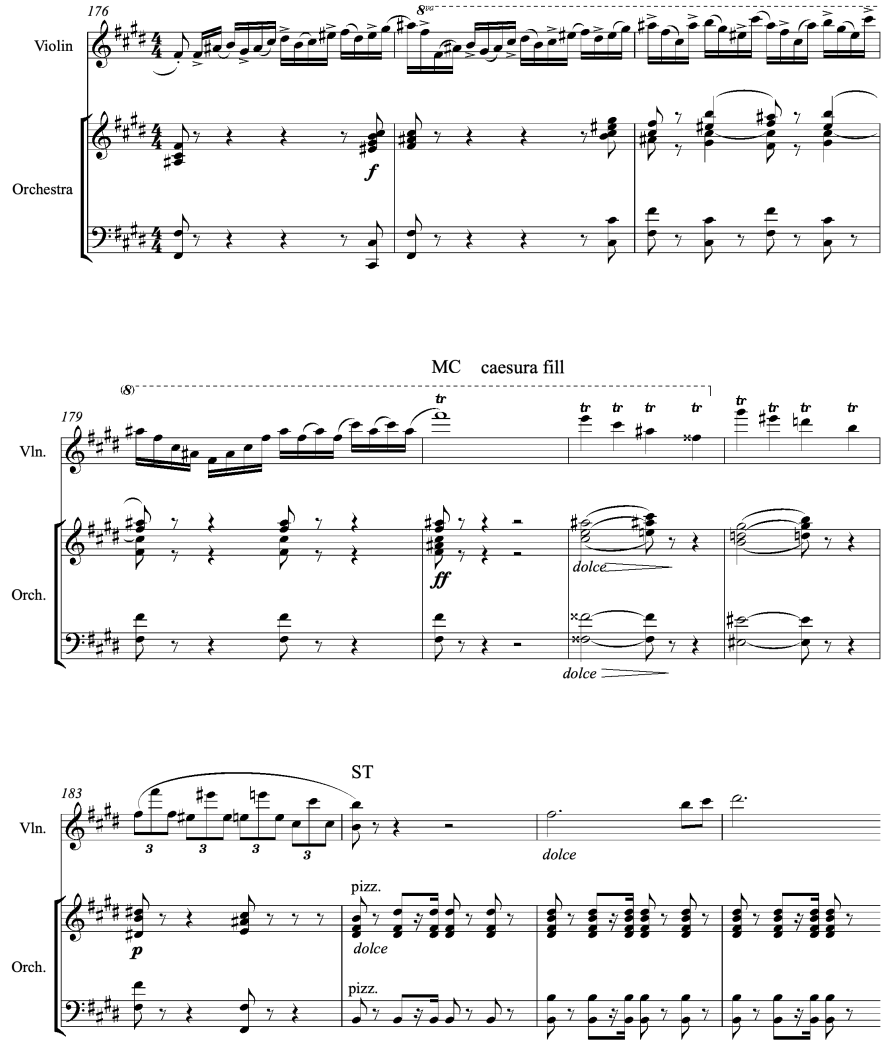
mm. 204–31[1]: S1:\ST starting in E minor but shifting to G major with I:PAC ESC at m. 231[1]

mm. 231–59[1]: Display episode with I:PAC trill cadence in mm. 257–59[1]

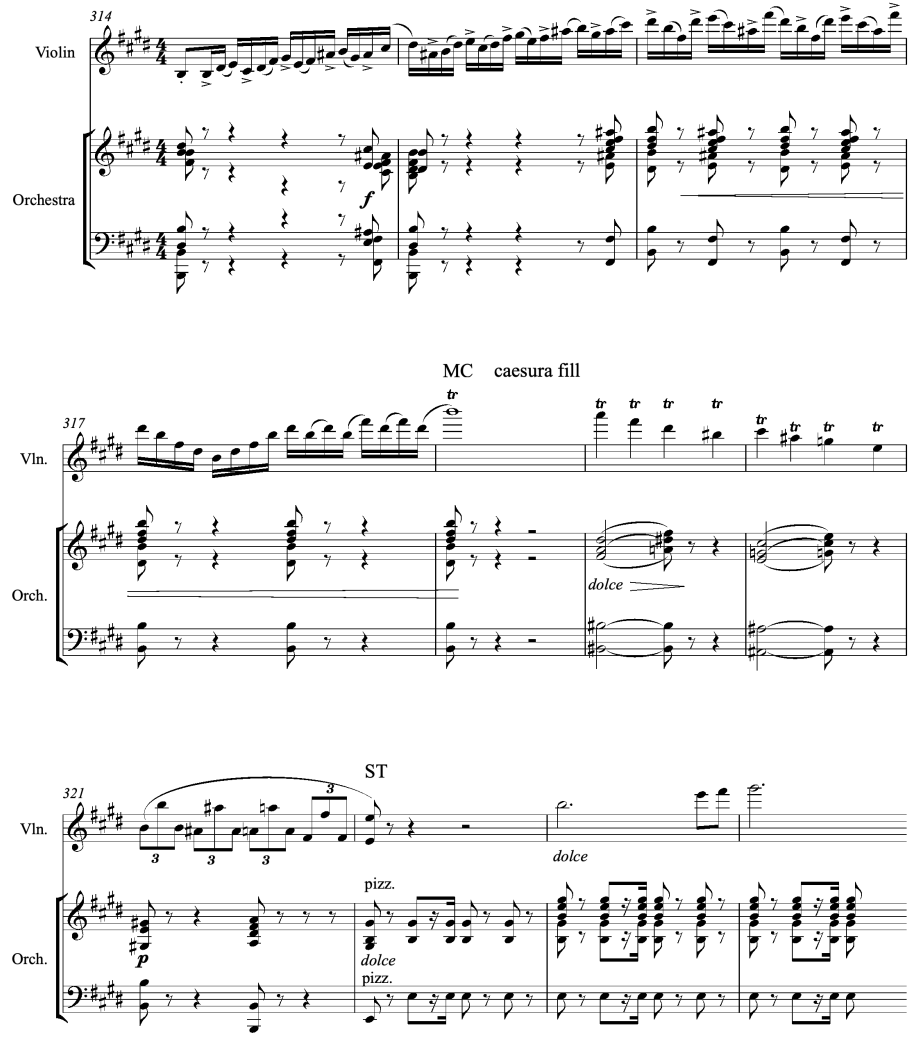
mm. 259–64: soloist-led coda

Example 4. Return of end of expository TR and MC as preparation for ST tonal resolution

