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Closure in Classical Themes: The Role of Melody and Texture in Cadences, Closural Function, and the Separated Cadence

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Résumé de l'article

Cet article remet en question deux des postulats de base William E. Caplin concernant les cadences dans le style classique. Tout d'abord, l'auteur fait valoir que la mélodie et la texture aident à délimiter la fonction cadentielle. Il soutient ensuite que tant la demi-cadence que la cadence authentique peuvent marquer la fin d'un thème, tout comme peut le faire une « fonction conclusive », qui se substitue à la fonction cadentielle par une « progression quasi cadentielle ». En outre, il explique comment une cadence peut conclure un thème de telle sorte que sa mélodie et sa basse se résolvent à différents moments, un phénomène qu'il appelle la cadence séparée.

CLOSURE IN CLASSICAL THEMES:
THE ROLE OF MELODY AND TEXTURE IN CADENCES, CLOSURAL FUNCTION, AND THE SEPARATED CADENCE

Mark Richards

Renowned Haydn scholar James Webster once proclaimed that "the sense of closure is arguably the most essential structural attribute of tonal music" (Webster 1991, 145). This is especially true of the classical style, where the attainment of closure at the end of phrases and themes marks a goal toward which this music often seems to have an inexorable drive. But while most of us could probably agree on where a cadence ends, where it begins is another matter, because the number of harmonies preceding its end may vary significantly. Moreover, some themes and phrases end without a half or authentic cadence, yet still provide a weaker form of harmonic closure. These "grey" areas of formal analysis serve as the subject of this paper, which explores three different aspects of closure in classical themes: (1) the role of melody and texture in defining cadences; (2) a type of ending I call a "closural function," which substitutes for a cadence; and (3) a concept I term the "separated cadence," which clarifies the location and type of cadence in some unusual situations.

The Role of Melody and Texture in Cadences

William Caplin (1998; 2004) has recently defined the cadence according to two essential parameters: location within a phrase and harmonic progression. As for its location, a cadence must form an ending "to something." That is, a cadence is always preceded by a separate initiating structural unit, at the very least a two-measure unit that Caplin calls a "basic idea." Harmonically, a cadence must encompass a cadential progression which, in its complete form, contains an initial tonic, predominant, dominant, and final tonic—the latter two always occurring in root position (Caplin 2004, 57, 70).[1] If these two criteria are met, the result is a genuine cadence, or a span of music that serves a "cadential function" in Caplin's terminology. Thus, apart from distinguishing between perfect and imperfect authentic cadences, melody does not contribute to Caplin's notion of cadential function, nor does it play a significant role in his theory overall. He maintains, for instance, that "contrary to common opinion, the formal function of an individual group does not depend on its

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[1] This definition of a complete cadential progression has also been posited by Schmalfeldt (1992, 3).

motivic content" (1998, 4).[2] Certainly, this claim places a necessary distance between Caplin's theory of form and those based on Schoenbergian notions of "developing variation," which emphasize motivic content. At the same time it downplays the importance of motivic and textural *change,* an aspect of form that plays a significant role in the identification of formal functions.[3]

In example 1a, for instance, the distinction between the first basic idea and the second is made clear by the repetition of the melodic content. In other words, when the idea begins to repeat, we perceive a separation between the two ideas and are able to distinguish one basic idea from the next. In example 1b, the basic idea in mm. 1–2 and 5–6 is separated by the following two measures—a "contrasting idea"—punctuated in m. 2 with a melodic halt on an eighth note and an ensuing eighth rest (in addition to the quarter rest in the left hand). And finally, in example 1c, the continuation function of a sentence is defined by fragmentation, or a shortening of the structural units. These shorter units are discernible only because of the repetition of one-measure groups in the melody. Thus, changes in melodic material and texture can signal that a new formal function is underway. The initiation of cadential functions are generally signalled by such melodic/textural changes in addition to a cadential progression located at the end of the phrase. Melodically, these changes are determined by alterations in rhythm, motive, direction, or type of motion (steps versus skips), and texturally by contrasts in figuration, accompaniment, dynamic, articulation, timbre, or number of voices.

To understand how changes in melody and texture affect the location of a cadential function, I refer to the opening theme from the slow movement of Mozart's Piano Sonata in C Major, K. 330, shown in example 2. The theme is structured as an "antecedent + continuation," or Caplin's hybrid 1 (1998, 59). Caplin (60) locates the start of the cadential function at m. 7, which is uncontroversial since the antecedent functions as the initiating unit and the ii^6 chord is part of a cadential progression. But one might ask why the cadence does not begin with the I^6 chord in m. 6, especially since Caplin considers that chord to be a "conventionalized sign" for the onset of cadential function (Caplin 1987, 218). I would argue that tonic chords are weak indicators of cadential function because essentially any chord can follow them, whereas predominant and dominant chords are strong indicators because only certain chords are expected to follow them. Thus, in order for a tonic chord to initiate cadential
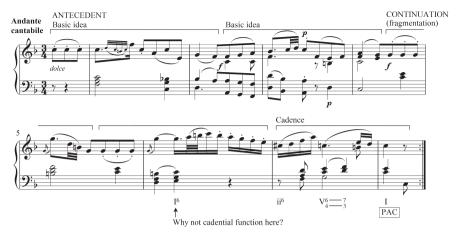
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[2] See also Schmalfeldt (1997, 110), who makes a similar plea: "To this day, the post-Schoenbergian formalist's taxonomy of theme-types is commonly mistaken for *thematicism,* a term chiefly associated with tracing repetitions and recurrences of melodic structures qua motives. That motivic criteria play, at best, only a subordinate role in the determination of theme-types, cannot be emphasized strongly enough."

