A Performance Guide to the Multi-Movement Guitar Sonatas of Fernando Sor and Mauro Giuliani

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UNIVERSITY OF MIAMI

A PERFORMANCE GUIDE TO THE MULTI-MOVEMENT GUITAR SONATAS OF FERNANDO SOR AND MAURO GUILIANI

By
Rattanai Bampenyou

A DOCTORAL ESSAY

Submitted to the Faculty of the University of Miami in partial fulfillment of the requirements for the degree of Doctor of Musical Arts

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the requirements for the degree of
Doctor of Musical Arts

A PERFORMANCE GUIDE TO THE MULTI-MOVEMENT GUITAR SONATAS OF FERNANDO SOR AND MAURO GUILIANI

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The purpose of this study is to thoroughly analyze and to create a performance guide of the multi-movement guitar sonatas by Fernando Sor and Mauro Giuliani. The works include Sonatas, Opp. 22 and 25 by Sor, and Sonata, Op. 15 by Giuliani. Although the composers are well known to the guitar community, the number of detailed studies of these works is still limited. The present essay is a result of the desire to study them. It contains a short history of the origin of the six-string guitar, the biographies of Sor and Giuliani, and also a brief review of selected writings on sonata form that will help the reader understand the musical form better. The main portion of this study consists of detailed analyses and a performance guide to the sonatas. Theoretical, technical, and stylistic issues are addressed in depth.
ACKNOWLEDGEMENTS

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Chapter 1

INTRODUCTION

The Guitar in the Early Nineteenth Century and Sonata Form

The late eighteenth century witnessed the emergence of the six-string guitar. By the nineteenth century, the guitar had become a fashionable instrument, and its popularity spread throughout Europe. The heyday of the guitar was reflected by a large number of published compositions, guitar method books, and also an enormous increase in guitar sales.¹ Charles Burney commented in his *Dr. Burney's Musical Tours in Europe* (Vol. 1) that "there is hardly a private family in the civilised nation without its flute...or guitar."²

The popularity of the six-string guitar was virtually due to the fact that it was ideally suited for simple vocal accompaniments. It quickly became a household instrument. Although, the guitar was able to handle technical challenges raised by more complex music, "its proclivity toward chords and simple strumming created strong prejudices against its musical integrity."³ Considering this, it is unlikely that the guitar would have a position of importance in the musical scenes of the nineteenth century. Even so, as its popularity spread, there was also a need to increase its repertoire as well as status.

Since the six-string guitar was very new, there were only few serious, original compositions written for it in this period. Guitarist-composers of the late eighteenth and early nineteenth centuries were aware of the shortage of guitar music and discriminations against the instrument. They tried to create and perform new works in order to promote

¹ Robert C. Liew, "The Guitar Chamber from 1780 to 1830--Its style and Structure" (PhD diss., Texas Tech University, 1983), 2.

² Ibid.

³ Ibid., 14.
the guitar. Its initiation into the realm of mainstream music of the nineteenth century required a great amount of effort, and needed pioneers who were capable of facing challenges in a period where traditions had already been established and even perfected. This formidable task was carried out by a group of great guitarist-composers of the early nineteenth century.\(^4\) Fernando Sor and Mauro Giuliani were among the most important pioneers who considerably elevated the reputation of the guitar. Although they could not establish as significant a position in the history of music as the three masters of the Viennese school (Haydn, Mozart, and Beethoven), "Performers and composers at the calibre of Sor and Giuliani were rare."\(^5\) These two influential figures established a new standard and tradition of the guitar through their concerts, pedagogical treatises, and compositions.

The six-string guitar and music written for it evolved during a period in which the style of Classical music was firmly established. Guitar composers quickly incorporated the elements of the style in their music and simultaneously developed idiomatic writing for the instrument. During the Classical period, there were various compositional forms such as divertimento, minuet, and rondo, but no form was more appealing than the sonata form. Like the six-string guitar, the sonata form was a true creation of this era. It was the major aesthetic concern of Classical composers, and the ability to deal with this rigid, yet variously adaptable form was an indication of refined musical craftsmanship. The sonata form was also adopted by guitar composers who used the form a great deal in chamber works with guitar, but rarely in solo guitar music.

\(^4\) Liew, "The Guitar Chamber from 1780 to 1830--Its style and Structure," 16.

\(^5\) Ibid., 12.
There were a large number of full-scale sonatas for solo instruments such as piano, violin, and flute, but very few were composed for guitar. This may be due to the difficulty of the instrument in handling the type of dramatic key changes that occur in the development section in sonatas by Beethoven and Haydn. Scott Morris suggests that probably "composers like Sor and Giuliani purposely limited their output of large-scale and complex compositions in order to focus on music that would be easier for the publisher to sell." Theme and variations, for example, was one of the most popular type of composition extensively used by guitar composers of the early nineteenth century.

Although small in number, guitar sonatas of the early nineteenth century are great examples of guitar music in sonata form and show the attempts of the composers to expand the guitar repertoire. Mauro Giuliani composed three sonatas and only his Sonate, Op. 15, is a multi-movement sonata. His Grand Overture, Op. 61 and Gran Sonata Eroica, Op. 150 are sonata prima, single-movement works in sonata form. Compositions for guitar in sonata form by Fernando Sor include Grand Solo, Op. 14, Sonata, Op. 15b, Grande Sonate, Op. 22, and Deuxième Grande Sonate, Op. 25. The Op. 14 and 15b are one-movement works, while Op. 22 and 25 are in four-movement format. The sonatas of Sor and Giuliani reflect the need to initiate the guitar into the domain of mainstream art music and to establish an important status for the instrument in the early nineteenth century.

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6 Scott Morris, "A Study of the Solo Guitar Repertoire of the early Nineteenth Century" (DMA diss., Claremont Graduate University, 2005), 65.

7 Ibid.

8 Ibid., 51.
The significance of these sonatas lies not only in the artistic level of the music, but also in effective idiomatic writing. The guitar is very difficult to write for and, according to Thomas Heck, it seems to have been true that there were a good number of guitar composers in the early nineteenth century who "never truly understood the character of the instrument, nor the musical texture to which it was best suited."\(^9\) Hector Berlioz's comment in his *Treatise on Modern Instrumentation and Orchestration* also demonstrates the difficulty in writing for the instrument:

> It is almost impossible to write well for the guitar without being a player on the instrument. The majority of composers who employ it are, however, far from knowing its power; and therefore they frequently give it things to play of excessive difficulty, little sonority, and small effect.\(^{10}\)

In his *Treatise*, Berlioz also suggests that guitar composers should study the works of great guitarists such as Zanni, Huerta, and Sor in order to see the capacity of the instrument.\(^{11}\) The compositions of Giuliani also demonstrate the full advantage of the instrument. According to Turnbull, "Giuliani's skill in weaving a melody into a texture idiomatic to the instrument is a constant feature of his art".\(^{12}\)

Sor and Giuliani were among the group of masters who successfully utilized the elements of Classical style in the guitar medium. Thus, these sonatas are outstanding examples of the use of guitar in imaginative, effective ways.

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\(^{11}\) Ibid., 87.

\(^{12}\) Ibid., 90.
Fernando Sor

Fernando Sor was born in Barcelona in 1778. His father, Juan Sor, was an amateur guitarist, and Fernando also studied the guitar in his childhood. At the age of twelve, he entered a monastery at Montserrat, where he studied voice, piano, organ, and violin as well as harmony and counterpoint. According to Baltasar Saldoni (1807-1889), Spanish composer and musicologist, Sor amazed everyone at the monastery with his exceptional talent on the guitar. In 1795, he returned to Barcelona and then began the study of guitar seriously. It was at this time that he heard the music of Ferderico Morretti, the Italian guitarist and soldier who served in the Royal Walloon Guards of the Queen of Spain. Morretti exerted a strong influence on future Spanish virtuosos such as Sor and Aguado. His music made Sor realize the possibility of simultaneous playing of melody and accompaniment on the guitar. Many decades later, Sor wrote of Morretti of how he was inspired by the Italian guitarist in the Encyclopédie Pittoresque de la Musique by A. Ledhuy and H. Bertini (Paris, 1835):

He [Sor] understood the merit of certain instrumental effects; but deprived of the piano, he had not yet dreamed of trying to reproduce on the guitar the effects which so pleased him. At this time, he heard the brother of General Solano playing on the guitar a piece in which one could distinguish a melody and an accompaniment. The composer of the piece was Moretti, an officer in the Walloon Guards, who was the first to understand the true nature of the guitar. Morretti's music gave Sor's a new direction, and with a little work and by applying his knowledge of harmony, he soon came to compose and perform music in several real parts...

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15 Jeffery, *Fernando Sor: Composer and Guitarist*, 15.
Sor was also an accomplished singer, pianist, and violinist, and a composer of operas and ballets as well. In his early period, he regarded himself primarily as a composer of orchestral music.\textsuperscript{16} Therefore, "his approach to part-writing on the guitar was...far more rigorous than might have been the case had he been a 'mere' guitarist".\textsuperscript{17} Originally, Sor extensively used the guitar as an instrument of accompaniment, but then he soon started to treat it as a solo instrument.\textsuperscript{18} In his \textit{Méthode pour la Guitarrre} (1830), Sor comments:

In accompanying airs of Italian operas, I frequently met with little melodious passages in some instrumental parts, and by endeavoring to execute them on the guitar, I found that the fingers which I employed for harmony was the basis of that which I found necessary for the melody, and that the latter should be almost entirely dependent of the former. Success having crowned my wishes, I wrote a few pieces, with little consideration I admit, which however prepared the route that circumstances obliged me to follow, and which I have only had to examine severely in order to correct my manner of writing since I have become a professor.\textsuperscript{19}

With his training as a composer and the foundation laid by Moretti, Sor would later bring guitar solo music to a new height.

\textbf{Mauro Giuliani}

Thomas Heck in his dissertation \textit{The Birth of the Classical Guitar and Its Cultivation in Vienna, Reflected in the Career and Composition of Mauro Giuliani} (d. 1829) states that Giuliani was born in Bisceglie, Italy in 1781. The earliest biography of Giuliani written by Filippo Inardi in 1836 suggests that Giuliani studied counterpoint as a teenager and by the time he was eighteen, had already became an extremely talented


\textsuperscript{17} Ibid.

\textsuperscript{18} Morris, "A Study of the Solo Guitar Repertoire of the early Nineteenth Century," 10.

\textsuperscript{19} Ibid.
guitarist and cellist. However, very little is known about his early life. It was not until he moved to Vienna in 1806 that his life and career can be documented.

Like Giacomo Merci and Federico Moretti, Giuliani was one of many Italian musicians who worked in foreign countries. According to Heck, it seems to have been that, during the years between 1750 and 1850, Italian guitarists left the peninsula more than any other type of musicians. A major reason of the emigration of Italian guitarists is that, although the guitar was a very popular in Italy, it was used only as an instrument for vocal accompaniment. In his book *Mauro Giuliani: Virtuoso Guitarist and Composer*, Heck states:

> Although Italy provided a climate favorable to the guitar as an accompaniment instrument, she seems not to have rewarded the particular talented men who play it as solo chamber instrument. The sheer sound level of c1800 was diminutive compared to that of other musical entertainment. It must have been impossible for a solo guitarist in Italy to make his instrument heard in the typical Italian theater, festooned, draped, and upholstered. Such edifice was suited only to relatively large productions (operas, orchestral music). Acoustical problems coupled with financial consideration help to explain why the best Italian guitarists sought their livelihood elsewhere. The salons of the nobility in Vienna and Paris provided a chance for auditions, appreciation, and patronage unequalled in Italy.

In the early nineteenth century, Vienna, unlike many Italian cities, was a city that had strong appreciation for instrumental music. By the time Giuliani arrived in Vienna in 1806, the guitar had already flourished there as a solo instrument with a tradition establish by Simon Molitor, Leonard von Call, and Giulio Regondi. It was in this city that Giuliani gained tremendous success. His performances were reported favorably in

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21 Ibid., 24.

22 Ibid.
Giuliani was also featured with the pianist Johann Nepomuk Hummel and the violinist Joseph Mayseder in a concert series named *Dukaten Concerte*. Giuliani brought the popularity of the guitar in Vienna to its peak and the guitar compositional style he championed set a new standard of guitar music in the early nineteenth century.

**Justification of the Study**

Scholarship on early-nineteenth-century guitar music has significantly increased in the past fifty years, and the guitar sonatas of Sor and Giuliani have been well known to the guitar community. However, the number of detailed studies on their sonatas is still limited when compared with those of Haydn's, Mozart's and Beethoven's works in sonata form. This is probably due to the following factors: [1] their sonatas are eclipsed by keyboard sonatas of the three masters; [2] guitar compositions in the Classical period were not as progressive as works for other instruments, particularly keyboard; [3] the guitar and its literature has received little scholarly attention.

The present essay will focus on detailed analyses and performance practices of the multi-movement guitar sonatas of Sor and Guiliani. It will serves as a resource for guitarists interested in performing these works in a concert setting. Through this essay, the performer will gain intimate knowledge of the compositions which he can apply to inform an engaging, insightful performance.

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24 Christopher P. Calvet, "Structure and development in one-movement guitar sonatas of Fernando Sor" (MA Thesis, California State University, 1992), 1-2.
Purpose of the Study

This study seeks to provide scholarly analyses of the compositional approaches and formal structure as well as a discussion of performance practices of multi-movement guitar sonatas of Sor and Giuliani. Specifically, the research questions to be addressed in this study include:

1. How do Sor and Giuliani approach sonata form?
2. Are there any differences between Sor's and Giuliani sonata approaches?
3. What considerations should the modern performer take into account when interpreting the sonatas?

Organization of the Study

Chapter 1 provides brief overviews of the guitar in the early nineteenth century, Fernando Sor's and Mauro Giuliani's backgrounds, and the significance of their sonatas. Chapter 2 reviews selected writings on sonata form and the multi-movement sonatas composed by the two guitarist-composers. Chapter 3 discusses the methodology of this study. Chapter 4 is concerned with a brief history of the origin of the six-string guitar and the biographies of Sor and Giuliani. Chapter 5 focuses on the full analyses of the sonatas, including a comparison of their sonata style. Chapter 6 deals with performance practice of these compositions. Chapter 7, the last chapter, provides final remarks of the study.
Chapter 2

REVIEW OF LITERATURE

Sonata Form

Sonata form was a creation of the radical stylistic change that took place in the beginning of the Classical era and became the most important large-scale instrumental form of the period. However, not until the last quarter of the eighteenth century did theorists start to describe it in technical terms. Since then, much has been written about sonata form by generations of writers ranging from Heinrich Koch and Francesco Galezzi to William E. Caplin, James Hepokoski and Warren Darcy. It is impossible to discuss all of these studies here. This section rather provides a brief review of selected significant writings on sonata form and modern analytical methods used in this essay.

The evolution of sonata form took place before the 1850s and was then expanded, refined, and eventually synthesized with Baroque contrapuntal techniques in the 1770s and 1780s. Nevertheless, only few eighteenth-century writings provide detailed explanations of its structural designs, thematic organization, and harmonic schemes. According to a letter of C.P.E. Bach written in 1777, this is possibly due to the fact that "the teaching of formal analysis at that time was generally neglected." Many mid-eighteenth-century writers still offered short, broad definitions of the term "sonata" in the Baroque sense and discussed only aesthetic aspects of the sonata as a genre. For example, Rousseau's article of 1755 in his Dictionnaire defines the term as follows:

27 Ibid., 22.
an instrumental piece consisting of three or four consecutive movements of different character. The sonata is to instruments about what the cantata is to voices.

The sonata is usually composed for a single instrument that plays [while being] accompanied by a basso continuo; and in such a piece one seizes upon whatever is most favorable for showing the chosen instrument, whether the contour of the lines, the selection of the tones that best suit this sort of instrument, or the boldness of the execution. There are also trio sonatas, which the Italians more commonly call Sinfonie; but when they [the sonatas] exceed three parts or one of these is a solo part, they [the sonatas] are called [by the name] concerto.28

Clearly, the term "sonata" here denotes a specific meaning that it had acquired during the Baroque era rather than the meaning of the term in the classical sense.

Among eighteenth-century accounts of the sonata, the article "Sonate" (1775) in Allgemeine by J.A.P. Schulz and the section "Von Der Sonate" (1793) in Anleitung as well as the article "Sonate" (1802) in Lexikon by H.C. Koch were the most influential. Schulz's article combines the views of the sonata proposed by contemporary writers and later became a standard reference.29 Schulz describes the sonata thusly:

Sonata. An instrumental piece [consisting] of two, three, or four successive movements of different character, which has one or more melody parts, with only one player to a part...Depending on the number of concertante, melody parts that it has, as sonata is described as [being] a solo, a due, a tre, etc.30

Here, the distinction between style, genre, form, and function is blurred. The sonata could be a solo, duo, trio, or quartet, which is intimate in style as opposed to public genres such as symphony and concerto.31 Also, it reflects that the term sonata was a generic one that was applied to many kinds of instrumental compositions.


29 Ibid.

30 Ibid.

31 Rosen, Sonata Forms, 14.
Schulz also discusses aesthetic aspects of the sonata. For him, the sonata is a pure instrumental form that can convey meanings without the aid of text, poetry, or drama. He states that the sonata provides a variety of expressions greater than any other instrumental form, and implies that by his time it had already become a major aesthetic concern of Classical composers.\textsuperscript{32} He suggests that composers follow the examples of C.P.E. Bach, who brought character and expression to the sonata. Schulz notes that "To create such sonatas requires much genius and knowledge, and an especially adaptable and alert sensibility."\textsuperscript{33}

A comprehensive, and perhaps the earliest, explanation of the sonata's structure in the eighteenth century was Koch's article "Von Der Sonate" of 1793. In this writing, Koch gives a detailed discussion of the procedure in the first movement of a symphony and stylistic distinctions between the symphony, the sonata, and chamber music. According to his account, the 'initial allegro' consists of two sections with or without repeat signs.\textsuperscript{34} The first section (or exposition in nineteenth-century terminology) is a single division. The first half contains the main idea that persists until the cadence in the new key. The second half starts with the contrasting idea in a nearly related key and includes 'the third melodic element.'\textsuperscript{35}

The second section has two main divisions. The first (or development in nineteenth-century terminology) is treated variably, but there are two approaches usually

\textsuperscript{32} Newman, \textit{The Sonata in the Classic Era}, 23.

\textsuperscript{33} Ibid.

\textsuperscript{34} Ibid., 32.

\textsuperscript{35} This is Koch's terminology. Newman suggests that it probably refers to the closing theme in the nineteenth century concept.
used in this part.\footnote{Newman, *The Sonata in the Classic Era*, 33.} Frequently, it starts with a restatement of the main idea in the dominant, relative, or more remote key. Some of the musical ideas that occur in the first section (or exposition) are modified using compositional devices such as sequence, extension, fragmentation, or repetition, and modulated to a series of keys that eventually lead to a transition back to the tonic key.

The other procedure, Koch continues, is not much different from the previous one. Some significant themes from the previous section or their fragments are extended or transposed within one voice, or interchangeably between voices. Modulations are done to closely related keys or remote ones until the music reaches the dominant key, which is followed by the return of the main idea. The second division (or recapitulation) usually starts with the main idea or sometimes with another one in the tonic key. Then, the first movement is concluded with the repetition of the 'latter half' of the first section (exposition), previously in the dominant keys, in the home key.

Koch's description makes his article a significant contribution. His bipartite division implies that he favors the tonal plan as the foundation of the whole organization. It has been thought that thematic aspects of sonata form were first explained by early-nineteenth-century theorists such as A.B. Marx, Reicha, and Czerny. However, a much earlier discussion of the sonata allegro form in thematic terms was made by Francesco Galezzi.

In the fourth part of his *Elementi teorico-pratici di musica*, Vol. II, published in 1796, Galezzi provides many profound remarks on sonata form and general Classical concepts of structure. Like Koch and many contemporary theorists, Galezzi describes sonata form as bipartite, but his emphasis on the treatment of musical ideas proves that a
thematic description of sonata form existed in the eighteenth century. Galezzi’s explanation of the sonata’s first section conforms to what the early 19th century theorist Reicha called an exposition. This part generally modulates from the tonic to the dominant key or from the minor tonic to the relative major key. Galezzi also mentions some possibilities such as modulation to the sub-dominant key, which is a rare option. The second part contains "modulation" (Modulazione) and "reprise" (Ripresa), which are development and recapitulation in early-nineteenth-century terminology.

Galezzi regards the treatment of musical ideas or, in other words, the specialization of thematic functions as "the most interesting aspect of modern music." Due to this realization, he discusses each area of sonata form in great detail. The first part could begin with an optional introduction that "is nothing but a preparation for the true Motive [the principal theme or the first subject] of a composition," which can begin with the tonic or a non-tonic key. The "Principle Motive," Galezzi continues, is "the subject, the theme...of the musical discourse." He proposes that it must be complete and intelligible. Otherwise, the following materials will not be well understood. As for the second theme, Galezzi labels it the "Characteristic Passage" or the "Intermediate Passage." He prefers a contrasting lyrical theme in the secondary key that has been

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38 Ibid., 184.

39 Ibid., 190.

40 Ibid., 185.

41 Ibid., 191.
prepared in the "Departure" or transition. Following is the "Cadential Period," the so-called closing passage, that prepares for the final cadence of the first part.

The second part starts with a section of modulation (Modulazione), or the development. Interestingly, here, Galezzi discusses some thematic treatments that were used in his day. In this respect, he favors two methods: 1) beginning the second part with musical ideas freely taken from the first part; and 2) introducing new, episodic ideas. He dislikes a literal restatement of the first subject in this section because "it does not introduce any variety to compositions, which is always the purpose of all the skills of genius."\(^4^2\) Then, the Reprise (recapitulation) arrives with the restatement of the Principle Motive in the original tonic. However, Galezzi also suggests that the Characteristic Passage (the second subject) could occur here instead of the Motive as well. This remark clearly distinguishes him from other eighteenth-century theorists who overwhelmingly concerned themselves with the standard model in which the recapitulation always begins with the first subject.\(^4^3\)

Although Galezzi's account is not very advanced when compared to recent approaches to sonata form, it reflects many Classical concepts of the structure and compositional practices. His explanation shows that thematic and harmonic organizations are equally important in sonata form. Also, it is a transition between the mainly harmonic descriptions of the eighteenth century and the mainly thematic descriptions of the later nineteenth century.\(^4^4\)

\(^{42}\) Churgin, "Francesco Galezzi's Description (1796) of Sonata Form," 195.


\(^{44}\) Churgin, "Francesco Galezzi's Description (1796) of Sonata Form," 189.
The final volume of Reicha's *Traite de haute composition musicale* (1826) also represents a transitional step between Koch and even more precise explanations of 'sonata form' made by Adolf Bernhard Marx and Carl Czerny. In this treatise, Reicha discusses six "large forms" such as grand binary (sonata form), grand ternary, rondo, variation, fantasy, and minuet. The use of the term "grand binary form" (*grande coupe binaire*) reflects an eighteenth-century tonal concept of sonata form, but he describes the thematic aspects of the form a great deal. For Reicha, the most essential structural aspect of these forms is the development of musical ideas.\(^45\) His diagram of sonata structure, where he uses the terms 'Exposition' and 'Development,' displays ternary division because he divides the second part into two subsections.

The significance of his description lies in the emphasis he puts on expanding the musical materials in the development section. According to Noel H. Magee, Reicha had already applied this concept in the compositions he wrote during the same period, for example, his quintets.\(^46\) Like Galezzi, Reicha describes both thematic and harmonic aspects of the form. However, his explanation and the diagram in this treatise reflect a nineteenth-century inclination to view the form primarily in thematic terms, the concept further developed by Marx and Czerny.

Before the late 1830s, few writers had expressed more than a vague awareness of 'sonata form.'\(^47\) Certainly, the term had already been in use before that time. Swiss publisher Hans Georg Nägeli writes in his *Répertoire des Clavecinistes*, published in

\(^{45}\) Noel Haward Magee, "Anton Reicha as Theorist" (PhD diss., The University of Iowa, 1977), 239.

\(^{46}\) Ibid., 242.

1803: "I am interested primarily in piano solos in the grand manner, of large extent, and with manifold departures from the usual sonata form." Nonetheless, in the Classical era, the individual movements of the sonata and its treatment of phrase syntax, thematic relationship, tonal schemes, and structures were never thoroughly described. When Marx and Czerny made such explanations, "...they succeeded above all in establishing the fixed, textbook concept of 'sonata form' that has prevailed ever since."

In fact, the term "sonata form" did not exist during the eighteenth century and "was almost surely unknown to Haydn, Mozart, early Beethoven, and their contemporaries." Its usage only emerged in the early nineteenth century. Adolph Bernhard Marx uses the term as early as 1823 in his *Berliner allgemeine musikalische Zeitung*, where the term refers to both an entire multi-movement sonata cycle and the form of an individual movement. Approximately in the 1840s, the term came to represent the individual-movement structure through the writings of Marx himself. In the preface to the third volume of the influential *Die Lehre von der musikalischen Komposition* (1845), A.B. Marx wrote that his publication became possible virtually due to the improvements in teaching methods and quality in the past few years. Unlike Reicha and eighteenth-century theorists, he firmly referred to the three-part rather than
the two-part organization of sonata form. His major focus is the syntax of phrase and period. Besides his detailed explanation of sonata form, he also included discussions on differences between sonata form and the sonata cycle in some movements, 'sonata form' as binary or ternary concept, tonal organization in major- and minor-mode sonatas, and types of thematic design. Marx's codification of the form established its nineteenth-century supremacy as the most prestigious form of instrumental music.55

Czerny published his School of Practical Composition in 1848. Like Marx, Czerny knew Reicha's Traité de haute composition musicale very intimately, since he translated this treatise for the bilingual edition published in Vienna in 1832. His analysis of the sonata form relies heavily on Reicha's treatise.56 However, in the preface to his treatise, Czerny claimed that he was the first to describe any basic elements of sonata form. He wrote precisely what must go into each of the four movements. As for the first movement, Czerny still regarded it as two-part, and in general, he, according to Charles Rosen, explains 'sonata form' as follows:

The exposition starts with a theme or group of themes in tonic, followed by a modulation to the dominant and a second group of themes; after a repetition of the exposition comes the development, in which the themes are fragmented and combined in various keys ending with a return to the tonic and a recapitulation of the exposition, this time with the second group of themes in the tonic, and an optional coda.57

In his treatise, Czerny stresses that "we must always proceed in a settled form...if this order were evaded the composition would no longer be a regular Sonata."58 This clearly

55 Rosen, Sonata Forms, 3.

56 Ibid.


58 Newman, The Sonata since Beethoven, 30.
reflects his adherence to the standard model, and to Czerny, any deviations from the
model are considered "irregular."