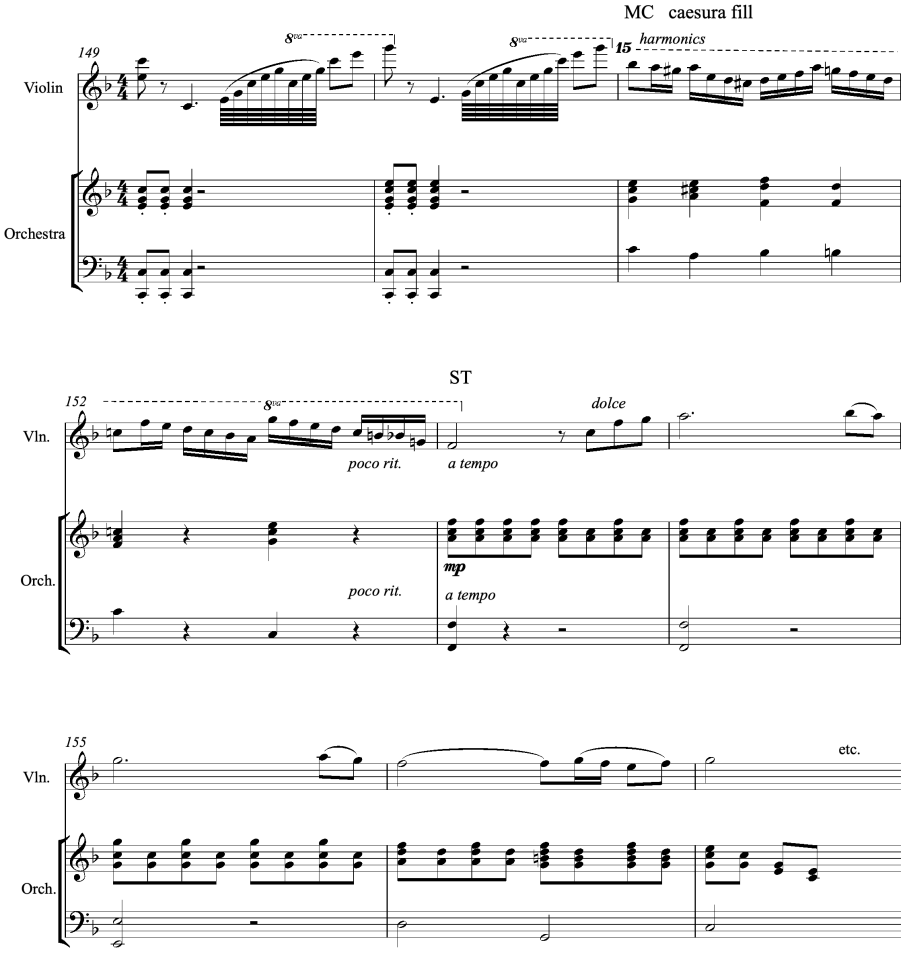
(a). Paganini, Violin Concerto No. 3 in E major, first movement, mm. 175–85



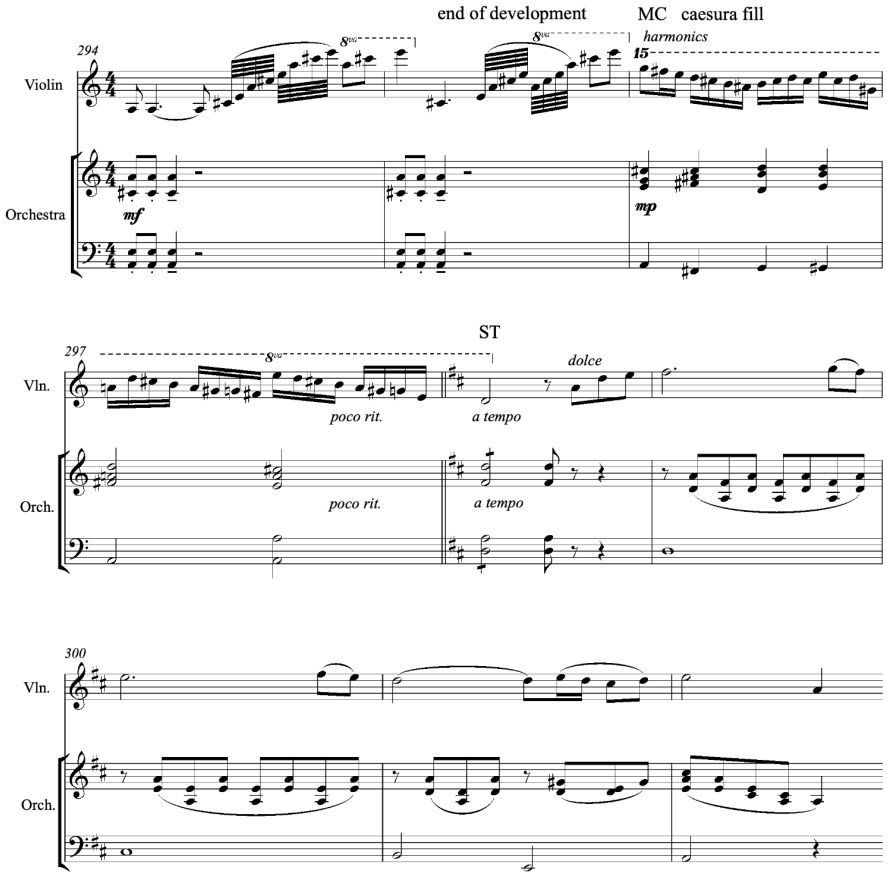
(b). Paganini, Violin Concerto No. 3 in E major, first movement, mm. 314–24



