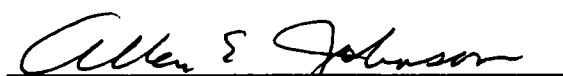
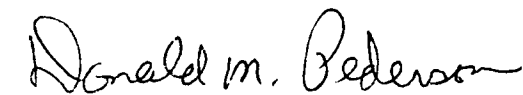


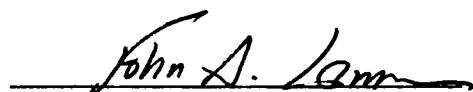
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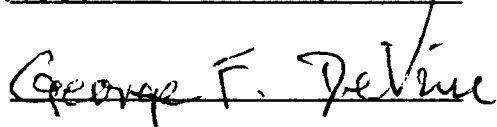

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A STUDY TO DETERMINE THE CLASSICAL CHARACTERISTICS
IN THE FLUTE SONATAS OF
HINDEMITH, PROKOFIEV, AND POULENC

A Thesis
Presented for the
Master of Music
Degree
The University of Tennessee, Knoxville

Elizabeth Ann Goode

August 1985

For my parents

ACKNOWLEDGMENTS

I would like to thank the European American Distributors Corporation for their permission to reproduce musical examples from Paul Hindemith's Sonata for Flute and Piano, and J & W Chester/Edition Wilhelm Hansen London Ltd. for their permission to reproduce measures from Francis Poulenc's Sonata for Flute and Piano.

The help, advice, and encouragement given to me by the members of my committee is deeply appreciated, especially that of my advisor, Dr. Allen Johnson. Finally, I thank the Lord for strength and help in time of need.

ABSTRACT

From the late-sixteenth century to the present, the word "sonata" has had many connotations but the term is now most often associated with the musical characteristics of the classical sonata. What is the relationship of three twentieth-century flute sonatas to the classical sonata? In this study the elements of form, harmony, thematic material, phrasing, and dynamics in the classical sonata were summarized. The flute sonatas of Hindemith, Prokofiev, and Poulenc were examined for those same characteristics and then compared to those of the classical sonata. In these three flute sonatas the characteristics of the classical sonata were either imitated or transformed, always invoking the spirit of the classical sonata.

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LIST OF SYMBOLS

1. Upper-case letters represent tonal centers which are primarily in a major mode. Lower-case letters represent tonal centers which are primarily in a minor mode.
2. Upper- or lower-case letters which are underlined represent specific themes or musical material.
3. In the tabular outlines of the movements of the sonatas, "xxx" represents a tonally ambiguous or developmental section of music.

CHAPTER 1

THE CLASSICAL SONATA

The term "sonata" was first used with some regularity by musicians in the late-sixteenth century. At that time it was used in the most generic sense of the Italian word: "sound, or played piece" (instrumental music), as opposed to "cantata," or "sung piece" (vocal music). "Sonata" began to have a more specific meaning (although it was still sometimes used in the generic sense) during the Baroque era, that is, "a solo or chamber instrumental cycle of aesthetic or diversional purpose, consisting of several contrasting movements that are based on relatively extended designs in 'absolute' music."¹ But "sonata" today denotes "a composition for piano (piano sonata), or for violin, cello, flute, etc., usually with piano accompaniment (violin sonata, cello sonata, etc.), which consists of three or four separate sections called movements."² The movements are an organized series and their proportions are determined by their position in the sonata. The sonata first began to fit these latter descriptions in the late-eighteenth century and reached a zenith in the sonatas of Haydn, Mozart, and Beethoven, the so-called Viennese classicists.

Before discussing the classical sonata itself, the musical language and some general principles of the classical style need to be

¹William S. Newman, The Sonata in the Classic Era (Chapel Hill: The University of North Carolina Press, 1963), p. 19.

²Willi Apel, The Harvard Dictionary of Music (Cambridge, MA: Delkamp Press of Harvard University, 1972), p. 787.

mentioned. It is generally agreed that the "classical period" (usually meaning the time between the deaths of Bach and Beethoven) contained a degree of stylistic homogeneity previously unknown, but that there was not a universal stylistic unity. What was present was a "'classical idiom' shared by Haydn, Mozart, and to an extent, Beethoven."³ However, at the end of the eighteenth century, this style had become widely known (partly due to the wide distribution of many of Haydn's works and the importance of Italian opera) and was assimilated into the works of many composers. Haydn was the primary architect of this idiom, in which he "broke through to an individual synthesis of pleasing tunefulness (the galant style) with the learned devices of counterpoint he had previously used . . ." and "assimilated the fantasy qualities . . . and developmental skills of C. P. E. Bach."⁴ The influence of Haydn on Mozart and Beethoven is well-known, and these two men carried the classical idiom to opposing extremes. As he aged Beethoven grew less prolific, less concerned with his contemporary audience, and more self-consciously occupied with originality (more "romantic"), while Mozart and Haydn continued throughout their lives to exhibit many ideals of the "classical" attitude towards their art: "sovereign ease of writing, learning lightly worn, happiness in remaining within certain conventions or at least not straying too far from

³ Daniel Heartz, "Classical," New Grove Dictionary of Music and Musicians (London: Macmillan Publishers Ltd., 1980), p. 450.

⁴ Ibid.

them--conventions that were bound to please and aid the public,"⁵ as well as "ease of communication"⁶ and "moderation, the unforced, the thread . . . that allowed one musical thought to flow naturally upon another."⁷

Despite the seeming ideological or personality differences between Haydn and Mozart and late Beethoven, the three men shared a similar musical vocabulary. The system they used was that of tonality, the "common-practice harmony" employed by most composers from Monteverdi to Wagner. But the classical use of tonality differed from Baroque and Romantic usage. In the late-eighteenth and early-nineteenth centuries, the most important and most pronounced aspect of tonality was the "new emphatic polarity between tonic and dominant."⁸ The middle of the eighteenth century saw the firm establishment of equal temperament, which allowed composers a greater range of modulatory freedom. Although Bach and Handel wrote for equally-tempered instruments, emphasized tonic-dominant polarity (e.g., binary-form dance movements), and employed modulation, it is not until Mozart and Haydn that "the full implications of the hierarchical arrangement of triads are drawn: the various tonalities possible can be contrasted articulately and even dramatically with the central one so

⁵ Ibid.

⁶ Ibid., p. 451.

⁷ Ibid.

⁸ Charles Rosen, The Classical Style: Haydn, Mozart, Beethoven (New York: The Viking Press, 1971), p. 25.

that the range of significance is considerably expanded."⁹ A Baroque modulation, because of composers' general preference for continuity of sound, is often seamless, while the classical modulation (especially tonic to dominant or vice versa) is often dramatized by articulation; it becomes "an event as well as a directional force."¹⁰ Some common means of articulating a modulation are to pause on the dominant of the dominant before continuing, to introduce a new theme, or to repeat a previous theme in the new key in such a way that the significance of the new key is clear.¹¹ After Beethoven tonality returned to a more fluid style; increased chromaticism lessened the significance of the tonic-dominant relationship. Charles Rosen writes:

Material presented outside the tonic must have created, in the eighteenth century, a feeling of instability which demanded to be resolved. . . . Today, our harmonic sensibilities have become coarsened by the tonal instability of music after the death of Beethoven, and the strength of this feeling is perhaps difficult to recapture.¹²

An important function of tonic-dominant polarity is its use as a dramatic element in the music. This drama is often a principal means of determining form. Basic to most late-eighteenth-century forms is "an emphatic and marked return to the tonic at a point no more than three-quarters of the way through a movement."¹³ Modulation to the dominant or its substitute created dissonance on a ". . . higher plane,

⁹ Ibid., p. 26.

¹⁰ Ibid., p. 70.

¹¹ Ibid., pp. 70, 71.

¹² Ibid., p. 73.

¹³ Ibid., p. 51.

that of the total structure . . ."¹⁴ which needed large-scale, dramatic resolution.

Composers needed methods to emphasize the structures and to reinforce the large-scale harmonic aspects of their works. One way they accomplished this was through periodic phrasing, the "motor force"¹⁵ of classical style. Phrases were normally three, five, and especially four measures long. Six- and seven-measure phrases, as well as phrase elisions were also not unusual. The common-denominators of late-eighteenth-century phrasing were the emphatic periodicity and the high degree of the regularity or consistency of the periods. One result of regular phrasing (e.g., four measures plus four measures) was that symmetry was accorded new importance.

. . . a period imposes a larger, slower pulse upon the rhythm, and just as two similar measures are almost always necessary for us to understand the rhythm of the music and to identify the downbeat, so now a comparable symmetry of phrase structure was necessary to hear and to feel the larger pulse.¹⁶

The sense of a larger pulse also helped to create a relatively slow harmonic rhythm, useful in articulating overall harmonic movement.

Polyphony is the least common texture used in the classical style; melody and accompaniment texture is predominant. Figures such as the now stereotyped Alberti bass (Fig. 1) show how the polyphonic

¹⁴Ibid., p. 25.

¹⁵Ibid., p. 48.

¹⁶Ibid., p. 58.

isolation of voices was broken down by "integrating them into one line and of the chords by integrating them into continuous movement."¹⁷



Figure 1. Alberti bass.

One result of the breakdown of polyphony and the rise of melody and accompaniment textures was greater rhythmic variety. The majority of late Baroque music utilized a homogeneous rhythmic texture. The Viennese classicists preferred dissimilar rhythms that had smooth transitions from one to the other, although not to the exclusion of homogeneous rhythms.¹⁸ Rhythmic transitions can easily be compared to the use of dynamics in the classical period. Except for sudden, exaggerated changes in dynamics used for dramatic effect (e.g., Haydn's "surprise" Symphony), the crescendo and decrescendo were often used to effect more gradual dynamic transitions. In much the same way, a previously unheard rhythm could be introduced in an unobtrusive accompaniment figure before becoming a thematic or motivic element. A chromatic inflection in a melody might serve a similar purpose: to foreshadow an upcoming modulation or tonicization. Texture, rhythm, dynamics, and melody could all serve as means of transition as well as primary motivic elements.

¹⁷*Ibid.*, p. 28.

¹⁸Ibid., pp. 64, 65.

The importance of contrasting melodies or themes as formal determinants in the classical style was overestimated in nineteenth- and early- and middle-twentieth-century descriptions of it. Recent theorists have recognized that thematic contrast may be and often is used to mark musical "sections," but that a new theme's most important function is to emphasize and articulate modulation.¹⁹ Periodic phrasing and the shape and character of a classical theme are intimately related. A theme is often a mirror of a larger classical form (or is it vice versa?): "articulated, with its climax three-quarters of the way through and a symmetrical resolution that rounds it off in careful balance with the opening."²⁰ Besides phrasing, other important thematic complements are dynamics, rhythm, and texture.

Most musical elements found in the classical idiom can be described by Charles Rosen's summary of basic classical form: "the symmetrical resolution of opposing forces."²¹ Whether the opposing forces are harmonic, thematic, dynamic, rhythmic, or the contrast of comic and serious traits, the classical style is most often characterized by balance, restraint, and the resolution of tension which was and continues to be psychologically satisfying.

Technical virtuosity was not a hallmark of most classical chamber music, with certain examples excepted, such as some late sonatas of

¹⁹ Ibid., p. 31.

²⁰ Ibid., p. 87.

²¹ Ibid., p. 83.

Haydn and Beethoven. Most sonatas were intended to be played by amateurs and the facility required to perform them usually reflects that intention.

The features of the Viennese classical sonata are found in most other types of instrumental music of the classic period; instrumentation is the primary difference between the sonata and the symphony or string quartet. Thus, while "sonata" denotes a specific type of composition, the sonata principle may be found in many genres, from the works of Haydn to those of present-day composers. For the purpose of later comparisons, the principles of the classical sonata (symphony, etc.) need to be described. However, for every usual component, an exception may be found in the literature; the sonata principle was flexible, especially before the mid-nineteenth century, when men such as Carl Czerny and A. B. Marx began (with hindsight) to describe it as a set pattern of somewhat rigid forms.

Most four-movement sonatas conform to the following plan: Allegro (moderately fast), Adagio (slow), Scherzo (or Minuet) and Trio, and Allegro or Presto (fast). The Adagio and the Scherzo and Trio are sometimes reversed, and a slow introduction sometimes precedes the first movement. If the work contains three movements the Scherzo and Trio is generally omitted. A theme and variations movement is an alternative to any of the four. The outer movements are usually in the same key (although there is sometimes a change of mode in the last), and that is considered to be the key of the work, e.g., Sonata in C. In these outer movements, the major mode is more

common than the minor. The keys used in the interior movements are not nearly as consistent. The second movement is usually in a different key than (for contrast), but closely related to, the tonic, e.g., V, IV, vi, or i in a major key, or I, V, v, iv, III, or VI in a minor key. The third movement might be in a related key, but is often in the tonic to give greater stability to the conclusion of the sonata. Composers usually reserve more remote keys for use in development sections or other interior parts of movements. The movements may or may not be thematically or motivically related. The individual movements, as well as the sonata as a whole, are governed by formal principles, though again, as this discussion grows more specific, more exceptions will be found in the classical literature.