According to Newman, "in general, other nineteenth-century writers on music,
even the lexicographers, were slower than these enterprising theorists [Reicha, Marx, and
Czerny] to arrive at explicit statements about design in the sonata." Therefore, their
treatises were very influential in their time. Their real purposes are obviously to give a
model or an instruction for the composition of new works and to present their own
concepts of the form. However, their influence was not a result of their treatises alone.
All three nineteenth-century writers personally knew Beethoven and had high regard for
him. Reicha was Beethoven's close friend in his childhood. They both were in the
orchestra at Bonn and years later met each other again in Vienna. Their musical
backgrounds were very similar. A.B. Marx, studied Beethoven's life and works
extensively, and his writings glorified Beethoven a great deal. Czerny, one of the most
influential writers in his time, was Beethoven's most renowned student. His theoretical
writings, he claimed, passed on what he had learned from the master. Marx's treatises and
those by Reicha and Czerny in particular codified Beethoven's practice, and therefore,
because of Beethoven's prestige, his early practice became a particular source of analysis
for the treatises. This is the reason why the 'sonata form' as known today is more or less a
generalization of Beethoven's early compositional approaches. The influence of these
three theorists, who concerned themselves primarily with the standard model of sonata
form, and the prestige of Beethoven eventually led to rigid, stereotyped theoretical


60 Rosen, *Sonata Forms*, 3.

61 Ibid., 3.
understanding of sonata form as a set of "textbook" rules that have persisted since the
nineteenth century.

According to Charles Rosen, "since Czerny, the sonata has been most often
regarded as a melodic structure." In the twentieth century or even now, the nineteenth-
century concept still persists because it has been taught in most schools and music
appreciation courses. However, beginning in the second half of the century, theorists
came to pay more attention to eighteenth-century general practice and the original
concept of the eighteenth-century sonata style. Scholars such as Donald F. Tovey,
William S. Newman and Leonard G. Ratner sought to describe the sonata form from the
perspective of the eighteenth century, which resulted in a revision of modern teaching of
the form. In the preface to his Classic Music (1980), Ratner claims that "This book allows
the student to approach the music and the musical percepts of the eighteenth century in
much the same way a listener of the time would have done." His study is virtually based
on late-eighteenth-century and early-nineteenth-century accounts such as the statements
of Heinrich C. Koch, Francesco Galeazzi, Augustus Kollmann, and Anton Reicha.

In the section on sonata form, Ratner regards sonata form as a harmonic structure.
He points out that "Classic theorists described the form of a long movement as a tour of
key." English theorist Kollmann discusses the form in his Essay on Practical Music
Composition (1799) as follows:

In its outline a long movement is generally divided into two sections. The first,
when the piece is in major, ends in the fifth of the scale, and the second in the
key; but when the piece is in minor, the first section generally ends in the third of

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64 Ibid.
the scale and the second in the key... Each section may be divided into two subsections, which in the whole makes four subsections.

The first subsection must contain the setting out from the key to its fifth in major, or third in minor, and it may end with the chord of the key or its fifth, but latter is better. The second subsection comprehends a first sort of elaboration, consisting of a more natural modulation than that of the third subsection; it may be confined to the third, or fifth of the key, or also touch upon some related or even non-related keys if only no formal digression is made to any key other than the said fifth in major and third in minor. The third subsection comprehends a second sort of elaboration, consisting of digressions to all those keys and modes which shall be introduced besides that of the fifth (or third); and being the place for those abrupt modulations or enharmonic changes which the piece admits or requires. The fourth subsection contains the return to the key, with a third sort of elaboration, similar to that of the first section.

The above is the plan of modulation, which is to be found attended to in most sonatas, symphonies, and concerto. But it may be varied almost to the infinite. For the different sections and subsections may be of any reasonable variety of length and the said sorts of modulation and elaboration may be diversified without end.65

Kollmann's explanation clearly reflects the adaptable nature of eighteenth-century sonata form, and the fact that he, like his contemporary theorists, views sonata form as two-part organization confirms the importance of the harmonic scheme as a principle element of the form.66

According to Ratner, "The two-part division of sonata form arises from its harmonic contour, represented by a movement away from the tonic and then an answering return to it."67 This coincides with the harmonic procedure in the double reprise form.68 The two-part division perceives the dynamic nature of sonata form resulted from its harmonic structure.69 It also reveals that formal structure is directed by

65 Ratner, *Classic music*, 218.
66 Ibid., 220.
67 Ibid., 220.
68 Ibid., 218.
69 Ibid., 220.
harmony and sense of tonality. On the other hand, the three-part plan refers to the thematic structure of sonata form—exposition, development, and recapitulation. This three-part division primarily recognizes sonata form as an order of thematic placements and is rather static.70 (The issue of the fundamental partitioning of sonata form has long been debated since the late eighteenth century, and will not be discussed here.)

Another important writer is the scholar and concert pianist Charles Rosen, who introduced a new look on sonata form in his *The Classical Style* and *Sonata Forms* (1980). Like Ratner, Rosen attempts to describe sonata form in eighteenth-century perspectives. However, he realizes the importance of balancing thematic and harmonic structures.71 The plural title of Rosen's *Sonata forms* immediately engages the reader with openness against generalized preconceptions of sonata form that have endured since the nineteenth century and also implies various possibilities of sonata form. In this book, the eighteenth century is mainly discussed. Rosen asserts that in that period, there is no such thing as sonata form. What really existed in the century was a set of procedures that were used to magnify, articulate, and dramatize short melodic or harmonic patterns in small forms such as binary and ternary forms.72 Briefly, what was to become 'sonata form' in the early nineteenth century was a result of such procedures. Rosen brilliantly shows how it evolved from binary and ternary forms, how sonata style affects eighteenth-century forms, and how different genres borrow elements from each other.

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70 Ratner, *Classic music*, 220.
72 Ibid., 16.
Rosen generally categorizes sonata form into four basic types, ordering them "according to the expressive intensity of the structure."  

1. First-movement sonata form, the standard sonata form which has exposition, development, and recapitulation,  
2. Slow-movement form or sonata without development;  
3. Minuet sonata form, a minuet structure which is influenced by thematic and harmonic treatments of sonata style; and  
4. Finale sonata form or sonata rondo. It is clear that Rosen classifies them based on which movement in a sonata cycle uses them most often. He cautions that First-movement sonata form can be employed anywhere and the Slow-movement form are extensively used in fast opera overtures as well. However, some theorists do not support Rosen's terminology. For instance, James Hepokoski and Warren Darcy argue that what Rosen calls the Slow-movement form is rather a characteristic of Italian opera overture. Such terminology is quite misleading because in fact, unlike the first movement, the second slow movement's form is very optional. It can be structured in a sonata form, ternary, theme and variations, or even sonata rondo. One cannot foresee what type of organization in which it will be until one hears it, and therefore this movement evokes a sense of mystery.

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73 Rosen, *Sonata Forms*, 98.  
74 Ibid.  
75 Ibid., 107.  
76 Hepokoski and Darcy, *Elements of Sonata Theory*, 347.  
77 Ibid., 321.  
78 Ibid.
In *Sonata Forms*, Rosen states that "for the most of the eighteenth century, sonata form does not exist as a separate, clearly definable form."\(^7^9\) In other words, the structural procedure in the first fast movement of the sonata was not regarded as a form like the minuet, the da capo aria, or the rondo.\(^8^0\) Rather, according to Rosen, the form was "a way of writing, a feeling for proportion, direction, and texture rather than a pattern".\(^8^1\) Obviously, Rosen explains how sonata form was perceived in the eighteenth century, and he stresses this idea in both *The Classical Style* and *Sonata Forms*. However, his intellectually penetrating statements can be seen as questionable and may be regarded as simply his own generalizations. According to James Hepokoski and Warren Darcy, even now, "there is no consensus regarding the manner in which sonata form in the decades around 1800 is to be grasped."\(^8^2\) When Mozart sent his Piano Sonata in D major, K. 311, in which the composer "reverses" the thematic order in the recapitulation of the first movement, to a publisher, "...one traditionally minded editor did his best to correct Mozart's missteps by re-composing parts of the work."\(^8^3\) This implies that the essential framework of sonata form and normative sonata practice were already discerned in Mozart's time. Although it is true that sonata form was not clearly and thoroughly described in the eighteenth century, it does not mean that the form was only perceived in

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\(^7^9\) Rosen, *Sonata Forms*, 16.


\(^8^1\) Ibid.

\(^8^2\) Hepokoski and Darcy, *Elements of Sonata Theory*, 3.

the way Rosen described it to be. One must realize that sonata form has been conceptualized in many ways, and it’s essential nature is still an open issue.

One of the most important twentieth-century books on musical form, William E. Caplin's *Classical Form* is a comprehensive treatise that aims "to revive the Formenlehre [teaching of form] tradition by establishing it on more secure and sophisticated foundations." Basing his work on the principles introduced by Schoenberg that were later developed by his student Erwin Ratz, Caplin states that his analytical theory was exclusively devised to explain the music of the high Viennese classical style. Caplin emphasizes the important role of local harmonic progression as an essential element of form, which clearly opposes some analytical methods focused on large-scale or long-range harmonic organization such as that of Heinrich Schenker. Unlike Rather and Newman, who were inspired by eighteenth- and nineteenth-century accounts, Caplin instead sought to develop a modern theory that allows for a free revision of formal issues. This is because, to him, those accounts on musical form "are limited by a rudimentary theory of harmony...and a lack of familiarity with the huge classical repertory..."85

As for the discussion of sonata form, Caplin states that it comprises "three large-scale functions"--exposition, development, and recapitulation--with two additional sections occasionally included--introduction and coda. Like Rosen, the author regards tonic-dominant polarization as a characteristic feature of sonata form, but he also recognizes the variety of tonal expression in the development and the whole movement as well. Caplin discusses in detail both thematic and harmonic treatments in each areas of sonata form and describes formal structures from the most basic level to the whole

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85 Ibid., 5.
structural design. One idea adopted by this essay is that the most initial unit of a classical piece is not a motive, but rather a "gesture" that grows out of a combination of motives. Caplin theorizes that "this basic idea is small enough to group with other ideas into phrases and themes but large enough to be broken down (fragmented) in order to develop its constituent motives."86

Caplin gives a remarkable explanation of antecedent and consequent periods and how each element really functions, which provides insightful analytical considerations to this essay. He also examines harmonic and structural procedures of forms that are often employed in the other three movements of sonata cycle--slow-movement forms, minuet-and-trio form, and Rondo forms.

As recent as the early twenty-first century, James Hepokoski and Warren Darcy introduced a new comprehensive approach to analyzing eighteenth-century sonatas. In their monumental *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century* (2006), essential components of sonata form are thoroughly discussed. Unlike Caplin's *Classical Form*, this work is exclusively focused on late eighteenth-century sonata form. The major aims of Hepokoski and Darcy’s approach are: [1] to examine and interpret choices made by the composer and [2] to “reawaken or re-energize the latent drama, power, wit, and wonder within individual compositions.”87 The authors assert that “…it [sonata form] is a constellation of normative and optional procedures that are flexible in their realization.”88 In composing a sonata movement, a composer was confronted with "options" and had to decide what he was to do in each

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86 Caplin, *Classical Form*, 37.

87 Hepokoski and Darcy, *Elements of Sonata Theory*, 11-12.

88 Ibid., 3.
event of the form. To Hepokoski and Darcy, how a composer made choices reflects the way he would psychologically engage the audience, which depended on many social factors. Options frequently selected, such as a modulation to the major mediant (III) in the exposition of a sonata in a minor key, were not only a norm but also a choice that most composers in many cases made spontaneously. On the other hand, more unusual options such as the use of unusual tonalities, monothematicism, and extension of a particular sub-section required a more conscious decision. These two scholars discuss in great detail almost every possibility that can occur in particular "zones" of sonata form and what effects they might produce.

Like Rosen and other modern scholars, Hepokoski and Darcy recognize the vast variety of thematic, harmonic, and structural organizations utilized in eighteenth-century sonata form. In general, they acknowledge five sonata-form types: [1] Type 1 Sonata (sonata without development), [2] Type 2 Sonata (sonata in which the recapitulation does not "begin" with the first subject), [3] Type 3 Sonata (the standard sonata form with exposition, development, and recapitulation that starts with the first subject), [4] Type 4 (sonata rondo), and [5] Type 5 Sonata (concerto). One of the significant contributions of *Elements of Sonata Theory* is the clear, comprehensive explanation of the Type 2 sonata that surpasses any preceding descriptions and brings about a revision of this sonata type. This benefits this essay tremendously because three movements from Sor's multi-movement sonatas are Type 2 sonatas.

The two scholars raise many terminological issues as well. For example, the term "transition" might be misleading in some instances. According to them, the space that

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89 This issue will be thoroughly discussed in the analyses of the second movement of Sor's Sonata, op. 22 (p. 72-82).
follows the first subject does not always have transitional function. Such terminology results from a stereotype that this zone is a bridge from one key to another. In fact, its actual function depends on the thematic and harmonic processes in a particular work. Some "transitions" do not modulate at all. Some even end with a perfect authentic cadence (P.A.C.) in the tonic, which suggests a closing gesture rather than an expectant one. Such discussion reminds the reader to closely investigate each zone in an individual sonata-form composition and to avoid generalized concepts of normative sonata practice. This is why Elements of Sonata Theory is the prominent analytical model of this essay, and the reader will see in the analyses of Sor's and Giuliani's multi-movement sonatas the actual application of Hepokoski's and Darcy's ideas.

Sonata form has been the permanent interest of scholars and students of eighteenth- and early-nineteenth-century music. It has been conceptualized in various ways throughout the course of its history. Particularly since the early twentieth century, scholars have contrived theories and analytical approaches that vary in terms of analytical perspectives, terminologies, and emphases in order to deal with the adaptability, diverse treatments and possibilities of the form. "This is contested terrain, particularly since the structure serves as a basis of how we conceptualize the Austro-Germanic art-music enterprise stemming from Haydn, Mozart, Beethoven, and Schubert." Even Elements of Sonata Theory, one of the recent comprehensive writings on the form, can still lead to many possibilities for future research. Scholars have sought to describe how sonata form was perceived in the eighteenth century but there is still no universal agreement on this

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90 Hepokoski and Darcy, Elements of Sonata Theory, 93.
91 Ibid.
92 Ibid., 3.
issue yet. However, what most scholars agree on is that what late-eighteenth-century composers experienced was an infinite variety of approaches to what we call "sonata form" rather than a rigid formal structure. Haydn's conceptions of sonata style were certainly different from Beethoven’s. When approaching the eighteenth-century sonata, it is crucial to disregard the concept of an ideal sonata form, since eighteenth-century composers achieved proportion, symmetry, and unity with so many different strategies. This is truly the aesthetic ideal that determined the varied possibilities and treatments of the form.

The Multi-movement Guitar Sonatas of Sor and Giuliani

Throughout the Renaissance and the Baroque, the guitar, like other plucked-stringed instruments, was mostly confined within its own traditions and literatures. In the early nineteenth century, composers of guitar music began to look outward at other musical genres such as the piano sonata, the string quartet, opera, and the symphony. They then sought to create a repertory of works comparable to the great music of their time that had found universal acceptance. Like other guitar composers in this period, Fernando Sor and Mauro Giuliani sought to bring the six-string guitar and its music into a relationship equal to other instruments and the music of the day. This ambition is clearly demonstrated by their serious, idiomatic guitar compositions in an extended form such as the sonata. Thus, the guitar sonatas of Sor and Giuliani marked an important step in the development of guitar music, and showed that music written for guitar could be representative of the most complex musical form of the Classical period.

93 Hepokoski and Darcy, *Elements of Sonata Theory*, 3.

In *The Sonata in the Classic Era*, the scholar Willlaim S. Newman acknowledges Sor's sonatas:

The creative worth of Sor's guitar sonatas is high. The ideas, which grow out of the instrument yet stand up well enough apart from it, are fresh and distinctive. The harmony is skillful and surprisingly varied, with bold key changes and with rich modulations in the development sections. The texture is naturally of interest too, with the melody shifted from top to bottom, to middle, and frequent contrapuntal bits added. Among the extended forms, the first allegro movements still show considerable flexibility in the application of 'sonata form' especially in the larger number of ideas introduced and recalled.  

Sor composed four sonatas for guitar solo: *Grand Solo*, Op. 14, *Sonata*, Op. 15b, *Grande Sonate*, Op. 22, and Deuxième Grande Sonate, Op. 25. The use of a one-movement structure in Op. 14 and 15b is very unusual because sonatas in the nineteenth century are almost all multi-movement works. Like his other major guitar compositions, his sonatas are among the most substantial guitar compositions of the Classical period. They exhibit Sor's mastery of developmental technique and high creativity. Despite the technical difficulties of the guitar in dealing with dramatic key changes, his tonal schemes can be very unusual. His Op. 14, for example, is in D major, but the development starts with a modulation that eventually leads to Db major (Ex. 2.1).

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96 Calvet, "Structure and development in one-movement guitar sonatas of Fernando Sor," 1.
Newman also mentions that Giuliani was admired by Beethoven, and his compositions outstood guitar music of his Viennese contemporaries in terms of melodic and harmonic character, originality, and suitability to the guitar.\textsuperscript{97} Considering his solo guitar music, Giuliani seems to have focused more on variations as a compositional form. He wrote only one multi-movement sonata, Op. 15, and two one-movement works in sonata form, Grand Overture Op. 61 and Sonata Eroica Op. 150. Op. 15 and 61 were written during his extended stay in Vienna (1806 - 1819). In general, the sonata approaches of Sor and Giuliani are different. Yates asserts:

\begin{quote}
In all matters, the stylistic difference between Sor and his Viennese contemporaries is considerable. Whereas Sor's early model was an orchestral one, Viennese guitarists were influenced by the keyboard...In fact, Sor appears to have shared so little with the style of his guitarist contemporaries, that one wonders to what extent he was actually aware of their music.\textsuperscript{98}
\end{quote}

\textsuperscript{97} Newman, \textit{The Sonata in the Classic Era}, 570.

Nevertheless, what they have in common is the effectiveness of their idiomatic writing that results in a musical texture that is suitable for the guitar, and a great variety in expression and sonority.

Despite the importance of Sor and Giuliani's guitar sonatas and significant contributions to the guitar repertory, it is very surprising that there are only a few detailed studies of these works. This shows that their sonatas have been given little scholarly attention. Furthermore, most of the available sources are not directly focused on these sonatas. Thomas Heck's "The Birth of the Classical Guitar and its Cultivation in Vienna, Reflected in the Career and Compositions of Mauro Giuliani (d. 1829)" is a monumental work. Nevertheless, in this work, Heck only mentions briefly Giuliani's multi-movement sonata, op. 15. Scott Morris's "A Study of the Solo Guitar Repertoire of Early Nineteenth Century" examines a great variety of guitar repertory from the period and includes a detailed analysis of Sor's sonata, op. 15b. Christopher P. Calvet's master thesis "Structure and development in one-movement guitar sonatas of Fernando Sor" only discusses Sor's one-movement sonatas such as Op. 14 and Op. 15b. Since they are not related to the multi-movement sonatas of Sor and Giuliani, these works are not discussed here.

William G. Sasser's dissertation "The Guitar Works of Fernando Sor," (1960) a survey of Sor's compositional output, offers only a short discussion on Sor's guitar sonatas. In the analysis of the first movement of Op. 22, Sasser claims that in the exposition, "there are seven definite themes, a rather unusual amount of material for a section of ninety measures." In fact, there are only three themes--the main theme in the tonic key and two subordinate themes in the dominant. Stanley Yates points out that

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"Sasser does not distinguish between a complete thematic statement and its constituent parts, nor between a theme and a transition or a codetta, simply labeling each discreet section 'theme.'" The fact that the main theme is initiated by an introductory gesture could have led Sasser to label this musical unit "theme," but it is merely a part of the main theme. What we call the primary theme, main theme, or the first subject can be structured in many ways, and it often comprises multiple units with different thematic functions.

Sasser fails to realize that the second movement of Sor's Op. 22 is in sonata form, but instead suggests that its structure is ternary with "an asymmetrical design of ABC." This error is quite understandable since the sonata structure Sor employs here is what Hepokoski and Darcy call "Type 2 sonata," a sonata type not thoroughly described until the twenty-first century. Also, Sasser regards the second fast movement of Sor's Op. 25 as a rondo, but it is, like the second movement of Op. 22, a Type 2 sonata. This is likely because a first-subject-based theme occurs in the second subject area of the exposition. However, it is just another subordinate theme because it is in the dominant key; it could only be considered a sonata rondo if it is in the tonic key.

The only extended writing on Sor's guitar sonatas is Stanley Yates' article *Sor's Guitar Sonatas: Form and Style*. In his work, Yates provides detailed analyses of Sor's guitar solo compositions in sonata form such as Op. 14, 15b, 22 and 25, including

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100 Yates, "Sor's Guitar Sonatas: Form and Style," 2.
102 A discussion of this sonata type will be provided in the analysis of the second movement of Sor's Op. 22 (p. 72-82).
Fantaisie, op. 30. In general, Yates provides an insightful stylistic and theoretical analysis of the work, and his historical information facilitates this essay a great deal. However, there are some points in his analysis that are quite questionable.

For example, although Yates realizes that the second movement of Sor's Op. 22 is in a sonata form, he asserts that this movement "takes an uncommon form (at least before Beethoven)." In fact, the formal structure Sor employs here is, again, the "Type 2 sonata," which had been in use since the mid eighteenth century. Similar organization is found in some of C.P.E. Bach's and D. Scarlatti's keyboard sonatas. Some early works of Mozart, such as the Symphony no. 1, K. 16, are also in this type of sonata structure. Yates' assertion is probably due to the fact that in the exposition, the first subject is structured in a small binary form with repetition, a very rare practice. Then, the opening material of the first subject is not restated in the post-developmental area, nor recurs in the coda, creating a sense of formal ambiguity. Such compositional practices are certainly unusual, but the overall formal organization is not.

Based on Hepokoski and Darcy's analytical model, this work presents a new perspective on Sor's and Giuliani's multi-movement sonatas, and provides practical analyses of these works that will facilitate the performer's interpretation. However, it is by no means a definitive writing on these compositions. Music analysis and interpretation are creative processes and always have the potential of arriving at multiple explanations. This essay rather seeks to offer theoretical considerations and demonstrates how these can be utilized in actual performance.

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Chapter 3

METHOD

The purpose of this study is to thoroughly analyze the compositional approaches and structure, and to provide a detail discussion relating to performance practice of the multi-movement guitar sonatas by Sor and Giuliani that will serve as a guide for the performer who is interested in the compositions.

Research questions are as follows:

1. How do Sor and Giuliani approach sonata form?
2. Are there any differences between Sor's and Giuliani's composition approaches?
3. What considerations should modern performers take into account when interpreting the sonatas?

Data Gathering Procedure

The biographic information of Sor and Giuliani are gathered from two following sources: Brian Jeffery's *Fernando Sor: Composer and Guitarist* and Thomas Heck's *Virtuoso Guitarist and Composer*, which are the most comprehensive biographies of these composers. In Jeffery's book, brief historical backgrounds and discussions of Sor's works are chronologically included along with the biography. It also contains a complete catalog, dates of editions, and publisher of Sor's compositions as well.

Heck's biography of Giuliani is based on his monumental dissertation "The Birth of the Classical Guitar and Its Cultivation in Vienna, Reflected in the Career and Composition of Mauro Giuliani (d. 1829)," which provides most accurate biographical information of the composer. His book does not contain a catalog and brief historical
backgrounds, but it has sections on Giuliani's contributions as a guitar composer, and overviews of compositional genres that Giuliani demonstrated.

Analyses

The primary aims of the analytical section are [1] to provide detailed formal and harmonic analyses of the sonatas; [2] to demonstrate how Sor and Giuliani approach sonata form, and [3] to serve as a basis for actual performance. The principle analytical model of the analyses of Sor and Giuliani's multi-movement sonata is James Hepokoski and Warren Darcy's *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (2006), which is the most recent comprehensive writing on sonata form. The section will focus on structures, functions of themes and motifs, and harmonic organizations. It will reveal dramatic events of form that need to be articulated in performance and the ways these composers engage the audience.

The editions used for full analysis will be taken from Anthony Glise's *Complete Sonatas of Sor Giuliani, & Diabelli*, the first collection of great sonatas from the early nineteenth century, published in 1998. It contains all original versions of the sonatas. Although these sonatas were published by different publishers, the original editions are quite similar. The original editions of the Rondo from Sonata Op. 22 have a repetition scheme that drastically differs from modern editions. In this essay, the interpretation will be based on the analysis of the structural functions of repeat signs and the repeat conventions of the late eighteenth century.
Performance Guide

The purpose of the discussion on performance practice in the sonatas of Sor and Giuliani is mainly to provide the performer aesthetic and theoretical considerations for interpretation. Dynamics, phrasings, and articulations are to be informed by the understandings of structures, harmonic procedures, and functions and characters of themes. Ornamentations and manners of performances are generally based on the examination of contemporary and modern sources.

Organization of the Study

Chapter 1 provides brief overviews of the guitar in the early nineteenth century, Fernando Sor's and Mauro Giuliani's backgrounds, and the significance of their sonatas. Chapter 2 reviews selected writings on sonata form and the multi-movement sonatas composed by the two guitarist-composers. Chapter 3 discusses the methodology of this study. Chapter 4 is concerned with a brief history of the origin of the six-string guitar and the biographies of Sor and Giuliani. Chapter 5 focuses on the full analyses of the sonatas, including a comparison of their sonata style. Chapter 6 deals with performance practice of these compositions. Chapter 7, the last chapter, provides final remarks of the study.
Chapter 4

THE EMERGENCE OF THE SIX-STRING GUITAR AND BIOGRAPHIES OF FERNANDO SOR AND MAURO GUILIANI

The Emergence of the Six-string Guitar

The late eighteenth century witnessed the birth and rapid development of the six-string guitar. Toward the end of the century, the five-course\textsuperscript{104} Baroque guitar underwent a series of constructional changes that led to the emergence of the new instrument. Major changes of the guitar in this period took place in two main areas: [1] construction, and [2] notation system.