[3] Hepokoski (2009, 42–43) has recently argued that melodic and textural changes play a larger role in classical form than Caplin allows: "What is one to make of any system that declares that 'thematic content,' a central topical feature of the dramatized classical style by any account and one of the foremost attributes that all listeners directly experience, 'plays [only] a minimal role' when compared with ever-recurring strings of beginning-middle-end functionalities? The dramatic textural contrasts and intertextually shared thematic/topical signs that such content regularly provides as vivid, expressive hallmarks of the style are thus demoted to a status 'essentially independent of formal functionality,' with 'no necessary connection to formal function.'"

Example 1. Changes of melody and texture in the distinction between formal functions

a. Basic idea: Beethoven, Piano Sonata in G Minor, op. 49 no. 1, mm. 1–8
b. Contrasting idea: Mozart, Piano Sonata in B-Flat Major, K. 281, mm. 1–8
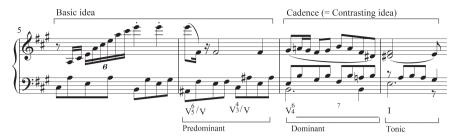c. Continuation: Haydn, Symphony No. 98 in B-Flat Major, IV, mm. 1–8

Example 2. Cadential function beginning after an initial tonic chord: Mozart, Piano Sonata in C Major, K. 330, II, mm. 1–8

function, it must be accompanied by a change in melody or texture to express the beginning of a new formal function at that point. In example 2, the I^6 chord supports a melodic figure that begins in the previous measure and therefore, lacking a change in melody or texture, cannot form the start of the cadential function. At m. 7, however, the melody changes from a falling staccato scale to a rising legato arpeggio, and hence the three criteria of location, harmony, and melody/texture are all fulfilled.[4]

In some cases, a predominant chord may not be considered part of the cadential function, even if it is part of a cadential progression, because it lacks melodic or textural articulation, as in the opening theme from the finale of Beethoven's Piano Sonata in A Major, op. 2, no. 2, shown in example 3. In the consequent phrase of this period, the cadential predominant chord occurs as the second measure of a basic idea. Because this basic idea is the initiating unit of the phrase, the cadential function can begin only once it has completed. Hence, although a cadential progression begins in m. 6 with the predominant chord, the cadential function does not begin until a new melodic group sounds at m. 7 with the dominant six-four chord.

Melodic and textural changes often help to mark the start of a cadential function when a dominant or predominant chord embellishes the initial tonic chord. In these situations, the initial tonic appears to occur late in relation to the start of the cadential function. Embellishing dominant chords usually take the form of a V_2^4, or possibly V_3^4 (Caplin 1987, 241) on account of their resolution to I^6, which is the most common form of initial tonic in a cadential function (Caplin 1998, 27). An initial tonic in root position is certainly not uncommon, however, as one frequently encounters a V_5^6 (or V_3^4) embellishing a root-position

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4   This instance of the initial tonic chord of a cadence occurring too early to be included in the cadential function is a particularly common situation in the classical repertoire. Other examples include Mozart, Piano Sonata in A Major, K. 331, m. 4, and Haydn, Piano Sonata in C Major, Hob. XVI: 50, m. 10. In both cases, the cadential function begins with the ensuing ii^6 chord.
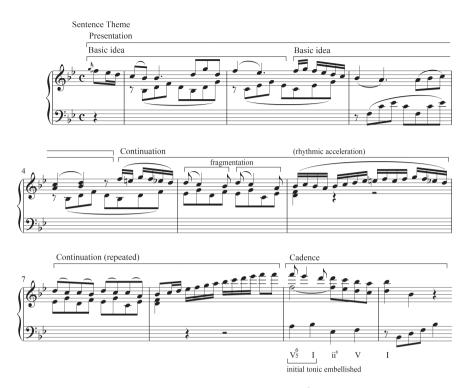
Example 3. Cadential function beginning after a predominant chord: Beethoven, Piano
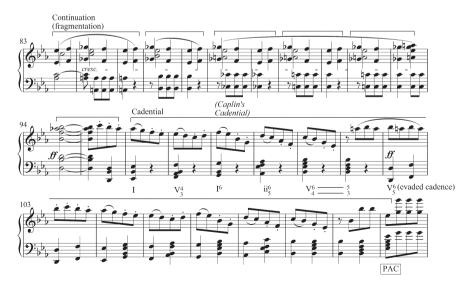Sonata in A Major, op. 2, no. 2, mm. 5–8

tonic in cadential functions.[5] In the opening theme from Mozart's Piano So-
nata in B-Flat Major, K. 333, shown in example 4, the theme is organized as a
sentence with a four-measure presentation, a repeated two-measure continua-
tion (defined by fragmentation and rhythmic acceleration), and a two-measure
cadential function that is distinct from the foregoing continuation. Note espe-
cially the change in texture from one to three voices, and the change in melodic
material from rapid sixteenth notes to a form of the syncopated motive that
began the continuation at m. 5. These features, along with the cadential pro-
gression and the fact that there is a preceding initiating function (the presenta-
tion), clearly mark the start of the cadential function on a V^6_5 that embellishes
the initial I chord.