(c). Paganini, Violin Concerto No. 4 in D minor, first movement, mm. 149–57



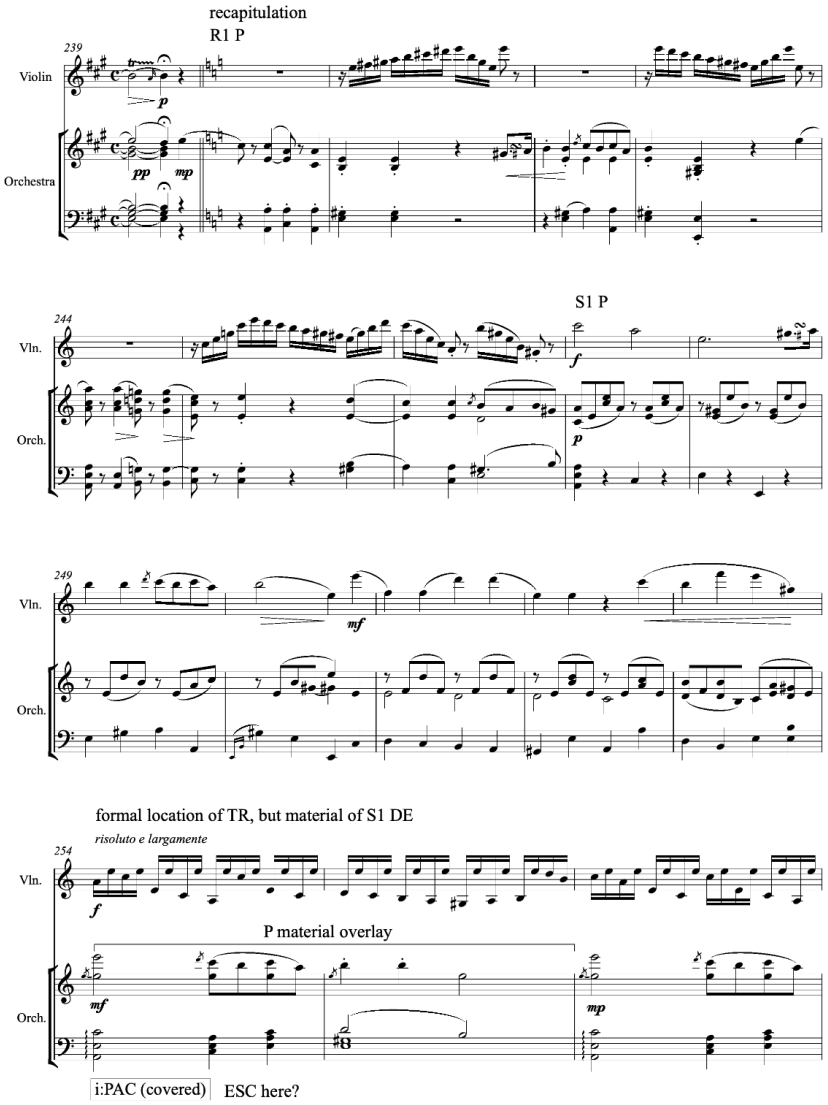
(d). Paganini, Violin Concerto No. 4 in D minor, first movement, mm. 294–302

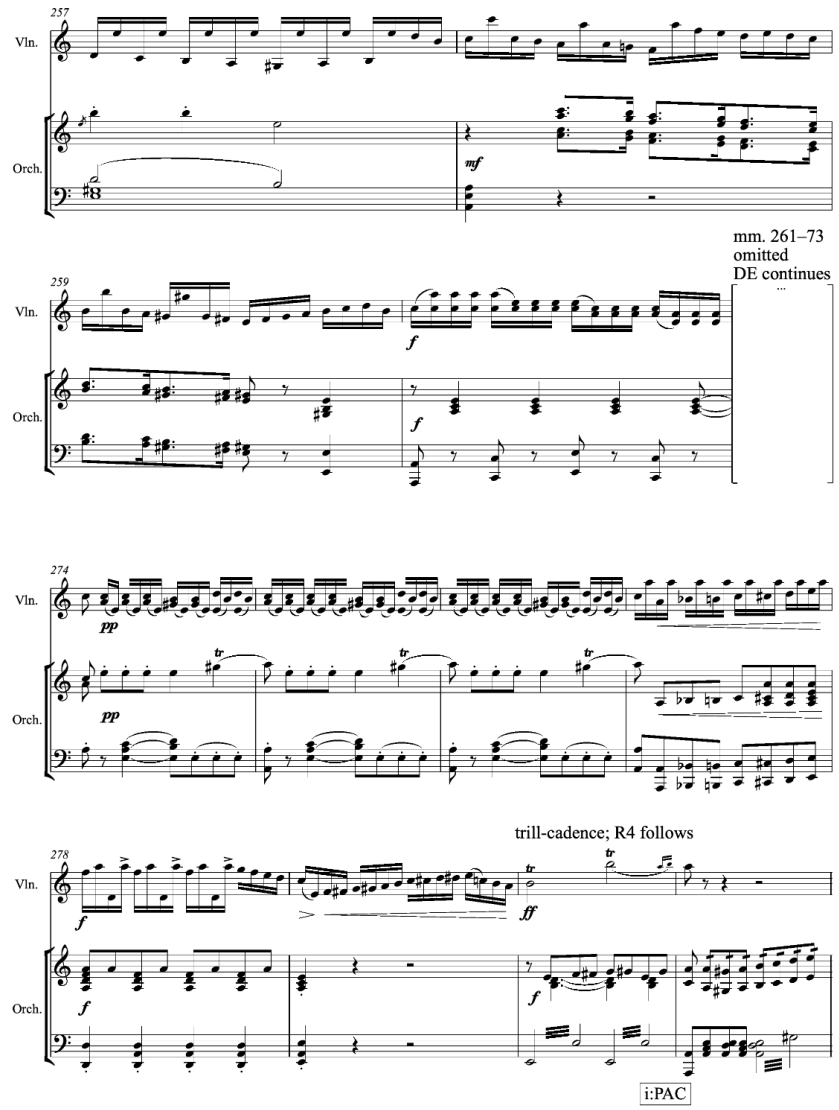


Example 5. Type 5 sub-types in Viotti's violin concertos

Categories:	**Concerti:**
Sub-type 1 (type $5^{\text{type 3}}$)	8, 9, 10, 16
Sub-type 2 (type $5^{\text{type 2}}$)	1, 2, 3, 18, 24
Sub-type 3 (type $5^{\text{type 3}}$; ST omitted in recapitulation)	4, 5, 6, 11, 12, 13, 14, 15, 19, 20, 22, 23, 25, 26, 27, 28, 29
Sub-type 4 (type $5^{\text{type 3}}$; ST displaced in recapitulation)	6, 17, 21