The appearance of the six-string guitar marked significant changes in guitar music. According to Liew, "the style and music of the Baroque [five-course] guitar was developed concomitantly with general trend of the late Baroque."\textsuperscript{105} In general, the characteristics of Baroque guitar music were rich polyphony, idiomatic sonority, and virtuosic writing. The unique timbre and resonance of the five-course guitar resulted from its tunings and the use of courses, or double strings. One of the tuning methods of the instrument was re-entrant tuning. It is a tuning in which a lower string is pitched higher than a higher string, as illustrated by Ex. 4.1.

\textsuperscript{104} A course denotes a set of double strings.

\textsuperscript{105} Liew, "The Guitar Chamber from 1780 to 1830--Its style and Structure," 12.
Example 4.1. Spanish tuning used by Gaspar Sanz in the seventeenth century

Re-entrant tuning was used to achieve a special effect called Campanella (little bell) which is a way of playing successive notes on different courses, especially on open courses, to create harp- or bell-like effect of notes ringing over the succeeding ones.

"Tuned re-entranently, the guitar is an alto or tenor range instrument, which, unlike the modern guitar or the lute, has no bass notes to speak of."\textsuperscript{106} A large number of compositions from the Baroque guitar repertoire called for this type of tuning. It truly distinguished the five-course guitar from other contemporary plucked string instruments.

However, changes in musical style resulted in the light and graceful Style Galant, where simple and tuneful melodies usually prevailed over arpeggiated chord accompaniment. Strong bass notes, which were usually the roots of chords, tended to occur on the downbeat. The effect of the new Classical style on the transformation of the guitar is noted in Jame Tyler's \textit{The Early Guitar}:

The Development of the new styles--the Rococo and the Classical--with their simpler but stricter handling of chords, more efficient progressions (or modulations), and regularization of phrasing supported by key structure meant that the guitar, too, had to become a straight-forwardly tuned instrument. It was no accident that around 1750, the guitar changed completely into an instrument.

\textsuperscript{106} Jame Tyler, \textit{The Early Guitar}, vol. 4 of \textit{Early Music Series} (London: Oxford University Press, 1980), 53.
with bourdons\textsuperscript{107} on the fourth and the fifth courses, and, later, to a six-course instrument. The bourdon tuning...was nothing new; but, whereas previously it was the exception in art music, it now became the rule.\textsuperscript{108}

The new musical styles led to the evolution of many instruments during this period. For example, the pianoforte showed great improvement in terms of dynamic range over the harpsichord. The most significant constructional changes of the guitar that took place in approximately the last quarter of the eighteenth century were the addition of the sixth string and the abandonment of courses in favor of single strings.\textsuperscript{109}

The six-string guitar was the fruit of combined efforts of makers in centers such as France, Spain, and Italy. Therefore, it did not claim a single line of development. According to Harvey Turnbull, "there is evidence that in some centres the five-course guitar acquired a further course before the strings became single, while in others it appears that the five-course instrument lost its double string before the sixth string was added."\textsuperscript{110} For example, in mid-eighteenth-century Spain, the guitar was played in humble places of Spanish society such as bars, streets, and barbers' shops. Since it was played in such noisy places, the guitar was usually strummed forcefully, a style called '\textit{musica ruidosa}', noisy music, which was considered rather crude by foreign guitarists.\textsuperscript{111} Spanish guitarists tended to use bourdons on the fourth and the fifth course to produce

\begin{footnotes}
\item[107] Bass strings
\item[108] Tyler, \textit{The Early Guitar}, 53.
\item[109] Liew, "The Guitar Chamber from 1780 to 1830--Its style and Structure," 6.
\item[110] Turnbull, \textit{The Guitar from the Renaissance to the Present Day}, 62.
\item[111] Tyler and Sparks, \textit{The Guitar and Its Music from the Renaissance to the Classical Era}, 194.
\end{footnotes}
strong bass notes that suit their manner of strumming. This may explain why the sixth course was added in Spain much earlier than it was in the rest of Europe.\textsuperscript{112}

Six-course guitars already existed during the period of the five-course guitar. However, the added sixth course was not a perfect fourth below the fifth course. An early use of a six-course guitar is found in Joseph Friedrich Bernhardt Caspar Majer's \textit{Neu-eröffneter Theoretischer und Praktischer Music-Saal}, published in 1741. Here, the sixth course is pitched a perfect fifth below the fifth course. "Six-course guitars with such an extended tuning became established in Spain at some time before 1780."\textsuperscript{113} Later, Federico Moretti's treatise for guitar \textit{Principios para tocar la guitarra de seis ordenes}, published in 1799, states that by this time, guitars with six single strings were already in use in Italy and France. By the early nineteenth century, six-string guitars became standard in Spain.

The major reasons for the use of single strings instead of courses were for clarity and practical purposes. A. Lemoine’s comment in his \textit{Nouvelle Methode} (1790) clearly demonstrates problems of the five-course guitar:

With this method it is rare to play accurately (juste) and to hear the harmony in all its purity, as [the sound of] the two strings [of the lower course, tuned at the octave] strike the ear in such a way that the higher sounds are heard before the lower...Besides...one can rarely find strings for the unison g's and b's that are the same size and perfectly true.\textsuperscript{114}

\textsuperscript{112} Tyler and Sparks, \textit{The Guitar and Its Music from the Renaissance to the Classical Era}, 194.

\textsuperscript{113} Turnbull, \textit{The Guitar from the Renaissance to the Present Day}, 63.

\textsuperscript{114} Ibid.
The use of single strings provided greater clarity of harmony and chords on the guitar. This change was obviously made to suit the musical taste toward clarity in the classical period. Also, it made the guitar easier to tune.

The addition of the sixth string enabled the guitar to handle important chords more fully and effectively. Thomas Heck remarks:

Was this not the minimum improvement necessary to achieve the roots I, IV, and V in the lowest string [in several keys], which at the same time allowing for triadic and ornamental use of the upper string? The lower E completed the double-octave with the first string, e', as well, thereby giving the classical guitar a kind of perfection which the five-course baroque guitar had resisted for two hundred years.  

Undoubtedly, the six-string guitar was made to suit the musical style of its time. In the early nineteenth century, its general features were [1] an increased body size; [2] a longer string length; [3] a total of 14 to 18 frets, and [4] steadier construction. "These constructional improvements proved so successful that subsequent changes have altered the instrument's tone and volume only slightly."  

Another important change in guitar music that took place approximately in the second half of the nineteenth century is the use of conventional staff notation instead of tablature, a notation system used in all music for plucked fretted instruments since the Renaissance. Tablature is a form of notation in which horizontal lines are used to represent strings. Numbers or letters on each line indicated the fret to be stopped, and rhythms are notated above the tablature. The following is an example of Italian tablature:

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115 Thomas Heck, "The Birth of the Classical Guitar and Its Cultivation in Vienna, Reflected in the Career and Composition of Mauro Giuliani (d. 1829)" (PhD diss., Yale University, 1970), 40.

116 The number of frets on the five-course guitar ranges from 8 to 12.

One of the benefits of the tablature is that it facilitates reading music with a re-entrant tuning, which is common in Baroque guitar music. Along with the evolution of the six-string guitar is that the re-entrant tunings gradually disappeared while the use of standard tuning became norm. Due to this, tablature gradually came to be used rarely.\footnote{Tyler and Sparks, \textit{The Guitar and Its music from the Renaissance to the Classical Era}, 201.} The abandonment of tablature in favor of staff notation was probably started in Italy.\footnote{Ibid.} However, the first publication of guitar music using staff notation was Giacomo Merci's \textit{Guide des ecoliers de guitarre}, which was published in Paris in 1761. It was still music for five-course guitar and its date suggests that this change took place before the emergence of the six-string guitar. In this book, Merci's comment on tablature reflects his negative view toward the system:

\begin{quote}
I believe that this is an abuse, and I shall prove it by the following reasons. Those who only know the tablature cannot truly play, and accompany by routine and without balance. Those who use tablature successfully were good musicians before they learned it, and had no need of it. These reasons have led me to suppress its use in my work. If someone objects that it is necessary to mark [left hand] positions, I would respond that the violin, the cello, etc. never use tablature, and that the guitar has less need [to do so] than them because it has frets. As with
\end{quote}
other instruments, all that is necessary for success is the application of a good method; I have neglected nothing to render mine easy, clear, and agreeable.\footnote{Tyler and Sparks, \textit{The Guitar and Its music from the Renaissance to the Classical Era}, 201.}

Tablature had limited the widespread use of guitar in serious music for a long time. The popularity of the instrument considerably increased after its new notational system was employed.\footnote{Liew, "The Guitar Chamber from 1780 to 1830--Its style and Structure," 12.} With the use of staff notation, the guitar was no longer confined to its own literature. Liew clearly describes the benefits of staff notation in his dissertation \textit{The Guitar Trio from 1780 to 1830--Its Style and Structure}:\footnote{Ibid., 11.}

The conventional mensural system...has the crucial advantage of being in concordance with the prevalent ideas of clarity and universality. It gives a clearer picture of what is being played, especially in terms of keys and tonal areas, voice-leading, and counterpoint.\footnote{Ibid., 10.}

"This change reflects the movement toward integrating the instrument into the mainstream of musical development."\footnote{Ibid., 12.} However, it does not mean that this change suddenly convinced major composers to write music for the guitar, but certainly, it gave the six-string guitar the potential for further growth and universal acknowledgement in the musical world.
Fernando Sor

The birth date of Fernando Sor is unknown. He was baptized in Barcelona Cathedral (La Seu) on 14 February 1778 with the name ‘Joseph Fernando Macari Sors’. He was the first son of Joan Sor, official in the administration of roads, and Isabel Muntada. The composer’s parents expected him to pursue a military or administrative career. His father did not provide him with musical training because he was afraid that it would distract Sor from his Latin study. However, his father still took him to Italian opera and allowed him to play guitar and violin. Sor started to compose songs to words in Latin and wrote music using the system he invented. As a child, he set a trio from the opera Giulio Sabino by Sarti for his father, his mother and himself. This trio grasped the attention of musicians in the city and, eventually, the leader of the orchestra of Barcelona Cathedral came to know Sor and began to teach him music.

Due to the death of his father, his mother could not support his musical training. However, Josef Arredondo, the new abbot of Montserrat, heard of Sor’s musical talents and wanted to bring him into the choir school of the monastery. His mother accepted the offer and took him to Montserrat. Sor entered that monastery approximately in 1789 or 1790 when he was eleven or twelve years old. Aside from training in sacred music, Sor was also exposed to the music of Haydn played in the monastery and French music through the French clergy who had fled from the French Revolution and had sought refuge there.\(^{124}\)

When Sor was about seventeen or eighteen years old, his mother wanted him to pursue a military career and decided to take him from Montserrat. Sor returned to Barcelona and was later commissioned as a sub-lieutenant in the ‘corps de Villa franca’,

\(^{124}\) Jeffery, *Fernando Sor: Composer and Guitarist*, 14.
located near the city. Army musicians were considered to be honorable in the Spanish army. Sor was promoted to full lieutenant largely through his performance on guitar and piano.

At Barcelona, he began to take the guitar seriously. What inspired him was the guitar music of Federico Moretti, Italian guitarist, composer and soldier who served in the Royal Walloon guards of the queen of Spain. Moretti’s music made Sor realize the capabilities of the guitar in dealing with complex music and a greater variety of texture. In addition, his music was also clearly notated; different parts were separated with precise signs of note values. Before Moretti’s time, guitar music had not been written with such clarity. He set a new standard of guitar music notation in Spain. With the legacy of Moretti, the next generation of composer-guitarists such as Sor, Dionisio Aguado and Mauro Giuliani would tremendously elevate the status of the guitar and expand the scope of solo possibilities on the instrument. This Italian composer-guitarist exerted a strong influence on Sor, who later regarded Moretti as “the torch which should serve to illuminate the faltering steps of guitarists.”

The musical life in Barcelona was dominated by Italian opera. Sor was exposed to it from his youth and his interest in this genre continued as he grew older. Sor found an old libretto, Telemaco, opera in due atti, in the library of Caetano Gispert, the godfather of his brother Carlos and administrator at the opera house Teatro Principal. He decided to try his hand at composing an opera on the text. He showed some portions of the work

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125 Jeffery, Fernando Sor: Composer and Guitarist, 15.

126 Tyler and Sparks, The Guitar and Its music from the Renaissance to the Classical Era, 233.

127 Jeffery, Fernando Sor: Composer and Guitarist, 15.

128 Ibid., 17.
to Gispert, who later introduced it to Antonio Tozzi, Italian composer and director of an Italian troupe in residence at the opera house. Tozzi wanted to perform it and suggested to Sor, who was at that time seventeen years old, to add an overture to the opera. His *Il Telemanco nell'Isola di Calipso* was premiered at Teatro Principal on 25 August 1797. The opera had fifteen performances in the 1797-1798 season and was a success.

In 1799, Sor moved to Madrid and came under the patronage of Duchess of Alba, who was also the patroness of the great Spanish painter Francis Goya. However, after the death of the Duchess in 1802, he was left without support. The Duke of Medinaceli offered Sor a position in the administration of his estates in Catalanian. In general, his life during the years 1802 to 1808 had been characterized by freedom and light duties. In this period Sor composed symphonies, string quartets, a motet, boleros and seguidillas boleras for voice with guitar or piano accompaniment, the Grand Solo op.14, and guitar sonatas op.15 and op.22. In 1804 he visited Madrid and then moved to Andalucía. There, he was head of a small royal office. This sinecure allowed him to spend much of his time in Malaga, where he occupied himself with music. Here, he directed a series of concerts for an American Consul William Kirkpatrik. His four years in Malaga seem to have been prosperous and peaceful. However, upcoming political events would considerably change his life.

In 1808, Napoleon took advantage of political instability in the Bourbon dynasty and invaded Spain. This period of horrors, war, starvation, and sieges was to last for six years. After expelling the royal family, Napoleon installed his brother, Joseph Bonaparte, on the throne. Sor, a contemporary of Goya, took part in politics by composing some patriotic songs criticizing the French, which were among the most popular ones. As a
soldier, he joined the Cordovan Volunteers with the rank of captain in 1808. Brian Jeffery suggests that Sor might have fought against the French with the Volunteers in 1809. However, the Spanish efforts could not prevent the French advance and in January 1810, Cordoba was occupied. Eventually, Napoleon's army took over the whole of Spain except for Cadiz.

Although Sor had fought and composed patriotic songs against the French, he later came to believe in Joseph’s power and defected to the French army. To some Spaniards, Napoleon's army was not a mere invader; it represented the ideals of the French Revolution to some extent.129 “Many, looking at their own inept and corrupt government, chose to accept the occupation.”130 They were later called "afrancesados," which means Francophiles or persons who admire France.

Sor moved to Jerez in 1810. He worked there as commissary of police, and served in the French service for two years. However, in 1813 the French were forced to leave Spain. Due to his connection with the French, Sor inevitably left Spain as well. It was the right decision because Fernando VII, the new king, would immediately retaliate against the afrancesados.

By the time he left for Paris in 1813, Sor’s reputation as a composer in the city had already been established through publications of his works. No music composed by Sor was published in Spain before he left the country in 1813.131 However, Circa 1810-1814, the earliest known editions of his guitar music were published in France in Journal de Musique Etrangere pour la Guitare ou Lyre by Salvador Castro. Two sonatas for

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129 Jeffery, *Fernando Sor: Composer and Guitarist*, 22.

130 Ibid.

131 Ibid., 36.
guitar were included in one of these editions: the earliest known version of Sonata op. 14, the *Grand Solo*, and a sonata later known as op. 15.

Sor remained in Paris for two years. In addition to publishing his guitar compositions, he also wanted to compose operas. However, the style of Italian opera that Sor was familiar with did not suit the taste of the French theaters.  

132 It is possible that due to this, Sor chose to establish himself as a guitar teacher and composer. In 1815, he wrote a letter to the Duke of Fleury to apply for a vacant position in the Royal Chapel of Louis XVIII. It is not known how the Duke replied, but it seems to have been unsuccessful, which may have led Sor to move to London in the same year.

Sor lived in London from 1815 to 1823. These years are considered one of the most successful periods in his life. Here, his career as a concert guitarist brought him tremendous fame. He was featured in the same concert given by great performers such as Pierre Baillot, the last great player of the French classical school of violin playing, and the great flutist Louis Drouet. In 1817, Sor performed in the most prestigious concert of his life: the Third Concert of the 1817 season of the Philharmonic Society. "This Society was without any doubt the principal concert-giving organization in London at this period, even commissioning works from Beethoven."  

133 In this concert, he performed his Concertante for guitar and strings with the famous violinist Paolo Spagnoletti and the first great English cellist Robert Lindley. The performance and the work itself were highly praised by many newspapers. However, the Concertante seems to have existed only in manuscript and has not survived. As a result of Sor's presence in London and his

132 Jeffery, *Fernando Sor: Composer and Guitarist*, 43.

133 Ibid., 52.
concerts, the interest in the guitar as a solo instrument was considerably increased in the city.\textsuperscript{134} The \textit{Harmonicon} wrote in March 1824:

\begin{quote}
Amongst the once favoured musical instruments, now for some time neglected, and coming into practice again, is the guitar. To the exquisite and wonderful performances of M. Sor this may be attributed, he makes the instrument "speak so sweetly, and so well," that hundreds fly to "strike the chorded shell," who never before dreamt of what it was capable of producing.\textsuperscript{135}
\end{quote}

In addition to giving guitar recitals, Sor also composed some piano compositions, vocal music and ballets. Today, he is mostly regarded as a guitar composer, but during his years in London his vocal music earned a great deal of popularity from the public as much as his guitar music. He even sang in a public concert in 1819 and gave singing lessons. According to Jeffery, Sor wrote a treatise on singing, which has since disappeared, and began to create his own singing method. His pedagogical interest would later lead to \textit{Methode pour la Guitare} of 1830, which is one of his most significant contributions to the guitar.

In 1822, Sor's ballet \textit{Cendrillon} was premiered at the King's Theater. This ballet was his most successful work in his days. "It was later put on at the Paris Opera on March 3, 1830, where it was also a success and ran for 104 performances, one of the very few works to achieve more than 100 performances at the Paris Opera. After his triumphant success with \textit{Cendrillon} in London, his works were constantly published and his status in the city was even higher. However, despite his established fame, he left London in 1823.

\begin{footnotes}
\item\textsuperscript{134} Jeffery, \textit{Fernando Sor: Composer and Guitarist}, 71.
\item\textsuperscript{135} Ibid.
\end{footnotes}
The reason was that he married Felicite Hullin, a leading ballet dancer. She was offered a position of prima ballerina at the Moscow Ballet and Sor moved with her.

Sor continued his career as a guitarist and composer in Moscow. In 1824, he appeared with John Field in a concert attended by the royal family. His ballets *Alphonse et Leonore* and *Cendrillon* were produced there and in 1826, his funeral march was performed in the funeral ceremony of Tsar Alexander at St. Petersburg. After that, his new ballet *Hercule et Omphale*, regarded as one of his important works, was given as a part of the coronation celebrations of Tsar Nicholas. It was choreographed by Felicite Hullin herself.

Approximately in late 1826, Sor returned to Paris and remained there until his death in 1839. He became associated with Dionisio Aguado, the great Spanish guitarist and composer. They were close friends and Sor dedicated his duo *Les Deux Amis* ('The Two Friends') op. 41 to him. During this last period he devoted himself to the guitar and the teaching of this instrument. In 1830, Sor published The *Methode pour la Guitare*. It is a very extended and effective pedagogical work. In the preface to the *Methode*, Sor points out that "the guitar is an instrument of harmony, not merely of melody, and that as such it is capable of performing much more than a sequence of chords for accompaniment." This idea is clearly reflected in the treatise. Jeffery calls it "...a profound work, written by

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136 Felicite Hullin was not Sor's first wife. The information on his first wife remains mysterious and not even her name is known to us. She died but their daughter, Caroline, born between 1814 and 1817, survived and accompanied Sor to London, Russia and lived with him in Paris.

137 Jeffery, *Fernando Sor: Composer and Guitarist*, 100.
a man who had spent his life in music as a whole and not merely in the limited corner of it that is the guitar.”

Sor also wrote sets of studies. There are five books, op. 6, 29, 31, 35, 44 and 60. The first, now known as op. 6, was composed and first published in London ca. 1815 to 1817. Sor completed the rest during his last years in Paris. These pedagogical works are the repertory of every serious student of the guitar.

In 1837 Sor's daughter, Caroline Sor, died. She was a talented young harpist and painter. Her death brought the greatest grief to Sor. In the next year, as a result of tongue cancer, he could hardly speak. A report written by Eusebio Font y Moresco, who visited Sor in the last year of his life, describes how deeply Sor mourned over the death of his daughter. He died on 10 July 1839 and was buried in the Cimetiere Montmartre.

Mauro Giuliani

Mauro Giuliani was born in Bisceglie, a small Italian town located in the south of Italy, on July 17, 1781. Little is known about his childhood. He was raised in Barletta, a town on the Adriatic coast. Marco Riboni's research on Mauro Giuliani (1781 - 1829): Profilo Biografico-critico ed Enalisi delle Trascrizioni per Chitara exerts that in Barletta, there was an opera house Teatro S. Ferdinando built in 1745 to 1758, which had a core orchestra consisting of sixteen musicians. Riboni speculates that the young Giuliani must have had some degree of musical training in the city. According to Filippo Isnardi, Giuliani's first biographer, the young Giuliani studied counterpoint and also tried his hand at composition; he composed a mass, still to be discovered, that was very

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138 Jeffery, Fernando Sor: Composer and Guitarist, 100.
139 Heck, Mauro Giuliani: Virtuoso Guitarist and Composer, 17.
140 Ibid.
successful.\textsuperscript{141} At the age of eighteen, Giuliani was already an accomplished guitarist and cellist.

Despite his early marriage to Maria Giuseppa del Monaco (before 1801), Giuliani always sought better musical training and opportunity elsewhere. Thomas Heck suggests that there had been for centuries the royal highway Real Camino di Puglia that connected the southern Italian cities to the north and the city of Bari, where the famous shrine of Saint Nicholas is located.\textsuperscript{142} The composer's eagerness to travel must have been stimulated by stories he heard from pilgrims and travelers about the larger and wealthier cities to the north.\textsuperscript{143} It was not clearly known where he had been before he arrived in Vienna in 1806. However, a concert announcement in L'Osservatore triestino of September 5, 1803 shows that at some point he was in Trieste:

Your servant the Neapolitan Mauro Giuliano, Professor of the guitar, the violoncello, and the harp-guitar with 30 strings, having arrived in the most respectable city and free-port of Trieste, wishes to give an Accademia consisting of two parts. In the first, after the overture, he will present a concerto with many variations, trusting that with the encouragement of the honorable audience he should be able to perform his modest feats with even greater spirit.

The Accademia will be given on the evening of Wednesday the 7th [September 1803] in the public hall at 6:30 pm, so that it can conclude before the beginning of the theatrical presentation...

Trieste, this 5th day of September 1803.\textsuperscript{144}

Heck also points out that it is very likely that Giuliani was in Naples, the music capital of Southern Italy, before he came to this city because here Giuliani regards himself as Neapolitan.\textsuperscript{145}

\textsuperscript{141} Heck, \textit{Mauro Giuliani: Virtuoso Guitarist and Composer}, 18.

\textsuperscript{142} Ibid., 18-19.

\textsuperscript{143} Ibid., 19.

\textsuperscript{144} Ibid., 26.
In Giuliani's time, Italy does not seem to have been a favorable home for guitarists. In the latter part of eighteenth century and early nineteenth century, a great number of Italian guitarists emigrated from Italy and sought livelihood elsewhere, such as Ferderico Moretti in Madrid, Ferdinando Carulli and Matteo Carcassi in Paris. According to Thomas Heck, the emigration of Italian guitarists was due to economic and political reasons.

In the Italian Peninsula, the guitar, although very popular, was widely regarded as an instrument for vocal accompaniment and instrumental ensemble. Italian theaters were not acoustically suited for solo guitar performance because of the quiet dynamics of the instrument. The overwhelming popularity of Italian opera in the region also overshadowed any other kinds of musical genres. In Venice alone, according to the report of the famous Charles Burney, there were seven opera houses, three seria and four comic, and the former houses were crowded every night. The only type of instrumental music Italian composers cultivated in the early nineteenth century was opera overture. A letter from Giuliani to the publisher Domenico Artaria, written from Venice in November 1819, shows that even Paganini himself did not make any profit in some Italian cities. Furthermore, there was a scarcity of Italian competent publishers. Therefore, Italian guitarists who considered themselves primarily soloists must have had difficulty seeking employment, patronage, performance opportunities, and appreciation for their music.

Another factor for the immigration of Italian guitarists was political instability in early-nineteenth-century Italy caused by political uprising, war, and Napoleon's activities.

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146 Ibid., 24.
147 Ibid., 100.
in the north. For example, in 1799, an army of Neapolitan peasants and homeless idlers led by Cardinal Fabrizio Ruffo and the English fleet of Lord Nelson captured Naples, which was under Napoleon's influence. The incident was followed by a massacre of Neapolitan aristocrats and the collapse of social order. Music conservatories were forced to close and the cultural aspects of the city must have come to a stop. Undoubtedly, these must have been the major reasons for Giuliani and many Italian guitarists to leave the Peninsula.

In 1806, Giuliani moved in Vienna. It was a city where every form of intellectual entertainment, especially music, flourished. Vienna provided interested audiences, amateurs in search of private lessons, patronage, publishers and appreciation for every kind of music. The city attracted musicians from all over Europe, from Italy and German, to Scandinavia and Eastern Europe. After his arrival in Vienna, Giuliani started to gain fame and success through his guitar performances, which were highly praised by the public and newspapers.

Giuliani’s career in Vienna gradually grew through the favorable concert reviews he received. His performances had been consistently reported in Allgemeine Musikalische Zeitung, the leading German music periodical. The following is the first surviving report in the journal, which dates from October 21, 1807:

Among the very numerous guitarists here one Giuliani is having great success, even creating quite a sensation, as much as by his compositions for the instrument as by his playing. He truly handles the guitar with unusual grace, skill, and power.148

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148 Heck, Mauro Giuliani: Virtuoso Guitarist and Composer, 38.
By the time this report came out, Giuliani had already published his Variations, Op. 2 and Three Rondos, Op. 3. Both were well received. These certainly were solid beginnings for Giuliani’s career as a guitarist-composer in the city.