The form of the movement that varies least from sonata to sonata is that of the first; nearly all are in "sonata form." Donald J. Grout first outlines the essential elements of sonata form and then presents the traditional "textbook" definition:

(1) division into two distinct sections, the first being usually and the second not always repeated; (2) in the first section, establishment of a tonic, modulation to the dominant (or relative major), and close on a cadence in the new key; (3) beginning with the second section, further modulations with increasing tension to a point no more than half way through this section, at which comes (4) a strongly marked return to the tonic, coinciding with a recognizable (not necessarily literal) restatement of the opening material of section one and constituting the principal climax of the movement; then (5) continuation in the tonic with "reinterpretation" of the material from section one--especially that material which had there been heard in the dominant--and proceeding to a final resolution on the tonic.

The above outline of sonata form is partially represented in the well-known "textbook" definition, which posits: (1) an exposition (usually repeated), incorporating a first

theme or group of themes in the tonic, a second more lyrical theme in the dominant or relative major--the different themes being connected by appropriate transitions or bridge passages; (2) a development section, in which motives or themes from the exposition are presented in new aspects or combinations, and in the course of which modulations may be made to relatively remote keys; (3) a recapitulation, where the material of the exposition is restated in the original order but with all themes now in the tonic; following the recapitulation there may be a coda.²²

Most musicians today recognize that Grout's first account is more satisfactory than the "textbook" version for many reasons, primarily because sonata form should not be an idealized pattern, but a procedure based on the common practice of late-eighteenth-century composers. William A. Newman writes,

. . . the number of scattered examples that happens to satisfy the textbook concept in all its main features is not few. But its percentage is never sufficient to suggest that it marks a prime goal of either pre- or high-Classic trends.²³

And Charles Rosen states that

An articulate movement to the dominant (or its substitute) is all that is required harmonically of a sonata exposition: how it is done is completely free, or, rather, bound only by the nature of each individual work.²⁴

Sonata form was sometimes used in the slower second movement, but an abridged version of sonata form was more common. The development section was often omitted and replaced by a transition back

²²Donald J. Grout, A History of Western Music, shorter edition (New York: W. W. Norton, 1973), p. 308.

²³Newman, p. 117.

²⁴Rosen, p. 69.

to the tonic. Sometimes called "slow-movement form," the movement normally had the following harmonic and thematic scheme:

A B trans. A' B'
I V V - I I I

The rondo principle was also sometimes used in slow movements, usually a type that developed from slow-movement form by adding a final appearance of the A material to round off the movement:

A B A B A
I V I I I

The modified ternary (A B A'), bar form (A A B), and the theme and variation technique were also common in slow movements.

The Scherzo (or Minuet) and Trio movement is almost always a compound ternary form. The Scherzo and Trio are usually in different keys (e.g., the Trio might be in the relative minor of the Scherzo), but both parts have a similar form, usually a rounded binary, illustrated below:

<u>A</u> Scherzo	<u>a</u> <u>b</u> <u>a</u>
<u>B</u> Trio	<u>c</u> <u>d</u> <u>c</u>
<u>A</u> Scherzo	<u>a</u> <u>b</u> <u>a</u>

The final movement in a sonata cycle is usually in sonata form or in sonata rondo form, a version of sonata form where the A material appears in the tonic before the development section and again at the end:

A B A C A B A
I V I Dev. I I I

Theme and variation technique is also sometimes employed in sonata finales.

The first two movements, especially when they are a sonata form followed by a slow-movement form, are sometimes considered to have the most "weight," or to generate the most tension, while the latter movements are sometimes considered a resolution of that tension. This is a generalization, but it has some merit in that it shows the usual consistency of the classical idiom; the entire sonata is akin to an expansion of sonata form, which in turn is like an expansion of some phrases. The important principles found in the cycle, form, and phrase are establishment of tonal stability, moving away from stability, tension, and resolution to a final area of stability.

While the principles of the sonata cycle may be found in many genres, the compositions titled "sonata" were among the most published instrumental works in the classical era.

The sonata provided a main staple in the diversional diet of the musical amateur or dilettante, an essential stepping stone in the career of the professional performer and composer, [and] an²⁵ ideal vehicle for the training of student instrumentalists.

Solo keyboard sonatas were by far the most popular, published, and hence, most composed sonatas. The violin was the usual instrument added to piano sonatas. Most of these were piano sonatas with violin "accompaniment," with the violin having the function of filling in harmonies. A true duet style did not appear before the mature violin

²⁵Newman, p. 43.

sonatas of Mozart and Beethoven. The transverse flute and the cello were the most frequent alternatives to the violin in the "accompanied sonatas." There are relatively few classical sonatas for wind instrument and piano, even by obscure composers. As far as sonatas for flute and piano by the three Viennese masters go, there is only a spurious one by Beethoven; "wind instruments had solo responsibilities much less often in the classic sonata than in the classic concerto"²⁶ and in other chamber music.

After the death of Beethoven, when writers on music attempted to define the sonata and sonata form, composers could only use the principle self-consciously.

The sonata was as archaic in 1840 as the Baroque fugue in Haydn's day: unfortunately the prestige of Beethoven . . . was so great as to prevent a free adaptation of the form to entirely different purposes comparable to the classical composers' adaptation of the fugue.²⁷

Although the sonata may have been archaic in the Romantic period, the outer shell of its principles continued to be used in all genres, primarily because of its prestige. Romantic sonatas for wind instruments and piano fared about the same as in the classical period. Romantic flute sonatas are fairly scarce, with the only noteworthy examples being by Reinecke, Widor, G. A. Macfarren, and Kuhlau.

Even with the weakening and finally the abandonment of tonality in the early-twentieth century, sonata principles and forms were still

²⁶ Ibid., p. 93.

²⁷ Rosen, p. 32.

employed: the old bottles for the new wine. The composers who still clung to or returned to a form of tonality also wrote sonatas and used sonata principles. The rise in the popularity of wind instruments in this century has contributed to a corresponding growth in the number of wind-instrument sonatas. Some of the twentieth-century composers who have written flute sonatas are Walter Piston, Pierre Boulez, Malcolm Arnold, André Jolivet, Henri Dutilleux, and Bohuslav Martinů. But three of the greatest works in flute literature are the flute sonatas of Paul Hindemith, Sergei Prokofiev, and Francis Poulenc. These three composers, who were close contemporaries, composed the majority of their works in a tonal system, though, of course, their harmonic vocabulary was different from that of the late-eighteenth and early-nineteenth centuries. Since classical sonata principles were so dependent upon the tonic-dominant polarity which was all but destroyed in the early-twentieth century, and since they were already "archaic by 1840," it is the purpose of this study to see if the spirit of the classical style is present in these sonatas, and if so, what musical characteristics create that spirit.

CHAPTER 2

HINDEMITH'S SONATA FOR FLUTE AND PIANO

Paul Hindemith was born in Hanau, Germany (near Frankfurt) on November 16, 1895. He began to study the violin at the age of nine and by 1915 he was the concertmaster of the Frankfurt Opera House. He later played viola in several string quartets and was also known as a viola soloist and as a conductor of his own works. A prominent composer in the Donaueschingen Festivals of contemporary music in the 1920s, he was appointed teacher of composition at the Berlin Hochschule für Musik in 1927. Because of Hindemith's music, and perhaps because his father-in-law was Jewish, when the Hitler regime came to power he experienced artistic and political difficulties. As a result, in 1934 he began to travel abroad and settled in the United States in 1939. Hindemith was a professor of theory at Yale from 1940 to 1953 and became an American citizen in 1946. In 1949 he began to accept professional engagement abroad, including the position of professor of composition at the Zürich University in 1953. He died in Frankfurt in 1963.¹

Ian Kemp divides Hindemith's works into three periods:² from 1918 to 1923, a period of style experimentations; from 1924 to 1933, a

¹Nicholas Slonimsky, Baker's Biographical Dictionary of Musicians (New York: Schirmer Books, 1984), pp. 1023, 1024.

²Ian Kemp, "Paul Hindemith," New Grove Dictionary of Music and Musicians (London: Macmillan publishers Ltd., 1980), p. 575.

"mature neo-Baroque style of considerable harmonic asperity,"³ and later in the period a more lyrical style; and from 1933 to 1963, "when he adapted this new and explicitly tonal style to classical sonata forms and conventional genres."⁴

His early compositions were in the Central European tradition of Brahms and Reger. He began to develop a style of an extended chromatic range that maintained the contrapuntal tradition. Most of the music he wrote in the second period had "a contrapuntal aggressiveness and a free use of dissonance that led to its being described initially as atonal; it now seems neither systematically tonal nor atonal."⁵

In the early 1930s Hindemith's musical style began to change in "the direction of simplicity and clarity, and towards a careful new tonal style which was to characterize his music until his death."⁶ He set forth his gradually-formed tonal theories in the textbook Unterweisung im Tonsatz (1937), translated as The Craft of Musical Composition. The most important element in his theories is the natural phenomenon of the overtone series. From this series Hindemith derives "his tonal scale and arrives, after calculations based on vibrations and adjusted for practical purposes by tempered tuning (as

³ Ibid.

⁴ Ibid.

⁵ Eric Salzman, Twentieth-Century Music: An Introduction (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1974), p. 62.

⁶ Ibid.

in the diatonic scale), at the existing chromatic scale."⁷ Hindemith assigns a hierarchical order to the twelve tones based on their mathematically-calculated closeness to the fundamental tone, comparing this order to the planetary system, each tone having its own legitimate place in relation to the tonic "sun."⁸ Hindemith contends that this arrangement frees the composer from the "tyranny of the major and minor,"⁹ since all the tones have been liberated from their previous subservient positions.



Figure 2. Hindemith's Series 1.

As it did for classical composers, the triad serves as Hindemith's harmonic base. He writes:

Music, as long as it exists, will always take its departure from the major triad and return to it. . . . In the world of tones, the triad corresponds to the force of gravity. It serves as our constant guiding point, our unit of measure, and our goal, even in those sections of compositions which avoid it.¹⁰

⁷Geoffrey Skelton, Paul Hindemith: The Man Behind the Music (London: Victor Gollancz Ltd., 1975), p. 146.

⁸Paul Hindemith, The Craft of Musical Composition, Volume 1 (New York: Associated Music Publishers, Inc., 1945), p. 57.

⁹Skelton, p. 146.

¹⁰Hindemith, p. 22.

After establishing his basic principles, Hindemith introduces the interval as the "basic unit of musical construction."¹¹ Intervals are also subject to a hierarchy based on acoustical principles. Excepting the octave and the tritone, Hindemith groups them in pairs, believing them to be invertible. Distinction is made between those intervals which are primarily harmonic (near the beginning of the series) and those primarily melodic in character, based on their relative stability or tension. Chords are classified according to their interval content.¹²



Figure 3. Hindemith's Series 2.

Hindemith's theories did not transform the state of twentieth-century music, but they did serve as a guide for many of his own works; they were a way to achieve "a coherent kind of musical speech which could sustain invention and produce consistent and large-scale forms in an individual and contemporary tonal language."¹³

The role of the musician in society was another of Hindemith's concerns. His fundamental belief was that musicians should be active in the whole of society and that they should be well-rounded: able to perform many musical tasks. Hindemith took the amateur musician as

¹¹ Ibid., p. 57.

¹² Kemp, p. 582.

¹³ Salzman, p. 64.

seriously as the professional one; he wrote a series of compositions specifically for use by amateurs. This so-called Gebrauchsmusik (music for use) "represents in part a return . . . of the relationships that had existed between composers, performers, patrons, and audiences before the nineteenth century."¹⁴ The majority of his music is technically accessible to "gifted amateurs,"¹⁵ such as the series of sonatas for nearly every orchestral instrument. Hindemith's fecundity is comparable to that of Haydn and Mozart; he composed works in nearly every genre with extraordinary facility. He was also a performing musician who chose to be involved in various musical activities. His musical spirit was influenced by the ideals of the classical period, although he was born at the end of the Romantic period. He said, "One can still learn much from "Papa" Haydn."¹⁶

While Hindemith was working on The Craft of Musical Composition (1935-1937), he continued to compose prolifically. In 1935 his opera Mathis der Maler had its premiere, and in 1936 his first three piano sonatas were published, along with the Sonata for Flute and Piano. This was the first of Hindemith's wind sonatas, although he had previously composed chamber music using winds, including the Kanonische Sonatine for two flutes (1923). Written near the beginning of Hindemith's third stylistic period, the Sonata for Flute and Piano

¹⁴Ibid., p. 62.

¹⁵Kemp, p. 579.