Example 6. Viotti, Violin Concerto No. 22, first movement, mm. 239–60 and 274–81

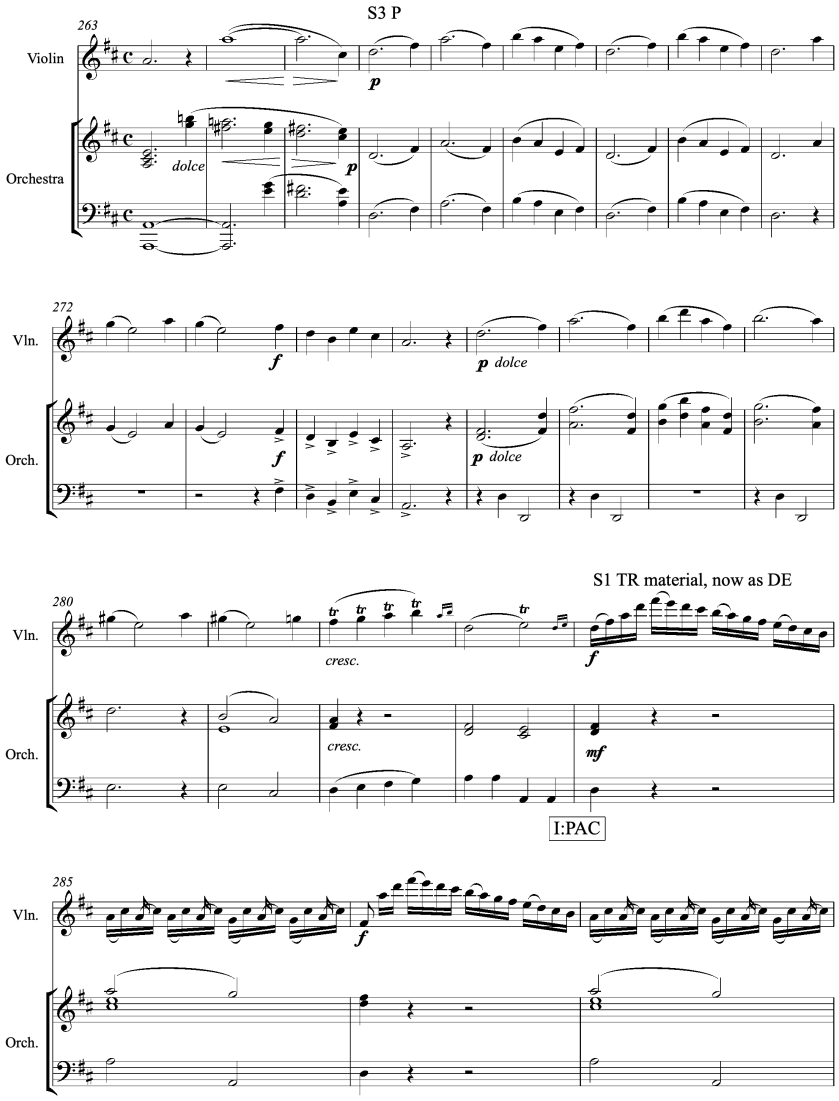


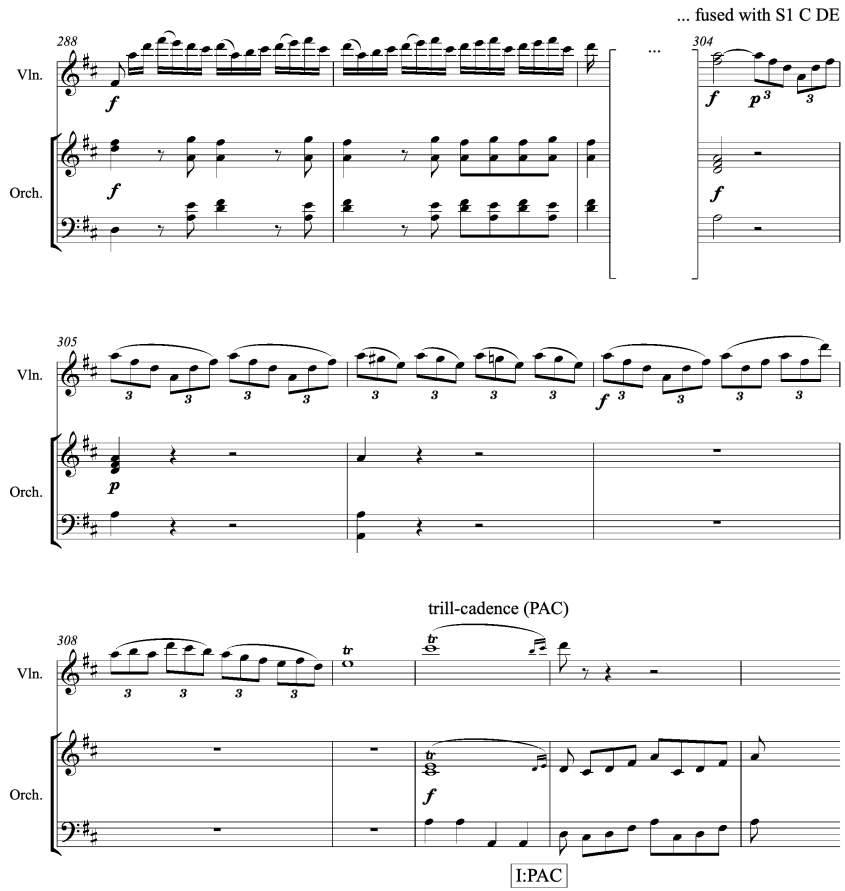

257
Vln.
Orch.
mf
mm. 261–73
omitted
DE continues
259
Vln.
Orch.
f
f
274
Vln.
Orch.
pp
pp
tr
278
Vln.
Orch.
f
f
ff
tr
trill-cadence; R4 follows
i:PAC