Before long, Giuliani came to be regarded as the most prominent guitarist in the city. In 1808, he was reported to be in the group of Vienna’s foremost musicians such as Beethoven, Salieri, Hummel, Conradin Kreutzer, and Franz Clement who participated in a concert commemorating Haydn’s approaching seventy-sixth birthday.\(^\text{149}\) In the same year, Giuliani is also mentioned in the article *Survey of the Present State of Music in Vienna*, published in *Vaterländische Blätte* on May 31, 1808. It lists the names of Künstler (professional artists) and Dilettanten (amateurs). Beethoven, Hummel, and Czerny are in the pianist category. The guitar section is as follow:

**KUNSTLER**

Herr Mauro Giuliani has brought this instrument to a height which never would have been thought possible before him. Only with him does one forget that [the guitar], according to its nature, is intended for the accompaniment of a voice, or of some instrument, and that it loses it essential character when it attempts solos, sonatas, or concertos...\(^\text{150}\)

This testimony clearly shows that Giuliani successfully elevated the status of the guitar as a solo instrument in Vienna.

A great number of Giuliani’s guitar compositions such as the Sonata, Op. 15 and Grand overture, Op. 61 were published in Vienna. His first Concerto, op. 30 appeared in print in 1810. Its premier in 1808 considerably surprised the audience because the guitar


\(^{150}\) Ibid., 40.
was generally regarded as an instrument for accompaniment. It is one of Giuliani's finest compositions. In this concerto, to make the guitar audible, the composer employs the solo-tutti principle, as seen in the Baroque concerto grosso. "Giuliani knew how to limit the orchestral accompaniment to very soft, subdued use of the strings when the guitar would play." It is a fine model for composers who want to try their hands with this genre.

In 1813, an entrepreneur Johann Nepomuk Maelzel decided to organize one of the most prestigious concerts in Vienna to celebrate the Victory of Sir Wellington over the French in Vitoria. It took place on December 8 and 12, 1813 and the program consisted of the premier of Beethoven's Seventh Symphony, two marches for trumpet and orchestra, and Wellingtons Sieg bei Vittoria. The best artists of the city, including Giuliani, were assembled to play in this special occasion. What instrument he might have played in the orchestra is not known for certain, but, according to Heck, since Giuliani was also an accomplished cellist, it was probably the cello.

Giuliani's career in Vienna reached its peak in 1814. By this time, he was already considered one of the musical elites of the city. In 1815, Count Franz Palfy, an influential Viennese aristocrat who was Giuliani's student, invited him to perform in the botanical gardens in Schönbrunn Palace. The other musicians included Mocheles, Mayseder, Merck, and Hummel and the Empress Marie-Louise and Archduke Rudolph were in the audience.

151 Heck, Mauro Giuliani: Virtuoso Guitarist and Composer, 40.
152 Ibid., 162.
In the next year, Giuliani participated in a concert in Carlsbad, a Czech town. Interestingly, there is a review of the concert in the *Koniglicher kaiserliche privilegire Prager Zeitung*, dated August 29, 1816, written by Carl Maria von Weber, who was a music critic of the journal:

> Among the many enjoyable evenings of music during the past summer special mention should be made of that given in the Sachsicher Saal by Herr Mocheles, the popular pianist from Vienna.
> This young artist already has an exceptionally high reputation here, and his performance certainly bore this out…
> The universally acclaimed master of the guitar, Herr Giuliani, also contributed to the enjoyment of the evening by performing a brilliant potpourri of his own. This both confirmed his reputation and delighted his audience.  

In September 1816, Giuliani gave another recital in Prague. It was a monumental occasion: Giuliani performed his guitar concerto, possibly Op. 30, with orchestra conducted by Weber himself. Weber, who must have thoroughly known the work, wrote of Giuliani highly:

> On 6 September the great and universally acknowledged guitarist Herr Mauro Giuliani gave a concert in the Redoutensaal. Our expectations were high, thanks to the artist’s reputation which had preceded him; but it is impossible to deny that Herr Giuliani’s performance not only fulfilled but exceeded them.
> The guitar is the most meager and unrewarding of all concert instruments, but his playing was marked by such agility, a control and a delicacy that he often achieved a real cantabile, much to our delight and admiration. The present writer enjoyed most of all the concerto, which may well be the most idiomatic and well written of all concertos for this instrument. The musical ideas themselves are attractive and well arranged, and the instrumentation, in particular, is cleverly designed to ensure that the instrument is as prominent and effective as possible…

These writings by Weber are valuable contemporary sources that confirm Giuliani’s prominence both as guitar and composer, and his international reputation.

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154 Ibid., 74.
Giuliani’s years in Vienna were certainly the most successful period of his career. He brought the guitar cultivation in the city to a new high. His virtuosity dazzled the public and promoted the capacity of the guitar as a solo instrument. His music provided the finest examples of effective, creative idiomatic writing and musical texture that best suit the guitar, and also set a new standard of guitar music in the early nineteenth century. The preface to a guitar method written by Simon Molitor and Wilhelm Klinghenbrunner reflects a great deal of respect that other guitarists had for Giuliani:

Then (late in 1806) Herr Mauro Giuliani, a Neapolitan, came to us—a man who had been led early in the right direction through a correct sense of harmony, and who, as an accomplished virtuoso, combined with the most correct performance of the greatest perfection of technique and of taste. He began to right in a new manner here, and during his extended stay he has already presented us with a series of charming compositions which may all be regarded as models of good style. Through his teaching and the competition he has aroused among the teachers and lovers of the instrument, he has formed for us so many outstanding amateurs, that there could scarcely be another place where authentic guitar-playing is so widely practiced as here in our Vienna.155

Around the beginning of 1819, despite his successful performances and a large number of his compositions published in Vienna, Giuliani started to have financial difficulties. The reasons are not clearly known, and in summer of 1819 the police confiscated his household properties and auctioned them. He then left Vienna and traveled to Venice and wrote a letter to Dominico Artaria, one of his publishers in November 1819. The letter reveals the condition of his life in Venice, his plans, and his health and financial problems. He visited his parents in Trieste and then moved to Rome in 1820. As previously mentioned, the musical scene in early-nineteenth-century Italy was dominated by Italian opera. Although it must have been difficult for Giuliani to

155 Heck, Mauro Giuliani: Virtuoso Guitarist and Composer, 32.
establish himself as well as the guitar and its music, he still continued to give recitals and sought to have his compositions published.

In Rome, Giuliani met Paganini and Rossini and became friends with the two masters. According to Vita di Niccolo Paganini, an early biography of Paganini written by Gian Carlo Conestabile, "...They [Paganini and Giuliani] were always in the company of the great Pesarese [Rossini], the one playing guitar, the other the violin--the two sublime geniuses of Italian art, namely Giuliani and Paganini..."\(^{156}\) Rossini also shared unpublished music with Giuliani, which suggests their close relationship.

Giuliani's significant compositions published during his years in Rome were the first three *La Rossiniana*, Op. 119 -121, which were inspired by Rossini's music. They are a series of operatic fantasies based on tunes from Rossini's operas. Op. 119 one was published in 1821 by Artaria in Vienna. The next two were published by the same publisher in 1822 and 1823.

Giuliani moved to Naples toward the end of 1823 possibly due to, according to Heck, these following reasons: [1] Naples was the center of the wealthiest and the most prestigious patrons from south of the Alps; and [2] the climate of the city was beneficial for his health condition. His years in Naples (1824-1826) were a difficult period in his life due to the death of his father, Michele Giuliani, unpleasant dealings with a publisher Cappi & Diabelli in Vienna, and his ill health. However, Giuliani was still an active performer. He gave a recital on lyre guitar in 1826 which was attended by King Francis and performed a concert with his daughter, Emilia, who was a talented young guitarist, in February 1828.

According to Giuliani's letter to Dominco Artaria, Giuliani's faithful friend and publisher, he wanted to let Artaria take possession of a number of his manuscripts owned by Cappi & Diabelli, who had offered him unreasonably low payments. However, Cappi & Diabelli still retained the manuscripts, which included Fugue for Guitar, Op. 113, Grand Variazioni, Op. 114, Variazioni, Op. 115, Rossiniana Op. 122-123 and Concerto for Guitar, Op. 36, and later published them.

By 1828, Giuliani's health appears to have worsened and his death was reported in the *Giornale delle Due Sicilie* as follow:

On the morning of the eighth of this month [May 1829] Mauro Giuliani, the famous guitarist, died in this capital. The guitar was transformed in his hands into an instrument similar to the harp, sweetly soothing men's hearts. He has left us a daughter of tender age, who shows herself to be the inheritor of his uncommon ability--a circumstance which alone can mitigate the sadness of his loss.

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158 Ibid., 116-117.

159 Ibid., 133.
Chapter 5

ANALYSES

Sor’s Sonata in C, Op. 22

First published in Paris by Meissonnier ca. 1825, Sonata in C, Op. 22 is Sor's first multi-movement guitar sonata. It was dedicated to the Spanish diplomat Alvarez de Farina (Manuel) Godoy, Minister to Charles IV of Spain, who designed the treaty, The Peace of Basel between France and Spain in 1795. Brian Jeffery suggests that Sor started to compose this Sonata sometime between 1800 and 1808 when Manuel Godoy was in his height of his political power in Spain. Because of the peace treaty, he came to be known as "prince de la PAIX." (prince of peace). Since he was also a prominent patron of the arts, it is not surprising that Sor dedicated this composition to him. The years between 1800 and 1808 (before Napoleon's Spain invasion) were one of Sor's productive periods. His duty under Duchess of Alba from 1799 to 1802 was light. After her death in 1802, Duke of Medinaceli offered Sor a position that required little work. In 1804, he became head of a small royal office in Andalusia. He had plenty of time for his music activities. Sor composed symphonies, string quartets, works for voice with guitar or piano accompaniments and solo guitar compositions such as Grand Solo Op. 14 and sonatas Opp. 15 and 22.

160 Jeffery, Fernando Sor: Composer and Guitarist, 18.
161 Ibid.
I. Allegro

The Allegro is launched with the traditional vigorous triple bold chords, a typical orchestral opening gesture, at a strong dynamic level (Ex. 5.1). This opening is followed by a quieter passage. This type of strong opening is usually used in large-scale, ambitious works that do not have a slow introduction.\textsuperscript{162} These contrasting gestures are then harmonized by the dominant and lead to the next component of the first subject. The repeated-note gestures in measures 3 to 4 and 7 to 8 are the prominent thematic references that are used throughout this sonata cycle in order to create thematic unity.\textsuperscript{163} Following a cadence in measure 8 are parallel thirds over tonic pedal notes (Ex.5.2). In measure 13, the music gains energy toward the end of the first subject through the rhythmic figure in the lower voice. The descending parallel thirds establishes strong tonal gravity toward the P.A.C in the tonic key in measure 20.


\begin{figure}[h]
\centering
\includegraphics[width=\textwidth]{example5_1.png}
\end{figure}

\textsuperscript{162} Hepokoski and Darcy, \textit{Elements of Sonata Theory}, 66.

\textsuperscript{163} Yates, "Sor's Guitar Sonatas: Form and Style," 31.

The transition spans measure 21 to 41. The modulation process begins with C major. A half cadence in the tonic key arrives in measure 30, and the music is expected to modulate to G major. However, in measure 31 the repeated sextuplets on Eb major chords, the submediant of G minor (the parallel minor key of the dominant), suddenly follows, as illustrated in Ex. 5.3. Yates suggests that these sextuplets produce an effect resembling the string "tremolando" that is usually employed in transitional areas in orchestral works.164 The German sixth chords in G minor (measure 35) prepare for the D dominant chord in the next measure, and the music now locks on to a dominant prolongation. The end of the transition is marked by the half cadence in the new key (V: H.C.), the triple-bold-chord gesture, which can also be used to conclude a section, and a half-note rest in measure 41. At this point, one would definitely expect the arrival of the second subject in the new key.

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Example 5.3. Fernando Sor, *Sonata in C, Op. 22*, mvt. 1, mm. 31-41.


In measure 42, the second subject in the dominant key begins with a new melody based on the repeated-note gesture from the first subject (Ex. 5.4). It consists of two periods that are almost identical. The first one ends on a V: P.A.C in measure 51. The second, however, takes a different direction. Its latter part is expanded and intensified, leading to a half cadence instead in measure 61 (Ex. 5.5). This open harmonic situation and a short moment of silence marked by rests effectively create an expectation for a new theme. The second subordinate theme of the second subject in measure 62 has a strong
sense of stability that comes after the intensity caused by the parallel thirds on D dominant tones in measures 59 to 61. Although the repeated-note gesture still occurs here, this theme introduces new thematic materials and rhythmic patterns.

Example 5.5. Fernando Sor, *Sonata in C*, Op. 22, mvt. 1, mm. 57-69.

James Hepokoski and Warren Darcy stress that one of the primary harmonic purposes of the entire exposition is to firmly establish the new tonality with "a secure perfect authentic cadence (P.A.C.) in the new key." They refer to the first satisfactory P.A.C. in the new key as "the point of essential expositional closure (the EEC)," and it is the task of the second subject to generate this. In this case, Sor articulates this crucial harmonic event in a very energetic, agitated manner. The virtuosic arpeggiated passage that starts in measure 78 vigorously drives the music to the point of essential expositional

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166 Ibid.
closure, which is eventually attained in measure 88 (Ex. 5.6). Then, a short closing passage further reinforces the new key with G major chords, and the exposition ending in measure 90.


The development starts in measure 91 with parallel octaves (Ex. 5.6). Such octave writing evokes a sense of mystery. Due to the absence of the third of the chord, the quality of the new key is obscured. Certainly, modulation is expected in the beginning of a developmental space. This opening calls forth closer attention and makes the listener wonder to what key the music is modulating. The tonality now clearly moves to Eb major in measure 94. This key change has already been anticipated by the harmonic process in the sextuplet passage from the transition of the exposition (measures 31 to 33).
Musical ideas from the exposition are modified in the development. The melody in measures 94 to 101 is based on the repeated-note gesture introduced in the exposition (Ex. 5.7). It is obviously used throughout the development. The virtuosic arpeggiated passage near the end of the exposition is also reworked in measure 102 to 103 and 106 to 107 (Ex. 5.8).


Sor gradually increases rhythmic intensity from eighth notes (measures 94 to 101), sextuplets (measures 102 to 107), to thirty-second notes (measures 110 to 112), as demonstrated in Examples 5.9, 5.10, and 5.11.


The tonality temporary shifts to C minor, the relative minor of Eb major in measure 112, preparing for the reactivation of the dominant of the tonic in the next area. Then, the retransition (measures 114 to 131), which is thematically based on the parallel thirds over dominant pedal tones from the transition, evokes the expectation for the dramatic return of the first subject in the tonic key. The development ends with a half cadence in the tonic key (I: H.C.) in measure 130, where the dominant function of the G major chord is fully reactivated. It is then followed by a short cadenza-like passage that occurs on the harmonic interruption on dominant harmony, anticipating the recapitulation.

The recapitulation arrives in measure 132. The first subject in the tonic key is the same as it was in the exposition. However, the transition is much shorter, reduced to
eleven measures only. The first subordinate theme of the exposition's second subject is not present in the recapitulation. This omission is possibly due to the fact that the repeated melodic gesture is extensively used in the development. Since the gesture is so prominent in the first subordinate theme, Sor would probably have wanted to avoid the overuse of this idea.

The recapitulation brings tonal resolution to the music generally by restating non-tonic materials from the exposition in the tonic key, and it is the task of the second subject in the recapitulation to firmly reestablish the tonic key through the production of a satisfactory P.A.C in the tonic. Hepokoski and Darcy call this the moment of "essential structural closure (the ESC)," which is "most often a point parallel to the exposition's EEC." In measure 163, the second subordinate theme of the second subject is restated in the tonic key (Ex 5.12) and gradually begins its task of fully resolving the tonal conflict raised in the exposition and retained throughout the development. However, the way Sor approaches the ESC is very different from the way he does with the EEC.


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167 Hepokoski and Darcy, Elements of Sonata Theory, 19.

168 Ibid., 20.
The material in measure 180 is not followed by a long virtuosic passage. The composer simply reaches the point of *essential structural closure* (measure 183) with a series of block chords on I6/4-V7-I progression (Ex. 5.13), which is a very relaxed manner compared to how he achieved the EEC in the exposition. Sor makes structural changes in the recapitulation to create a stable conclusion, and this is very similar to Haydn's practice.\(^{169}\)

Example 5.13. Fernando Sor, *Sonata in C, Op. 22*, mvt. 1, mm. 177-188.

After the tonic key is fully reestablished, a conclusive passage based on the repeated-note gesture (measure 183) signifies the beginning of the coda. Then a number of cadences reinforce the tonic key. The *Allegro* ends with forceful tonic chords, the same gesture as the opening.

II. Adagio

"The slow movement presents a space of contrast within the four-movement plan."\(^{170}\) This movement is often in a non-tonic key, providing an escape from the tonic key that dominates the whole work.\(^{171}\) Due to the fact that the form of the second slow movement is optional, its form cannot be predicted. Its emotional depth, lyricism, meditative, dreamlike quality, and clarity of texture provide sharp contrasts with the clear determination, energy and complexity of the first movement.

The *Adagio* is in the key of C minor, the tonic minor key. Since it shares the same tonic as the other movements, this movement does not deviate from the governing tonic. However, the sudden switch of tonal color that happens immediately after the end of the first movement creates a very contrasting effect.

The formal structure of the *Adagio* is displayed in Table 5.1:

<table>
<thead>
<tr>
<th>Exposition</th>
<th>Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>A First subject</td>
<td>Second subject</td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td>Cm: I mm: 1</td>
<td>9 17 37 47 60 69</td>
</tr>
</tbody>
</table>

**Tonal resolution**

|| second theme of the second subject + closing passage ||
| Cm: I mm: 82 | 92 |

\(^{170}\) Hepokoski and Darcy, *Elements of Sonata Theory*, 322.

\(^{171}\) Ibid.
It is quite difficult to define what form this slow movement takes. However, the overall structure is what Hepokoski and Darcy call "Type 2 sonata," a sonata type in which the end of the development is followed by the second subject. It is a "double-rotational" sonata type in which there is nothing standing between two rotations of the underlying pattern (the first subject, transition, the second subject, and the closing passage). In a Type 2 sonata, the first rotation is presented in the exposition, and "the second rotation begins as a developmental space; only its second half --often from S [the second subject] onward--does it take on 'recapitulatory' characteristics."

The absence of the first subject at the beginning of the recapitulation makes the use of the term "recapitulation" problematic here. According to the two scholars, "The term recapitulation (German, Reprise) suggests a post-developmental recycling of all or most of the expositional materials, beginning again with the module that had launched the exposition." Since the return of the first subject is a crucial requirement of the so-called "recapitulation," it is inappropriate to apply this term in this situation.

In addition to this, one of the major functions of the first subject is to signify significant formal events of sonata forms, for example the beginnings of the exposition.

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172 To Hepokoski and Darcy, sonata forms are "rotational" structures in which the end of a thematic pattern leads to an opening of a new one. In their text book, they use the term "rotation" to refer to the ordering and cycling of thematic events in major sections such as exposition, development, and recapitulation. In the standard sonata form, there are three thematic "cycles." The expositional and recapitulatory rotations present the governing layout--the first subject, transition, the second subject, and the closing passage--while the developmental rotation, which stands between them, is freer and does not have a specific pattern.

173 Hepokoski and Darcy, Elements of Sonata Theory, 353.

174 Ibid., 232.

175 Ibid., 231.

176 Ibid., 353-354.
and the recapitulation. In contrast, the task of the second subject area is to fully resolve tonal tension and conflict in the development, and to reestablish the home key. It follows what is already in progress and does not serve to begin a larger structural unit. What mostly happens in this type of sonata is that the materials or obvious thematic reference from the first subject and the transition are extensively used in the development. Therefore, in this sonata type, the restatement of the second subject in the tonic key occurring immediately after the development is rather the continuity of the earlier portions of the second thematic rotation that actually starts as the development. In other words, the first-subject-based development and the retransition structurally stand for the first subject and the transition.

Due to these reasons, according to Hepokoski and Darcy, it is misleading to describe that the "recapitulation" in this sonata type begins with the second subject. It should not be regarded as "incomplete" or "partial recapitulation" as well. The scholars assert that it does not contain the "recapitulation" whatsoever. They instead call the post-developmental space in this form the "tonal resolution," the term used in the diagram in page 67.

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178 Ibid., 380.
179 Ibid., 354.
180 Ibid.
181 Ibid.
182 Ibid.
The overall formal analysis here is slightly different from Yates'. He suggests that the *Adagio* "juxtaposes an outer da capo form with sonata form."\(^{183}\) However, Yates' use of the term 'da capo form' is quite questionable. In general, the da capo form is a three-part structure in which the word D.C. is placed at the end of the second section to indicate the repeat of the first section. Although the melodic passage in measures 37 to 59 is thematically identical with the one from measures 82 to the end of the movement, they reside in different keys. These two subsections also have different tonal purposes: the former seeks to secure the new key, while the latter one provides tonal closure and leads to the reestablishment of the home key. This is not a characteristic of a da capo form. This process strongly suggests that this is not a 'hybrid form' but clearly a sonata form. Moreover, the overall thematic and harmonic schemes of the *Adagio* reflect binary fundamental division rather than ternary.

In addition, Yates also claims that this slow movement "takes an uncommon form (at least before Beethoven) which happens to be the slow-movement form preferred by [Ignaz] Pleyel: a long aria-like adagio in sonata form."\(^{184}\) Actually, a similar organization is found in some of C.P.E. Bach's keyboard sonatas from the early 1740s.\(^{185}\) This "sonata form without recapitulation" became a typical option in the mid-eighteenth century.\(^{186}\) It can be found in the first movements of J.C. Bach's Symphonies, Op. 3, Nos. 4 and 5 and some early works of Mozart such as his first Symphony in Eb major, K 16. The examples of the use of this form in the second slow movement are Mozart's String Quartet in D,

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\(^{183}\) Yates, "Sor's Guitar Sonatas: Form and Style," 33.

\(^{184}\) Hepokoski and Darcy, *Elements of Sonata Theory*, 33.

\(^{185}\) Ibid., 359.

\(^{186}\) Ibid., 360.
K. 155 and Flute Quartet in G, K. 285a, and Haydn's Piano Sonata in C, Hob. XVI:35. Therefore, the overall structure of the Adagio is not considered uncommon before Beethoven's time since it had existed since the mid-eighteenth century.

However, this slow movement is still unusual in the sense that the first subject is structured in binary form (Ex 5.14). Both themes have thematic reference from the repeated melodic gesture introduced in the first subject of the first movement. The opening lyrical theme with light texture marked by dolce dramatically contrasts with the forceful ending of the first movement. In measure 5, the moving bass line gradually creates momentum toward the end of the first theme. It is then followed by a new theme on an accompaniment figure that is rhythmically similar to the previous bars, reflecting the continuity of rhythmic flow. However, there is no transition to the second subject. According to William E. Caplin, a slow movement in sonata form often eliminates the transition, which is a treatment favored by Mozart.187

The second subject arrives in measure 17, and the music abruptly modulate to Eb major, the relative major key of C minor. The lack of transition creates drastic changes in mood and tonal color. This new section begins with a vigorous fanfare-like gesture--dotted rhythm in the bass line--that functions like an introduction to a lyrical theme in measure 21 (Ex. 5.15).

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187 Caplin, Classical Form, 209.

In measure 28, the music reaches a half cadence, which is suddenly followed by the Bb pedal tones in the highest voice with parallel thirds beneath it (Ex. 5.16). It is an inverted version of the parallel thirds on the bass pedal tones from the first movement. The sense of dominant prolongation is heightened when the Bb pedal tones come in the bass line (measures 32 to 36). The moving parallel thirds in the inner voices that enter in measure 33 constitute a strong cadential progression (Eb: I 6/4-V7-I), which leads to the second theme of the second subject in measure 37. It is based on the repeated melodic fragment from the second theme of the first subject in measure 9.


The high notes here signal an upcoming climax. The first satisfactory cadence in the new key (Eb major) or the point of *essential expository closure* is attained in measure 46 (Ex. 5.17), and the Eb major key is fully secured. Sor approaches this crucial harmonic event with prolonged dominant harmony from measures 43 to 45, a cadenza-like passage in measure 44 and the long cadential thrill in measure 45.

The exposition is then concluded by a closing passage that lasts from measure 47 to 59. The parallel sixths on the tonic pedal tone reflect obvious thematic coherence between the first and slow movements. However, here this idea is used to close a section, which is different from its transitional function in the first movement.

The development begins in measure 60 (Ex. 5.18). Like the second subject, this new area also opens with a vigorous introductory gesture. The forceful parallel octaves marked by *f* in measures 60 to 61 obscures the tonality because there is no third. It is unclear whether the music will modulate to a major or a minor key. The ascending chromatic scale after the C major chord, which now functions as a dominant, eventually leads to a lyrical melody in F minor, the subdominant key of C minor. It is based on the repeated melodic fragment from the second theme of the first subject (measure 9), and this musical idea is developed here by mean of sequential repetition.

Sor starts to prepare for the dramatic return of the home key with a retransition in measures 69 to 81 (Ex. 5.19). Again, this retransition is thematically similar to that of the first movement. The G dominant pedal tones persist for twelve bars, and the dominant function of the G major chord is fully realized in measure 81. The "tonal resolution" arrives in the next bar, which is marked by the appearance of the second subordinate theme of the second subject in the tonic key. As discussed above, this formal event "follows" the former ones--the first subject and the transition--that start in the development. However, without an obvious thematic reference to the first subject in the development or a first-subject-based coda, it creates an impression that the first subject never returns. Yates points out that "the omission of a first theme only adds to the effect of incompleteness and formal uncertainty."188

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188 Yates, "Sor's Guitar Sonatas: Form and Style," 34.
Although the second theme of the second subject is restated in the tonic key, the tonal conflict raised by the development is not fully resolved until measure 91 where a satisfactory cadence in the tonic key (I: P.A.C.) or the point of *essential structural closure* eventually occurs and fully reestablishes the tonic key (Ex. 5.20). This dramatic harmonic event is articulated in the same manner as the point of *essential expositional closure* at the end of the exposition: the use of a cadenza-like passage followed by a long cadential trill on prolonged dominant harmony. The closing passage then concludes the slow movement with a sense of tranquility.