¹⁶Joseph Machlis, Introduction to Contemporary Music (New York: W. W. Norton and Co., Inc., 1979), p. 194.

reflects the composer's interest in the formal processes which assumed "the greatest importance as symbols of a transcendent balance and proportion [he] believed to be music's heritage."¹⁷

The sonata is in three movements, their forms obviously modeled on classical lines: (1) Heiter bewegt (serenely moving), in Bb, 4/4 time, and a sonata form; (2) Sehr langsam (very slowly), in b, 3/4 time, and a sonata form; (3) Sehr lebhaft (very lively), in Bb, 6/8 time, and a modified sonata rondo with a coda that is actually a small movement in itself (a binary form in Bb, 2/2 time). The coda is given the designation "Marsch" and serves as a coda to the sonata, as well as to the third movement. Since Hindemith omitted the Scherzo and Trio movement (which is classically "permissible"), the Marsch helps to balance the end of the work with the beginning. The keys of the inner movements in classical sonatas are usually closely related to that of the outer ones, but Hindemith chooses a key for his slow movement that is remote both in the common-practice system and in his own: b, the ninth-farthest tone from the fundamental Bb. The relationship of the minor second is one of the least stable in Hindemith's Series 2. The choice of b as the tonal center for the second movement is a way to create large-scale harmonic tension, atoning for the loss of the strength of tonic-dominant polarity. He also uses the interval of the minor second to create tension on other levels, comparable to classical composers' use of modulation, tonicization, secondary chords, and motives.

¹⁷Kemp, p. 579.

The general outlines of the first movement are shown in Table 1. The exposition begins with the principal theme presented in the right hand of the piano against a descending Bb aeolian scale in the left (Fig. 4). The descending scale is used as a unifying device throughout the movement. There is a sense of modal ambiguity--evidence of Hindemith's freedom from major and minor "tyranny"--because of the presence of both the raised and lowered mediant and submediant. The most distinctive aspect of the theme is the chain of rising fourths, which in Hindemith's style "had a value corresponding to that of broken triads in the melodies of Haydn and Mozart."¹⁸

Hindemith is not known for rhythmic originality, but the classical smoothness of his rhythmic transitions is evident in measures 6 and 7 (Fig. 5). In the imitative counterpoint in the right hand of the piano, Hindemith unobtrusively introduces a triplet in measure 6, which in measures 7 and 8 becomes an element of the flute's principal theme. A similar transition is effected by the dotted rhythms in the piano, which foreshadow the sixteenth notes in measures 10 and 14. After climaxing in measure 10, the phrase briefly emphasizes c#, functioning as db, the lowered mediant in Bb. This is the first instance of Hindemith's enharmonic spellings of complex minor flat keys.

In measure 18 the texture changes and the secondary theme begins, to help articulate the modulation to A (Fig. 6). That Hindemith chose the key of A for his secondary group is consistent

¹⁸William W. Austin, Music in the 20th Century (New York: W. W. Norton and Co., Inc., 1966), p. 415.

TABLE 1

HINDEMITH'S SONATA FOR FLUTE AND PIANO, FIRST MOVEMENT

Measure	Material	Phrasing	Tonal Center(s)
<u>Exposition</u>			
1	Principal Theme	4 + 7 mm.	Bb
12	Transition	6	Bb - xxx
18	Secondary Theme	6 + 6 + 5	A - f# - A
35	Closing Theme	6 + 3	xxx - A
<u>Development</u>			
44	Ostinato	5½	c#
49	PT over ost.	3½	c#
53	Dev. of PT; serves as trans. to:	4	xxx
57	PT over ost.	4	eb
61	PT, ost. cont.	4	f# - a - c
65	PT over chromatic scale and counter- point	4	G
<u>Recapitulation</u>			
69	PT over similar scale and cpt.	10	Bb
79	ST	7	F# - Eb - Db - C - Bb
86	ST developed	9	A
95	CT	7	xxx
<u>Coda</u>			
102	comb. of ST and PT	8 + 8 + 2	Bb

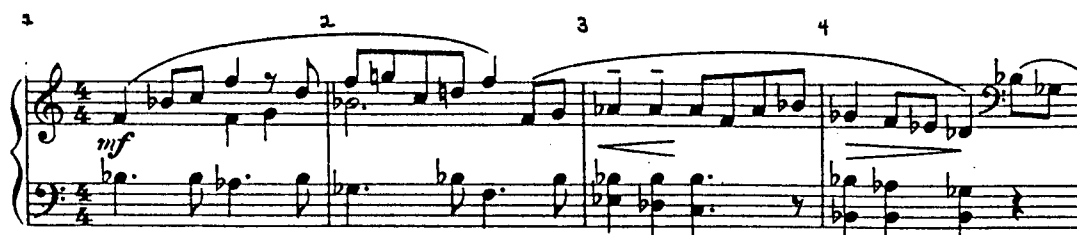


Figure 4. Hindemith sonata, first movement, measure 1-4.

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Figure 5. Hindemith sonata, first movement, measures 6-8.

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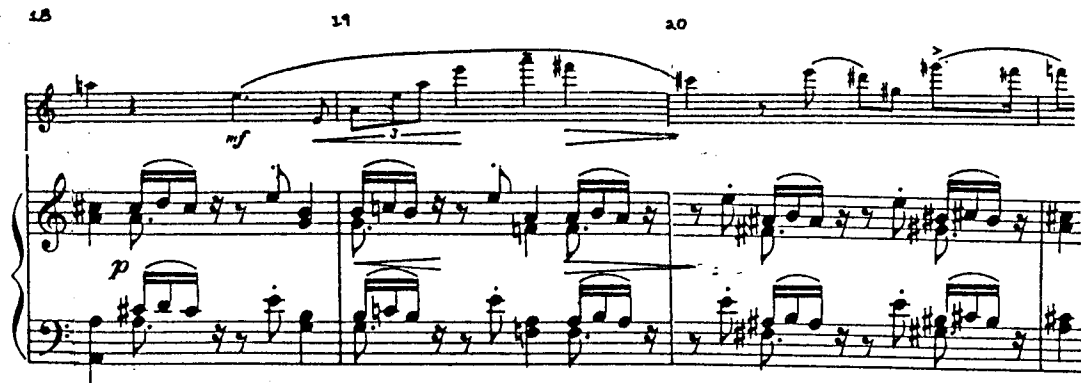


Figure 6. Hindemith sonata, first movement, measures 18-20.

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with his choice of *b* for the second movement: they generate tension with the tonic. The crescendo and decrescendo with the secondary theme are, as is often seen in classical works, associative elements; this figure never appears without them. The beginning of the secondary theme, with its rising fourths and fifths, is derived from the principal theme. Measures 24-27 are centered on *f#*, the only other chords in them being *g* and *F*, emphasizing again the importance of the relationship of the minor second.

Ein wenig ruhiger (a little more peacefully) is written above measures 35, where the closing theme first appears. The passage from measures 35 through 38 is harmonically like an extended cadence on *A* (Fig. 7).

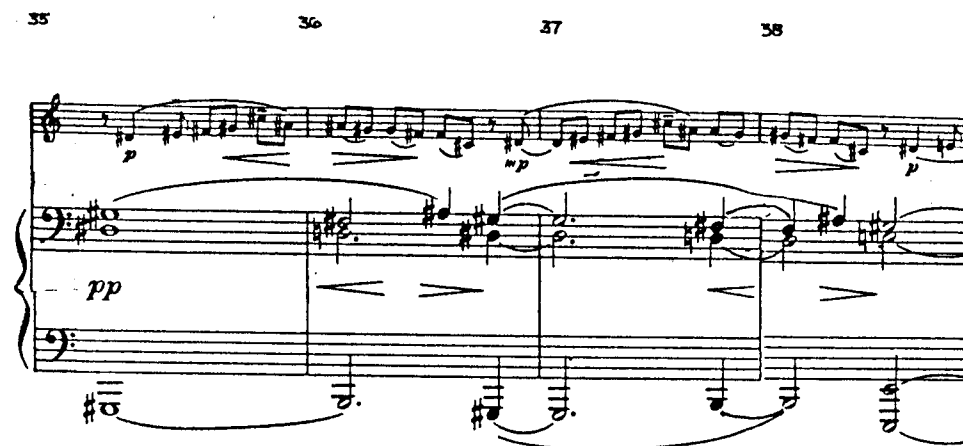


Figure 7. Hindemith sonata, first movement, measures 35-38.

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During the development section (mm. 44-68), the principal theme's headmotive is presented by the flute six times, on c# (db), eb, f# (gb), a, c, and G. Hindemith uses the simpler enharmonic spellings; respelled they function naturally in Bb major or minor. The first five presentations of the theme are accompanied by a pervasive ostinato resembling those in the exposition. Other than being presented on different pitches, the only development the principal theme receives is a transformation into a transitional figure (Fig. 8) which is used between appearances of the headmotive. The contour and associative dynamics of this figure are reminiscent of the secondary theme.

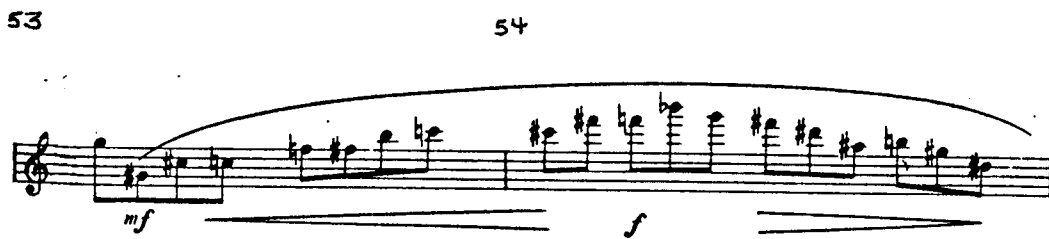


Figure 8. Hindemith sonata, first movement, measures 53, 54, flute.

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At the recapitulation in measure 69, the principal theme material, as in many classical works, is abbreviated. The secondary theme returns in measure 79, unconventionally not in the tonic, but on B (Cb) with the accompaniment on F#.

The closing theme section is essentially the same as in the exposition, but the decisive cadence corresponding to measures 41-43 is missing.

The movement's coda, marked Noch ein wenig ruhiger (still more peacefully) serves to resolve the tensions that the recapitulation did not. Hindemith fits sections of the principal and secondary themes together and presents them in Bb, thus obeying the classical "rule" that all important material should be presented in the tonic at some point during the movement (Fig. 9).

The plan of the second movement, Sehr langsam, is that of a sonata form (Table 2). The movement is characterized by long, lyrical

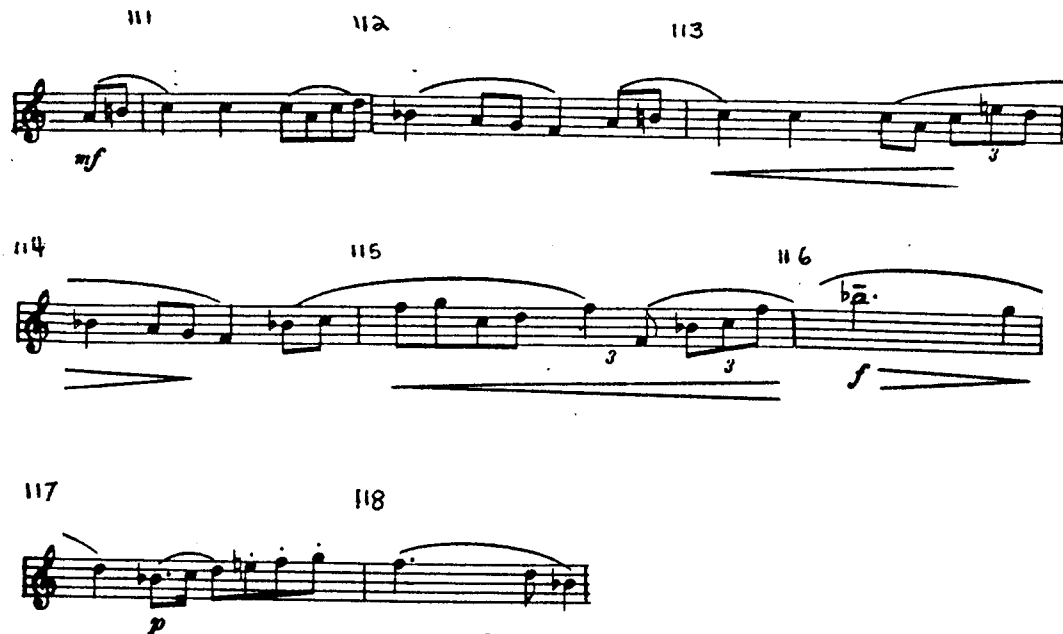


Figure 9. Hindemith sonata, first movement, measures 111-118, flute.