Example 7. Demarcation of P, DE and R4 in Viotti's subtype 3 movements

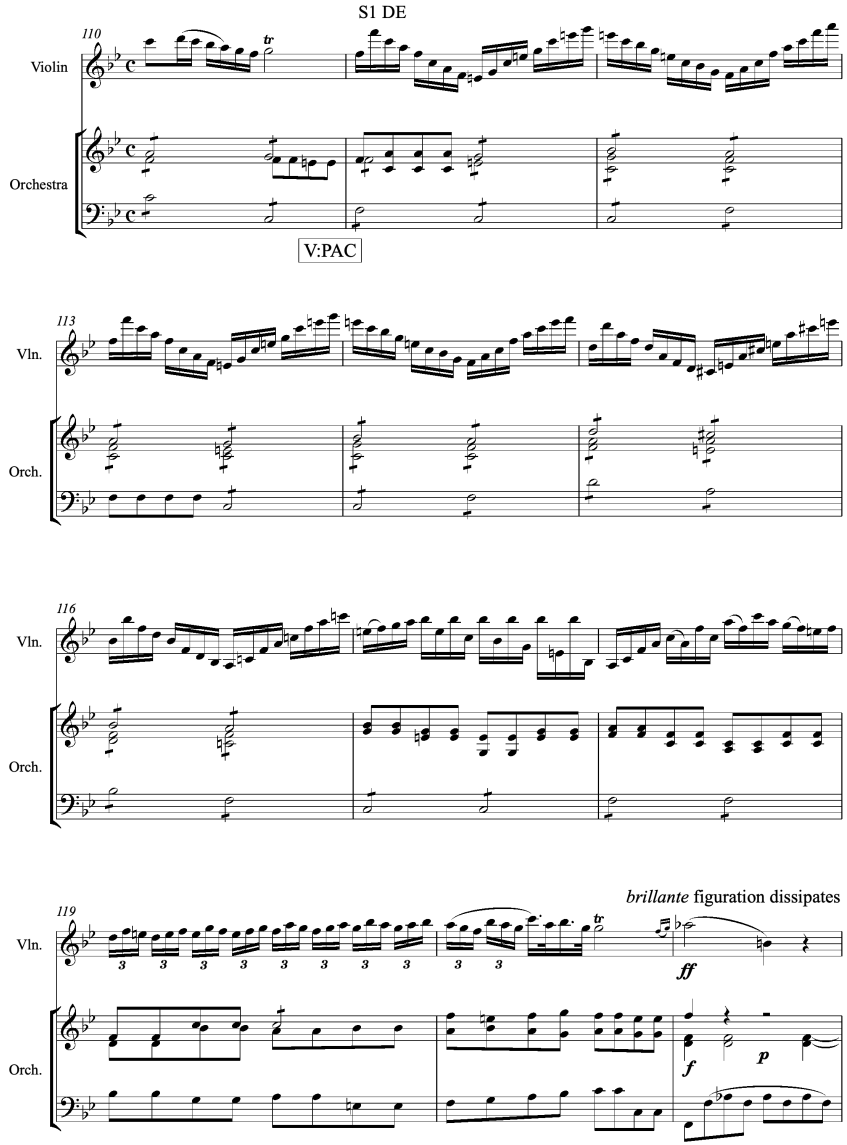
Concerto	**End of S3 P**	**End of DE/Start of R4**	**Correspondence with S1 DE**
4	IAC	Trill-cadence into R4	No: new material
5	IAC	Trill-cadence into R4	Yes
11	PAC	Trill-cadence into R4 or P PAC	Yes
12	PAC	Trill-cadence into R4 or P PAC	Yes
13	P and S fused in recapitulation to create one larger unit; closed with a PAC.	Trill-cadence into R4 or P/S PAC	Yes
14	PAC	Trill-cadence into R4 or P PAC	No
15	PAC, but DE has a lyric interior preceded by an MC effect in S1 and S3. Could be a TMB, except that the DE resumes after possible TMB2.	Trill-cadence into R4 or P PAC	Yes
19	PAC	Trill-cadence into R4 or P PAC	Yes
20	PAC	Trill-cadence into R4 or P PAC	No: DE begins in correspondence with S1 TR, which is now transformed into S3 C DE.
22	PAC	Trill-cadence into R4 or P PAC	Yes
23	PAC	Trill-cadence into R4 or P PAC	Yes
25	PAC	Trill-cadence into R4 or P PAC	Yes
26	PAC	Trill-cadence into R4 or P PAC	Yes
27	PAC	Trill-cadence into R4 or P PAC	Yes
28	PAC	Trill-cadence into R4 or P PAC	Yes
29	PAC	Trill-cadence into R4 or P PAC	(Yes: emerges gradually; new material initially)

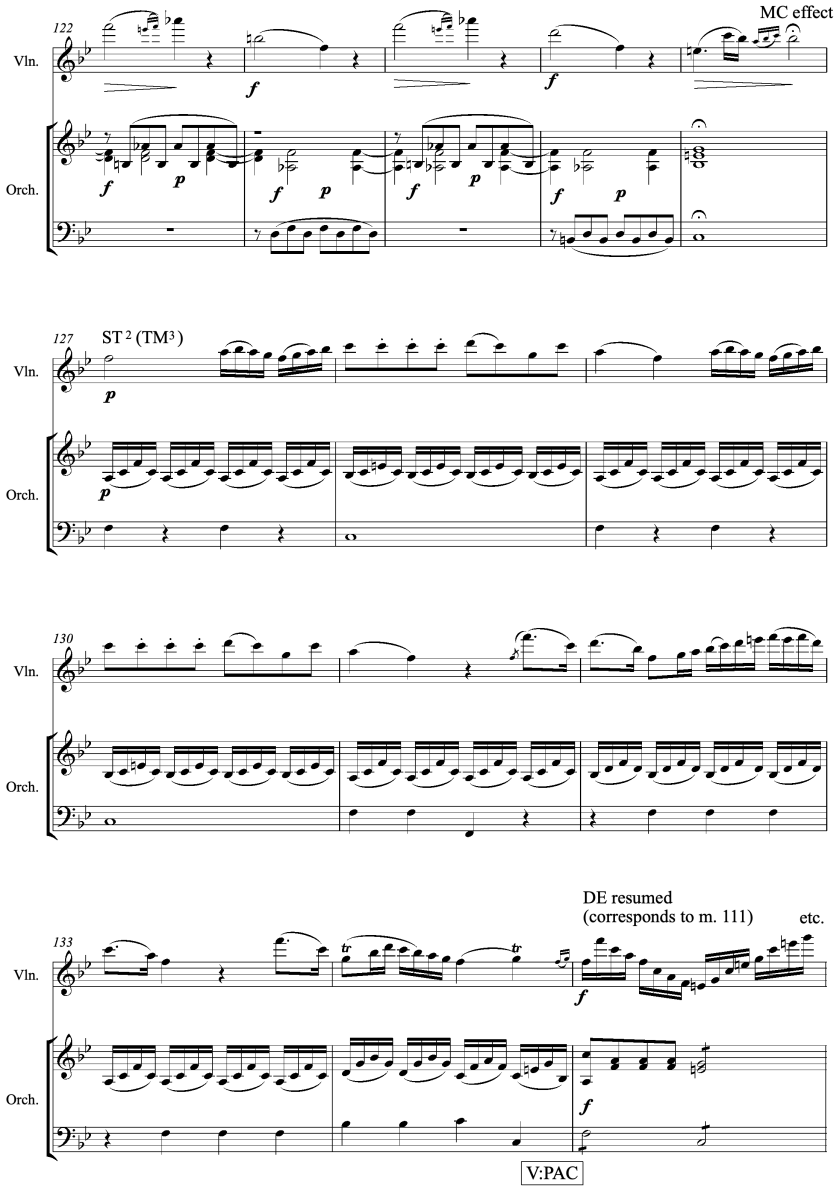
Example 8. Viotti, Violin Concerto No. 20 in D major, first movement, mm. 263–89 and 304–11