Melody and texture also aid in determining the start of larger-scale caden-
tial functions, especially those in which a potentially cadential tonic or pre-
dominant chord is prolonged and hence seems to permit more than one pos-
sibility for the start of cadential function. When, for instance, a tonic chord
is prolonged through the progression I–V^4_3–I^6 (or, conversely, I^6–V^4_3–I) then
proceeds to cadential predominant and dominant chords, it can be difficult to
locate the start of the cadential function since both I and I^6 may serve as the
initial tonic chord in a cadential function. In such cases, melody and texture
are decisive factors. Example 5 shows the latter portion of the second theme
from the first movement of Beethoven's Fifth Symphony. In m. 83, fragmenta-
tion signifies a continuation function that persists until the end of the theme at
m. 110, where there is a perfect authentic cadence. But where does the cadential

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5   This type of embellishment is found with some frequency in the classical repertoire. For ex-
ample, see Haydn, Piano Sonata in A Major, Hob. XVI: 30, II (*Tempo di Menuet*), mm. 7–8 (here the
implied V^6_5 embellishes the initial tonic on the following beat) and the String Quartet in E Major,
op. 54, no. 3, IV, mm. 7–8 (note that the V^6_5 follows a longer melodic note and therefore denotes the
start of cadential function). Mozart seems to have preferred the V^4_3 variant of the embellishment: see
the String Quartet in F Major, K. 168, III, mm. 3–4, where the V^4_3 embellishes and prolongs the preced-
ing initial tonic chord into the following one. See also the String Quartet in A Major, K. 169, IV, mm.
3–4 (where the melodic leap up a fourth signifies the start of cadential function): the Piano Sonata
in C Major, K. 309, III, mm. 7–8 (where the vii^{o6} prolongs the preceding root-position tonic into the
following one), and the Piano Sonata in A Minor, K. 310, III, mm. 7–8. Beethoven seems to have been
especially fond of the V^6_5 type of embellishment as a formula for half cadences. See, for example, the
following Piano Sonatas: A Major, op. 2, no. 2, II, mm. 3–4; C Minor, op. 10, no. 1, II, mm. 7–8; and D
Major, op. 10, no. 3, III, mm. 5–7. See also Beethoven's Symphony No. 2, II, mm. 3–4.

Example 4. Cadential initial tonic chord embellished by a V_3^6 chord: Mozart, Piano Sonata in B-Flat Major, K. 333, mm. 1–10

Example 5. Cadential initial tonic chord prolonged by a V_3^4 chord: Beethoven, Fifth Symphony, op. 67, mm. 83–110

function begin? Caplin (1991, 30–31) identifies the cadence as starting at m. 98 on account of the I^6 chord. Notice, however, that there is no melodic or textural change to signal a new formal function at this point; only the location in the phrase and harmonic progression support this interpretation. The stream of eighth notes in the melody actually begins two measures earlier in m. 96. The previous measure, which also contains the eighths, acts only as a pickup to the first complete measure of eighth notes. Moreover, the texture of the accompaniment changes at m. 96 from sustained chords to detached chords, and the harmony begins with the tonic-prolonging progression I–V$^4_3$–I^6. Hence, the cadential function begins at m. 96, since that measure satisfies the three elements of location within the phrase, harmonic progression, and melodic/textural articulation. This interpretation is further reinforced by the change in mode at m. 96 from the darkness of E-flat minor to a sunny E-flat major.

As demonstrated by the examples above, melodic and textural changes in the classical repertoire are in no way inert in formal functionality, but actively participate in the expression of cadential function. As a result, cadential function may begin in the midst of an ongoing cadential progression, after an initial tonic or even a predominant chord. Alternatively, the initial tonic may be preceded by an embellishing chord, generally an inverted V^7. Finally, melody and texture can help to distinguish the start of cadential function when its initial chord (usually tonic) is prolonged by an intervening chord.

Closural Function

Most themes in the classical repertoire end with either a half or authentic cadence, but some do not.[6] They may, for instance, end on a V chord that is inverted, contains a dissonant seventh, or is approached by a dominant pedal. As Caplin (1998, 25; 2004, 70) has clarified, these situations do not constitute half cadences. Likewise, if the theme ends on a I chord, there is no cadence if it is approached by an inverted form of V or a tonic pedal. Thus, a root-position V chord is crucial to the concept of cadence in the classical style.[7] Yet even when themes or individual phrases lack a true cadence, a sense of closure is almost always granted by a final I or V chord that is approached by a cadence-like progression, a series of chords that, but for an inversion of V, an ending on V^7, or a pedal point, would otherwise be cadential. These themes therefore contain a

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6   Caplin (1998, 257) stipulates that a theme must always end with a cadence. This idea stems from Arnold Schoenberg (1967, 59), who states that "the end of a sentence calls for the same treatment as the consequent of a period. A sentence may close on I, V or III, with a suitable cadence." Thus, Schoenberg makes it clear that a cadence is required at the end of the two theme types that he acknowledges, the sentence and the period. This cadential requirement was also carried forth by Schoenberg's pupil, Erwin Ratz (1973, 21).