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TABLE 2
HINDEMITH SONATA, SECOND MOVEMENT

Measure	Material	Phrasing	Tonal Center(s)
<u>Exposition</u>			
1	PT	6 + 2	b
9	Trans., PT material	5	c#
14	ST	4 + 6	f#
<u>Development</u>			
24	Mostly motive from PT; brief ST material	4 + 5	xxx
<u>Recapitulation</u>			
33	PT	7 + 5	d
44	ST	4 + 6	b

lines over somewhat static harmony. Pedals which occur fairly consistently with the presentations of the themes contribute to the sense of suspended motion. Dotted rhythms pervade the accompaniment of the themes, and are important in the secondary theme itself. The phrasing is irregular but it is periodic and there are often phrase elisions. Throughout the movement the texture is that of melody and accompaniment, corresponding to many classical slow movements (Fig. 10).

The musical score for measures 1-6 of the second movement of Hindemith's Sonata for Flute and Piano is presented. The score is in 3/4 time and consists of three systems. The first system (measures 1-3) is marked with a piano (*p*) dynamic. The second system (measures 4-6) is marked with a fortissimo (*f*) dynamic. The piano part features a prominent dotted rhythm in the right hand and a more active bass line. The flute part has a melodic line with various ornaments and phrasing marks. The score includes dynamic markings such as *pp*, *cresc.*, *f*, and *mf*, as well as phrasing slurs and accents.

Figure 10. Hindemith sonata, second movement, measure 1-6.

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The opening motive of the principal theme is a descending b dorian scale. The bass notes in the left hand of the piano echo this motive in an augmented canon (mm. 1-3). The ascending parallel fourths in the right hand are like an inversion of the same motive. In measures 2 through 4 the ascending intervals in the principal theme grow progressively wider until the phrase reaches a climax in measure 4. As the pitches rise, the dynamic level increases. The crescendo also corresponds to the widening intervals between the soprano and bass lines of the piano. Hindemith's use of dynamics in this phrase is an example of classical balance of musical parameters. Like many classical phrases, this six-measure period reaches its climax about three-quarters of the way through and then is rounded off and closed to balance the opening.

At measure 14, marked Ruhig, the flute has the secondary theme (Fig. 11). The secondary group is marked *pp* in the flute and *ppp* in the piano, the change in dynamics helping to articulate the section. The accompaniment is similar to that with the principal theme, so there is no distinctive texture change to mark the section.

14



Figure 11. Hindemith sonata, measure 14, flute.

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The development section (mm. 24-32) is short, but it presents a motive from the principal theme on eight tonal levels as a dialogue between flute and piano (Fig. 12). The meter changes in this section shift the emphases of the beats but create no syncopation.

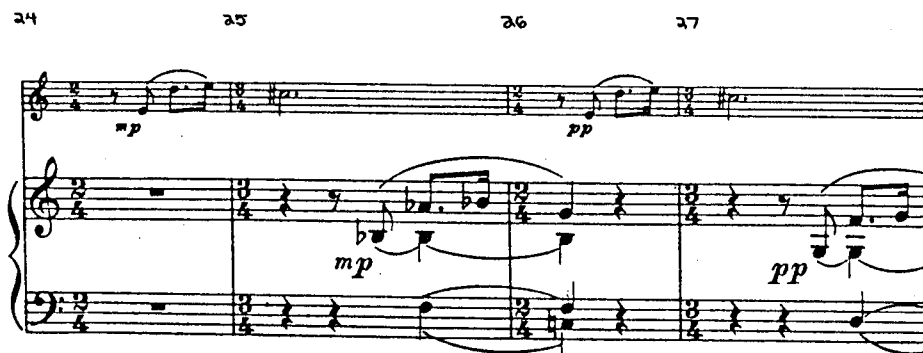


Figure 12. Hindemith sonata, second movement, measures 24-27.

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Hindemith's employment of the dotted rhythm accompaniment in the recapitulation is markedly heavier than in the exposition, so although he is in the "wrong" key (d, instead of b) there is no doubt that this is the recapitulation. The return of the opening material in d is unclassical, but by tonicizing this area Hindemith is able to make the overall keys of the movement spell a b minor triad, considered in the sonata as a whole as the minor lowered supertonic of Bb.

The third movement, Sehr lebhaft, is an incomplete sonata rondo, since the B section does not return in the tonic followed by a final appearance of the A section. The general outlines of the movement are shown in Table 3.

TABLE 3
HINDEMITH SONATA, THIRD MOVEMENT

Measure	Material	Phrasing	Tonal Center(s)
1	<u>A</u>	16 + 8 + 15	bb - b(cb) - bb
40	<u>B</u>	10 + 16 + 6	c# - g# - c# (db, etc.)
72	Trans.	5 + 10 + 7	F
94	"false" <u>A</u>	8	b (cb)
102	<u>A</u>	7 + 11	bb
120	<u>C</u>	13 + 17 + 16 + 15	g - eb - g
181	Trans.	5 + 7	xxx - f
195	<u>A</u>	19 + 7	bb
219	Trans.	16 + 10 + 7	F
242	Coda		Bb

The first sixteen measures contain the A theme (Fig. 13) in the flute accompanied by a two-measure ostinato. Melody and accompaniment texture is used here, as it is through most of the movement. The theme is in Bb aeolian, while the ostinato contains the still-important pitch of Cb. In measure 14, the piano has a forte Cb chord and the flute begins a descending Cb major scale. Hindemith finally spells this key according to its function as the lowered supertonic in



Figure 13. Hindemith sonata, third movement, measures 1-4.

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measures 14 through 16 (Fig. 14), but when he changes the mode to minor in measure 17, he then notates it as b.



Figure 14. Hindemith sonata, third movement, measures 14-17.

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A change of character occurs in the B theme (Fig. 15), which begins in measure 40. In contrast to the bouncing rhythms of A, the B theme is lyrical and flowing, conforming to the classical stereotype of "masculine" and "feminine" themes. In measure 72 a new section, the transition, is articulated when the heretofore almost unrelieved eighth-note motion in the piano comes to an abrupt halt.



Figure 15. Hindemith sonata, third movement, measures 40, 41.

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Measure 94 is marked Im Zeitmass (in tempo) and is a false return of A--false because it is in b (cb), emphasizing again the importance of that half-step relationship.

The C material begins in measure 120 (Fig. 16), featuring a theme and accompaniment much like that of A. The tonal center is g

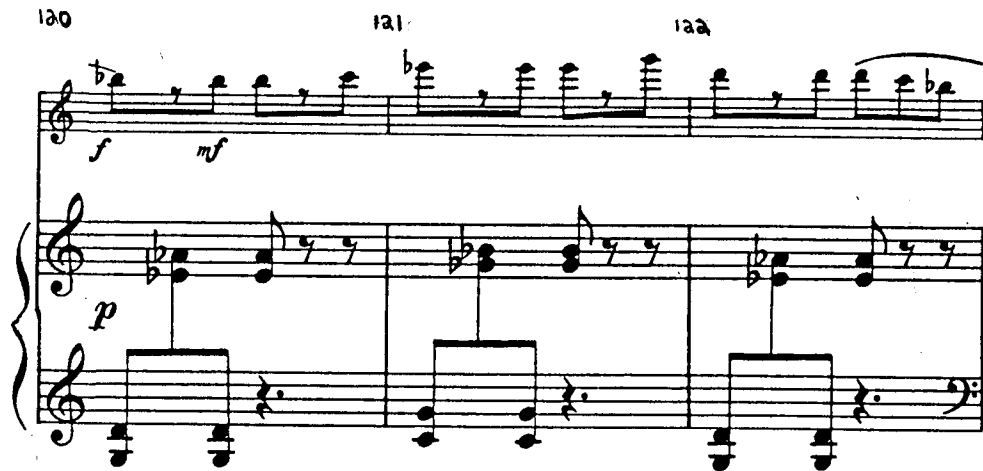


Figure 16. Hindemith sonata, third movement, measures 120-122.

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phrygian, but the entire C section, like many corresponding sections in classical sonata rondos, is tonally ambiguous and developmental. One way in which Hindemith develops the C theme is by using its first four measures in a real canon at the octave between the flute and piano beginning in measure 150.

When the A theme returns in measure 195 (Fig. 17), it is still on its original pitches, but has undergone a transformation. The now lyrical theme atones for the lack of the return of the B material. At the end of this section, as in measures 14-16, there is an emphasis on Cb. The movement proper ends on the dominant of F, which in

195 196 197

Figure 17. Hindemith sonata, third movement, measures 195-197.

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measure 93 was resolved to a b minor chord. Here it leads to the coda, which begins on a Bb major cord.

The coda, designated Marsch, is a small movement in its own right (58 measures of 2/2 time), and serves several functions. It compensates for the absence of the final B and A in the third movement; it replaces the Scherzo and Trio to help balance the weight of the cycle; and it provides a final area of tonal stability and reinforces the importance of scale-degree inflection in the sonata. Its formal plan is shown in Table 4.

TABLE 4
HINDEMITH SONATA, MARSCH

Measure	Material	Phrasing	Tonal Center(s)
1	<u>A</u>	9½	Bb - f
11	<u>A</u>	9½	Bb - f
20	<u>B</u>	10	Bb (phrygian)
30	<u>A</u>	7	Bb
37	<u>B</u>	10	Bb - cb
47	<u>A</u>	7 + 5	Bb

The first way that Hindemith indicates that the Marsch is a coda for the entire sonata is in the first measure: the important tonal centers of the sonata (Bb, Cb, Bb, A) are presented in the major chords in the left hand of the piano (Fig. 18). None of the thematic material in the coda is related to the other movements, including the third. The texture throughout the coda is similar to measures 1 and 2, a mixture of homophony and polyphony. A tonicization of f begins in the third bar and ends in the ninth bar with a series of major chords. The use of major triads is an important element in the Marsch; major triads are in Hindemith's theories more stable than minor.

In measure 11 the flute enters in its upper register with a variation of the A theme, reminiscent of the Stars and Stripes Forever piccolo obligato (Fig. 19). In measure 42 the flute continues the obligato, but it is now a variation of the second half of the B theme, in Cb (written b), the last important tonicization of that area. The



Figure 18. Hindemith sonata, Marsch, measures 1, 2.

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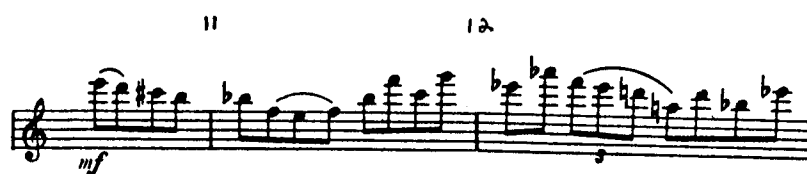


Figure 19. Hindemith sonata, Marsch, measures 11, 12, flute.

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final five measures of the sonata illustrate both Hindemith's emphasis on the major triad in the coda and of the flexibility of scale-degree inflection in the sonata (Fig. 20).



Figure 20. Hindemith sonata, Marsch, measures 54-58.

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The lowered supertonic in classical use is "conceived as an expressive appoggiatura,"¹⁹ both on lower and higher structural levels. In a similar manner Hindemith uses it because of the relationship of the minor second, the most dissonant interval after the tritone in his system. Intensity and tension are sustained by withholding the resolution of the minor second, both the leading tone and the lowered supertonic. The relationship of the fifth is used in the

¹⁹Rosen, p. 88.

sonata to reinforce and stabilize tonal centers. Hindemith uses the last movement to recall and reconcile the harmonic conflicts of the first two movements. Its structural pitches are primarily those in the bb minor triad. The emphases on g, eb, and F create no tension in this movement, they merely reinforce, by emphasizing vi, iv, and V, the stabilizing function of the movement, which ends with a strong emphasis of Bb major. The coda primarily alternates between Bb and F (the stable fifth relationship), with a few reminiscent tonicizations of cb.

Hindemith's methods of creating drama through harmonic tension and resolution are for him, as consistent as Haydn's or Mozart's were. The technique of using thematic material to create structure, as opposed to merely reinforcing it, is perhaps more important to Hindemith than to the classicists, but by no means is his structure purely thematic. The lack of consistently regular phrasing is not classical, but the fact that the phrasing is usually periodic is classical. Phrasing in areas of greater harmonic stability is often more regular to help reinforce that stability (e.g., the coda of the first movement and the Marsch). Hindemith's prominent use of polyphony is not idiomatic to much late-eighteenth-century music, but the methods by which he effects textural changes are. Use of dynamic markings in this sonata, while more numerous than in many classical works, show restraint in their scope. Triple piano (*ppp*) is only used three times in the sonata, with the majority of markings being *p*, *mf*, and *f*. Crescendos and decrescendos are used in their classical senses, to aid in building or lessening tension and as thematic

complements and to help articulate structure. Although Hindemith's rhythmic vocabulary is limited for a twentieth-century composer, it is fairly consistent with the classical style, and contributes to the spirit of classicism in this sonata.