III. Minuet and Trio

The minuet is the most significant court dance in the classical period.\(^{189}\) It was the only dance from the Baroque period that survived through the major change of musical style that gradually took place in approximately the second quarter of the eighteenth century and came to be included in classical instrumental cycles. The minuet was added to the symphony by Italian composers in the early eighteenth century, but its position varied. The four-movement plan of the symphony (fast-slow-minuet-fast) was later standardized by Mannheim composers, notably Johann Stamitz, in approximately the mid eighteenth century, and this movement scheme later became the norm of the Viennese symphony.

Classical composers paired two different minuets in the minuet movement, a Baroque practice that was still retained in the classical era. The first one is called "Minuet" and the other one "Trio," which is usually labeled as "Minuet II" in the Baroque period. The name "Trio" originated from Lully's practice in which two oboes and

\(^{189}\) Caplin, *Classical Form*, 219.
a bassoon were usually employed.\footnote{Frederick Neumann, \textit{Performance Practices of the Seventeenth and Eighteenth Centuries} (New York: Schirmer Books, 1993), 159.} Although this movement consists of two minuets, the minuet-and-trio movement is actually in a three-part form because the trio is placed between the first minuet and its da capo. When it is placed after the slow movement, the minuet, with its obligatory structure, re-establishes a strong sense of schematic order that was lessened by the previous movement.\footnote{Hepokoski and Darcy, \textit{Elements of Sonata Theory}, 330.}

The \textit{Minuetto} is in the tonic key of C major. The lightness and relaxing character of this movement put the audience's mind at ease after the deep, intense emotion of the slow movement. The simplicity also results from its rounded binary form and simple phrase structure. The main theme in this movement is obviously based on the repeated-note gesture from the first subject of the first movement (Ex. 5.21).


\begin{figure}
\centering
\includegraphics[width=0.5\textwidth]{Example5.21.png}
\caption{Example 5.21. Fernando Sor, \textit{Sonata in C, Op. 22}, mvt. 3, mm. 1-4.}
\end{figure}

The second subsection (measure 9) opens with a new theme in A minor, the relative minor key. Again, the use of repeated-note gesture is apparent in this part (Ex. 5.22) and the whole movement. Then, parallel sixths over a D dominant pedal tone lead to the first P.A.C. in the dominant key. Sor uses this idea and the repeated-note gesture in every movement to create thematic unity. The new key is further stabilized by the next
two cadences in measures 20 to 24 (Ex. 5.23). The return of the main theme in the second section is anticipated by the prolongation of dominant harmony that reactivates the dominant function of the G major chord in measures 25 to 30. Yates points out that this retransition has a thematic reference from the beginning of the second subject in the first movement (Ex. 5.24). The minuet section is then concluded with the restatement of the main theme, which makes the minuet a rounded binary form.


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The trio (or the second minuet) begins in measure 40. Normally, the trio section presents a contrasting space that stands between the minuet and its return or minuet da capo. The opening melody of this trio is based on the beginning of the B section of the minuet. Although Sor employs the same figurations and retains the tempo and phrase structure of the minuet in the trio, the melodic line here is more flowing (Ex. 5.25).

The first theme of the trio is still in the tonic key. In the second theme, the music temporarily shifts to D minor, the relative minor of the subdominant key, which provides contrast in tonal color. In addition, with its supertonic function (ii), this tonal shift prepares for the half cadence in measure 55. The same relationship applies to the A minor area at the beginning of the minuet's B section (ii in G major). The rhythmic figure of the melodic sequence in measures 48 to 51 engenders syncopation (Ex. 5.26). The music quickly modulates back to C, and the first phrase ends on a half cadence in the tonic key. The trio section ends with its first theme, making this trio a rounded binary form. Following this is the so-called minuet da capo.


Classical composers generally make the trio section dependent on the minuet and its return by changing the tonality of the trio and adding a retransition that leads to the return of the minuet. However, in this piece, the fact that the trio is still in the tonic key and ends with I: P.A.C implies that Sor chose to make the trio an independent section. Furthermore, its rounded binary form creates a complete thematic closure within itself. The trio is also shorter than the minuet. Its length is comparable to that of the minuet da
capo. This means that the returning minuet has enough space to resolve the thematic conflict raised by the trio, which reflects the composer's awareness of thematic proportion and symmetry.

IV. Rondo

The last movement usually functions as a final tonal closure that reaffirms the tonic key. The formal structure of the finale is not obligatory. It can be in a sonata form or a dance form such as the minuet, which is also used as a finale in a great number of pre-classical sonatas and symphonies as well. However, the form mostly used in the finale is the rondo.\footnote{Newman, \textit{The Sonatas in the Classical Era}, 161.} It features a basic pattern of formal organization in which the principle idea--the refrain--rotates with differing passages, termed "episodes" or "digressions." In the high classical period, most rondos can be generally categorized into two main types: [1] the five part rondo, and [2] the sonata rondo.\footnote{Caplin, \textit{Classical Form}, 231.}

This Rondo is a five-part rondo with a coda. Sor follows the traditional five-part rondo form in which the opening refrain is performed twice, and each refrain, except for the last one, alternates with a contrasting episode. The rondo theme (Ex. 5.27) is very catchy and easy to recognize since it is built as a rounded binary. Its straight-forward four-bar-phrase structure provides clarity and symmetry. The first episode arrives in measure 17. The rhythmic momentum from the refrain is suddenly interrupted by a more steady gesture in measures 17 to 18 (Ex. 5.28). It is then followed by parallel octaves that lead to a series of half cadences in G major, the dominant key.
Example 5.27. Fernando Sor, *Sonata in C, Op. 22*, mvt. 4, mm. 1-16.

\[ \text{Allegretto} \]


\[ \text{Allegretto} \]
A new lyrical, yet lively theme in G major is introduced in measure 33, and is then followed by a brilliant, rapid passage in measures 41 to 51, which is based on the repeated-note gesture from the first movement (Ex. 5.29). A strong P.A.C. in the dominant key is reached in measure 52. A retransition occurring at the end of the second episode anticipates the upcoming refrain. The repeated-note gesture from measure 49 to 50 now appears on half cadences of the tonic key in measures 55 to 56 and 59 to 60. Yates asserts that the melodic passage in the retransition also has a thematic reference from the beginning of the second subject in the first movement as well. The prolongation of G dominant seventh chords evokes the expectation for the first return of the refrain in the tonic key. This formal event is signified by the rapid scale passage that eventually leads to the refrain in measure 64.


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The second episode is in A minor key, the relative minor of the tonic, a treatment favored by Haydn. Unlike the first episode, it is organized in a small binary form (Ex. 5.30). It provides sharp contrasts in tonal color and character. New thematic material is presented here. As in the first episode, the end of the second episode brings a retransition (Ex. 5.31).


It is based on the repeated melodic gesture, and Sor again uses parallel thirds over a dominant pedal tone to anticipate the return of the primary idea. The composer uses this

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196 Caplin, *Classical Form*, 234.
idea in many transitional passages in this Sonata. A harmonic interruption on dominant harmony occurs in measure 113, and a florid passage, which is clearly a modification of the previous one at the end of the second episode (measures 61 to 63), precedes the last return of the refrain.

The coda (measure 133) brings back ideas from the previous sections and the first movement, reflecting its conclusive qualities. For example, it opens with quiet repeated parallel octaves built on C that is followed by forceful chords marked *forte* (Ex. 5.32). This repeated gesture has been extensively used throughout this sonata cycle, and this time its purpose is to initiate the coda.

Example 5.32. Fernando Sor, *Sonata in C, Op. 22*, mvt. 4, mm. 133-140.

![Ex. 5.32](image)

The ending of the rondo is intensified by the bold-chord gesture that occurs in every cadence (Ex. 5.33). The passage in measures 73 to 177 bears a similarity to the ending bars of the first movement. The alternations of tonic and dominant chords in measures 179 to 183 reinforce the tonic key. The rondo closes with the traditional triple-bold-chord gesture that was previously used at the end of the first movement, which creates a strong sense of finality.
Sor's Sonata in C, Op. 25

Sor's second multi-movement sonata was first issued by Meissonnier in 1827 after his return to Paris from Russia. However, Sor composed this work approximately two decades after his Op. 22 (1825).197 This shows that the opus numbers and the time of composition do not always correspond. Meissonnier started publishing Sor's works in 1817 while the composer was in London. Jeffery asserts that Sor's guitar compositions up to Op. 23 printed by the publisher may have been composed many years earlier.198 Not until the appearance of Opp. 24-29 in 1827 did Sor's opus numbers start to reflect the chronological order of his compositions.199

In 1813, Sor left Spain and then lived in Paris for two years. He moved to London in 1815. His years in the English capital (1815 - 1823) are the most successful period of his life. He established himself as both a guitarist and composer and associated with leading musicians in the city such as Pierre Baillot, Louis Drouet, Ignaz Pleyel and Muzio Clementi. During this period, Sor also composed a wide array of music ranging from solo guitar compositions, vocal music, to ballets. The ballet Cendrillon, Sor’s most successful composition, was premiered in the King's Theater in 1822 and then performed one hundred and four times at the Paris Opera. He moved to Russia in 1823 and continued his career there. He composed music for the funeral ceremony of Tsar Alexander at St. Petersburg. His Hercule et Omphale was performed as a part of the coronation celebrations of Tsar Nicholas.

198 Jeffery, Fernando Sor: Composer and Guitarist, 69.
199 Ibid.
Therefore, by the time he came back to Paris in late 1826, Sor had already become a mature composer. It is not certain when Sor composed this Sonata, but Yates claims that it had possibly been written during Sor's years in England and Russia.²⁰⁰ "It is a sophisticated, highly unified work, in several respects quite unique, and certainly one of the finest guitar sonatas of the classic-romantic period."²⁰¹

I. Andante Largo

Unlike Op. 22, Sor begins this sonata with an extended serious slow movement in C minor that functions like an introduction because it ends with a half cadence in C minor (I: H.C.) that leads to the second fast movement in C major. Its overall structure is displayed in Table 5.2:

<table>
<thead>
<tr>
<th>Exposition</th>
<th>Development</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cm: I</td>
<td>Eb: I</td>
</tr>
<tr>
<td>mm: 1</td>
<td>mm: 15 28 45 59 71</td>
</tr>
</tbody>
</table>

**Tonal resolution**

| Cm: I |
| mm: 77 95 99 |

It is in a sonata form, and the overall structure and thematic treatment suggest that it is the same sonata type as the Adagio of the Sonata in C, Op. 22, which is "Type 2" sonata or "sonata without recapitulation." They both are also in the same tonality (C

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²⁰¹ Ibid.
minor). Nevertheless, in detail, there are many significant differences between the two. For example, unlike this Andante Largo, the Adagio does not have a transition between the first and the second subjects.

The first subject consists of two major components; it starts with an introductory passage (measures 1 to 8) that prepares for the well-defined theme in measure 9 (Ex. 5.34). The initiative quality of the eight opening bars is reflected by the use of dotted rhythm and the two opening contrasting gestures in opposite dynamic levels. A forceful statement that strongly launches the work is followed by a quieter passage that arouses closer attention. The beginning also presents a type of texture that will persist throughout the whole movement: the repeated eighth-note accompaniment figure. The next component of the first subject arrives in measure 9 and ends with a P.A.C in Eb major, the relative major key (III: P.A.C), in measure 15. Here, the dotted leaping melodic figure occurs in the lower voice beneath the accompaniment.

The fact that the first subject ends with a P.A.C in the new key reflects a very complex harmonic option because a crucial task of the first subject is to clearly establish the tonic key.\textsuperscript{202} However, although there is no satisfactory P.A.C. in the tonic key attained in the first subject, the tonic key is still perceived. It is just not fully confirmed with a I: P.A.C. What is really obscured is not the tonality but the line between the first subject and the transition. Certainly, a modulation process is expected to occur at some point after the first subject. When the first subject is concluded with a III: P.A.C., it gives an impression that the modulation process begins sooner or the first subject overlaps with the transition. Nonetheless, what happens in measures 9 to 15 is not a 'transition' because it is obviously a well-defined statement that is initialized by the opening gestures in the previous bars.

The transition lasts from measures 16 to 27 (Ex. 5.35). The music gradually gains driving energy with a short contrapuntal passage that occurs on the prolonged subdominant chord in Eb major. It is then followed by block chords over dominant pedal tones (measures 19 - 23). At this point, one would expect that this transition will reach a normative dominant-lock at its end. However, it instead leads to a clear P.A.C in Eb major in measure 27. In late-eighteenth-century sonatas, transitions mostly end with a H.C. in the new key in order to signify the onset of the second subject. The fact that this transition concludes with a III: P.A.C suggests a sense of closure rather than expectancy. Since the crucial harmonic purpose of the second subject is to produce a satisfactory

\textsuperscript{202} Hepokoski and Darcy, \textit{Elements of Sonata Theory}, 73.
cadence that firmly establishes the new key, this cadential option raises a problem of understanding; it makes one doubt whether this harmonic goal is achieved here. 


The second subject arrives in measure 28 (see Ex. 5.35). Yates suggests that it is an aria-like duet between the top and the low voices. It is thematically based on the dotted gesture introduced at the beginning of the movement, and the same accompaniment figure is still retained. With the appearance of the new theme, it is now obvious that the III: P.A.C. at the end of the transition is not the point of essential

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203 Hepokoski and Darcy, *Elements of Sonata Theory*, 27.

204 Yates, "Sor's Guitar Sonatas: Form and Style," 42.
expositional closure, where the new key is fully secure. It still has yet to be attained at some point in the second subject area. To make sure that the cadence in measure 27 is not taken as the EEC, Sor articulates this crucial harmonic event in a very dramatic manner. He approaches the first real satisfactory III: P.A.C. in measure 44 with an ascending melodic sequence from measures 39 to 40. It is then followed by parallel thirds over prolonged dominant harmony that eventually lands on a long cadential trill in measure 43. Then the Eb major key is firmly established at the cadence in the next measure. This process (Ex. 5.36) occurs on a very strong cadential progression: ii-vi-I6/4-V7-I.

Example 5.36. Fernando Sor, Sonata in C, Op. 25, mvt. 1, mm. 36-48.

Following this is a somewhat long closing passage (measure 45 - 58). Again, the dotted anacrusis gesture and the repeated eighth-note accompaniment are used as thematic reference here. A sense of closure is evoked by the descending passage in the
low voices. The exposition seems to conclude in measure 52, but Sor keeps expanding it by introducing a new lyrical dotted passage over prolonged dominant harmony that lasts from measure 53 to 58 (Ex. 5.37). Its closure is clearly marked by a III: P.A.C. and the quarter-note rest, which also signals the development-to-come.

Example 5.37. Fernando Sor, Sonata in C, Op. 25, mvt. 1, mm. 52-58.


Like the opening of the movement, the development begins with an introductory gesture in measures 59 to 62 (Ex. 5.38). It abruptly starts in measure 59 with a Db major chord, the submediant chord in F minor key. Then a German augmented sixth chord leads
to the V of F minor. The introductory gesture occurs again on the same progression in measure 61, and a group of forceful C dominant seventh chords effectively create an expectation for the first developmental theme in F minor. In measure 63, the melody on the repeated eighth-note accompaniment figure has the same gesture as the main theme in the exposition. The retransition, thematically based on the exposition transition, arrives in measure 71 (Ex. 5.39). The music locks on to a prolonged-dominant area, and the dominant of the tonic key is realized in measure 72. Obviously, the restatement of the first subject and the transition--the early portions of the second thematic rotation--begins in the development because what suddenly follows this space is the restatement of the second subject in the tonic key, which indicates that the sonata structure of the movement is the "Type 2 sonata." (This issue has thoroughly been discussed in the analysis of the second movement of Sonata in C, Op. 22.)

What Hepokoski and Darcy call the "tonal resolution" arrives in measure 77. In general, the restatement of the second subject in the tonic key is thematically identical with the same part from the exposition. The point of essential structural closure is reached in measure 94 (Ex. 5.40). At this point, the tonal tension raised by the harmonic interruption on the dominant harmony at the end of the development is now fully resolved, and the tonic key is firmly reestablished. Following in measures 95 to 97 is a new short closing passage.

Example 5.40. Fernando Sor, Sonata in C, Op. 25, mvt. 1, mm. 89-103.

It seems that the main theme from the first subject returns in measure 99 after the closing passage. This can lead one to recognize what happens in the post-developmental space as a "reversed recapitulation." William S. Newman uses the term "mirror form" to describe a recapitulation in which the order of the first and second subjects is reversed, for example, as in the first movement Stamitz's Symphony in Eb major, Op. 11, No. 3.

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205 Newman, The Sonata in the Classic Era, 146.
Rosen also refers to it as "a recapitulation in reverse order," and he gives some examples such as Mozart's Symphony in C major, K. 338, and Piano Sonata in D major, K. 311.\textsuperscript{206}

However, Hepokoski and Darcy reject the concept of "mirror form" or "reversed recapitulation." They regard the restatement of the first subject that occurs after the point of \textit{essential structural closure} or the recapitulation's closing passage as a first-subject-based coda.\textsuperscript{207} The term coda is variously used in different terminologies, and it should be clarified here. Since the analytical model of this study is Hepokoski and Darcy's \textit{Elements of Sonata Theory}, the coda will be defined according to their method. The two scholars assert, "…the coda begins once the recapitulation has reached the point at which the exposition's closing materials, normally including a final cadence, have been revisited in full."\textsuperscript{208} In other words, the coda is clearly separated from the closing passage, and it is an additional space that only occurs after the recapitulation. The restoration of the first subject after the closing zone is an add-on to the basic structure, and it is therefore more appropriate to be regarded as a first-subject-based coda because it is a unit that exists outside the sonata space. In addition, as discussed in the analysis of the slow movement of Sonata in C, Op. 22, the term "recapitulation" should not be used to describe the post-developmental area here because the restatement of the first subject does not occur after the development. Due to these reasons, the term "reversed recapitulation" is invalid in this situation. However, it does not mean that the use of this term is always incorrect. If the first subject recurs before the point of \textit{essential structural closure}, it then makes sense to use such a label.

\textsuperscript{206} Rosen, \textit{Sonata Forms}, 97.

\textsuperscript{207} Hepokoski and Darcy, \textit{Elements of Sonata Theory}, 382.

\textsuperscript{208} Ibid., 281.
The introductory role of the first movement is indicated by a half cadence in the tonic key at the end that anticipates the next movement (Ex. 5.41). It is brilliantly unified throughout with the same gesture introduced at the beginning which restlessly persists throughout the entire movement. Sor rarely uses dramatic devices, such as silence, to mark significant formal events, and most sections are connected by the repeated eighth-note accompaniment figure, obscuring the demarcations of form. Unlike the slow movement of Op. 22, there is no sharp contrast between theme groups. Although the first and the second subjects reside in different keys, they are both based on the same gesture and, most importantly, have a very similar expression. The unity of effect is one of the most striking features of this slow movement.

II. Allegro non Troppo

The second, fast movement is also a "Type 2 Sonata," as illustrated in Table 5.3:

Table 5.3. Fernando Sor, *Sonata in C, Op. 25*, mvt. 2, Form

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<tr>
<td>C: I</td>
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<td>mm.: 1</td>
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<td>Q: I</td>
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<td>C: m.182</td>
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<td>mm.: 135</td>
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<td>mm.: 182</td>
<td>210</td>
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<td>258</td>
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Opening with the first subject which resembles an arietta theme, its lightness and gracefulness provide a drastic contrast to the seriousness of the first movement. The first subject (measures 1 to 20) is structured in a typical periodic formation that can be divided into two components: the antecedent and consequent phrases (Ex. 5.42). The antecedent (measures 1 to 8) starts with a basic idea that lasts for four measures followed by a four-measure contrasting idea that produces a weak cadence. The consequent (measures 9 to 20) starts with the repetition of the basic idea and then modifies the contrasting idea in order to create a strong cadence that will conclude the theme. Here, the contrasting idea in the consequent phrase still retains the same gesture but is intensified by the use of chromatic harmony. The repetition of this idea in measures 17 to 20 further emphasizes a

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209 Yates, "Sor's Guitar Sonatas: Form and Style," 44.
strong sense of closure. Therefore, the first subject is comprised of two units that are bound to one another in complete wholeness. This musical statement launches the movement with a very clear purpose.


The transition gradually gains driving energy to project the music into a new area. It starts with ascending scales alternating with repeated parallel thirds over dominant-tonic progressions. Following this is a repeated rapid sixteenth-note passage that resembles string tremolo (Ex. 5.43). The music then modulates to the dominant key. In measure 28, Sor uses an Eb major chord, the submediant chord (VI) in G minor, to prepare for the D major chord serving as V/V in the next measure. The same progression
occurs again from measure 30 to 33. The Eb major chords in measure 35 and 36 precedes cadential 6/4, German 6/5 and dominant chords in G minor in the following bars.

The half cadence at the end of the transition in measure 45 creates a very strong expectation for the second subject in the dominant key. Obviously, Sor tries to activate the dominant function of the D major through this harmonic process, which lasts eighteen measures. The departure from the tonic to the dominant in this transition is emphatic. Therefore, the arrival of the second subject here is a dramatic event, and when it occurs, the sense of tonic-dominant polarity is already clear.

The second subject in the dominant key (measure 46) starts with the repeated eighth-note accompaniment figure and then the melody comes later in the lower voice. Obviously, it is thematically based on the first subject of the previous movement. The next theme appears in measure 76 (Ex. 5.44). Due to its position and to the close thematic connections to the first subject, one might mistake it for a closing passage or a coda.

Example 5.44. Fernando Sor, *Sonata in C, Op. 25*, mvt. 2, mm. 73-80.

However, it is none of those because of the following reasons: [1] it cannot be regarded as a closing passage because the most satisfactory cadence that confirms the new key (the point of *essential expository closure*) is not attained yet, and [2] according to Hepokoski and Darcy's analytical method and terminology, the coda does not belong
to the sonata space, but it is rather a unit that occurs after all materials, including the
closing passage, from the exposition are revised in the recapitulation.²¹⁰

Also, although this theme is very similar to the first subject, this movement is not
a sonata-rondo. According to G.M. Tucker, "...a sonata rondo is differentiated
from sonata form by the additional appearance of the first subject in the tonic key after
the second subject and before the development."²¹¹ The fact that this theme is in the
dominant key indicates that this movement is clearly in a sonata form.

The point of essential expositional closure is attained in measure 115 (Ex. 5.45).
Sor approaches this crucial harmonic event with a number of cadences that emphasize the
dominant key (measures 99 to 103). Then the parallel thirds lead to the repeated sixteenth
notes on forceful chords that occur on a strong cadential progression: V: German 6/5 -
I6/4 - V7 - I. The process is repeated, which firmly establishes the new key.

²¹⁰ Hepokoski and Darcy, Elements of Sonata Theory, 281.

²¹¹ G.M. Tucker, "Sonata Rondo Form," In The Oxford Companion to Music, ed. Alison Latham,
10, 2012).

Sor concludes the exposition in a very unexpected manner.\(^{212}\) The closing passage begins in measure 116 (Ex. 5.46). After the forceful cadence, gentle repeated harmonics suddenly follow and then alternate with repeated chords. The textural difference here suggests that these two ideas occur in different dynamic levels. The bold-chord gesture in measures 132 to 134 clearly marks the end of the exposition and simultaneously signifies the arrival of the development section.

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\(^{212}\) Yates, "Sor's Guitar Sonatas: Form and Style," 45.
In measure 135, the development begins in C minor, the tonic minor. The sudden change of tonal color is very dramatic (Ex. 5.47). The developmental theme is not initiated with any introductory gesture. The ascending repeated melodic sequence, which is clearly an augmentation of the fragment in measures 88 to 89, starts on a G dominant seventh chord in measure 135 and then stays on a prolonged tonic harmony for six bars. In general, the materials used in this developmental space are from the second subject area. For example, the melodic passage from measure 64 to 71 (Ex. 5.48) is slightly modified and restated in the key of Ab major in measure 147 to 150 (Ex. 5.49).


Sor prepares to reactivate the dominant function of the G major chord with dominant preparation chords in C minor. He approaches the half cadence in measure 166 with a forceful submediant (Ab major chord) and a tonic 6/4 chord (C minor) that alternate with the same melody repeated over each chord in measures 160 to 163 (Ex. 5.50). Then repeated sixteenth notes on a German 6/5 chord lead to the half cadence. The retransition over prolonged dominant harmony in measure 175 to 181 reactivates the dominant function of G, creating an expectation for the dramatic return of the first subject in the home key.


However, as shown in Ex. 5.51, the retransition merges with the restatement of the second subject in the tonic key in measure 182 instead. This is totally unexpected because the development has no thematic reference to the first subject whatsoever. On the contrary, it is the material from the second subject that is extensively used in the development. As a result, the absence of the restatement of the first subject here is obviously a surprise.
Again, due to fact that the development is followed by the second subject, the term "recapitulation" is inappropriate here. Hepokoski and Darcy apply the term "tonal resolution" to a post-developmental space that does not start with the restatement of the first subject. However, since the development does not contain any first-subject-based material, this requires some explanation.

As previously discussed in the analysis of the second movement of Op. 22, in this sonata type, the second thematic rotation begins in the development, and the restatement of the second subject in the tonic key (or the "tonal resolution") that comes later in the post-development space is the continuity of the earlier thematic order. Nonetheless, sonatas of this type display a great variety of possibilities because "their second rotations are open to varying treatments..."213 The most common practice is the use of first-subject-based materials or an explicit first-subject reference at the beginning of the second thematic rotation in the development.214 However, composers occasionally start this with

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214 Ibid., 372.
music that is not related to the first subject at all, for example, new or episodic materials or second-subject-based passages. When this happens, it means that the normative restatement of the first subject is suppressed or overridden with "differing music that we are invited to understand as standing in structurally for P [primary theme or the first subject]."\textsuperscript{215}

In this movement, the elements from the second subject at the onset of the development reflect a very special thematic option due to the following reasons: [1] these elements function as closure in the exposition, not beginning\textsuperscript{216} and [2] when the materials from the second subject are thoroughly used in the development, one would assume that this is certainly not a "Type 2 Sonata,"\textsuperscript{217} and expect the return of the first subject. Hence, the appearance of a "tonal resolution" instead of a "recapitulation" here is very unexpected.