7   It is worth underscoring here that the notion that an inverted V cannot produce a cadence is only in accordance with Caplin's definition outlined earlier. Other recent sources identify inverted V–I progressions as imperfect authentic cadences. See, for instance, Clendinning and Marvin (2011, 246), and Kostka and Payne (2000, 158). Nevertheless, I would agree with Caplin that, within the confines of the classical style, cadences are sounded with a root-position V chord. Holding firmly to this idea exposes the relative rarity of closural functions and draws attention to their expressive effect and formal significance when employed.
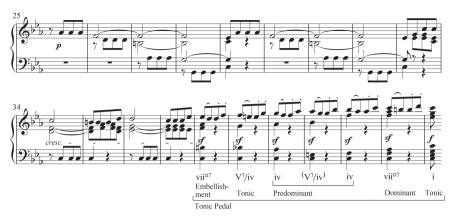
Example 6. Closural function ending the first theme in Mozart's Piano Sonata in F Major, K. 533, mm. 15–33

type of form-functional ending that I call a "closural function" or more simply a "close" (as analogies to the terms "cadential function" and "cadence"). The two possible final chords for a closural function, V or I, yield two different subtypes. First, there is the "dominant arrival," a term coined by Caplin (1998, 79) to describe an ending on a non-cadential V chord within theme-like units.[8] Second, there is the "tonic arrival," a term that can be used to describe a similar ending on a non-cadential I chord.[9]

A closural function appears in the first movement of Mozart's Piano Sonata in F Major, K. 533 (see example 6). At m. 19, the first theme seems to be approaching its end with the onset of a cadential function, but the final tonic chord that is expected at m. 22 is replaced with a deceptive cadence, forcing the theme to continue. The material of the cadential function reappears with the right- and left-hand parts exchanged in invertible counterpoint at m. 27, and the left hand's scale figure is then shuffled back and forth between the hands

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8   Here I am proposing that dominant arrivals may also occur in genuine themes.

9   Bergé and D'hoe employ this term in reference to the resolution to the tonic at the end of the first movement of Beethoven's *Tempest* Sonata. While I conceive of this passage differently (discussed below with the separated cadence), the spirit of the term as a non-cadential closure on the tonic, intended to parallel Caplin's dominant arrival, is the same. See Bergé, D'hoe, and Caplin (2009, 36, and 36n52).

Example 7. Closural function ending the first theme in Beethoven's Fifth Symphony, op. 67, mm. 25–44

until m. 31, where it ends with a final tonic chord. This tonic chord, however, is not approached through a root-position V, but rather through a V in m. 30 that becomes inverted on the last eighth note of the measure. With this subtle but important change to the harmony, the progression cannot be cadential but only cadence-like, and hence the function from m. 27 is closural rather than cadential. Mozart's use of the closural function here is undoubtedly related to the highly imitative texture of this theme (indeed, all the material of the first twenty-seven measures is exchanged between the hands at some point) and consequently its greater emphasis on continuous linear motion rather than a punctuated homophonic texture.

Closural functions occur more frequently in the music of Beethoven, especially in his symphonic music, where homophonic settings are more normative in the classical style. The first movement of the Fifth Symphony provides an excellent example (see example 7). The opening phrase of the famous first theme in mm. 6–21 (not shown) forms a regular antecedent phrase of a period and ends with a half cadence. With the second phrase, however, the tonic note that is reached in the bass at m. 33 is retained through the end of the phrase at m. 44. With this insistent tonic pedal, the bass line is unable to articulate an independent harmonic progression, and hence there can be no cadential progression and no cadential function.[10] But with m. 38, the melody fragments into a series of one-measure units and—together with the harmony, which states an expanded form of a full cadence-like progression—produces a closural function.[11] In particular, this example demonstrates that a closural function can

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[10] The need for harmonic motion from this tonic pedal is also observed by Burnham (1995, 36), who states that, at the end of this phrase, "tonic is again set up as something that must be moved from, rather than toward."