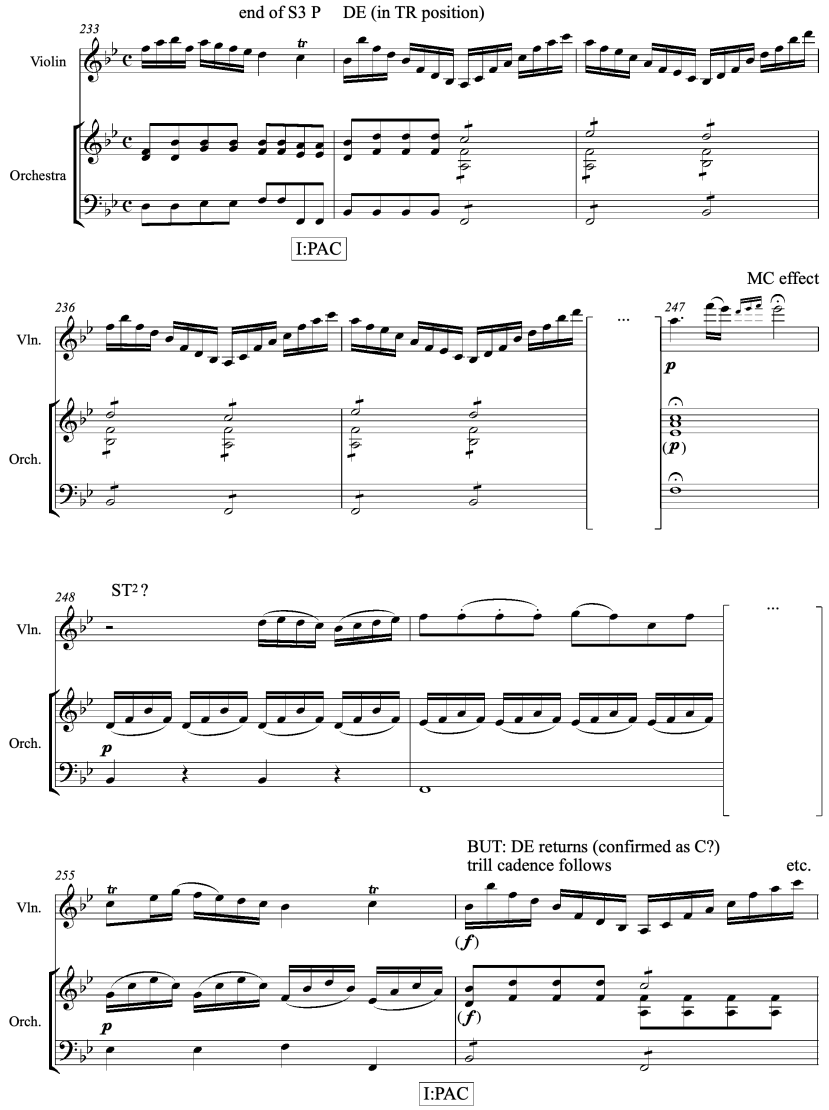

... fused with S1 C DE
288
304
Vln.
Orch.
305
trill-cadence (PAC)
308
I:PAC

Example 9(a). Viotti, Violin Concerto No. 15 in B flat major, first movement, mm. 110–35




122
MC effect
Vln.
Orch.
127
ST 2 (TM3)
130
133
DE resumed
(corresponds to m. 111)
etc.
V:PAC

Example 9(b). Viotti, Violin Concerto No. 15 in B flat major, first movement, mm. 233–37, 247–49, and 255–56



Example 10. Viotti, Violin Concerto No. 18 in E minor, first movement, formal outline

Ritornello 1 (R1)
mm. 1–16: R1:\P in E minor
mm. 17–34: TR to i:vii$^{o4\text{-}3}$ MC!
mm. 35–50^{1}: R1:\ST in I
mm. 50–55: retransition to tonic minor
mm. 56–73: R1:\C: return of E minor; evaded cadence and OMT; 6-bar codetta

Ritornello 2 (R2)
mm. 162–77: R1:\P in B major closes with R1:\C (cf. mm. 56–68^{1})

Ritornello 3 (R3)
mm. 263–89: R1:\P in E minor

Ritornello 4 (R4)
mm. 352–63: R1:\C in E minor

Rotation 1: Solo exposition (S1)

mm. 74–85: S1:\P in E minor

mm. 86–103: consequent⇒TR with V:HC MC at m. 103
mm. 104–19^{1}: R1:\ST^{1} in B major with III:PAC at m. 118^{1} (EEC?)

mm. 119–37^{1}: Display episode with V:PAC trill cadence in mm. 136–37^{1}
mm. 137–44^{1}: S1:\ST^{2}? in B major with V:PAC at m. 143–44^{1} (EEC?)
mm. 144–62^{1}: Display episode with V:PAC trill cadence in mm. 161–62^{1}

Rotation 2: Solo Dev. and tonal resolution (S2) of type 2 form?

mm. 178–95^{1}: Dev., part 1 (pre-core) with new theme in B major
mm. 195–206: Dev., part 2 (core 1) Display episode in E minor
mm. 207–24^{1}: Dev., part 3 (core 2) New cantabile episode in G major leading to III:PAC
mm. 224–46: Dev., part 4 (RT) Display-episode retransition returning to V/E minor by m. 237 . . .