The restatement of the second subject in the tonic key starts in measure 182. In general, it is virtually identical with the same part in the exposition. At this point, it is now clear why Sor bases the second subordinate theme of the second subject (measures 210 to 257) on the first subject; it serves as a restoration of the "missing" first subject in the development. After the tonic key is fully reestablished in measure 257, the movement concludes with the same closing passage and ends unexpectedly with a gentle I: P.A.C (Ex. 5.52).

\textsuperscript{215} Hepokoski and Darcy, \textit{Elements of Sonata Theory}, 373.

\textsuperscript{216} Ibid., 376.

\textsuperscript{217} Ibid., 376-377.
III. Theme and Variations

After the first two extended movements in sonata form, the third and the fourth movements are in considerably less complex structures: theme and variations and minuet and trio. In the third movement, the main theme is constructed in a small monothematic binary form (Ex. 5.53) and then followed by five variations. Yates suggests that the theme is based on the ascending-fourth motive from the beginning of the second movement.218

218 Yates, "Sor's Guitar Sonatas: Form and Style," 47.

**Andantino grazioso**

The first beats of the first two bars in effect sound like pickup notes and then the true downbeat later becomes clear in measure 3 (Ex. 5.54). Here, the anacrusis ascending-fourth motive from the previous movement occurs on the downbeat and produces a special metric effect in which the downbeats are understood as weak beats.


This movement is very straightforward. The following variations strictly adhere to the form, phase structure, and harmony of the main theme. The metrical pattern and the melodic outline are also retained. There is no coda after the last variation, and the general formal plan is not altered by any means of extensions. There is no transitional passage that links one variation to another as well. Therefore, each variation is structurally

\[219\] Yates, "Sor's Guitar Sonatas: Form and Style," 47.
independent and has closure within itself. However, in the variation series, Sor presents contrasting types of figuration on the fundamental harmonic progression (Ex. 5.55), creating variety while maintaining unity.

Example 5.55. Fernando Sor, Sonata in C, Op. 25, mvt. 3, fragmentations from variations 1-5.
IV. Minuet and Trio

In contrast with the first two complex movements, the finale is a light, graceful minuet and trio. In general, a four-movement sonata is usually in fast-slow-minuet-fast movement scheme. Although this Op. 25 consists of four movements, the first slow movement actually serves as an extended slow introduction to the fast movement. Therefore, this sonata cycle is in effect a three-movement sonata that positions a minuet as its finale (fast-slow-minuet movement format). In this case, the whole sonata cycle eventually brings us to the prestige of courtly elegance and restraint instead of excitement and the heightened spirit of the first movement as represented by the last faster movement.²²⁰

The minuet section is in a rounded binary form (Ex. 5.56). The ascending fourth motive from the fast movement is present here. Modulation does not really occur at the beginning of the second subsection in measure 9. The new theme starts on a G dominant seventh chord, which is then resolved to a tonic chord in the next bar. The harmonic procedure in measures 9 to 16 does not suggest any tonal shift, and the theme eventually ends on a half cadence in the tonic key (I: H.C.).

²²⁰ Hepokoski and Darcy, Elements of Sonata Theory, 336.

Minuetto

Allegro

The main theme returns in measure 17 to conclude the minuet section. Here, it is constructed in antecedent and consequence periods. The consequent phrase (measures 25 to 40) modifies, expands and intensifies the later portion of the antecedent phrase to create a strong cadence that ends the minuet section.

Like the trio section of the Minuetto from Op. 22, the trio (Ex. 5.57) presents a new theme in the tonic key. The fact that it is structured in a rounded binary form provides a sense of closure within itself. There is no retransition that connects the trio with the minuet da capo as well. Obviously, Sor seeks to achieve structural independence here. The second theme of the trio (measures 49 to 56) is filled with a series of secondary
dominant chords that are continuously resolved. It ends in measure 56 where a fermata occurs on a half cadence in the tonic key, which creates a very strong expectant gesture. Following this is the first trio theme which then closes this section with a perfect cadence in the tonic key.

Example 5.57. Fernando Sor, *Sonata in C, Op. 25*, mvt. 4, mm. 41-64.

\[\text{Trio}\]

\[\text{Example 5.57. Fernando Sor, *Sonata in C, Op. 25*, mvt. 4, mm. 41-64.}\]
Sonata in C, Op. 15 by Mauro Giuliani

Giuliani's Sonata, Op. 15 was first published by Imprimeric Chimique in Vienna in 1808 and is his only 'Classical' multi-movement sonata.\(^{221}\) It was written during his early years of the Vienna period (1806 - 1817), when he was exposed to the models of the form by Haydn, Mozart, and Beethoven.\(^{222}\) Arriving in the city in 1806, Giuliani started to establish himself through his guitar performances that gained considerable praises from the public and newspapers. By 1808, Giuliani came to be recognized as the most prominent guitarist in Vienna and one of the musical elites of the city. In the article *Survey of the Present State of Music in Vienna*, published in *Vaterländische Blätte* on May 31, 1808, he is listed among the names of Künstler (professional artists) such as Beethoven, Hummel, and Czerny. Also an active composer, in 1808, Giuliani published many works such as this Op. 15, Serenade for guitar, voice, and cello, Op. 19, Three rondos for guitar, Op. 8, Six Variations, Op. 9, and Various Pieces from the Ballet Il Barbiere di Siviglia for guitar (*Vari Pezzi del Balletto: Il Barbiere di Siviglia*), Op. 16.

There are three original versions of this sonata. According to Anthony Glise, the first edition by Imprimeric Chimique has very poor graphic quality.\(^{223}\) During the printing process, the publisher was using an engraving method that caused a great deal of damage to the appearance of this version: "they used acid to etch the plates which were then inked and used to print the music, that--over time--the acid (which also came in

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\(^{221}\) Giuliani also wrote three two-movement sonatas (Op. 96), first issued in 1818. However, these sonatas are in fact modeled after the Baroque binary sonata.


contact with the paper) ate away some of the paper." Due to this, there are no surviving 'clean' copies of the Imprimeric Chimique version. However, it was reproduced by Thomas Heck in 1971.

The second edition was published by S.A. Steiner & Co., which took over Imprimeric Chimique business, in 1812. The graphic quality is considerably improved in this revised version, and there are many adjustments as well. Then, Richault issued the third edition in Paris in 1828, one year before Giuliani's death. This analysis will use the Richault edition from Anthony Glise's *Complete Sonatas of Sor, Giuliani, & Diabelli: an urtext of all original versions of each sonata with additional cadenzas by Aguado, Giuliani, Diabelli and contemporary experts*. In this collection, Glise provides fingerings for the Richault version and also mentions the dynamic and articulation markings taken from Imprimeric Chimique and Steiner versions in the footnotes.

I. Allegro Spiritoso

The first movement is in a standard sonata form, as illustrated in Table 5.4:

<table>
<thead>
<tr>
<th>Exposition</th>
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| \( \text{C: I} \)
| \( \text{G: I} \)
| \( \text{mm: 1} \)
| \( \text{17} \)
| \( \text{34} \)
| \( \text{66} \)
| \( \text{79} \)

<table>
<thead>
<tr>
<th>Development</th>
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</table>
| \( \text{Am: I} \)
| \( \text{mm: 85} \)
| \( \text{131} \)

<table>
<thead>
<tr>
<th>Recapitulation</th>
</tr>
</thead>
</table>
| \( \text{C: I} \)
| \( \text{mm: 136} \)
| \( \text{159} \)
| \( \text{191} \)

\(^{224}\) Glise, *Complete Sonatas of Sor, Giuliani & Diabelli*, 16.
Unlike Sor, Giuliani chooses to launch this Op. 15 with a rather weak opening gesture: a short accompaniment figure that precedes a quiet yet lively theme in measure 3 (Ex.5.58).


The main theme is shaped as an antecedent-consequent period. After a half cadence in measure 6, the consequent phrase then closes the harmonic situation left open by the end of the antecedent phrase with a I: P.A.C. in measure 12, and the tonic key is clearly established. Suddenly following this are forceful parallel octaves marked by $f$. The musical idea is modified and transposed to a higher register in order to generate a stronger P.A.C. in measure 16. This latter component of the first subject (measures 13 to 16) serves as a unit that further reinforces the tonic key. It also restores energy and a
strength that is lacking in the weak opening. Then, the end of the first subject is marked by the bold chord gesture in measure 16.

The transition starts with a new single line melody in measure 17. After a I: P.A.C in measure 21, the music gradually gains energy through a flowing passage that modulates (Ex. 5.59). In measure 24, the A minor chords--submediant chords in C major--also function here as supertonic chords in G major that prepares for the D major chord, the dominant of G major, in measure 26. The transition now reaches its climax, and the music enters a prolonged-dominant area indicated by the dominant pedal tones in the bass line. The bold chord gesture on a half cadence in the key of G major in measure 30 is suddenly followed by a short single-line passage that signifies the arrival of second subject in measure 34.

Like the first subject, the second subject in G major is initialized with a short accompaniment figure that is similar to the opening of the movement. Giuliani presents a new lyrical theme that is, again, structured in the same periodical formation as the first subject (Ex. 5.60). The antecedent ends on a half cadence. Then the consequent modifies and intensifies the latter part of the preceding period in order to create a closure of this idea in measure 51.

Following this in the next measure is a short scale passage that leads to the second subordinate theme (Ex. 5.61). Unlike the previous themes, the passage shown in Example 5.61 is a phrase group comprising two four-measure phrases that are almost identical, and then essentially a seven-measure phrase that leads to the first satisfactory cadence in the new key. The point of *essential expositional closure* in measure 65 is approached with syncopated chords, and the dominant key is firmly established.

One might argue that the more forceful cadence in measure 77–as illustrated in Ex. 5.62–can be the point of EEC as well. However, composers of the late eighteenth and early nineteenth centuries developed various strategies to produce this critical harmonic event. According to *Elements of Sonata Theory*, "EEC needs not be--and often is not--the strongest cadence within the exposition". In many cases, emphatic cadences or trill-cadences can occur in the closing passage to further stabilize the new key as well.

The cadence in measure 65 is attained with a very effective cadential chord progression: G: I6-ii6-I6/4-V-I. In addition, the syncopated melody in measure 64 descends from the fifth to the first scale degree (5-4-3-2-1) of the G major key, creating a strong sense of tonal gravity. Also, each one of them is supported by the bass line and a different chord. This process can certainly generate enough harmonic strength that produces the first satisfactory P.A.C. in the new key. Furthermore, its cadential effect is also enhanced by a short break marked by an eighth-note rest, and the appearance of a new musical idea of conclusive quality.

Giuliani also uses a similar procedure earlier in measures 50 to 51 (see Ex.5.60), where a V: P.A.C. occurs for the first time in the second subject area. However, the cadence is followed by a florid ascending melody, and this continuation immediately cancels the closure effect of this cadence. Moreover, the melody also leads to the next subordinate theme in measure 53. As a result, the former cadence is not understood as the EEC. The cadences in measures 51 and 65 are therefore not of equal weight.

The closing passage arrives in measures 66 (Ex. 5.62). The rhythmic momentum created by the accompaniment figure of the second subordinate theme is interrupted by a

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226 Ibid.
series of block chords in the first two bars of the closing passage. This material is repeated and leads to a number of strong cadences (measures 73 to 77) that reinforce the dominant key. The exposition is then forcefully concluded with the bold chord gesture. Following is a retransition that reactivates the dominant of the tonic, and the B fully-diminished seventh chords in measures 83 prepare for the entire repeat of the exposition.


After the repeat, this retransition directly leads to the development that starts in the key of A minor. It links the fully diminished seventh chord in measure 84 with the dominant chord in A minor key at the beginning of the development (Ex. 5.63). This is a reinterpretation of the diminished seventh chord, from B as root to Ab or G# as root. It is a pivotal point between C major and A minor--with G# being the root, it is now vii°7 of the relative minor key. The bold E dominant chord on the first beat of measure 85 marked...
by *ff* provides a sharp dynamic contrast with the quieter retransition. It is then followed by a brilliant triplet arpeggio, which leads to a group of forceful chords. This vigorous gesture occurs several times over prolonged dominant harmony. The opening of the development ends with a strong E major chord in measure 95, and the silence marked by a fermata on a quarter-note rest signifies an upcoming developmental theme.


After the intensity, anxiety, and nervous energy created by the opening of this main section, the first theme of the development in A minor appears in measure 96 (Ex. 5.64). It is thematically based on the first subordinate theme of the second subject. In the exposition, this material functions as a 'continuation' of the previous thematic events (the first subject and the transition), not as a 'beginning'. Therefore, the use of the opening passage to initialize this developmental theme is appropriate.

In measures 104 to 107, a transitional passage connects the first theme with its repetition in A major, but Giuliani modifies and expands the latter part to create a sense of closure of this idea. Then, a new theme suddenly emerges after the P.A.C. in A minor in measure 115. These abrupt tonal shifts between major and minor dramatically create a dark-light effect. In measure 123, a passage similar to a dialog between the top and low voices (Ex. 5.65) drives the development into its climax in measure 127 where the music enters a dominant area. The retransition (measures 131 to 135) abruptly starts with G dominant seventh chords, which is quite unexpected because this reactivation of the dominant in the home key is not prepared by any gradual modulation process.
The recapitulation arrives in measure 136. It restates most of the exposition's first subject, and still retains the antecedent-consequent period format. However, the consequent phrase here takes a different path (Ex. 5.66). Instead of attempting to conclude with a P.A.C., it deviates the music into a transitional process. In measures 144 to 145, an ascending melodic sequence leads to a dominant prolongation in measure 148. Then, the passage ends with forceful G dominant chords that follow a half cadence in measure 153. Hepokoski and Darcy call this transitional strategy the 'Dissolving Consequent'. In this case, the first subject is not clearly separated from the transition by a cadence, but it rather gradually "merges" with the transition. Unlike the exposition transition, this recapitulation transition does not modulate because the second subject here is in the tonic key.

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227 Hepokoski and Darcy, Elements of Sonata Theory, 101.
Since there is no I: P.A.C. in the restatement of the first subject, the task of firmly reestablishing the tonic key is left to the second subject alone. The restatement of the second subject in C major starts in measure 159. The first subordinate theme here is virtually identical to the same part from the exposition. A I: P.A.C. in measure 176 (Ex. 5.67) provides a minimal fulfillment of the harmonic goal of the second subject in the recapitulation. Although it is approached with a very strong cadential progression, the note C in that measure does not receive any harmonic support, and the cadence is then reopened with an ascending passage that leads to the next theme. At this point one would definitely wait for the attainment of the first satisfactory cadence in the tonic key.
The second subordinate theme of the second subject is recapitulated in the tonic key in measures 177 to 190 (Ex. 5.68). Although it is thematically modified, the phrase structure and underlying harmonic progression are still strictly retained.


The first satisfactory P.A.C. in the tonic key or the point of *essential structural closure* finally occurs in measure 190, and is truly a dramatic moment. The tonic key is now fully reestablished. The closing passage then starts to conclude the movement. The tonic key is further reinforced by the cadences in this area. In measure 202, descending parallel octaves create a very strong tonic reaffirmation and the two bold C major chords end the movement with forceful energy (Ex. 5.69).
II. Adagio

The second movement, in G major, the dominant key of C major, functions as the interior movement between the fast outer movements. According to Hepokoski and Darcy, this choice of key reflects a gesture toward increased harmonic tension.\(^{228}\) It is in the same tonality as the exposition's second subject and closing passage of the first movement. Since this movement resides in the dominant key, it raises the tension, which will be resolved by the last movement in the tonic key.\(^{229}\) In addition, this movement provides an escape from the tonic that governs the whole work. Here, the original tonic becomes the subdominant of its dominant and plays less significant harmonic roles. Moreover, as the music progresses, the movement will push itself into its own dominant-key zone, distancing itself even further from the original tonic.

The overall structure of this movement is displayed in Table 5.5. It is in what William E. Caplin calls the *large ternary* form, which is frequently used in slow movements.\(^{230}\) The terminology of this form varies. For instance, Berry uses the term

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\(^{228}\) Hepokoski and Darcy, *Elements of Sonata Theory*, 324.

\(^{229}\) Ibid.

\(^{230}\) Caplin, *Classical Form*, 211.
'compound ternary' in his *Form in Music*\(^{231}\) while Green calls this 'full-sectional ternary' in *Form in Tonal Music*.\(^{232}\)

| Table 5.5. Mauro Giuliani, *Sonata in C, Op. 15*, mvt. 2, Form |
|---|---|---|---|---|
| \(A\) | \(B\) | \(A'\) |
| Primary theme | transition | Secondary theme | retransition | Primary theme | coda |
| G: I | D: I | I |
| mm.: 1 | 25 | 29 | 41 | 49 |

Its tripartite division is identical to a small ternary form. However, there are significant differences between the two as described by Caplin:

Whereas the A section of a small ternary may modulate and close in a subordinate key, the first part of a large ternary always begins and ends in the home key, even if there has been an internal modulation. Consequently, the third part has no need to make any tonal adjustments. Instead, it usually follows the basic tonal and formal plan of the first part (with the likelihood of ornamental changes, of course). Unlike the B section of a small ternary, which, with few exceptions, ends with dominant of the home key, the second part of the large ternary frequently closes with tonic harmony (though not usually of the home key).\(^{233}\)

The harmonic scheme of this Adagio, which shall be examined below, exactly fits this explanation.

After the forceful ending of the first movement, the slow movement begins with a tranquil, lyrical theme. Its aria-like nature is also reflected by the two florid passages

\(^{231}\) Wallace Berry, *Form in Music: an Examination of Traditional Techniques of Musical Form and Their Applications in Historical and Contemporary Styles* (New Jersey: Prentice-Hall, 1986), 68.


\(^{233}\) Caplin, *Classical Form*, 211.
similar to bel canto melismas in measures 7 and 14. The primary theme contains two contrasting themes (measures 1 to 24), as demonstrated in Ex. 5.70.


The first one (measure 1 to 16) comprises two periods. The first eight bars is a period in its own right, with a tonicizing action of the dominant. The next period transposes the first part of the previous one an octave higher. In measure 14, Giuliani approaches the cadence in measure 16 with a fermata on a C major chord, the subdominant chord, followed by an aria-like melisma marked by *a piacere* that leads to a
cadential I6/4 and dominant chords in the next bar. This procedure is similar to how the
cadence in measure 8 is prepared, but the composer further intensifies the second period
with a greater degree of rhythmic freedom. The following authentic cadence in the tonic
key (measure 16) is the culmination of both the larger design and another smaller eight-
bar period in mm. 9 - 16. Therefore, the period structure of the whole span is quite
complex.

The I: P.A.C. in measure 16 is immediately reopened by a new repeated sixteenth-
note accompaniment figure, and the second theme comes in measure 17. Although the
two phrases in measures 17 to 24 are thematically different, they have the same rhythmic
motive. The second phrase of this period is obviously based on the first subject from the
first movement. The new accompaniment figure and a more flowing melody on the high
voice create rhythmic momentum that drives the primary theme to its final P.A.C in
measure 24. Following that is a short transitional passage that modulates to the dominant
key and projects the music into the next area.

The secondary theme (Ex. 5.71) in D major, the dominant, arrives in measure 29.
It contrasts with the primary theme in terms of character, melodic and rhythmic materials,
and texture. The new theme opens with a forceful contrapuntal passage: parallel thirds on
a moving triplet bass line marked by f and accents on every down beat. However,
Giuliani still maintains the four-bar phrase structure here. The second phrase (measures
33 to 40) seems to approach a V: P.A.C. in measure 37, but instead of resolving the
dominant chord there, Giuliani further increases the harmonic and rhythmic intensities by
postponing the cadence with a florid passage that occurs over secondary dominant
harmony (V/V) in measure 37 and on the dominant chord in the next measure. Then, the
secondary theme eventually reaches a satisfactory V: P.A.C. in measure 40, which is certainly a dramatic moment.


A retransition (measures 41 to 48) suddenly follows and starts to reactivate the dominant of the home key. The abrupt modulation to D minor provides a darkened tonal color and mood. Here, Giuliani presents two sets of dotted melodic sequences on D
dominant pedal tones that heighten anxiety and provoke expectation for the return of the primary theme in the tonic key.

The primary theme returns in measure 49 and is virtually identical to itself in the first part of the movement. Giuliani only expands this by repeating the material in measure 71 three times (Ex. 5.72). He also indicates a gradual dynamic increase with crescendo, and the music seems to gradually gain energy toward its ending. However, the rhythmic momentum is unexpectedly interrupted with block chords in measure 74 and, especially, the fermata on the E minor chord in the following measure. Also, the dynamic intensity instantly subsides. Then, in measure 77, the movement is concluded by a codetta based on the first subject of the first movement.

Example 5.72. Mauro Giuliani, Sonata in C, Op. 25, mvt. 2, mm. 69-84.
III. Finale

The fast Finale restores the original tonic key that is distanced in the second slow movement. The tempo marker *Allegro vivace* indicates that this last movement provides a heightened spirit of the first movement. It is an extended nine-part rondo on the order of AB-AC-A'D-AB-A + coda (Table 5.6):


<table>
<thead>
<tr>
<th></th>
<th>A</th>
<th>B retransition</th>
<th>A</th>
<th>C</th>
<th>A'</th>
<th>D</th>
<th>A</th>
<th>B</th>
<th>A</th>
<th>coda</th>
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</thead>
<tbody>
<tr>
<td>C: I</td>
<td>V</td>
<td>I</td>
<td>vi - IV</td>
<td>I</td>
<td>C</td>
<td>I</td>
<td>V</td>
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</tbody>
</table>

It seems unusual to explain the structure of the rondo in this way since textbook formulas such as ABACA or ABACAB'A are more widely used. However, according to Hepokoski and Darcy, "the rondo refrain is always a beginning, never an ending." In other words, the refrain never functions as a continuation of a previous couplet or episode, and "it always begins something new." This analysis follows their method, and the diagram reflects rondo rotational divisions as described by the two scholars.

Their idea is also supported by two influential nineteenth-century writings: Anton Reicha's *Traite de Haute Composition Musicale* (1824-25) and Carl Czerny's *School of Practical Composition* (1849). In his work, Reicha divides an unusual extended rondo

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235 Ibid.
236 Ibid.
237 Ibid.
form ABACADAB' coda into four "sections": 
"[1] AB; [2] AC; [3] AD; [4] AB'-- followed by the coda." 238 Similarly, in Czerny's account, the five-part rondo is separated into three main "periods" in which each one 'begins' with a refrain: AB-AC-A+ coda. 239 Hepokoski and Darcy's analytical perspective of rondo form is very insightful because they describe it according to the function of the refrain, which is the defining feature of the rondo form.

In general, Rondos from the Classical period for the most part into two categories: five-part rondos and sonata-rondos. 240 The seven-part rondo is "a rather rare occurrence in Haydn and Mozart," 241 but the nine-part rondo, like this third movement, is extremely rare in the Classical period. Caplin provides three examples of this form in his Classical Form, all by Mozart: the fourth movement from Serenade in D major, K. 250/248b; the third movement of Piano Sonata in B-flat major, K. 281/189f; and Rondo for Piano in F major, K. 494, which is also included as the last movement of Piano Sonata in F, K. 533. Due to the rare use of the form, Giuliani's choice of form here reflects a very special formal option.

The last movement is launched with a very rhythmic and energetic rondo theme or refrain (Ex. 5.73). It is characterized by driving rhythm and accents marked by \( sf \) on the third beats of the first three measures. The rondo theme (measures 1 to 16) is constructed in an antecedent-and-consequent period, which makes the theme easy to

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238 Hepokoski and Darcy, Elements of Sonata Theory, 391.

239 Ibid.

240 Ibid., 231.

241 Ibid., 401.

recognize. The first episode in G major key, the dominant, arrives in measure 17 (Ex. 5.74). However, it does not really begin in that key. The new tonality is quite obscured in the first seven bars of this episode due to the G dominant seventh chords that lead to the C major chords in measures 18 and 22. The dominant key gradually becomes clearer after measure 24, where G major and D dominant seventh chords alternate. Also, here, the melody rises to a higher register and is supported by a new steady accompaniment figure. The music starts to gain driving energy toward the end of this new theme, and then reaches a P.A.C. in measure 34, where the new tonality is finally secured.

Like the first subject of the first movement, the first episode is preceded by a short accompanimental figure. This idea is used in every movement as a unifying device. The rhythmic figure introduced in measures 5 to 7 provides material for the first episode. This means that the rhythmic momentum started in the refrain is still maintained here. Likewise, as mentioned above, the C major key is still perceivable in the first bars of the first episode, and, therefore, it sounds like a continuation of the refrain.

After the V: P.A.C. in measure 34, a retransition reactivates the dominant of the tonic and leads to the refrain in the tonic key. The second episode, labeled with the letter 'C' in the diagram, comprises two themes that reside in two tonal regions. The first theme (Ex. 5.75), in A minor, the relative minor of the tonic key, opens with two contrasting
gestures: a bold A minor chord followed by parallel octaves and quiet repeated notes on V/V-V chord progression. This idea appears again in measures 67 and ends with a vi: P.A.C. in measure 70. A florid passage follows in measure 71 and reaches a H.C. in A minor in measure 84. Then, the musical idea in measures 63 to 70 recurs to conclude the theme.

The next theme (Ex. 5.76) abruptly modulates to F major, the subdominant of C major, and introduces a melody based on a fragment from the motivic idea of the first subject. Here, the music gradually modulates back to the tonic key and prepares for the return of the refrain. The D minor chord in measure 94 now also functions as the supertonic chord in C major that leads to a G dominant seventh chord in the next bar. The tonality has now shifted back to the tonic key.

Giuliani thematically modifies the third statement of the refrain (Ex. 5.77). In measures 116 to 119, the main idea from the antecedent phrase now occurs over the supertonic harmony. The latter part of the consequent phrase (measures 120 to 125) does not aim to close the refrain as before. It now plays a transitional role by raising harmonic tension and instability in order to project the music into another area. The tempo is also slowing--as indicated by the Italian term Slargandosi (It., slowing, broadening), and one would expect that something dramatic is to happen.