[11] Two other of Beethoven's symphonies are worth noting here for their closural functions at the end of the first theme: the Sixth and the Ninth. In the Ninth Symphony, a closural function takes place in mm. 21–27 since the phrase ends with a function supported by the cadence-like progression i–iv–bII–vii°$^4_3$ (the first two chords of which are prolonged by their respective dominants). The end on the diminished seventh chord acts like a V chord in a half cadence and thus produces the dominant-

be expanded with embellishing harmonies in the same manner as a cadential function, in this case with the additions of a vii°7 chord embellishing the initial tonic, and a prolongation of the predominant with its own dominant.
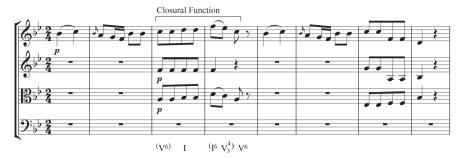
Because closural functions provide a sense of ending, phrases terminating with a closural function are more akin to those ending with a cadence than those that lack closure altogether—a conception that can influence our perception of classical theme types.[12] Example 8 shows the opening eight-measure theme from the finale of Mozart's "Hunt" Quartet, K. 458. The first four-measure phrase ends on V^6, which is not a cadence because there is an inverted form of V. Rather than lacking closure, however, mm. 3–4 contain a closural function through the cadence-like progression (V^6)–I–$(I^6$–$V^4_3)$–V^6 (parentheses indicate embellishing chords), or more simply I–V^6, a progression so similar to a normative half cadence of I–V that its effect here, and indeed its formal function, is practically the same as a half cadence: to provide a sense of closure for the first phrase, albeit in a weaker form than a cadence.[13] Consequently, the theme type seen in this example—Caplin's "compound basic idea + consequent," or hybrid 4 (1998, 61–63)—may be viewed as expressing closure in its compound basic idea, which suggests that a hybrid 4 may simply be a weaker type of period than a distinct structure requiring its own category.

In more complex situations, the repeated substitution of expected cadential functions with closural functions can affect the boundaries of larger sections of a form. In the first movement of Haydn's String Quartet in A Major, op. 20, no. 6, closural functions by means of tonic arrivals form the basis of a musical guessing game that Haydn plays with the listener (see example 9). The first theme of this sonata-form exposition implies another hybrid 4. The entire theme closes in m. 10 with the cadence-like progression V^6_5–I, which is a closural function because of the inverted form of V^7. Note that the compound basic idea also ends with the same progression in m. 4. When we hear the closural function in m. 4, and a repetition of the opening idea in m. 5, we expect a consequent phrase to unfold that will have a stronger close than the first phrase. But when we hear essentially the same closural function in m. 8

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arrival type of closural function. (Note the standing on the dominant that occurs immediately after this diminished seventh, as though the phrase had ended with a half cadence.) In the Sixth Symphony, mm. 47–53 sound a cadence-like progression of I–V^7–I over a tonic pedal that is repeated and fragmented, creating a closural function of the tonic-arrival type. In this case, while the function differs greatly from the Fifth and Ninth in its calm, pastoral character, it is nevertheless structurally similar in its avoidance of true cadential closure.

12 The modern consensus on the definition of a phrase is a span of music that ends with a cadence, a view that originates with Rothstein's (1989, 5) assertion that a phrase must include "tonal motion": "A phrase should be understood as, among other things, a directed motion in time from one tonal entity to another; these entities may be harmonies, melodic tones (in any voice or voices), or some combination of the two." Since Rothstein does not preclude non-cadential possibilities, one could understand this definition of a phrase to include not only cadential functions but closural functions as well.

13 See Burstein (2010). In his Appendix 1a, Burstein considers the ending to Mozart's first four measures to be sufficiently similar to a cadence to justify his application of the label "half cadence" (HC). While my terminology differs, it shares with Burstein's the essential function of the progression in this case as a type of close to the four-measure phrase.

Closural Function

(V⁶)   I   (I⁶ V₃⁴) V⁶

Example 8. Closural function ending the first phrase in Mozart, String Quartet in B-Flat
     Major, K. 458, "Hunt," IV, mm. 1–8

(which is repeated in mm. 9–10), it sounds as though the second phrase is a var-
ied repetition of the first and not a consequent phrase after all. This reading is
reinforced by the fact that the opening idea returns, unusually, for a third time
in m. 11. Perhaps *this* statement will be the expected consequent phrase.[14] Of
course, with typical Haydn wit, it turns out not to be a consequent contained
within the first theme, but rather a dissolving consequent that begins the tran-
sition, since the music diverges away from the tonic key.

  Although most themes in the classical repertoire end with a cadential func-
tion, a significant minority end with what I have called a closural function,
which may be expressed through either a dominant arrival or a tonic arrival.
These non-cadential endings illustrate that closure in classical themes can
range from syntactically strong cadential closure to the weaker type of closure
offered by closural functions. Moreover, it is no coincidence that, as with most
of the examples discussed above, themes ending with closural functions tend
to occur within the first-theme group of sonata forms. After all, cadential con-
firmation of the home key, especially through a perfect authentic cadence, is
hardly necessary at this point, since the recapitulation is certain to bring such
confirmation with the transposed return of the second-theme group.