. . . i:HC MC at m. 246
mm. 247–63^{1}: R1:\ST^{1} in E major closed with I:PAC, but E major shades to E minor in m. 263^{1} (ESC?)
XXXXXXXXXXXXXXXXXX

XXXXXXXXXXXXXXXXXX

"Rotation" 2 cont., with recap. reversal? Or S3 as Rotation 3 with excised ST zone (subtype 3)?
mm. 290–313^{1}: S1:\P in E minor closed with i:PAC (ESC?)

mm. 313–52^{1}: Display episode with i:PAC trill cadence in mm. 351–52^{1} (ESC?)

Example 11. Viotti, Violin Concerto No. 24 in B minor, reading of S1 as TMB and S2 correspondence

Rotation 1: Solo exposition (S1)
mm. 75–90: S1:\P in B minor; closed with i:PAC
mm. 91–100: TR; III:HC MC at m. 100
mm. 101–20[1]: R1:\ST[1] (TM[1]); III:PAC at m. 120[1]
mm. 120–34[1]: Display episode (TM[2])
mm. 134–49[1]: S1:\ST[2] (TM[3]); III:PAC at m. 149[1] (EEC)
mm. 149–69[1]: S1:\C (Display episode); III:PAC trill cadence in mm. 168–69[1]

Rotation 2: Tonal resolution (S2)
XXXXXXXXXXXXXXXXXXXXXXXX
... i:HC MC at m. 268
XXXXXXXXXXXXXXXXXXXXXXXX
XXXXXXXXXXXXXXXXXXXXXXXX
mm. 269–84[1]: S1:\ST[2] (TM[3]) in B major; i:PAC at m. 284[1] (ESC)
mm. 284–305[1]: S1:\C (Display episode); i:PAC trill cadence in mm. 304–05[1]

Example 12. Saint-Saëns, Violin Concerto No. 3 in B minor, first movement, formal outline

Rotation 1: Exposition	**Rotation 2: Dev. and tonal resolution**	**Rotation 3 (partial): Discursive coda**
mm. 1–64[1]: P, solo. B minor	mm. 130–169[2]: with P-based launch on E dom. 4/2, solo	mm. 229–93: with P-based launch on B dom. 4/2, solo. Parallel to rotation 2, not rotation 1
mm. 64–82[2]: TR, part 1, tutti	XXXXXXXX	XXXXXXXX
mm. 82[3]–97: TR, part 2, solo. To French aug. 6th in E	mm. 169[3]–84: The Crux. TR, part 2, solo. To French aug. 6th in B	XXXXXXXX
mm. 98–122[1]: ST, solo. E major but on V/E until IV:PAC EEC at 122[1]	mm. 185–221[1]: ST, solo. B major but on V/B until I:PAC ESC at 221[1]	XXXXXXXX
mm. 122–29: P-based C (codetta)	mm. 221–28: P-based C (codetta)	XXXXXXXX
		mm. 289–93: closing B minor PAC and final tonic expansion

Example 13. Saint-Saëns, *Morceau de Concert* in E minor, formal outline

P-based slow introduction (Largamente)
mm. 1–8

Rotation 1: Exposition (Allegro)

mm. 9–49: P in E minor but tonally unstable and with emphasis on A minor. Culminates in i:HC MC (declined)

mm. 50–58: P-based passage leading to another i:HC MC (declined)
mm. 59–67: repeat of P-based passage now to III:HC MC (declined)

mm. 68–95: another P-based passage but leads back to E minor and culminates on i:HC MC—accepted!

mm. 96–112[1]: ST in G major. Parallel period with III:PAC EEC at m. 112[1]

mm. 112–32[1]: display episode with III:IAC at m. 132[1]

mm. 132–49: ST-based tutti (R2-like) begins in G but merges into transition to solo entry for development at m. 150

Rotation 2: Development and tonal resolution
mm. 150–211: Development. Begins ST-based but motives from P reemerge in m. 186–93 (cf. mm. 31–38). P-based home dominant expansion follows in mm. 194–211, culminating on i:HC MC (declined)

XXXXXXXX

XXXXXXXX
XXXXXXXX

mm. 212–41: The Crux. P-based passage of m. 68 again leads to i:HC MC—accepted.

mm. 242–58[1]: ST in E major. Parallel period with I:PAC ESC at m. 258[1]

mm. 258–302[1]: expanded display episode culminates in cadenza and I:PAC in overlap with P-based tutti coda at m. 302[1]

mm. 302–10: P-based tutti coda (R4[2]-like)

Example 14. Saint-Saëns, Violin Concerto No. 1 in A major, formal outline

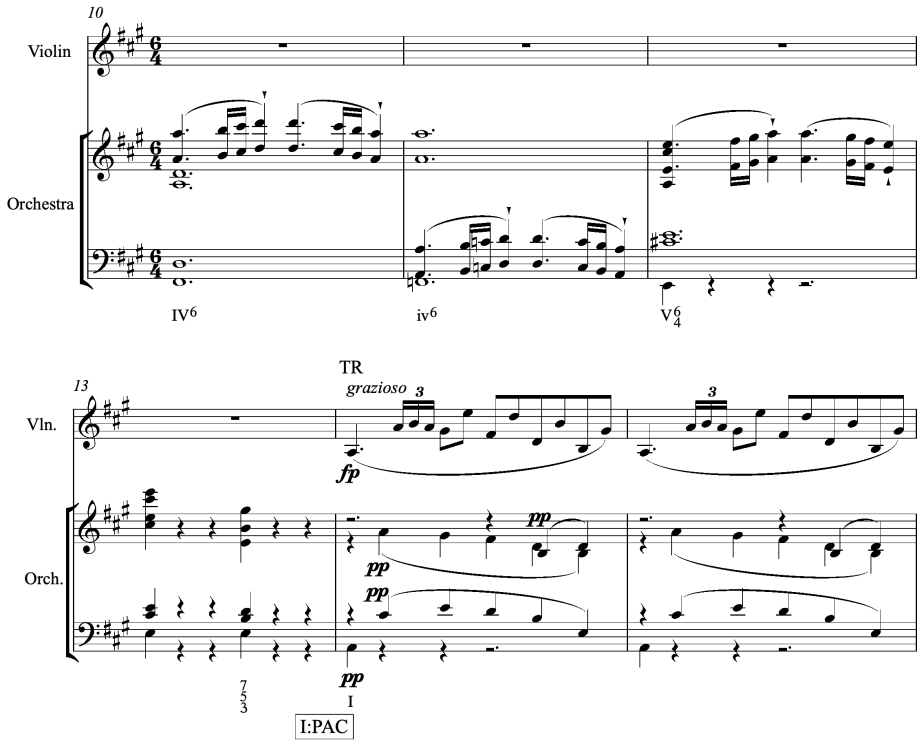
(a). Type 2 (deformational)