The arrival of the third episode is a new turn of events. The tempo becomes slower, and the time signature suddenly changes from 3/8 to 2/4. Also, it is totally unexpected because the thematic and harmonic process in measures 116 to 125 creates an impression that the music might be led into an intense and developmental section. Therefore, the appearance of a new playful theme in C major in measure 127 is truly a surprise.

This episode is structured as a small ternary. It is the longest contrasting episode of the rondo, lasting for forty-four bars. It begins with a short accompaniment figure that leads to the lyrical, playful theme in measure 127 (Ex. 5.78). After the theme ends on a H.C. in the tonic key, a short fanfare- like idea (measures 135 to 138) initializes the second theme of the third episode in the dominant key.
Here, Giuliani recalls some materials used in previous movements. For example, in measure 143, he uses the descending syncopated cadential chords from the second subject of the first movement (Ex. 5.79), and the accompaniment figure in measures 144 to 149 has already been employed in the second movement.
After a V: P.A.C. in measure 150, a retransition reactivates the dominant of the tonic and leads to the return of the first theme of the third episode in measure 154. In measures 163 to 169, Giuliani extends the theme with music that has an obvious reference to the first subject of the first movement (Ex. 5.80), and then the third episode closes with a P.A.C. in the tonic key in measure 170, where the refrain simultaneously reappears.

Giuliani does not yet follow this refrain with a coda, but he extends the music with a literal restatement of the first episode or the 'B' section instead. This probably is due to a matter of thematic proportion; it would require a sufficient space in the original triple meter to resolve the thematic conflict raised by the long contrasting episode in a duple meter. Then, the fifth statement of the refrain leads to a coda that lasts from measures 232 to 259 (Ex. 5.81). It starts with a descending passage that signifies the
upcoming ending. Then, the tonic key is reinforced by a number of cadences, and the last movement forcefully ends with the three bold C major chords.


The Comparison of Sor's and Giuliani's Sonata Style in Their Multi-movement Sonatas

From the theoretical analyses of the sonatas, it is clear that there are differences in sonata style between Sor and Giuliani. This section is written in order to address questions about this matter. It is a comprehensive comparison of their compositional approaches such as formal organization, harmonic language, and thematic treatment.

As for the overall structure, Sor uses both the standard type and the so-called "Type 2 sonata" while Giuliani employs only the standard type. Giuliani experimented with the "Type 2 sonata" in guitar music much later in his Gran Sonata Eroica, Op. 150, published in 1840, which is a one-movement work.

Exposition

Both Sor and Giuliani use an introductory gesture to initiate a sonata movement. (The second movement of Sor's Op. 25 begins with a thematic statement because it has already been preceded by an extended, complex introduction in sonata form.) Sor starts the first movement of his Op. 22 with a strong opening reflected by the use of the orchestral bold-chord gesture (Ex. 5.82). His first subjects are filled with driving rhythmic figures and engage the listener with excitement. They are usually based on repeated-note gestures, which he extensively uses as unifying ideas throughout these sonata cycles.

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Sor treats transitions in the first movement of Op. 22 and the second movement of Op. 25 in a very similar manner. He uses repeated sextuplets that create an effect resembling a string "tremolando." Flattened submediant chords are employed in the transitional area as well. These chords function as the submediant chord (VI) in G minor, the parallel minor key of the dominant. Since Sor creates an impression that the music is likely to modulate to the dominant, the appearance of the flattened submediant chord rather implies the tonal shift to dominant minor, which is quite a sudden turn of events. In addition to this, he also uses an augmented sixth chord in the dominant key to prepare for the final half cadences of the transitions.

In contrast, Giuliani launches his Op. 15 with a weak, subtle opening that is similar to a keyboard accompaniment figure (Ex. 5.83). The materials in the main theme are more stable and relaxed. The lively character of this movement, implied by the term *Allegro spiritoso*, is suppressed in the opening by *P*.

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Then the forceful passage near the end of the main theme restores energy that is missing in the previous part (Ex. 5.84). His transition starts in measure 17. The bold C major chords in the previous bar provide the tonic framework for the following single-line passage. This textural change marks the beginning of the transition. The modulation process in Giuliani's transition is straightforward and logical; he uses an A minor chord as a pivotal point to prepare for the secondary-dominant zone that starts in measure 26.


Sor tends to articulate the arrival of the second subject in the dominant key with an explicit textural change except with the first movement of Op. 25, in which he uses the same repeated eighth-note accompanimental figure throughout the movement, creating unity of effect. In fast sonata-form movements, his second subject comprises multiple subordinate themes that have thematic connections with the first subjects. For example, in the first movement of Op. 22, the second subject is based on the repeated note gesture introduced in the first subject.
One of the most striking features of Sor's sonata practice in these works is the way he prepares the point of *essential expositional closure*. The composer always articulates this crucial harmonic event in a dramatic manner. In the first movement of Op. 22, he approaches the EEC with a long virtuosic arpeggiated passage (Ex. 5.85). Likewise, the EEC in the first movement of Op. 25 is preceded by a long cadential trill.


Giuliani's treatment of the second subject in his Op. 15 is very similar to that of Sor in the first movement of Op. 25; he retains the same accompaniment rhythmic pattern introduced within the first subject. Although the melody is new material, the use of similar figuration here provides an effect almost identical to that of the first subject. The way Giuliani achieves the point of EEC is more subtle than Sor's method. The descending syncopated melody in measures 64 and 65 occurs on a dynamic cadential chord progression (G: I6-ii6-I6/4-V-I), creating a strong sense of tonal affirmation (Ex 5.86).
In general, Sor's harmonic organization in the developmental space is not complex and progressive. The use of flatted mediant key in the development, as in the first movement of Op. 22, had been used by Mozart and Haydn. His development does not modulate through various tonal regions. It resides in one key until the reactivation the dominant of the tonic starts. For example, in the first movement of Op. 25, the development begins in F minor, the subdominant key, and the music then gradually progresses to the prolonged-dominant zone in the retransition.

In some cases, Sor employs two tonalities in this area. In the first movement of Op. 22, he starts this section in Eb major, which is the mediant of the parallel minor of the tonic. Then, the music modulates to C minor. After the half cadence in C minor is attained in measure 114, the retransition reactivates the dominant of the tonic to prepare for the dramatic return of the first subject in the tonic key. Likewise, in the second movement of Op. 25, the beginning of the development is in the key of C minor. Then, a material from the second subject is restated in Ab major from measure 147 to 150.
Likewise, Giuliani's use of harmony in this section in the first movement of Op. 15 is not complex. The beginning of his development has a close harmonic connection with the retransition at the end of the exposition. The fully diminished seventh chord in measure 84 can be respelled as G#-B-D-F, becoming vii°7 of A minor (Ex. 5.87).


This directly leads to the prolonged-dominant zone at the onset of the development. Giuliani presents the first developmental theme twice: the first time in A minor, the second in A major. This provides a sudden change in tonal color. Since it shares the same tonic, the tonal center remains the same. Therefore, his development does not exhibit a journey of keys. After the music enters a dominant area from measure 127 to 130, Giuliani abruptly starts the retransition with the dominant seventh chord in the tonic key. This is very different from Sor's approach because Sor always prepares his retransitions with gradual modulations.

As for the thematic development, Sor presents quite a number of strategies. In this section, Sor mostly uses thematic materials from the exposition and rarely introduces any episodic passage. However, he usually avoids using a literal restatement of the first subject or its obvious thematic reference since this strategy is too common a practice. In
the first movement of Op. 22, the first developmental theme is fashioned out of the repeated-note gesture introduced in the first subject. The virtuosic arpeggiated passage near the end of the exposition is modified in measure 102 to 103 and 106 to 107. In the development of the *Adagio* from Op. 22, a fragment from the second theme of the first subject is treated sequentially (Ex. 5.88). The material from the transition is reworked in the retransition as well.


![Example 5.88](image)

The development of the second movement of Op. 25 reflects a special thematic option. Here, Sor's musical ideas are primarily derived from the second subject. According to Hepokoski and Darcy, normally, materials from the second subject are not used frequently in the development.\(^{242}\) This is possibly due to its crucial harmonic role of producing the point of EEC in the exposition. Any implications of the second subject in the development might create an impression that the music is approaching the ESC,

\(^{242}\) Hepokoski and Darcy, *Elements of Sonata Theory*, 205.
which only happens in the recapitulation.\textsuperscript{243} Therefore, second-subject-based materials tend to be treated with caution.\textsuperscript{244} To avoid this problem, Sor approaches the half cadence in measure 166 using a similar driving figuration he employs at the point of EEC (Ex. 5.89). It indicates a movement toward increased harmonic tension, which is opposite to the tonal resolution that is to be achieved in the recapitulation. This treatment confirms that the point of ESC is not attained here.


\begin{figure}
\centering
\includegraphics[width=\textwidth]{example5_89.png}
\caption{Example 5.89. Fernando Sor, \textit{Sonata in C, Op. 25}, mvt. 2, mm. 163-169.}
\end{figure}

In addition, as previously discussed in the analysis (p. 112-114), the use of materials from the second subject in the development effectively disguises the "Type 2" pattern of this movement. When these elements are thoroughly developed in this space, the listener might assume that this movement is in a standard sonata form. Under this thematic situation, its sonata type becomes clear only when the music has passed the development. Hence, the arrival of the "tonal resolution" is an unexpected event.

\textsuperscript{243} Hepokoski and Darcy, \textit{Elements of Sonata Theory}, 205.

\textsuperscript{244} Ibid., 216.
Giuliani starts his development in the first movement of Op. 15 with a very vigorous passage (Ex. 5.90). This episodic opening on prolonged dominant harmony "suggests a changing of the subject, a reluctance or unwillingness to do the more standard thing."\textsuperscript{245} Giuliani uses this passage to prepare for the first developmental theme in A minor. Since the theme is based on the first subordinate theme of the second subject, which functions as a 'continuation' in the exposition, the use of this dramatic opening is very suitable for the circumstance. This theme occurs again in A major. Although it is the same idea, the sudden change in tonal color makes this repetition a fresh event that keeps the interest of the listener. Giuliani introduces another episodic theme in measure 115, and then brings the development to its climax in measure 127. Therefore, his development section is filled with new materials, while Sor's development uses thematic resources from the exposition.


\textsuperscript{245} Hepokoski and Darcy, \textit{Elements of Sonata Theory}, 212.
Recapitulation

Due to the use of "Type 2" structure in most of his sonata-form movements, Sor's post-development areas are fundamentally different from that of Giuliani. The arrival of the "tonal resolution" that follows the development is marked by the restatement of the second subject in the tonic key while the onset of the recapitulation in the standard sonata form is signaled by the return of the first subject. Even when he employs the standard sonata form like Giuliani, as in the first movement of Op. 22, the differences between their recapitulation procedures are still obvious.

As suggested above, in the exposition Sor usually based the first and the second subjects on the same element: the repeated-note gesture. Although they are often distinguished from each other by textural contrast and different tonal centers, the thematic connection between these two zones is quite noticeable. Sor's development sections are also filled with thematic references from the exposition. In Type 2 sonata form, the "tonal resolution" involves only the restatements of the second subject and the closing passage in the tonic key. When Sor employs this sonata type, he is able to present these materials again without the problem of redundancy. Within the exposition of the standard sonata form, this is also possible because the interest also lies in the opposition of two tonal forces. However, in the recapitulation, expositional materials are to be restated in the same key. Hence, Sor has to make significant structural changes to avoid the overuse of the same musical ideas.

In the first movement of Op. 22, the recapitulation begins with the literal restatement of the first subject. The transition is reduced in length because it does not aim

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246 The analysis of the second movement of Sor's Op. 22 provides a discussion of Hepokoski's and Darcy's "Type 2 Sonata" (p. 72-82).
to provide a connection between two tonal centers. In the second subject area, however, Sor recapitulates only the second subordinate theme. The omission of the first subordinate theme is likely because of the need to limit the use of the repeated-note gesture, which is employed throughout the movement. In addition, the long arpeggiated passage that precedes the point of essential expositional closure (EEC) is also left out in the recapitulation. Instead, Sor approaches the point of essential structural closure (ESC) in measure 183 with more stable material to provide a relaxed conclusion for the movement (Ex. 5.91).

Example 5.91. Fernando Sor, Sonata in C, Op. 22, mvt. 1, mm. 177-184.

On the other hand, Giuliani’s recapitulation in the first movement of Op. 15 mirrors his exposition. The first subject is slightly reworked. Its latter part does not close with a P.A.C. as in the exposition, but instead diverts into a transitional zone. The rest of the movement is virtually the same. Giuliani only modifies the second subordinate theme of the second subject, but its harmonic frame is still retained. The composer makes few structural changes here because his development contains mostly new musical ideas. Rhetorically, he is able to restate the same materials without running the risk of redundancy. In addition, unlike Sor, Giuliani’s exposition is quite stable in general.
Therefore, he does not need to make significant thematic adjustment to produce a settled conclusion in the recapitulation.
Sor's Sonata in C, Op. 22

Sor's first multi-movement sonata displays greater controls over thematic organization in larger form than the preceding Opp. 14 and 15b, which are only one-movement works in sonata form. Op. 22 is a very dramatic, substantial work, presenting a chain of articulated contrasts unified by related thematic ideas, especially the repeated note gesture. It aims to impress and stir the heart of the audience upon the first hearing. A wide range of dynamics and tone colors are strongly needed. To give an engaging performance of this composition, it requires an intimate knowledge of the work. All significant structural events should be articulated. In addition to this, classical interpretation of phrase and period is recommended.

I. Allegro

The first movement starts dramatically with energy, strong determination, and excitement. Its first subject comprises three components with different functions: initiation, statement, and closure. The entrance of the thematic statement is initiated by a vigorous bold chord gesture that alternates with a quieter passage. These two contrasting ideas should be distinguished by a difference in dynamic levels. The performer should strum the chords forcefully with the thumb ($p$). The statement appears as parallel thirds over driving tonic pedal tones in measure 9, and the first subject is then concluded with a mildly contrapuntal passage that is similar to a dialog between two groups of different orchestral instruments (measures 13 to 20).

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The most difficult passage of this sonata lies in the transition. The repeated sextuplets (Ex. 6.1) are not quite a technical issue when playing on a rather small nineteenth-century guitar, however, it becomes challenging on the modern guitar due to its wider space between the strings, requiring a longer stroke with the thumb. In this situation, many performers might consider making some alterations to the music. However, the performer should be aware that this is an imitation of the orchestral string tremolando. Therefore, any adjustment must still retain this effect.


A solution to this issue is to "omit" the high notes on the down and up beats in measures 32 to 35 as in measure 31. With this approach, the performer can play the passage with the same right-hand fingering throughout, and limit the movement of the thumb. It also produces the same effect because this omission is not very noticeable in performance.

After the transition ends forcefully, the second subject in the dominant key arrives as the new melody that is established in a higher voice register (Ex. 6.2). Its first subordinate theme and the transition are clearly distinguished by sudden changes in
mood, texture, and dynamic. However, the second subject is also thematically based on the repeated-note gesture introduced within the first subject. To articulate this thematic coherence, it is recommended that this gesture be performed with the same articulation whenever it occurs.


The second subordinate theme starting in measure 62 is stable and rather playful. Then, a sudden increase in rhythmic activity in measure 78 implies that the exposition is about to reach its critical harmonic goal, the point of *essential expositional closure*. To achieve this dramatic moment, the virtuosic passage must be performed with a strong sense of driving energy and direction leading toward the EEC. This kind of situation might invite a skilled performer to increase the tempo in order to articulate this dramatic event. However, if one wishes to do so, there are some aesthetic concerns that should be taken into consideration. The following paragraphs will discuss this issue in detail.

In the Classical and Romantic periods, tempo modification had been a heavily debated topic. "At one extreme were those musicians who believed that this expressive resource should be used sparingly and with extreme subtlety, while at the other were
those who introduced frequent and obvious tempo modifications." C.P.E. Bach remarked that "lack of these elements or inept use of them makes a poor performance." Opinions and practice varied greatly, and the examples of both manners could be observed in public performances during these periods. However, the majority adhered to unity of tempo and restrained tempo modification that is not marked by the composer, except in certain kinds of composition such as fantasias or recitative. Louis Adam, French composer and piano virtuoso writes: "Some have made it fashionable not to play in time, and perform every type of music like a fantasia, prelude, or caprice. They believe thus to give more expression to a piece and they change it in such a manner as unrecognizable." The music critic Friedrich Rochlitz, too, disliked the modification of the tempo and severely criticizes such practice as follow:

The pretence that the expression might gain from holding back or pushing forward the tempo is, except in very rare cases, nothing more than a pretence, intended only to throw sand in the eyes of the listeners and make it necessary for the accompanists to give way, so that, if all the parts do not give way at one and the same moment, which in many cases is not possible, one can blame the error against the beat, which is one's own fault, on the accompaniment. Unfortunately fashion still continues to allow this to the singer or solo player; unfortunately the result of this [tempo modification] is that the performance of orchestral parts becomes ever more discredited, and the consequence of this usual procedure is that the orchestral players are often insulted in public music-making to the point of an offence against their sense of honour.

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250 Ibid., 375-376.

251 Ibid., 375-376.

252 Ibid., 383.

253 Ibid., 383.
The leading figures who preferred uniform rate of tempo were, for example, Hummel, Mendelssohn, and Czerny.

On the other hand, Anton Schindler, another student of Beethoven, was the early-nineteenth-century advocate of excessive tempo modification. He claimed that Beethoven adopted this manner of performance in his late period. 254 Although his claims have been seriously questioned and contested, some composers of the Romantic generation such as Liszt and Wagner were influenced by his ideas. 255 The increasing influence of this school is later reflected in *Traité de l'Expression Musicale*, published in 1874, by Mathis Lussy, a Swiss musician:

> One demands a uniform rate of time, without accelerando or ritardando; the other, on the contrary, is accustomed to quicken and slacken with every rhythm, every change. The first regards regular and mechanical precision as the height of perfection; the second will alter the time at every phrase, and will not feel anything objectionable in the constant irregularity. Now we have observed that the warmest partisans of the uniform and regular rate of time are precisely those who have no feeling for expressions. 256

Both approaches are possible, and the decision is now left to the performer. But if he feels the desire to alter the tempo, he should be aware of the type of composition or movement being performed since the degree of tempo flexibility varies in different pieces. Even Lussy still admits that "In Prestos, Allegros, Galops Valses etc. it seems natural to keep up a uniform rate, only slackening with the loss of power and impetus, or when there is an evident change of structure..." 257

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255 Ibid.

256 Ibid., 387-388.

257 Ibid., 388.
In the first movement of Sonata, Op. 22, The development opens with a series of subtle parallel octaves, which, as suggested in the analysis (p. 67), obscures the quality of the new tonality. To enhance the sense of uncertainty, Sor thus marked the beginning of this section with the term étouffez (Fr., to stifle, damp, or subdue), as illustrated in Ex 6.3. In his Méthod pour la Guitare, he refers to sons étouffez as "buffed sounds"\(^{258}\) and describes it as follow:

To damp or check the sounds, I have never employed the right hand; but I have placed the fingers of the left hand so as to take the string on the fret which determines the note, pressing it with less effort than usual, but not so lightly as to make it yield a harmonic sound. This manner of damping, or buffing, requires great accuracy in the distances but produced true suppressed sounds\(^{259}\).

The composer also mentions that he rarely employed it,\(^{260}\) which reflects his special need for this effect. Thus, the parallel octaves should be executed accordingly. If the performer prefers another method, it is recommended that he play these octaves in a manner that is suited for the harmonic situation, for example, the use of a dark timbre.


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\(^{259}\) Ibid.

\(^{260}\) Ibid.
The next area of the development features an alternation between two contrasting gestures: the brilliant arpeggio and the syncopated rhythmic figure (\(\text{\textbullet} \text{\textbullet} \text{\textbullet} \text{\textbullet} \text{\textbullet}\)), which was extensively used in the Neapolitan opera overture by composers such as Paisiello and Chinarosa (Ex. 6.4).\(^{261}\) These two gestures can be distinguished by differences in dynamic and tone color to portray a dialog between two different instrumental forces. The virtuosic passage can also be played at a quiet dynamic level, and the next one forcefully to represent an orchestra playing tutti.


![Example 6.4. Fernando Sor, Sonata in C, Op. 22, mvt. 1, mm. 98-101.](image)

Although the retransition does not seem to have any serious technical issues, the parallel thirds on dominant pedal tones (Ex. 6.5) require a delicate control of the right hand. Sor marks this passage with *Dolce*, implying the use of a rich, mellow tone color. The unity of sound quality has to be retained throughout the passage, even when some notes occur on different strings. In addition, the performer has to be keenly aware of the balance between the parallel thirds and the bass pedal tones. Since the lower voice is played with the thumb, it is important to not let it overpower the flowing parallel thirds.

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\(^{261}\) Yates, "Sor's Guitar Sonatas: Form and Style," 29.

In the recapitulation, the restatement of the first subject should capture the same spirit as the opening of the movement. However, its second subject and the coda should be performed with an overall sense of relaxation and stability due to the nature of the thematic materials and the harmonic goal of the recapitulatory second subject in bringing tonal resolution to the movement. As suggested in the analysis (p. 70-71), Sor achieves the point of *essential structural closure* (ESC) (measure 183) in a very settled manner and this structural change is made to create a stable conclusion for the movement.

II. Adagio

The opening lyrical theme marked by *Dolce* (Ex. 6.6) and its light texture drastically contrast with the forceful ending of the first movement. According to Anthony Gliss, Sor and many nineteenth-century guitar composers tended to indicate a passage to be played on a high position with the term "*Dolce*."262 He also points out that the end of the "dolce section" is indicated by the fingering of the next passage (measure 5) in a lower position, implying brighter tone color.263 However, the performer can also play the whole first subject with darkened tone throughout to create a unity of effect and enhance

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262 Glise, *Complete Sonatas of Sor, Giuliani & Diabelli*, 144.

263 Ibid.
the mysterious character and the emotional depth of the movement. As discussed in the analysis (P. 76), there is no transition between the first and second subjects. It is also effective to save a brighter timbre for the second subject in the relative major key to articulate the abrupt change in mood and unprepared arrival of a new tonal area.


The first subject is shaped as a short binary, which is a rare practice. Many performers seem to disregard the repetition signs here and play each part once. However, these signs are very structurally important. "Repeat signs within an opening melody are more often signals of a rondo theme and hence predictive of either a pure rondo or...[sonata rondo]." In other words, when the first subject appears as a binary with repeat signs, it is normally understood as a "refrain." In addition, it can be taken as a theme and variations as well. These repeats aim to "camouflage" the true identity of the form at the beginning. This compositional approach is seen in the finale of Mozart's Quintet in D major, K. 593, where its first subject is in rounded binary (with repeats).

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264 Hepokoski and Darcy, *Elements of Sonata Theory*, 70.
Therefore, the significant structural function of these repeats should not be overlooked because they help create the sense of formal ambiguity.

The second-subject area is particularly difficult and calls for the commitment of a significant amount of practice time to perform accurately. The performer must simultaneously achieve a singing quality in the top voice and a subdued accompaniment part with the right hand. In measures 31 to 38, the parallel thirds below the Bb dominant pedal tones need to be brought out, requiring complex control.

In addition, there are some ornament issues that should as well be discussed. The turns in measures 25 and 43 occur on weak beats, which, according to Anthony Gliss, imply *unaccented* turns. In the eighteen and the early nineteenth centuries, the use of the turn were varied. For example, C.P.E. Bach primarily regarded the turn as an accenting ornament while for Leopold Mozart it was rather "an improvised ornament, to be applied where a note was to be given particular liveliness." Basically, when turns are positioned on weak beats, they function as "connecting ornaments." The melody in measure 25 is clearly an embellishment of measure 23 (Ex. 6.7).


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265 Glise, *Complete Sonatas of Sor, Giuliani & Diabelli*, 144.


267 Ibid., 491.
In this case, the turn is used in an improvisatory manner. Forms of the turn varied. The execution here should, therefore, be determined by the musical context, fingering, and the preference of the performer. Two realizations are illustrated in Examples 6.8 and 6.9:


Ex. 6.8 displays an execution of the turn before the beat. The turn in Ex. 6.9, which is performed on the beat, is a realization for an "unaccented" turn based on Glise's description. Both approaches are possible. According to Clive Brown, "the majority of authorities favored an on-beat performance, but some advocated a performance before the beat."  

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The fingering in the second half of measure 43 makes the execution of the turn difficult. Anthony Gliss suggests a solution to this matter as demonstrated in Ex. 6.10. Like measure 25, the turn can also be performed before the beat (Ex. 6.11).


In measure 45, the long cadential trill marks a crucial structural point. The previous cadences in the second-subject area overlap with the beginnings of the first and second subordinate themes. The cadence in measure 47 is the only P.A.C. in that vicinity that suggests a closing gesture. Therefore, it certainly has more weight than the previous two. The trill is employed to signify the point of essential expositional closure (EEC),
where the new tonality is firmly established. In a wider formal perspective, this is the primary harmonic goal of the entire exposition, and Sor articulates the moment dramatically.

As for the execution of the trill, in the Baroque period, the beginning of the trill on the upper auxiliary note had been the standard practice, which was retained throughout the Classical and early Romantic periods. In *Essay on the True Art of Playing Keyboard Instruments*, C.P.E. Bach stresses that "...it [the trill] always begins on the tone above the principle note."²⁶⁹ Likewise, Leopold Mozart and Johann Joachim Quantz supported this rule, but they also proposed that the trill may also start with the lower auxiliary as well.

However, in the late eighteenth century, deviations from the long standing rule were discussed in the treatises of Johann Friedrich Reichardt (*Ueber die Pflichten*, 1776) and Daniel Gottlob Türk (*Klavierschule*, 1789). Although Türk expressed his disapproval of the main-note trill beginning, his writing indicates diversity of practice in the second part of the eighteenth century. In the early nineteenth century, Heinrich Koch made an interesting observation in his *Musikalisches Lexikon*, published in 1803: "The majority hold, with C.P.E. Bach, that the beginning of the trill must be made with the upper auxiliary;...others, however, that one should always begin it with the main note."²⁷⁰ This shows that there was a growing inclination of the main-note start in the nineteenth century, and its leading figures such as Johann Nepomuk Hummel and Louis Spohr came to be the advocates of this practice.