The Separated Cadence

In most cadences, the three components of melody, bass, and inner parts move
to the final chord—what Caplin (1998, 43) calls the "cadential arrival"—at the
same time. This is undoubtedly why many current and past definitions of ca-
dence operate under the assumption that this simultaneous arrival is a feature
of *all* cadences, exceptions occurring only in cases where the melody and/or in-
ner parts are delayed by appoggiaturas.[15] However, because it is not uncommon

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   [14] In most first themes that are constructed as a period or the period-like hybrid 4, the transi-
tion does not begin as a restatement of the first theme's basic idea. Either the first theme closes with
a PAC and the transition begins with new material, or it ends with a half cadence and therefore its
consequent phrase becomes a "dissolving" one that forms the transition. Haydn's refusal to provide a
PAC or a half cadence at the end of the first theme in this example makes it an exceptional case.
   [15] See, for example, Green (1979, 13–14). Green notes that the final tonic chord of an authentic
cadence can be delayed by an apparent intervening IV⁶₄ chord (the ⁶₄ voices acting as appoggiaturas to

Example 9. Closural function ending the first theme in Haydn's String Quartet in A Major, op. 20, no. 6, mm. 1–22

for one or two of a cadence's three components to lag behind and delay comple-
tion of the cadential arrival, I propose the term "separated cadence" to describe
such situations, of which there are two main types, the "late-melody" and
"late-bass."[16] A few modest examples will demonstrate the essentials of these
techniques before delving into the complexities of a larger-scale application.

The "late-melody separated cadence" occurs when the final melodic note
of an authentic cadence sounds after the final bass note due to an interven-
ing chord note, as in the main theme of the slow movement from Mozart's
Symphony No. 39, shown in Example 10. Despite the simplicity of this type of
separated cadence, it is important to recognize that it is possible for a cadential
arrival to be dispersed over a span of music rather than to occur at one particu-
lar point, as a result of at least two of its components—melody, bass, and inner
parts—arriving at different times.

In other situations, the melody sounds $\hat{3}$ over the last bass note but then
moves on to $\hat{1}$ before completing the phrase, blurring the distinction between
a perfect and imperfect authentic cadence (PAC and IAC). Example 11a shows
a fine instance of this ambiguity in the opening theme of Beethoven's Baga-
telle in D Major, op. 33, no. 6, where m. 4 certainly brings a cadential arrival,
but whether the cadence is an IAC or a PAC is unclear. Caplin (1998, 58) ex-
plains, "Since an opening four-measure phrase of a theme does not normally
end with full harmonic and melodic closure, we are inclined to believe that this
phrase is an antecedent ending with an imperfect authentic cadence. When we
perceive that the next phrase is a genuine consequent, closing unambiguously
with a perfect authentic cadence, our initial hypothesis of a period design is
confirmed. The final D of the antecedent is thus understood to be an embel-
lishment (a 'chordal skip') of the more fundamental melodic note, F♯."

This argument rests on the assumption that an antecedent cannot end with
a PAC, because the closure that it provides is too strong. In other words, an
antecedent must give the impression that more music will follow, in order to
attain a stronger close at the end of the consequent phrase. But PACs may be

the I chord). Kohs (1973, 29), likewise states that a final tonic chord may be delayed by appoggiaturas.
See also Koch (1983, 40), who remarks that "the caesura note of a cadence is at times provided with an
overhang." Koch (19) describes a "caesura note" as "that place where a resting point is shown in the
melody, that is, the place where one section of the melody can be separated from the following one."
Thus, it is clear that, for Koch, the end of a cadence involves the simultaneous sounding of both the
melody and bass note. Caplin (1998, 43) describes the cadential arrival as "the specific moment in time
that marks the structural end of a thematic region." Even Hepokoski and Darcy (2006, 24 and 24n1),
who offer a more flexible notion of cadence in their concept of the "medial caesura," agree with Caplin
that the cadential arrival is a single point in musical time.

    [16] The separated cadence is distinct from situations in which the final chord of a cadential ar-
rival is drawn out by a post-cadential function (i.e., a codetta or standing on the dominant). As Caplin
indicates, post-cadential functions project the sense of "after-the-end" rather than, say, "prolonging-
the-very-end," which would describe the effect of separated cadences. See, for example, Ratner (1980,
45). Ratner shows mm. 43–44 of the first movement of Mozart's String Quartet in C Major, K. 465,
and contends that "an overlap is created by dispersing the effect of closure among different voices at
different times." This would seem to be the very definition of a separated cadence, but in this case, all
three components of the cadence—melody, bass, and inner voices—resolve simultaneously on the
downbeat of m. 43, completing the cadential arrival. Thus, what Ratner describes as "dispersing the
effect of closure" instead falls into the category of a post-cadential function (a codetta).

Example 10. "Late-melody" type separated cadence: Mozart, Symphony no. 39 in E-Flat
     Major, K. 543, II, mm. 1–8

weakened if their component parts resolve at different times. In this case, be-
cause the melody ultimately resolves to the tonic degree, the cadence is a PAC,
but as this $\hat{1}$ sounds only after the bass and inner parts resolve, it is a separated
PAC of the "late-melody" type. Thus, an antecedent may end with a PAC, so
long as the hierarchy of closural strength that is fundamental to period form
remains intact, that is, if the antecedent's cadence is a separated PAC and the
consequent's cadence is a non-separated PAC.