CHAPTER 3

PROKOFIEV'S SONATA IN D MAJOR, OP. 94,
FOR FLUTE AND PIANO

Born in Russia on April 23, 1891, Sergei Prokofiev received his earliest musical training from his mother, an accomplished amateur pianist. He was, if not a prodigy, musically precocious, having written the piano score for an opera at the age of nine. Soon after, he went to Moscow to study with Glière, his first important composition teacher. He entered the St. Petersburg Conservatory at the age of thirteen, studying piano and conducting, and composition with Rimsky-Korsakov, Liadov, and Tcherepnin.¹ Most of his works before 1920 (excepting the Classical Symphony), while based on tonality, are "built on highly dissonant textures often coupled with great motoric drive."²

In 1918, during the Russian Revolution, Prokofiev went to the United States, where he experienced sporadic success and financial difficulty. He had "no desire to return to Russia with a sense of failure,"³ so he moved to Paris in 1922 and lived there until 1936. During this time he made several concert tours of his homeland, and was received as a celebrity. His successes there, along with the fact that he had never felt at home in the West, were two reasons that he returned to the USSR in 1936, voluntarily adopting Soviet citizenship and remaining there until his death in 1953.

¹Slonimsky, p. 1821.

²Salzman, p. 75.

³Duric-Klajan, Stana, "Sergei Prokofiev," New Grove, p. 291.

Prokofiev's position in the Soviet Union was that of a "popular, published, and influential"⁴ composer, who was nevertheless periodically criticized by the press for his "decadent" and "modernist" techniques. Most of Prokofiev's best-known works (e.g., Peter and the Wolf, Romeo and Juliet) were written during these later years in the Soviet Union, where he was "both stimulated and restricted by the cultural policies prevailing under Stalin."⁵ The Party Central Committee had general guidelines for composers, principles known as "Socialist Realism." The state's advice was to pay heed to the social content of the music, to appeal to the people, and to look to the traditions of the past and to folk music for inspiration.

Whether the causes were internal, external, or both, Prokofiev's musical style in the USSR progressively became less astringent, more lyrical, and increasingly tonal. Eric Salzman states:

This stylistic evolution took the form, not so much of any kind of conscious Russian nationalism or populism, as of a very distinctive, accessible neo-classicism. Eighteenth-century ideals are invoked in the use of "sonata form"--at least its external shell--in triadic harmonic structure, in the use of simple accompaniment figures of the "Alberti bass" type, in simple rhythmic and phrase structures, and in the character of the cadences.⁶

Prokofiev himself has isolated five of the elements of his style.

The first is Classical, originating in my early infancy when I heard my mother play Beethoven sonatas. It assumes a

⁴Slonimsky, p. 1821.

⁵Duric-Klajan, p. 288.

⁶Salzman, p. 76.

Neo-classic aspect in my sonatas or concertos, or imitates the Classical style of the eighteenth century. . . . The second (is) the search for innovation. . . .

The third is the element of the toccata, or motor element, probably influenced by Schumann's Toccata, which impressed me greatly at one time. . . . The fourth element is lyrical. Since my lyricism has for a long time been denied appreciation, it has grown but slowly. But at later stages I paid more and more attention to lyrical expression.

I should like to limit myself to these four elements, and to regard the fifth, that of the grotesque which some critics try to foist on me, as merely a variation of the others. In application to my music, I should like to replace the word grotesque by "Scherzo-ness" or by the three words giving its gradations: jest, laughter, mockery.

The latter element of humor in Prokofiev's music is reminiscent of Haydn. The formal and tonal influences of the classicists are also prominent in his works, including the Sonata in D major, op. 94, for flute and piano.

The sonata was written in 1943, while Prokofiev was working on the opera War and Peace, the ballet Cinderella, and sketches for the National Anthem of the Soviet Union. His reason for writing the sonata is expressed in his autobiography. "I had long wished to write music for the flute, an instrument which I felt had been undeservedly neglected. I wanted to write a sonata in delicate, fluid classical style."⁸ The work was first performed on December 7, 1945, in Moscow with Kharkovsky playing the flute and Sviatoslav Richter playing the piano. It was later transcribed for violin at the request of David Oistrakh.

⁷ Machlis, p. 222.

⁸ Sergei Prokofiev, Autobiography, Articles, Reminiscences (Moscow: Foreign Language Publishing House), p. 106.

The sonata is in four movements and of the three sonatas discussed in this study, is the only one to employ key signatures, an indication of Prokofiev's sincerity when he said, ". . . the construction of a musical work tonally is like erecting a building on a solid foundation. . . ." ⁹ He is also the only one of the three composers to use traditional Italian terminology exclusively.

The movements are: (1) Moderato, D major, 4/4 time, in sonata form; (2) Scherzo (marked Allegretto scherzando), a minor, 3/4 time, a large rondo; (3) Andante, F major, 2/4 time, a modified ternary form (A B A'); and (4) Allegro con brio, D major, 4/4 time, an extended large rondo. Immediately Prokofiev's dependence on the classical tradition is obvious. The keys of the second and third movements are the minor dominant and the lowered mediant of D, the key of the outer movements, outlining a tonic minor triad for the sonata. The sonata's overall formal plan adheres closely to the "ideal" of the classical period, only using a rondo form for the Scherzo and reversing the usual order of the Andante and the Scherzo for a scheme of moderate, fast, slow, and fast.

Prokofiev has said, "I want nothing better, nothing more flexible or more complete than the sonata form, which contains everything necessary to my structural purpose." ¹⁰ His treatment of sonata form may be seen in Table 5 (under the category "Phrasing"; "½" indicates the insertion of a 2/4 measure).

⁹ Machlis, p. 223.

¹⁰ Ibid.

TABLE 5

PROKOFIEV'S SONATA IN D MAJOR, OP. 94, FOR FLUTE AND PIANO,
FIRST MOVEMENT

Measure	Material	Phrasing	Tonal Center(s)
<u>Exposition</u>			
1	PT (<u>a</u> , <u>b</u>)	4 + 4 + 6	D
15	Trans.	7	b - A
22	ST	4 + 4 + 7½	A
38	CT	4	A
<u>Development</u>			
42	DT (from PTa; acc. from PT <u>b</u>)	10	A - C#
52	PTa, DT, ST, Tr. material, PT <u>b</u>	4 + 6	C# - B/b - g
62	PT	4	G# - Bb
66	ST, CT (acc.), DT	6½ + 3	Bb - D - b/b
76	PT <u>b</u> , DT	9	G/g
85	Trans.	4	xxx - D
<u>Recapitulation</u>			
89	PTa	4 + 4	D
97	Bridge	7	D
104	ST	4 + 4 + 3	D
115	CT	8½	D
123	Coda	7	Bb - D

Thematic exposition, contrast, and development are as important as harmonic development in Prokofiev's sonata form. He places new themes in all the classically "proper" places: three in the exposition and recapitulation (with the PT abbreviated there), and even a new one in the development section. Phrasing is periodic and often classically regular, especially at the beginnings of themes; the first parts of the principal, secondary, and closing themes are all divisible into four-measure units.

Prokofiev allows the classical tonic-dominant relationship to rule his harmonic structure. His twentieth-century harmonic expressions are found in the "constant series of sideslips into different keys. These cycles of keys . . . give Prokofiev's music its characteristic sound--diatonic but constantly 'modulating.'"¹¹ The tonicizations often appear to be arbitrary or unrelated to the overall structure of the sonata, but their keys are often unifying devices in the sonata.

The first part of Prokofiev's principal theme (PT_a) descends from the dominant to the tonic, and thus sounds rounded off and closed (Fig. 21). On the third beat of the sonata, Prokofiev gives a foretaste of his first harmonic "sideslip"; the c is preparation for the tonicization of C in the consequent phrase (mm. 5-8). Prokofiev, like Hindemith, is free with scale-degree inflections, mostly for convenience's sake; remote modulations or tonicizations are easier to reach if any of the present key's scale degrees may be raised or lowered. The

¹¹Salzman, p. 76.



Figure 21. Prokofiev sonata, first movement, measures 1-4.

chromatic inflection of G in measure 3 is the first appearance of the raised subdominant, important throughout the sonata as a way for Prokofiev to emphasize the dominant. A classical composer might introduce the leading-tone of the dominant in exactly the same way Prokofiev does in measure 3, to subtly prepare for the coming modulation. But with tonic-dominant polarity so weakened, Prokofiev dramatizes his large-scale movements to the dominant by brief tonicizations, not of the dominant of the dominant, but of the major or minor leading tone of the dominant, fresher to twentieth-century ears, but still based on traditional ideas of scale-degree tendencies. Prokofiev uses this technique in the tonicization of Ab (G#) in measures 13 and 14, before the transition to the secondary theme area in A, and again during the ST area: immediately following a tonicization of E (V/A) is a brief emphasis on eb (d#), the raised subdominant of A.

Prokofiev's structural divisions are articulated in several classically-inspired ways, as may be seen in Figures 22 through 25.

9

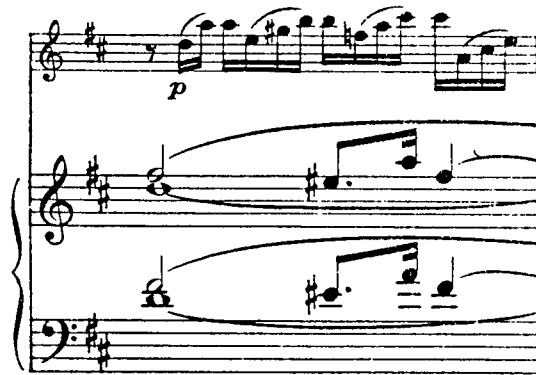


Figure 22. Prokofiev sonata, first movement, measure 9.

15



Figure 23. Prokofiev sonata, first movement, measure 15.



Figure 24. Prokofiev sonata, first movement, measures 22, 23.



Figure 25. Prokofiev sonata, first movement, measure 38.

These measures mark the beginnings of the other important parts of the exposition: the PT_b (Fig. 22), the transition (Fig. 23), the secondary theme (Fig. 24), and the closing theme (Fig. 25). The division between PT_a and PT_b is emphasized by the first rest in the movement, a change of register in the piano, and a change of texture and dynamics. The g# in the flute is another foreshadowing of the tonicization of Ab in measures 13 and 14. The first appearance of the dotted eighth and sixteenth-note figure which is the most distinctive features of the ST (Fig. 24) appears in the piano.

The transition beginning in measure 15 (Fig. 23) is articulated by an unclassically direct modulation to b, but classically by a change of texture (note the Beethoven-like figure in the left hand of the piano) and dynamics. Most of the changes in dynamics in the movement are approached gradually, e.g., with crescendos and decrescendos.

The secondary theme area (Fig. 24) is articulated by the use of texture and dynamic change. Prokofiev is now solidly in A (at least for a few measures) and presents his new theme with the thinnest texture in the movement (except for the corresponding place in the recapitulation). The closing theme (Fig. 25) has similar changes for articulation, but is more contrapuntal in texture.

Of the three composers examined in this study, Prokofiev is by far the most classical in his treatment of motives in the development section. In the tradition of Beethoven, figures from all the themes, the transition, and some of the accompaniments of the exposition are transformed and combined. Prokofiev introduces a new theme, derived

from PT_a, in measure 42, dramatized by the absence of the piano (Fig. 26). The piano response to this theme is derived from PT_b (Fig. 22). The triplets in the development theme were prepared by the triplets in measure 2 and the sextuplet in measure 3 (Fig. 21), previously presented as augmented and diminished versions.



Figure 26. Prokofiev sonata, first movement, measures 42-44.

Besides stating the principal theme on different tonal levels, Prokofiev ingeniously combines several figures in the development. Measure 60 (Fig. 27) contains the secondary theme in the flute, the PT_b in the piano's right hand, and a figure from the development theme in the left. Figure 28 shows the secondary theme in the flute (Fig. 24), and altered closing theme (Fig. 25) in the right hand of the piano, and a motive from the transition (Fig. 23) in the left. The triplet figure of the development theme permeates nearly the entire development section and is taken to its extremes in the movement's climax in measures 82 and 83 (Fig. 29).

60



Figure 27. Prokofiev sonata, first movement, measure 60.

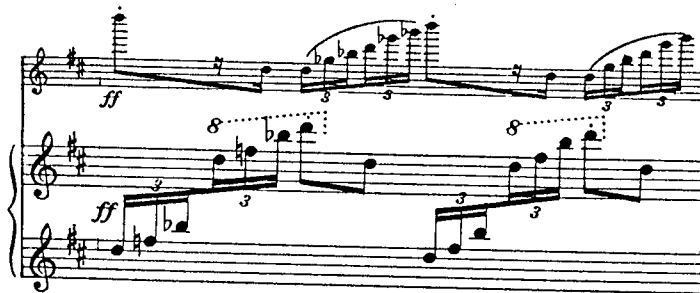
66

67



Figure 28. Prokofiev sonata, first movement, measures 66, 67.