Rotation 1: Exposition				**Rotation 2: Dev.**	**[Andante]**	**"Recap." of S**	**Rotation 3 (partial): P + TR + S fragments + P-based C**			
mm. 1–14[1]	mm. 14–40	mm. 41–58	mm. 59–73	mm. 74–117	[mm. 118–72]	mm. 173–205	mm. 206–17[1]	mm. 217–85	mm. 286–300[1]	mm. 300–14
P	TR + MC	ST (pt. 1)	ST (pt. 2)	P-based dev.	[inserted mvt. II]	ST (pts. 1+2)	P	TR . . .	ST (pt. 2 fragments)	codetta
V to I	I to V/iii	iii to V/iii	to V/V	V/♭III to V/IV	[IV to V/IV]	iv to V/♭VI	V (no I)	V to I (m. 268)	with V–I (m. 300)	I
PAC			no EEC				no PAC	ESC?	ESC?	

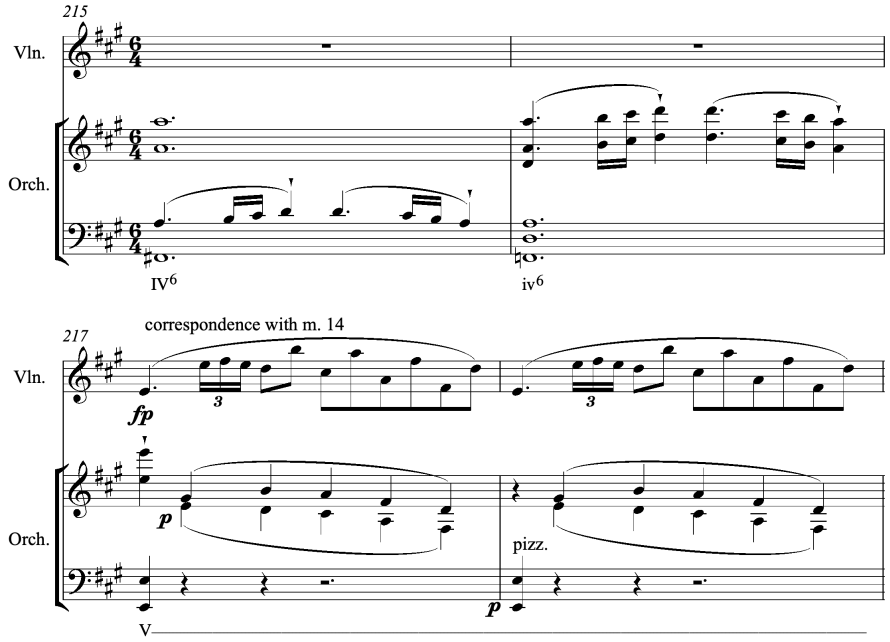
(b). Reversed recapitulation

Exposition			**Dev.**	**Center of Arch Form**	**Reversed Recapitulation**				
P	TR	ST	P-based	Andante	ST	P	TR . . .	(ST fragments)	P-based C

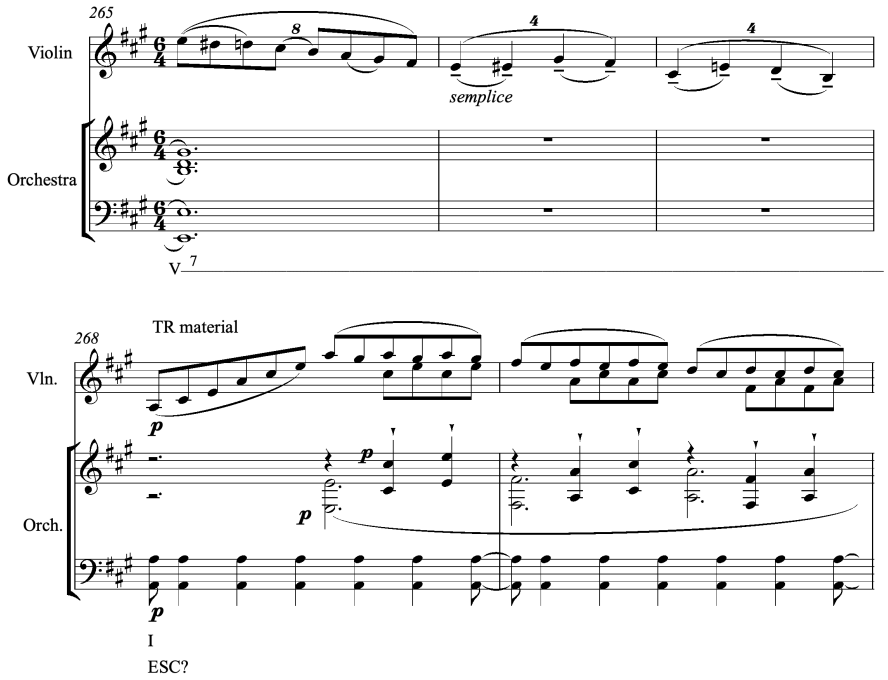
Example 15(a). Saint-Saëns, Violin Concerto No. 1 in A major, mm. 10–15



Example 15(b). Saint-Saëns, Violin Concerto No. 1 in A major, mm. 215–18



Example 16. Saint-Saëns, Violin Concerto No. 1 in A major, mm. 265–69



Example 17. Saint-Saëns, Violin Concerto No. 1 in A major, mm. 286–300