   A similar instance of a late-melody separated PAC may be found in the
minuet movement of Mozart's String Quartet in A Major, K. 464, shown in
example 11b. Here, the opening eight-measure sentence clearly ends with an
authentic cadence, but is the cadential melodic note the C♯ or A? As with the
examples above, the pitch at the end of the melodic figure is the decisive factor

Example 11. Ambiguity between IAC and PAC in "late-melody" type separated cadences

a. Beethoven, Bagatelle in D Major, op. 33, no. 6, mm. 1–8
b. Mozart, String Quartet in A Major, K. 464, II, mm. 1–8

Example 12. "Late-Bass" Type Separated Cadences

a. Mozart, Piano Sonata in C Major, K. 279, II, mm. 1–6
b. Beethoven, Piano Sonata in F Minor, op. 57, "Appassionata," II, mm. 1–8

in determining whether a separated authentic cadence is perfect or imperfect. In this case, the close of the melody on $\hat{1}$ renders the cadence a PAC, albeit one with a weaker sense of closure than a non-separated PAC.[17]

The "late-bass" type of separated cadence occurs in authentic cadences in which the bass voice arrives at $\hat{1}$ only after the melody and inner voices (if present) have resolved to notes in the final tonic harmony. In some cases, this late-arriving bass may result from an arpeggiated tonic chord that ends with $\hat{1}$, as shown in example 12a. More commonly, however, especially in Beethoven, the late-bass type is caused by the bass sustaining $\hat{5}$ (from the cadential V chord) into the tonic harmony, to which the other voices resolve, as demonstrated in example 12b. While there may be little doubt that these instances constitute PACs, they serve as important models for more complex situations in their use of a cadential arrival that is spread across more than a single beat.

A large-scale application of a separated cadence becomes possible when the above techniques appear numerous times in the same cadential arrival, as occurs in the remarkably expansive treatment seen in Beethoven's *Tempest* Sonata, op. 31, no. 2, at the end of the first movement's exposition. In this passage, the PAC that closes the second theme group—a crucial landmark in sonata form—has been the subject of recent controversy (see example 13a). In

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[17] Caplin (1998, 265n48) admits the possibility that "hearing a perfect authentic cadence here is not out of the question" but ultimately considers this cadence to be an IAC, "since the principal melodic tone in m. 8 is C♯ (resolving the repeated Ds of the previous measure)." While I agree that the C♯ resolves the previous Ds, I would argue that the tonic note provides such a strong sense of melodic closure that one instead hears a PAC in retrospect once the melody is completed.

Example 13. The cadence ending the second theme group, in Beethoven, Piano Sonata in D Minor, op. 31 no. 2 (*Tempest*), mm. 73–87

a. Four theorists' interpretations

a collection of essays on the *Tempest* Sonata, James Hepokoski (2009a, 200) interprets m. 87 as an EEC, or "essential expositional closure," which is the term he and Warren Darcy employ to designate the cadence closing the second theme group. William Rothstein (2009, 242) views mm. 75–86 as "an interpolation that delays the arrival of the essential expositional closure (EEC)," while Caplin (2009, 114) identifies the cadential arrival at m. 75, because "it is here that a genuine cadential dominant (m. 74) resolves to tonic, despite the fact that a literal tonic bass is not present at that moment." Finally, in a celebrated article on the *Tempest* Sonata, Schmalfeldt (1995, 67–68) views mm. 75–87 as a series of evaded cadences leading to a closing PAC at m. 87. She concludes, "At this point we may recognize that the entire passage at mm. 75–87 has served a cadential role."

The major analytical problem in this passage is twofold: not only is there a long dominant pedal in the bass that prevents full resolution at m. 75 but even when the entire passage ends in m. 87, the tonic chord is less than satisfying because it lacks the strong preparation of a cadential predominant in
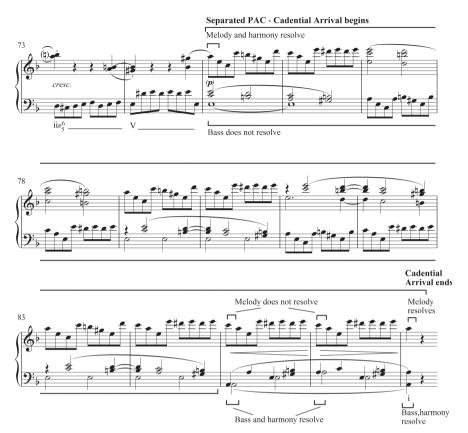
the preceding progression.[18] Even if one understands this final tonic as the moment of cadential arrival, what function does the music of mm. 75–86 express? It sits uncomfortably between an incomplete cadential function in mm. 73–74 and the PAC-like resolution to the final tonic in m. 87. Further confusing matters are the partial resolutions that occur at m. 75, where the melody and harmony resolve as expected but the bass remains stubbornly fixed to the dominant note, and at mm. 85 and 86, where the bass and harmony resolve as expected but the melody refuses to close on the tonic.