82



83



Figure 29. Prokofiev sonata, first movement, measures 82, 83.

The recapitulation is classically "correct," repeating all the previous material in the tonic. Measures 123 through 128 contain a coda beginning in $b\flat$ minor, with only the final two measures in D major. But the tonicization may be a way of balancing the beginning and the end of the movement: the second measure of the movement was four counts of a $B\flat$ major seventh chord (Fig. 21).

The outlines of the Scherzo, a large rondo, are shown in Table 6. The primary keys in this movement are A and D. The third most important tonal center is $A\flat$ ($G\sharp$), functioning, as in the first

TABLE 6
PROKOFIEV SONATA, SECOND MOVEMENT

Measure	Material	Phrasing	Tonal Center(s)
1	Intro.	6	xxx
7	<u>A</u>	8 + 12	a - C - Ab
27	Trans.	7	db
34	<u>A</u>	8 + 4 + 12	d - F - A
58	Trans.	17 + 8	d - db - ab
83	<u>B</u>	8 + 12	A - f# - C
103	<u>B</u> - Trans	8 + 12	Ab - f - Cb - Gb
123	<u>A</u>	8 + 11	d - F - A
142	Trans.	7 + 13	xxx
162	<u>Ca</u>	4 + 4 + 4	D/d
174	<u>Cb</u>	8 + 8	D/d
190	<u>Ca</u>	4 + 4 + 4	D/d
202	<u>Cb</u>	4 + 14	D/d
220	Trans.	8	xxx, E (V) pedal
229-334	literal repeat of mm. 7-113		
335	Trans.	13	Cb - Gb - Db - Ab (G#)
348	Coda (<u>A</u> material)	23	a

movement, as the major leading tone in one key and the raised subdominant in the other, on both small and large levels. In this movement, as it is throughout the sonata, Prokofiev's harmonic vocabulary is primarily triadic, enriched with the addition of fourths, sevenths, ninths, and by changes in the usual qualities of chords. The texture is primarily melody and accompaniment. The phrasing is mostly regular and periodic, especially in the main thematic material, where two- and four-measure units predominate. Prokofiev adds interest to the regularity by constantly shifting the accents of the beats to alternate groups of three and two (Fig. 30). This effect is first seen in the six-measure introduction, which also contains the first appearance of another important rhythmic figure, the group of five eighth notes (Fig. 31). It reappears in the ostinato figures (Fig. 32) that are found in nearly every transition.



Figure 30. Prokofiev sonata, second movement, measures 9-12.



Figure 31. Prokofiev sonata, second movement, measures 3, 4.

Figure 32 shows measures 27, 149, and 150 of the second movement of Prokofiev's Sonata. The score is written for piano (p) and consists of three staves: a single treble staff at the top and a grand staff (treble and bass) below. The key signature has one flat (B-flat), and the time signature is 3/4. Measure 27 shows a whole rest in the treble and a half note B-flat in the bass. Measure 149 shows a whole rest in the treble and a half note B-flat in the bass. Measure 150 shows a whole rest in the treble and a half note D-flat in the bass. The dynamic marking *mp* (mezzo-piano) is present in measure 27, and *f* (forte) is present in measures 149 and 150.

Figure 32. Prokofiev sonata, second movement, measures 27 and 149, 150.

The B theme (Fig. 33) is quite different in character from the A theme. The listener is never in doubt when a new section of the movement has begun, both because of the distinctiveness of the themes and their articulations. In Figure 33, for example, Prokofiev is proceeding down an Ab major scale in measures 81 and 82, then lands deceptively and loudly in A major in measure 83 and changes the texture.



Figure 33. Prokofiev sonata, second movement, measures 81-86.

Perhaps the most surprising part of the movement is the C section, beginning in measure 162 (Fig. 34). Prokofiev changes the time signature to 2/2 and indicates that the new half note equals the previous dotted half note. The C theme features the raised subdominant, which is now not only a reminder of the importance of that inflection, but also imparts a primitive and exotic character to the melody (Fig. 34).

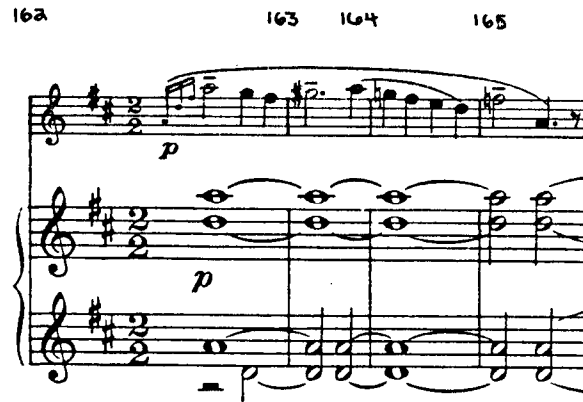


Figure 34. Prokofiev sonata, second movement, measures 162-165.

After a literal repetition of the opening material, the raised subdominant makes its final appearances in the Coda, first as a non-functional augmented-sixth chord (Fig. 35) and finally in the antepenultimate measure, where it is part of an unusual final cadence concluding with a i_4^6 chord (Fig. 36).



Figure 35. Prokofiev sonata, second movement, measures 348-350.



Figure 36. Prokofiev sonata, second movement, measures 367-370.

Following the formal example set in numerous classical sonatas, Prokofiev's slow movement is a modified ternary form, outlined in Table 7.

The phrasing sounds even more classically regular than it appears in Table 7. Each time there is a nine-measure phrase, its first measure contains an anacrusis-like figure, giving the impression that the second measure is the beginning of an eight-measure phrase (Fig. 37).

The choice of keys in this movement confirms Prokofiev's consistent harmonic structures throughout the sonata. The tonic, F, and its dominant, C, are the important tonal centers, and they are dramatized, as in the first two movements, by tonicizations of the raised subdominant, and here also by the lowered supertonic. In measures 8

TABLE 7
PROKOFIEV SONATA, THIRD MOVEMENT

	Measure	Material	Phrasing	Tonal Center(s)
<u>A</u>	1	<u>a</u>	9	F
	10	<u>b</u>	8	d - C
	18	<u>a</u>	9	F
	27	<u>b</u>	8	d - C
<u>B</u>	35	<u>c</u>	8	C
	43	<u>c'</u>	10	b
	53	c	8	C
	62	Trans.	4	f - Gb
<u>A'</u>	65	<u>a</u> , <u>c</u>	9	Gb
	74	<u>b</u>	8	g - F
	82	Coda (material from <u>a</u> and <u>b</u>)	13	F



Figure 37. Prokofiev sonata, third movement, measures 1-4.

and 9 there is an emphasis on the lowered supertonic ($f\#/g\flat$) of F, which also functions as the raised subdominant of C. This relationship appears on a larger scale at the return of the A material in G $\flat$ at measure 65. In the B section the modulation to the dominant is interrupted by a ten-measure tonicization of b--the leading tone of C and the raised subdominant of F.

Like the slow movement in Hindemith's sonata, Prokofiev's has long, smooth melodic lines over an accompaniment in a slow harmonic rhythm (Fig. 37). Prokofiev's harmonic vocabulary is limited in this movement to mostly simple, diatonic triads enriched with chromatic inflections, especially when nearing a cadence (Fig. 38) or in the themes, e.g., the c theme (Fig. 39).



Figure 38. Prokofiev sonata, third movement, measures 14-17.



Figure 39. Prokofiev sonata, third movement, measures 35-37.

Texture is primarily melody and accompaniment, with most of the accompaniments using arpeggiated (Fig. 37) or block triads (Fig. 39). Those textures which hint at polyphony, e.g., Figure 38 and measures 18 through 26, are still primarily homophonic.

Dynamics are used to support and complement melodic lines, to help articulate sections, and to indicate the line Prokofiev considers most important, as in the combination of the a and c themes at the return of the A section in measure 65 (Fig. 40).

The final movement is an extended large rondo because of the return of the B material in measure 67. Its outlines are shown in Table 8 ("½" indicates insertion of a 2/4 measure).

The main keys used in the finale serve to unify the sonata by outlining the keys of its movements: D, A, F, and D. The thematic material of the A, B, and C sections is also reminiscent of the three

65

66

Figure 40. Prokofiev sonata, third movement, measures 65, 66.

TABLE 8

PROKOFIEV SONATA, FOURTH MOVEMENT

Measure	Material	Phrasing	Tonal Center(s)
1	<u>A</u>	5 + 6 + 4½	D
17	Trans.	4 + 4 + 5	D - A
30	<u>B</u>	5 + 5 + 8½ + 4½	A
54	<u>A</u>	4½	D
59	Trans.	8	D - A
67	<u>B</u>	5	A
72	Trans. (new)	4 + 7 + 4	F
87	<u>C</u>	8 + 8 + 4	F
107	<u>C</u>	6	Ab
113	Trans. (new)	5 + 4	xxx - f#
122	<u>A</u>	5 + 6	D
133	Trans.	4 + 4 + 4	b - D
145	<u>B</u>	4½ + 4	d
154	<u>B</u>	6	D
161	<u>A</u>	8	D
169	Coda	5½	D

previous movements. Besides reflecting the overall keys of the sonata, the closely-related keys emphasized in this movement provide a sense of harmonic stability, important in giving a classical sense of balance to the sonata. Prokofiev also suggests thematic unity and balance in the sonata by including elements in the rondo's themes which have been important in previous movements.

The A theme (Fig. 41) reflects the character and function of the entire movement: beginning on the tonic, accenting the dominant and mediant (also emphasized by chromatic inflections), but never straying for long to harmonically remote areas, rhythmically diverse, and rounded off with an emphatic cadence on the tonic. The A theme contains several references to the principal theme of the first movement (Fig. 21, p. 48). The opening three notes of Figure 21 are recalled in the second measure of the A theme. The triplet figure which was so important in the first movement (Figs. 21, 26, and 28, pp. 52, 53) first appears in this theme in measures 1 and 5, and continues to be important throughout the finale. Like the theme in Figure 21, the A theme's basic content is a descent from the dominant to the tonic. Measure 6 of Figure 41 also reveals the parallel with measure 5 of the first movement, a tonicization of C in the first consequent phrase. The dotted-eighth-sixteenth figure in measure 4 of Figure 41 is reminiscent of the secondary theme of the first movement (Fig. 24, p. 50).

The distinguishing features of the B theme (Fig. 42) are the grace notes and the use of syncopation. Both of these elements were

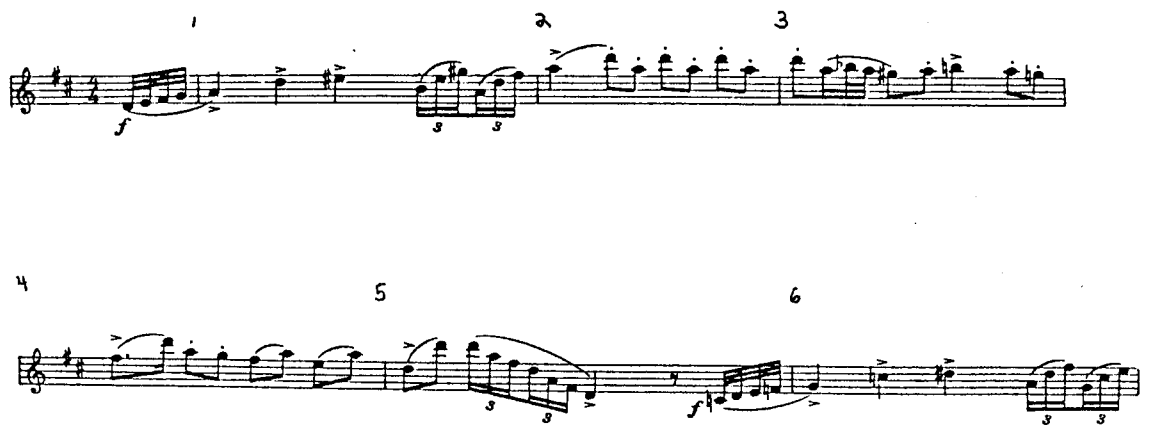


Figure 41. Prokofiev sonata, fourth movement, measures 1-6, flute.

35

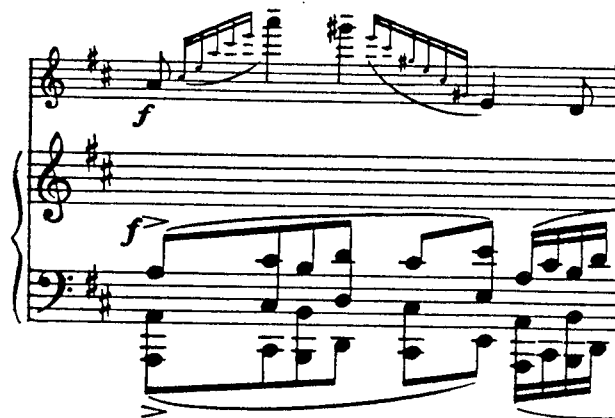


Figure 42. Prokofiev sonata, fourth movement, measure 35.

prominent in the Scherzo, which also had A as its tonal center. Grace notes were mainly used in the accompaniment in the Scherzo, but are thematic in the B theme (Fig. 42). Their use in the B theme was prepared in this movement by measures 10, 20, and 17.