These accounts show that the performance of the trill in the Classical period does not always start with the upper note, as many musicians claim. The trill sign should be


understood "...not as a definite prescription of a specific ornament but as an invitation to the performer to select, often from a wide variety of possibilities, a trill type suited to the context." Again, this matter is up to the decision of the performer. With regard to this notion, Clive Brown gives a very sensible comment:

> Whatever may have been the views and practices of individual composers, it seems certain that the majority of performers employed trills beginning from the note above, the main note, or the note below, as it suited their musical purpose. Despite the apparently prescriptive teaching of some theorists, there are abundant indications in others of an acceptance that the execution of trills, like other ornaments, would be left to the taste of the performer, especially since few composers took the trouble to spell out their requirement clearly.

Two examples of trill realization are given here. Due to the fingering, the possibilities are quite limited. The performer can choose to execute the trill in a traditional manner (Ex. 6.12) or start it with the main note (Ex. 6.13). Both conclude with a type of trill ending called *Nachschlag*. However, it should be noted that these two methods create different effects, especially in slow tempos. The upper-note beginning emphasizes the dissonance of the appoggiaturas while the main-note beginning stresses the main note.


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272 Ibid., 493.

Since this is a long trill, it is very difficult to make a clear execution with the left hand alone. Therefore, it is recommended that the performer pluck every block chord lightly and then produce the subsequent notes with the left ring finger. To facilitate the trill execution, the performer should take the eighth note as the basic pulse. It will help maintain rhythmic accuracy as one gradually accelerates the trill to create a drive to the cadence in the following measure. This technical method and the discussion above can be applied to the similar situations in the post-developmental area as well.

III. Minuet and Trio

While many dance types from the Baroque period gradually faded during the emergence of the pre-classical style, the minuet firmly maintained its place among the most popular courtly dances throughout the eighteenth century. Its restrained, graceful gesture and stately dance steps suited the growing aesthetic value of the Rococo, and the dance itself represented the elegance of aristocratic culture. After the minuet was added in the Classical instrumental cycles, its simple pattern and phrase structure were experimented with and treated in different ways. Many eighteenth-century minuets fused with folkloric elements, whereas some others were influenced by the so-called sonata style or even the complexity of counterpoint.
Tempo is a very important aspect in dance music since dance steps can be properly executed only within appropriate rates of speed. However, when a dance becomes an instrumental piece in its own right, the justification of tempo should be based on its musical context. This issue is a very complicated one. The minuet never had a specific tempo, and its tempo conventions differed greatly in different times or places. In the letter of March 24, 1770, Mozart comments that Italian minuets were played slowly, which implied that the minuet tempo conventions in Vienna were faster. In Haydn's "London" Symphonies, there is a variety of minuet tempos and types, ranging from Menuet, Menuet Moderato, Menuet Allegretto, Menuet Allegro, to Menuet Allegro molto.

In this movement, Sor indicates the tempo with the term "Minuetto allegro." The metronome indications for this minuet type in some contemporary sources may look exceedingly fast for modern audiences. In the arrangements of Mozart's last six symphonies (for piano) by J. N. Hummel, published in London in 1823, the tempos of the minuet allegro vary from $\frac{1}{4} = \text{MM 66}$ to 88. In Carl Czerny's arrangements of the same symphonies (London, 1834), his metronome marking for minuet-allegro

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274 Ibid.


276 Ibid., 118.

movements are $\frac{3}{4} = 84 - 96$.\textsuperscript{278} William Malloch describes Czerny's tempo ($\frac{3}{4} = 96$) for the Minuet in Haydn's Symphony No. 99 as "unbelievable."\textsuperscript{279}

These accounts by no means offer definitive interpretations of minuet tempos, and they rather reflect Beethoven's idea of the scherzo.\textsuperscript{280} It would be irrelevant to base the tempo interpretation on them. In addition, the Minuet of Op. 22 would become excessively difficult, especially in measures 13 and 15 where the D dominant pedal tones are played by the right thumb alone. However, it is not recommended that this minuet be performed at a moderate tempo. Allegro was quite an unusual tempo for the minuet, and to the Classical masters such as Haydn, Mozart, and Beethoven, the dance generally evoked moderate speed.\textsuperscript{281} Since the tempo was a special option for the minuet, it is likely that Sor chose this tempo consciously. In the twelve minuets of Op. 11, Sor used terms such as Andante, Andante expressivo, Andante con moto, and Maestoso to imply slow or moderate minuets. When Sor wanted a fast minuet, he marked it accordingly. Therefore, the distinction between the fast minuets and moderate ones should be clear.

Perhaps suitable references for this interpretation are Beethoven's minuets that originally have metronome indications, as illustrated in Table 6.1. Beethoven was well

\textsuperscript{278} Harrison, \textit{Haydn's Keyboard Music: Studies in Performance Practice}, 121.


\textsuperscript{280} Harrison, \textit{Haydn's Keyboard Music: Studies in Performance Practice}, 121

\textsuperscript{281} Frederick Neumann, "How Fast Should Classical Minuet Be Played?," \textit{Historical Performance} no. 1 (Spring 1991): 5.
aware of the eighteenth-century minuet tradition,\textsuperscript{282} and he made clear distinctions between the traditional minuet and the scherzo in his works. "The scherzo type is so characteristic in its features that, regardless of where it is placed or whether or not it is so named, it will unmistakably be recognized for what it is."\textsuperscript{283}

Table 6.1. Beethoven's minuet tempos

<table>
<thead>
<tr>
<th>Type</th>
<th>Piece</th>
<th>Minuet Tempo</th>
</tr>
</thead>
<tbody>
<tr>
<td>Slow minuets</td>
<td>Septet, Op. 20</td>
<td>$\mathcal{d} = 116 \ [\mathcal{d} \cdot = 39]$</td>
</tr>
<tr>
<td>Moderate minuets</td>
<td>Quartet, Op. 59, No. 3</td>
<td>$\mathcal{d} = 126 \ [\mathcal{d} \cdot = 42]$</td>
</tr>
<tr>
<td></td>
<td>Eight Symphony, Op. 93</td>
<td>$\mathcal{d} = 126 \ [\mathcal{d} \cdot = 42]$</td>
</tr>
<tr>
<td>Fast minuets</td>
<td>Quartet, Op. 18, No. 4</td>
<td>$\mathcal{d} \cdot = 84$</td>
</tr>
<tr>
<td></td>
<td>Quartet, Op. 18, No. 5</td>
<td>$\mathcal{d} \cdot = 76$</td>
</tr>
<tr>
<td></td>
<td>Quartet, Op. 18, No. 2</td>
<td>$\mathcal{d} \cdot = 69$</td>
</tr>
</tbody>
</table>


The tempo range of the fast minuets here ($\mathcal{d} \cdot = 69 - 84$) is slower than those of Hummel and Czerny. Even so, it is still very difficult to play the Minuet in these tempos. However, the table also displays a tempo for moderate minuets ($\mathcal{d} \cdot = 42$). It is recommended that the Minuet and Trio be performed faster than this. The suggested tempos vary from $\mathcal{d} \cdot = 52$ to $60$. These tempo allows the melody of the Trio to flow effectively, and make it easy for the performer to distinguish this section from the Minuet, which is more emphatic and rhythmic.

\textsuperscript{282} Zarlaw, \textit{Mozart's Symphonies: Context, Performance Practice, Reception}, 497.

\textsuperscript{283} Frederick Dorian, \textit{The History of Music in Performance} (New York: W.W. Norton & Company, INC., 1942), 128.
In our period, the minuet da capo is invariably performed without repeat. Nonetheless, eighteenth-century practices regarding repetition were not necessarily consistent.\textsuperscript{284} In dance music, repeat signs were strictly followed and almost never omitted, but in some occasions they can be performed more than the signs indicated to facilitate choreography.\textsuperscript{285} Likewise, practices regarding repeats in minuet-and-trio movements also varied in the second half of the eighteenth century.

In the second edition \textit{Klavierschule}, published in 1802, Türk observes as follows:

...I remark further only this: after the trio of a minuet are commonly placed the words \textit{minuet da capo}, abbreviated \textit{Min. D.C.} or even just \textit{M.D.C.} This is meant to signify that the minuet is to be taken from the beginning again, and, to be sure, with the prescribed repeats as it was first played; that is, whenever ma senza replica (‘but without repeat’) is not expressly indicated.\textsuperscript{286}

Türk did not give this remark in the first edition of 1789, which, according to Neal Zaslaw, may be because during this time Türk had seen performances in which repeats were ignored, and he therefore wanted to clarify this issue.\textsuperscript{287} Likewise, in the second edition of Koch's \textit{Musikalisches Lexikon} (1807), he stresses that "the term [\textit{da capo}] appears at the end of pieces whose beginning section is repeated unchanged..."\textsuperscript{288} Further evidences can be observed in some of Haydn's minuet-and-trio movements. For example, in the Minuet of Piano Trio in F major, Hob. XV: 6, after the trio, Haydn fully writes out the repeats of each section of the minuet and modifies them slightly. These comments and Haydn's practice confirm that repeats in minuet da capo were generally expected.

\textsuperscript{284} Zarlau, \textit{Mozart's Symphonies: Context, Performance Practice, Reception}, 502.

\textsuperscript{285} Ibid.

\textsuperscript{286} Ibid., 503.

\textsuperscript{287} Ibid.

\textsuperscript{288} Ibid., 502.
Although Türk did not favor the omission of repeats, his account clearly acknowledges the emergence of this practice, which would later become the modern convention. In the same period, Muzio Clementi writes in his Introduction to *The Art of Playing the Pianoforte, Op. 44* (1801): "The second part of a piece, if VERY LONG, is seldom repeated; notwithstanding the DOTS [dotted bars or repeat signs]." According to, Bernard Harrison, Clementi might have implied that the omission or inclusion of repeat signs depended on the preference of the performer. His treatise was the first to advocate this idea.

Therefore, if the performer wants to follow the eighteenth-century general repeat convention and the aesthetic ideas of symmetry and balance, he should play the minuet da capo with repeats. However, sadly, it is likely that modern audiences would find it monotonous or redundant. But if the performer would rather omit the repetitions, he should realize that such a performance might not be in the manner of Sor, but in the manner of modern practice.

**IV. Rondo**

Issues regarding repeat signs have been extensively discussed above, and this matter remains a major issue in this movement. There is a difference between original versions of this Rondo and the modern ones. The overall structures and repetition schemes of this Rondo in most modern editions are illustrated in Tables 6.2 and 6.3.

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290 Ibid.

291 Ibid., 141.


Table 6.2 looks like a standard five-part rondo and the repetitions seem to be logical. Table 6.3 eliminates all repeat signs in the second and third refrains. However, the placement of some of the repeat signs in the original versions are quite unusual (Table 6.4).

This pattern affects the overall structure and produces a totally different psychological effect. In the first restatement of the refrain, the listener would expect the repeat of the "a1" section or the arrival of "a2." However, the music instead returns to the beginning of the first episode, which is obviously a surprise. The same procedure occurs in the third refrain, and the effect here is even more dramatic because the return to the
retransition is an abrupt key change. This consistent use of repetition reflects Sor's awareness of balanced thematic proportion and structural coherence.

Repeats in the minuet da capo and the sonata-form movement were generally followed and expected in the eighteenth century.²⁹² The rondo was not generally associated with eighteenth-century repeat conventions in those forms, but the practices were applied when there are internal repeats.²⁹³ These signs were understood as the composer's intention, and were not "merely a calligraphic convention which may be observed or ignored at the performer's direction..."²⁹⁴ As discussed in the performance guide of the Minuet, there were no writers before Clementi who suggested that repeats can be treated freely. If the performer wants to conform to Sor's intention and general eighteenth-century practice, it is recommended that repeat indications be strictly observed.

Deviation from this standard emerged in the late eighteenth century. The new practice was possibly the result of a new aesthetic idea that "drive and intensity replace symmetry and balance,"²⁹⁵ and the tendency to omit repeats had a connection to this stylistic change. From the new perspective, the internal repeats in the original versions of this Rondo may have been seen as unnatural, leading to the alteration of its repeat pattern. In addition, as Clementi commented, this matter gradually came to depend on the performer's discretion. Therefore, modern editions of this rondo probably reflects the preferences of modern performers rather than the original idea of the composer.


Sor's Sonata in C, Op. 25

One of the finest and most substantial guitar sonatas from the early nineteenth century, Sonata op. 25 represents Sor's profound musicality as a mature composer. It opens with an extended dramatic introduction, but then lightly concludes with a simple, dignified fast minuet. Sor did not use the standard sonata form. As discussed in the analysis, his harmonic options in some cadences in the first movement are quite unusual and evoke a sense of formal obscurity. The performer should consult the analysis in order to understand the structures and major events of its form. This Sonata, especially the first movement, is very difficult on the modern guitar due to the wide reaches called for. It is recommended that this composition be performed on a nineteenth-century guitar (or an instrument modeled after it).

I. Andante Largo

Sor begins this movement with a traditional opening: a forceful dotted figure followed by a softer, lyrical passage. The loud passage immediately engages the audience with energy, and the quiet one demands closer attention. Therefore, to achieve this effect, the contrast in dynamic must be dramatic. In the next part of the first subject, the repeated accompaniment figure has to be subdued throughout and must not interfere with the melodic line in the lower voice.

In this movement, the fingerings in certain measures are very problematic on modern instruments. Legato phrasing is difficult to achieve here. In some situations, the performer might not be able to sustain certain voices, and some notes need to be cut off to facilitate the left hand. For example, in measure 34, in order to play the melody in the low voice smoothly, the performer has to play F on the fourth string and ignore Ab (Ex. 6.14).

In measure 53, it is necessary to cut Ab on the third beat and play E natural on the first open string instead (Ex. 6.15). Measures 94 to 97 have a similar technical issue as well, and some notes are therefore cut off (Ex. 6.16).


The cadential trills in measures 43 and 93 can be executed in two ways. They can start with either the upper auxiliary or the lower main note. (This matter has already been thoroughly discussed in Performance guide to the second movement of Op. 22.) The performer may play measure 43 on the fifth position because it makes the trill easier to control. After the cadence on the first beat in the following bar, the top voice suddenly becomes accompaniment and the melody now occurs in the bass line. It is also the beginning of the closing passage. The drastic change in dynamic level on the top voice should be made accordingly.

These cadences are important structural points. The first is the point of *essential expositional closure*, the primary harmonic goal of the exposition where the second key is fully established, and the latter is the point of *essential structural closure*, where the tonic key is reestablished and the tonal conflict is completely resolved. The performer should anticipate and achieve these with a clear sense of direction. "One should experience any
sonata form with a strongly 'directed' preparatory set, pressing forward conceptually and anticipating genre-defining events-to-come.²⁹⁶

II. Allegro non Troppo

The first subject is constructed as an antecedent-consequent period, making this a clear musical statement. Its character is light and rather playful. However, the latter part in measures 13 to 20 is intensified by the use of chromatic harmony, and calls for a strong dynamic level. The transition quickly gains energy through increased rhythmic activity and a lively interplay between the low and top voices. Then the sextuplets further raise the tension. The suggested right-hand fingering for this passage is provided in Ex. 6.17.


Sextuplets are also found in measures 105 to 106 and 113 to 114 near the point of *EEC*, as well as measures 247 and 255 in the recapitulation. It is recommended that the performer forcefully "strum" these passages, as illustrated in Ex. 6.18, since it is much easier and also suits the manner in which Sor approaches the crucial harmonic and formal events.

III. Theme and Variations

As suggested in the analysis, this movement has a special metrical pattern. However, although Sor in general uses the same pattern throughout the movement, the pattern still slightly differs in each variation. The performer should investigate this matter closely and achieve metrical effects that conform to the rhythmic situations. In addition to this, a uniform rate of tempo has to be kept throughout since there is no indication of tempo change and rhythmic intensity is already determined by the varied figurations in the variations.

IV. Minuet and Trio

The tempo and repetition issues have already been discussed in the performance guide to the minuet of Op. 22 (p. 176-181). In this Minuet, Sor again indicates the tempo with the term *Allegro*. However, because this Minuet is positioned as the last movement, the tempo should range from $\text{♩} = 55$ to 65, which is slightly faster than the Minuet of Op. 22.

In measure 29 to 36, there is a sequence of grace notes (Ex. 6.19). Matters regarding the execution of this ornament type are very complicated. Whether the grace note should be performed on or before the beat has long been an issue since the eighteenth century. "General rules for the appropriate style of grace-note performance in any given period are impossible to formulate." In the Classical period, the majority of writers advocated the on-beat execution. On the other hand, some, for example, Johann P. Milchmeyer, disliked this method and favored pre-beat performance. Nevertheless, most writers throughout the eighteenth and nineteenth centuries agreed that the execution of grace notes should be light and rapid. Koch commented that they are "slurred so fast to main notes that the latter seems to lose nothing of its value." Later writers such as Reichardt and Spohr described this issue in a very similar manner as well. To achieve such an effect on the guitar, it is highly recommended that the grace notes here be performed on the beat with a light touch and then rapidly pulled off with the left-hand


298 Ibid.

299 Ibid., 479.

300 Ibid., 485.

301 Ibid.
finger. However, he should not be so anxious to perform these notes on the beat and try to give them extra accents because it, according to Clive Brown, "seems...contrary to the nature of these notes."\textsuperscript{302}

**Giuliani's Sonata in C, Op. 15**

Giuliani's Sonata, Op. 15 "stands like a solitary gem in the literature for the classical guitar."\textsuperscript{303} The lively first movement in standard sonata form is very well proportioned, and the aria-like slow movement presents sublime lyricism. Then the last movement in an unusual nine-part rondo form concludes the work with excitement. This substantial sonata provides the performer a fine opportunity to exhibit his musicianship. Yet, it is not very technically demanding and is "highly playable--even from a student level."\textsuperscript{304} The composer refrains from virtuosic writing, especially in the first two movements. Giuliani's compositions are not always like this. Those who are familiar with his concert pieces know that his writing is usually filled with virtuosic passages and driving rhythmic figurations. It seems that the composer conforms to the Enlightenment aesthetic idea of simplicity a great deal in this sonata cycle.

**I. Allegro Spiritoso**

Since Giuliani starts the first movement with a weak opening, the early part of the first subject should be played gently with a rather dark tone. Then, in measure 10, the music begins to create a drive to the first P.A.C, and the following passage in measures 12 to 16 concludes the first subject with vigorous energy, which is missing in the

\textsuperscript{302} Brown, *Classical & Romantic Performance Practice (1750 - 1900)*, 484.

\textsuperscript{303} Heck, *Mauro Giuliani: Virtuoso Guitarist and Composer*, 180.

\textsuperscript{304} Glise, *Complete Sonatas of Sor, Giuliani & Diabelli*, 17.
opening. The performer should articulate these ideas with a dramatic execution of dynamics.

It is important to note that in this movement, every important event of the form is introduced by a single-line melody. The arrivals of the second subject, development, and recapitulation are always preceded by this kind of passage. Rhythmic freedom can be applied in these situations to make the formal events more dramatic (aesthetic considerations of this issue have already been discussed in p. 164-166). The degree of tempo flexibility is up to the performer's discretion. However, it should not be excessive if the performer wants to maintain a uniform rate of tempo and smooth continuity.

As for the turn in measure 31, due to the fingering, it is recommended that it be executed as illustrated in Ex. 6. 20. Since the left little finger plays the A on the fourth string, it cannot be used to prepare the following turn that starts with D on the third string. Otherwise, the performer has to lift the finger sooner, and the phrase is then interrupted. The turn should, therefore, begin on the main note to maintain the continuity of the phrase. In addition, this execution is very natural when the passage is played with tempo rubato. The turn in measure 158 should be performed in the same manner as well to make these two passages correspond and agreeable.

It has been emphasized that the crucial role of the second subject in the exposition is to produce the first satisfactory P.A.C or the EEC, where the second key is fully established. However, any prior P.A.C. should not be taken for granted because it gradually helps fulfill the harmonic purpose of the second subject. Therefore, the performer should be aware of the placements of the P.A.C.s and their weights. The P.A.C. in measure 51 is suddenly followed by the second subordinate theme, which minimizes its closing effect. At this point, a keen listener would certainly wait for the attainment of the first satisfactory P.A.C in the new key. Therefore, in performance, the performer should also anticipate the point of EEC, and achieve it with a clear sense of stability. These considerations are applied in the recapitulation's second subject as well.

The development immediately engages the audience with new, vigorous material over prolonged dominant harmony. The performer should view this thematic option as a surprise because the development traditionally opens with a restatement of the first subject or music that has a thematic connection with it. Dynamic contrast between the end of the exposition and the onset of the development must be dramatic, and the opening of this section should be filled with intensity.

The first developmental theme in A minor arrives in measure 98, and is then restated in A major in measure 108. This change in tonal color should be further articulated by dark and bright timbres. At the end of this theme in measure 115, a new episodic theme simultaneously emerges, and the tonality also quickly shifts to A minor. This abruptness can be enhanced with dramatic changes in tone color, dynamic level, or articulation. The thematic organization of the development truly invites a great variety of interpretation.
The recapitulation is almost thematically identical with the exposition. Giuliani makes only one structural change in the first subject and the transition. The latter part of the first subject here does not close the idea with a P.A.C. like its parallel part in the exposition. It overlaps with the transition, leading the music to a prolonged dominant passage and then a half cadence in measure 153 instead. This gesture toward an increase in harmonic tension should be reflected by a gradual increase of dynamic intensity. In a sonata-form composition, thematic and harmonic treatments truly reflect the way the composer chooses to engage his audience. Close investigation of these matters does not only help one understand the composer's intension, but also bring liveliness to the performance.

II. Adagio

The delicate opening of the second movement contrasts with the vigorous ending of the first movement. Due to the nature of this movement, legato phrasing, song-like quality, and rich, mellow tone color are particularly important. The primary theme, or the A section, comprises two themes. The complex period structure of the first theme (measure 1 to 16) has already been examined in the analysis (p. 136-137). Since the second period is intensified by a greater degree of rhythmical flexibility, the first period in measure 1 to 8 should be played with a rather strict tempo. The textural contrast between the first and the second themes should be further articulated by sudden change in dynamic. The repeated sixteenth-note accompaniment should be subdued and never interfere with the flowing melodic line on the top voice. This increased rhythmic activity gradually drives the music to the closure of the primary theme in measure 24.
The secondary theme in the dominant key (measure 29 to 40) stands as a contrasting middle section. This part introduces new thematic materials and rhythmic figures. Its opening is rhythmic and emphatic, inviting a bright, metallic timbre. In measure 37, a descending melodic sequence occurs on a very strong cadential progression (I-IV-I6/4-V).\textsuperscript{305} This creates an impression that a perfect cadence will be attained in the following bar. However, the cadence is delayed with a florid passage over a secondary dominant harmony. This gesture toward increasing harmonic tension here is unexpected, and the moment where a satisfactory P.A.C. in the dominant key is eventually attained in measure 40 is certainly a dramatic one. The dynamic markings in the secondary theme correspond to the thematic and harmonic situations. The beginning of the retransition in measure 41 should be marked with the use of a dark tone color in order to highlight the sudden change of mode from D major to D minor.

The major technical issue in this movement lies in the second theme of the A section. This passage requires a delicate control of the right hand. The suggested fingering is displayed in Ex. 6.21. Even with this fingering, it is quite difficult to play smoothly. The performer therefore needs to practice it slowly and try to maintain the continuity of the phrase.

\textsuperscript{305} It is interesting to note that this process is very similar to how Giuliani approaches the points of essential expository closure (EEC) and essential structural closure (ESC) in the first movement.
III. Finale

The last movement in unusual nine-part rondo restores the governing tonic key and liveliness with the heightened spirit of the first movement. Although the last movement is fast, it is not difficult to negotiate. The figurations and texture are idiomatic on the guitar, and the fingering is logical.

The accents on third beats in the first three bars create a unique sforzando effect (Ex. 6.22). Thomas Heck suggests that these chords are to be "strummed." According to him, Giuliani did not usually use strumming in his guitar music, and he "reserved it for those rare instances when he wanted a certain kind of sforzando effect, as in the third movement of Op. 15." If the performer wishes to follow Heck's suggestion, it is recommended that he do so by using an upward strum with the right index finger. This is because the first string is not used, and it is very difficult to omit this string when

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307 Ibid.

308 Ibid., 165.
doing a forceful downward strum. Since the refrain serves as a unit that initiates each
episode, its energetic spirit has to be maintained throughout the movement.


![Example 6.22](image)

The first episode begins in measure 17 with a short accompaniment figure marked
by *p*. This gesture has been used in every movement of this sonata cycle as a unifying
idea. Whenever it recurs, it should be performed with similar feeling and articulation to
highlight this thematic coherence. The character of this episode is lyrical and sharply
contrasts with the refrain. Sudden changes of tone color, dynamics, and articulations
would dramatically emphasize the difference.

The second episode introduces two contrasting themes in two different key areas.
The first theme in A minor (measure 63 to 88) is initiated by a traditional opening
gesture: a loud passage followed by a quiet one. While this section is quite intense and
rhythmic, the next theme in F major is very gentle and immediately introduces a new
melodic sequence based on the first subject of the first movement. The finale is filled
with contrasts, requiring a great variety of dynamics, tone colors, and articulations.

In the third recurrence of the refrain, its latter part is modified to prepare for the
upcoming third episode. The diminishing of the tempo from measure 121 to 125 should
be gradual in order to make a smooth change of the tempo and provide a smooth transition in character. As discussed in the analysis (p. 146), the arrival of the third episode should be viewed as a very dramatic turn of events. The momentum of the movement is interrupted. The unexpected change of meter and the appearance of a new playful theme make this moment the most stunning one of the finale. Many materials from the first and second movements are recalled in this section. The performer should make these recurring ideas recognizable by playing them with the same articulation and mood. A fragment from the first subject of the first movement makes its final appearance in measures 163 and 164. From measure 166 to 169, the music, marked by dolce and rallentando poco, seems to end in a very gentle manner. However, the refrain unexpectedly recurs in measure 170, requiring a sudden increase in tempo. This change can be further articulated by abrupt changes of tone color and articulation as well.
Chapter 7

FINAL REMARKS

This essay serves as a useful resource for performers who are interested in performing the multi-movement guitar sonatas of Sor and Giuliani, and individuals who want to understand and know more about these compositions. The theoretical and performance concepts here can be applied to other late-eighteenth- and early-nineteenth-century guitar compositions in sonata form as well. It is the author's hope that through this present work, the performer will gain intimate knowledge of the sonatas and insightful performance considerations that he can freely use to inform his own interpretation.
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**These/Dissertation**


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