The function of this passage remains elusive only if we hold firm to the notion that a cadential arrival must occur at a single point in time. But as we have seen with the previous examples, that arrival may take place over a span of music, with different cadential elements resolving at different times. This concept helps to explain the anomalies of the passage, while simultaneously coalescing the seemingly divergent interpretations above into a single viewpoint. Measures 75–87 constitute a separated PAC in which the cadential arrival is spread across these thirteen measures instead of occurring at any one point (see example 13b): at m. 75, the melody resolves to the tonic note and the harmony resolves to the tonic chord to begin the arrival of the PAC—Caplin's cadential arrival. With the dominant note being sustained in the bass, however, that arrival is extended—by Rothstein's "interpolation"—to m. 85, where it resolves to the tonic along with the harmony. But now the melody avoids complete closure by twice moving to the mediant note, $\hat{3}$, in mm. 85 and 86. This melodic motion creates the semblance of an IAC, but not a true one, since the cadential arrival has not yet come to an end. It is only when the three elements of melody, bass, and harmony resolve simultaneously at m. 87 that the cadential arrival is at last completed—Hepokoski's EEC. Finally, Schmalfeldt's "cadential role" accurately identifies the formal function of the entire separated PAC.

Naturally, such a widely dispersed cadential arrival generates a good deal of ambiguity and is highly unusual, especially at the end of a second-theme group, where a clear PAC is the overwhelming norm in the classical style. But surely this is the point. After all, the blurred cadential effect of this separated PAC is well in keeping with the other ambiguities in the movement's form, such as its famously introductory-sounding first theme. Moreover, similarly expanded treatments of the separated PAC that occupy more than a couple of beats appear in some of Beethoven's other works.[19] Thus, for Beethoven, the technique seems to have been related to his peculiar penchant for drawing out a dominant bass note across formal boundaries. Striking examples are found at the start of some of his second theme groups (in the first movements of op. 2, no. 1,

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[18] See also Bergé and D'hoe (2009, 36n51). In reference to the analogous PAC in the recapitulation, the authors remark, "We don't consider the cadential progression in bars 192–193 as an entirely satisfying PAC."

[19] See the *Hammerklavier* Sonata, op. 106, mm. 116–18 (and analogously in the recapitulation in mm. 348–50), and the Piano Sonata in E Minor, op. 90, II, mm. 253–76, where the dominant bass note twice yields to tonal detours without completing the cadence before regaining the dominant once more in m. 267 and finally resolving it at m. 276.

Example 13b. Interpretation as an expansive separated cadence

and the *Tempest,* among many others) and recapitulations (in the first movements of the *Appassionata* Sonata and, more briefly, the Eighth Symphony).

While the majority of cadences articulate the moment of cadential arrival through the simultaneous resolution of melody, bass, and inner parts, there are, as we have seen, prominent examples of themes in which these elements are dispersed across a span of musical time. In simpler instances, these separated cadences divide into the two types of "late melody" and "late bass." But the concept can also attain much larger proportions if multiple unsuccessful attempts are made at completing the cadential arrival, as in the *Tempest.* Finally, although we can still identify separated cadences as PACs, they nevertheless remain a weaker form of cadence than those with a single, unequivocal point of arrival. Thus, the separated cadence is another way in which the closure of a classical theme may be undermined and reduced in its syntactical strength.

CONCLUSION

Because the attainment of closure was such a vital aspect of musical form during the classical period, it was a significant preoccupation for composers.

Consequently, phrases and themes attained a rich diversity of closural options. On the one hand, there were the half and authentic cadences, which were clarified not only through their harmony and location in the phrase, but also by the striking contrasts in melody and texture so characteristic of the classical style. On the other hand, composers sometimes sought to weaken or obfuscate the close of a phrase by using alternatives to the cadence (in addition to other types of cadential avoidance such as deceptive, evaded, or abandoned cadences). I have described one of these as a "closural function," which mimics the sound of a cadential function through a cadence-like progression, and another as the "separated cadence," which transforms the cadential arrival from a single moment in time into a broader span of music. While both of these alternatives are far less common than true cadences at the end of themes, their appearance demonstrates that a cadence was not an absolute requirement for thematic closure in the classical style. Thus, closure in classical music is a highly complex issue, one that requires a wider range of analytical tools than we currently employ if we are to gain a deeper and more complete understanding of this continually fascinating repertoire.

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ABSTRACT

This article challenges two of William E. Caplin's basic precepts regarding cadences in the classical style. First, the author argues that melody and texture contribute to the onset of cadential function. Second, he contends that themes may end not only with a half or authentic cadence, but also with a "closural function", which substitutes for cadential function through a "cadence-like progression". Moreover, he discusses how a theme may end with a cadence such that its melody and bass resolve at different times, a phenomenon he calls the separated cadence.

RÉSUMÉ

Cet article remet en question deux des postulats de base William E. Caplin concernant les cadences dans le style classique. Tout d'abord, l'auteur fait valoir que la mélodie et la texture aident à délimiter la fonction cadentielle. Il soutient ensuite que tant la demi-cadence que la cadence authentique peuvent marquer la fin d'un thème, tout comme peut le faire une « fonction conclusive », qui se substitue à la fonction cadentielle par une « progression quasi cadentielle ». En outre, il explique comment une cadence peut conclure un thème de telle sorte que sa mélodie et sa basse se résolvent à différents moments, un phénomène qu'il appelle la cadence séparée.