Prokofiev's C theme (Fig. 43) continues the parallel of the movement's themes with the three previous movements. Like the Andante, the C theme is in F major, is lyrical (especially in the context of the movement), and is at first accompanied primarily by arpeggiations of triadic harmony. The c theme appears briefly in Ab (mm. 107-112), not only the lowered mediant of F, but the raised subdominant of D, a last large-scale reminder of its importance in the sonata. Prokofiev continues to use it on a smaller scale throughout the movement, and noticeably so in the coda, where it makes its final appearance in the antepenultimate measure.



Figure 43. Prokofiev sonata, fourth movement, measures 87, 88.

Prokofiev's use of dynamics in this movement is similar to that in the others, the most prominent difference being the liberal use of accent marks (>). The accents are not only used to help create the character of the movement, but also to emphasize articulations of sections in the sonata (e.g., Fig. 41, m. 6, and Fig. 42). The textures are mostly melody and accompaniment, an exception being in the appearances of the B theme (Fig. 42).

Prokofiev's use of dynamics in the sonata is not inconsistent with the classical idiom. Much of his texture is that most favored of classical textures, melody and accompaniment. The phrasing is nearly always periodic, and often regular, especially at the beginnings of his themes. The loss of tonic-dominant polarity is atoned for in several ways. Prokofiev, who, unlike Hindemith, chose to use the tonic-dominant relationship in his large formal structures, relies on the distinctiveness of his themes to articulate his modulations. Prokofiev uses the interval of the minor second to emphasize the tonic and the dominant by tonicizing areas a half step above or below either key, thereby creating interest in that traditional relationship.

CHAPTER 4

POULENC'S SONATA FOR FLUTE AND PIANO

Francis Poulenc was born in Paris on January 7, 1899. Like Prokofiev, his earliest musical training was from his mother, an accomplished amateur pianist. Although he showed great musical promise, he did not attend a music conservatory because his father wanted him to have a general education. At the age of sixteen he began his study of the piano with Ricardo Viñes, known as an interpreter of Ravel and Debussy.

By the time he was eighteen he had become a friend of Satie and was associated with the group later to be called "Les Six," consisting of himself, Auric, Durey, Honegger, Milhaud, and Tailleferre. These composers did not share similar styles or even artistic ideals, but did participate in many of the same musical events. After serving in the French army (1918-21), he decided to undertake formal composition study with Koechlin from 1921 to 1924.

A "new maturity"¹ marked his compositional style beginning in 1935, when he became the accompanist of the French baritone, Pierre Bernac, for whom he wrote many songs. Around this time he also returned to the Roman Catholic faith which had been a part of his childhood, and as a result, much of his work (especially his religious music) had a more serious character, although a spontaneous gaiety

¹Roger Nichols, "Francis Poulenc," New Grove, p. 163.

continued to characterize his secular works throughout his life. Poulenc continued to be active both as an accompanist and a composer until his death in 1963.²

Poulenc's music has been described by many writers as eclectic. His early preferences were inherited from his mother, who often played Schubert, Mozart, Scarlatti, and Chopin. But she also loved what Poulenc came to call "l'adorable mauvaise musique":³ the semipopular, light music characterized by diatonicism and lyric melody, such as some of the music of Massenet, Anton Rubinstein, and Grieg. He later came to admire Debussy ("... the musician whom I prefer after Mozart"), Stravinsky, Satie, Schoenberg, and nearly everyone else. He was effusive in his praise of other composers and sometimes disarmingly honest:

I know perfectly well that I'm not one of those composers who have made harmonic innovations like Igor (Stravinsky), Ravel, or Debussy, but I think there's room for new music which doesn't mind using other people's chords. Wasn't that the case with Mozart and Schubert?⁴

There are no examples of "revitalized sonata form"⁵ in Poulenc's works. He looked to tradition for formal structures, but less to the classical period than he did to the early-eighteenth century. There he found forms such as modified ternaries (A B A'), that allowed him to

²Ibid., pp. 163, 164.

³Keith W. Daniel, Francis Poulenc: His Artistic Development and Musical Style (Ann Arbor: UMI Research Press, 1982), p. 2.

⁴Nichols, p. 167.

⁵Daniel, p. 58.

contrast ". . . themes or groups of themes, without the necessity of thematic development."⁶ True to the French tradition, his music tended to avoid motivic development, preferring to restate themes in a new key or with different scoring, or to move to contrasting material.⁷

The classical traits in Poulenc's music were a natural expression of his greatest musical gift: melody. Most of his textures were melody and accompaniment, primarily because melodies are the most important aspect of his music (hence his greatness as a composer of songs), and because he was not a contrapuntalist.⁸ He preferred diatonic themes, but often added chromaticisms or mixed major and minor modes.⁹ Many of his themes are characterized by regular phrase structure.¹⁰

As might be expected from Poulenc's comment about "using other people's chords," his harmony is primarily tonal, diatonic, and functional. Like other twentieth-century composers who wrote in a tonal system, a fluid tonality is often clarified at cadences. To accommodate rapid tonicizations, Poulenc uses no key signatures.

As he noted at the end of the score of the Sonata for Flute and Piano, he wrote the work at the Hotel Majestic (in Cannes)

⁶Ibid.

⁷Ibid., p. 69.

⁸Ibid., p. 61.

⁹Ibid., p. 71.

¹⁰Ibid., p. 66.

from December 1956 to March 1957. Dedicated to the memory of the American patroness-of-the-arts, Elisabeth Sprague-Coolidge, the sonata was first performed at the Strasbourg Festival on June 18, 1957, by Jean-Pierre Rampal and the composer, where it was enthusiastically received.

The work is in three movements: (1) *Allegro malinconico*, e, 2/4 time, and a modified ternary form; (2) *Cantilena*, bb, 4/4 time, a ternary form suggesting a theme with variations; and (3) *Presto giocoso*, A, 2/4 time, and a ternary form in the spirit of a rondo.

Poulenc's formal structures are the freest of the three composers examined in this study. They are "unclassical" in that none of the movements follows any traditional or idealized late-eighteenth-century pattern. Yet in another sense, the very flexibility of the forms invokes the classical spirit; the movements seem to grow naturally out of Poulenc's thematic ideas. The keys used in the cycle appear to be only loosely related, but careful examination of important tonal centers within the movements shows that they are related in a manner similar to that in some of Hindemith's and Prokofiev's harmonic structures. The first movement, in e/E, is in the dominant key of the last movement, in A, and that dominant-tonic relationship is intensified by the lowered supertonic of the second movement (bb), which functions like a large-scale *appoggiatura*.

Like Hindemith and Prokofiev, Poulenc is free with scale degree inflections and with mixing the major and minor modes, both of which aid him in changing tonal centers quickly.

The first movement of the sonata is given the title "Allegro malinconico" (quick, but melancholy). Poulenc's use of Italian for the movements' titles appears to be tongue-in-cheek here, since the majority of his other performance directions are in French. It is a modified ternary form, and its outlines are shown in Table 9.

TABLE 9
POULENC'S SONATA FOR FLUTE AND PIANO, FIRST MOVEMENT

	Measure	Material	Phrasing	Tonal Center(s)
<u>A</u>	1	<u>a</u>	4 + 4	e
	9	<u>a</u>	4 + 4 + 2	e - C - e
	19	<u>a</u>	4 + 4	e - a
	27	Trans.	4 + 3	a - F
	34	<u>b</u>	4 + 3	F
	41	<u>a</u>	4 + 4 + 4	f - eb - gb - a
	53	<u>a</u>	4 + 4 + 4	a
	65	Trans. (new)	2 + 6	a - f# - F
<u>B</u>	73	<u>c</u>	3 + 4 + 3	F - Db
	83	<u>d</u>	3 + 4 + 2	bb - A - C
	92	<u>c</u>	4 + 3	C - xxx - a
<u>A'</u>	99	<u>a</u>	4 + 4	a - e
	107	<u>a</u>	4 + 4 + 2	e C - e
	117	Coda	5	e/E
	122	<u>c</u> material	4 + 3	e/E
	129	new and <u>a</u> material	4 + 4	e/E

This movement is formally and harmonically irregular; its only regular aspect is the phrasing in the presentations of the a material.

Actually, the movement simply provides Poulenc with a format to display his a theme (Fig. 44). Throughout the movement Poulenc presents this theme on different tonal levels, but the texture in which it appears never varies; it is always against the Alberti-bass-like figure in the piano.



Figure 44. Poulenc sonata, first movement, measures 1-4.

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During the first 33 measures, Poulenc tonicizes C and a, keys which are closely related to e. In measure 51 he emphasizes c#, which serves as a pivot key (db) to effect the modulation to F in measure 34. This is the first appearance of the lowered supertonic in a modulation in this sonata. As it was in the sonatas of Hindemith and Prokofiev, the half-step relationship becomes an important means of dramatic contrast with the tonic. There is no change of texture or thematic material before the seven-measure b section at measure 35 (Fig. 45). The texture changes only slightly here; it is primarily the

34



Figure 45. Poulenc sonata, first movement, measure 34.

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new staccato articulation in both the piano and the flute and the different thematic material in the flute that provide relief from the a theme. The b material is not heard again in the sonata, so although it is different, it sounds like a transition between appearances of a.

Measures 41 through 52 contain the only "development" of the a theme; it is presented on f, eb, and gb, and in measures 45 through 48 it is in the right hand of the piano, accompanied by a 32nd-note flute obligato.

The first dramatic change of texture happens in the transition to the B section at measure 65. Poulenc prepared the change by introducing longer note values against the still-flowing accompaniment in measures 61 through 64.

Changing meters and the dotted and tied rhythms of the themes (Fig. 46) characterize the B section. Poulenc indicates that this section is to be played a little faster ("un peu plus vite"). The thirty-second notes in this theme have a different character than, but are obviously derived from the opening motive of the a theme. Many of the themes throughout the sonata are derived from or influenced by another theme; perhaps Poulenc felt that this was sufficient thematic development.



Figure 46. Poulenc sonata, first movement, measures 73, 74.

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The texture is still that of melody and accompaniment, and throughout this section the right hand of the piano has simple block chords and the left contains numerous pedals, perhaps to provide a stable base for the jerky rhythms of the c theme. Poulenc begins this

section in F major, foreshadowed both in the transition beginning in measure 34 and then in measures 57 and 58. It is significant that the b material (m. 34), the "development" section (mm. 41-52), and the c theme all begin in the lowered supertonic, in Poulenc's case, a replacement of the dominant. His use of the subdominant area, a, in the movement, while prominent, is either contrasting, or as in measure 99 at the return of the a material, deceptive. The key of a is also preparation for the last movement.

A part of the d theme (Fig. 47) returns in the A' section. This thematic figure, along with others from the movement, makes a surprise appearance in the last movement.



Figure 47. Poulenc sonata, first movement, measure 86.

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The final three measures of the movement (Fig. 48) resolve the mixing of major and minor modes by ending on E major, which also

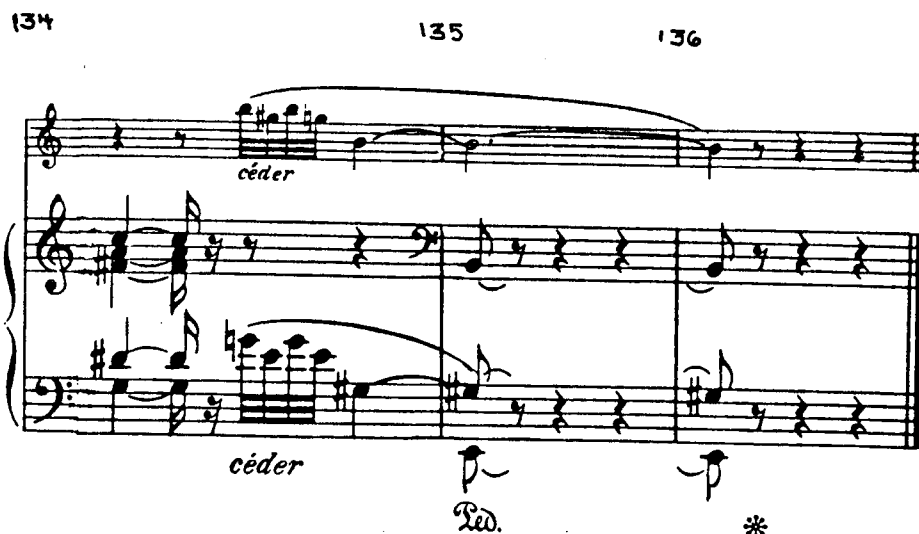


Figure 48. Poulenc sonata, first movement, measures 134-136.

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establishes this movement as being in the dominant key of the final movement.

"Cantilena," which means a "sustained, flowing melodic line,"¹¹ is the title of the second movement, a fitting description of the melody around which the movement is built. The ternary form in which it appears is outlined in Table 10.

The phrasing is not as regular as it appears in Table 10 because Poulenc periodically inserts 2/4 and 3/4 measures. Important key areas are, besides bb, a, eb, f, and B. The first "variation" of the

¹¹ J. A. Westrup and F. L. Harrison, The New College Encyclopedia of Music (New York: W. W. Norton and Co., Inc., 1976), p. 104.

TABLE 10
POULENC SONATA, SECOND MOVEMENT

	Measure	Material	Phrasing	Tonal Center(s)
<u>A</u>	1	Intro.	2	bb
	3	<u>a</u>	4 + 4	bb
	11	<u>a</u>	4 + 4	bb - f - a
<u>B</u>	19	<u>a</u>	4 + 3	a - g
	26	Trans.	3 + 2	G - eb
	31	<u>a</u>	4	eb
	35	material from <u>a</u>	2 + 2 + 2	f - ab
	41	<u>b</u>	3 + 2	B - A - f#
	47	material from <u>a</u> and <u>b</u>	3 + 3 + 4	f# - c - xxx - bb
<u>A'</u>	57	<u>a</u>	4 + 2 + 4	bb

a theme appears in a and the only contrasting theme in the movement appears on B, both emphasizing the relationship of a half-step from the tonic (bb).

After a two-measure canonic introduction, the a theme and the accompaniment associated with it are presented (Fig. 49). The phrase shown in Figure 49 is one of the most classical looking and sounding phrases in any of the three works examined in this study, because of the purely diatonic melody and accompaniment, the figuration of the accompaniment, and the shape and rhythm of the melody.

The movement does not precisely use a theme and variations technique, but the melody is presented in several guises. The third appearance of the theme (Fig. 50) is in a and is in 3/4, which shifts



Figure 49. Poulenc sonata, second movement, measures 3-6.

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Figure 50. Poulenc sonata, second movement, measures 19, 20.

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the theme's accents to different beats. It is also presented as a canon at the unison (foreshadowed in mm. 1, 2) between the flute and the right hand of the piano. The theme is marked mezzo forte; both previous appearances of the theme were marked piano. These changes are not unlike the classical variation techniques of meter change, contrapuntal treatment of a theme, and change of character by a change of dynamics and/or mode.

The entrance of the b theme comes approximately two-thirds of the way through the movement in measure 41 (Fig. 51). This melody, derived rhythmically from the a theme, appears in the last movement. In the A' section the a theme returns in nearly its original form in measure 57, followed by a four-measure coda whose first sonorities are in Bb major, negated by the final pianissimo chord of bb minor.



Figure 51. Poulenc sonata, second movement, measures 41, 42.

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The outlines of "Allegro giocoso," the final movement, are shown in Table 11. Table 11 reveals a ternary form which uses recurring themes in the manner of a rondo. It is not a rondo in the classical sense--the a theme does not return between appearances of the other themes--but each of the short, distinctive themes enters freely, and when any one of them returns, the effect is similar to that of a rondo theme. As in the previous movements, each melody is associated with its own accompaniment figure, which greatly aids the listener in remembering the many themes and helps articulate structural divisions. The textures in which all the themes are presented are homophony, as in the beginning of the a theme (Fig. 52), and melody and accompaniment (e.g., the Alberti-bass-like accompaniment in Fig. 53). Some of the themes are unique to this movement, while three (c, d, and g) are from important themes in the first two movements.

The phrasing is periodic and mostly regular. This movement, compared to the others, is quite stable harmonically in its outer sections. The A section tonicizes the dominant, the mediant, and the leading tone (Ab--the last important use of the half step to emphasize the tonic) and the A' section is completely in A except for a four-measure emphasis on the dominant. The B section is free harmonically and thematically, and because of the quotes from previous movements, it is almost like a development section for the sonata. Dynamics in this movement, as they are throughout the sonata, are primarily used to complement and help characterize the themes, and to articulate sections. The main themes and their accompaniments are illustrated in Figures 52 through 58. The c theme (Fig. 54) is a direct quote from

TABLE 11
POULENC SONATA, THIRD MOVEMENT

Measure	Material	Phrasing	Tonal Center(s)
<u>A</u>			
1	<u>a</u>	4 + 4 + 4	A
13	<u>a</u>	4 + 3	E - A
20	<u>a</u>	4 + 4	A - e
28	<u>a</u>	4 + 4 + 4	e - E
39	<u>b</u>	3 + 3 + 3 + 3	a - c
50	Trans.	4	Ab
54	<u>a</u>	4 + 4	Ab
61	<u>b</u>	3 + 3 + 2	ab - c
<u>B</u>			
69	c (mat. from 1st mvt. <u>a</u>)	8 + 8	c - bb - a - d
85	Trans.	6	D
91	d (mat. from 2nd mvt. <u>b</u>)	4 + 3 + 4	G - Ab - A - C
103	<u>e</u>	4 + 4	e - f
111	Trans. (2nd mvt. <u>a</u>)	7	f
118	<u>f</u>	4 + 4 + 2	F
128	<u>f</u>	4 + 6 + 4	A - E - Ab
142	<u>f</u>	6	Ab
148	<u>e</u>	4 + 4 + 4	b - c - eb
160	Trans.	6	f
166	g (mat. from 1st mvt. <u>c</u>)	3 + 3 + 2	f - f# - a
174	<u>c</u>	8 + 8	a
<u>A'</u>			
191	<u>a</u>	4 + 4 + 4	A
203	<u>a</u>	4 + 3	E - A
210	<u>d</u>	4 + 4	A
218	<u>e</u>	2	A
220	<u>f</u>	6	A
226	<u>g</u>	4	A



Figure 52. Poulenc sonata, third movement, measures 1-4, a theme.

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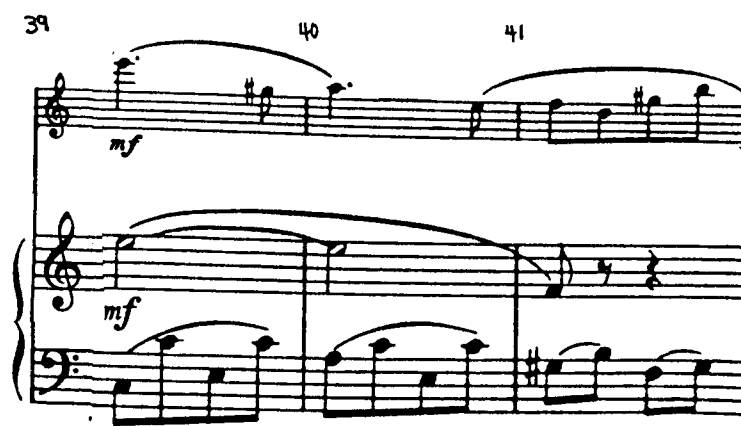


Figure 53. Poulenc sonata, third movement, measures 39-41, b theme.

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Figure 54. Poulenc sonata, third movement, measures 71-74, c theme.

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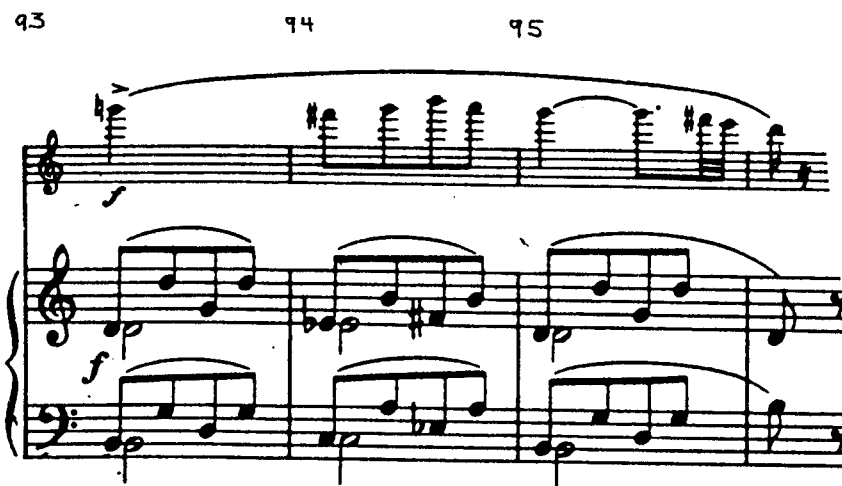


Figure 55. Poulenc sonata, third movement, measures 93-95, d theme.

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104 105

léger et mordant

léger et mordant

pp sub.

sans péd.

Figure 56. Poulenc sonata, third movement, measures 104, 105, e theme.

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119 120 121 122 123

f

Figure 57. Poulenc sonata, third movement, measures 119-123, f theme.

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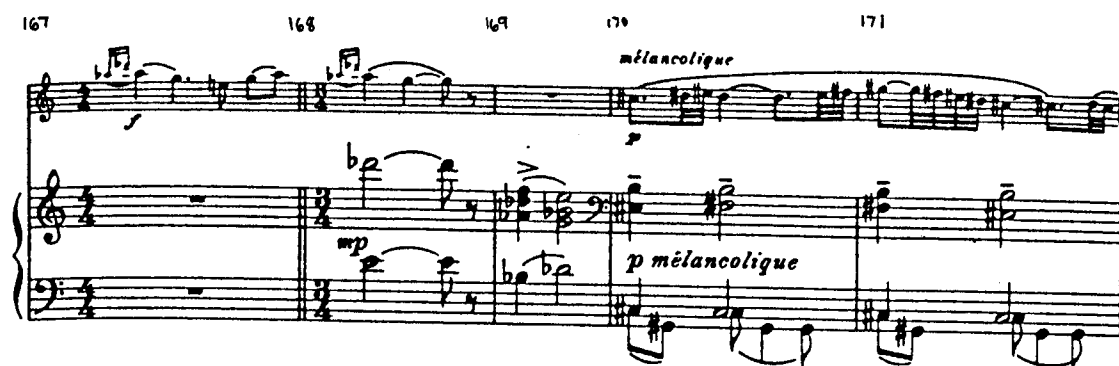


Figure 58. Poulenc sonata, third movement, measures 161-171, g theme.

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measure 16 of the first movement, and is derived from that movement's a theme (Fig. 44, p. 74). The second movement's b theme (Fig. 50, p. 80) is the source of the d theme shown in Figure 55. The g theme (Fig. 58) is distinguished by coming after a bar consisting of a half rest with a fermata, and an indication to suddenly slow down. It is found on the same pitches in measures 80 and 81 in the first movement, and is the same material as that movement's c theme (Fig. 46, p. 76).

One other theme from the second movement appears in the final movement; the transition beginning in measure 111 (Fig. 59) has a theme in the flute that is derived from the a theme of the second movement (Fig. 49, p. 80).

The important point about all of the themes, old and new, is that although they appear on various tonal levels in the B section (and in

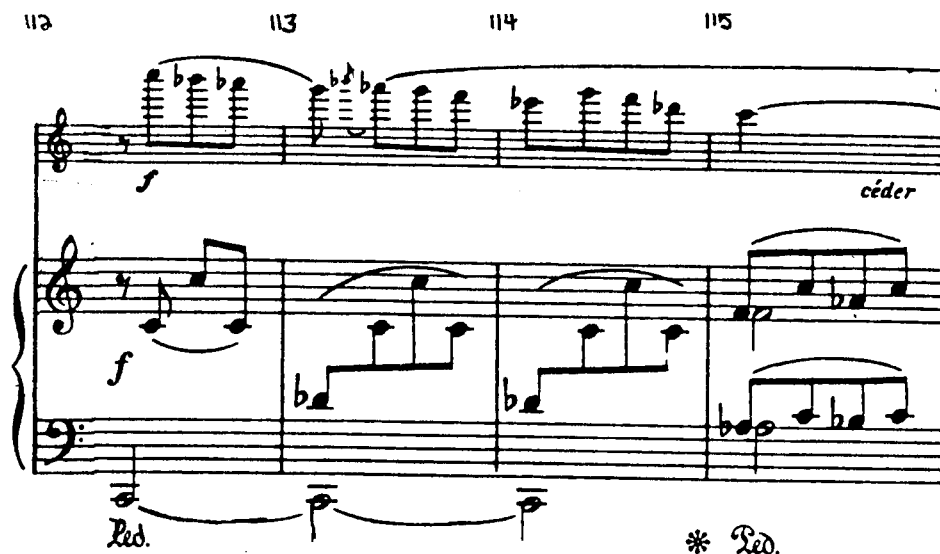


Figure 59. Poulenc sonata, third movement, measures 167-171, g theme.

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the previous movements), in the final A section they are all repeated on the tonic, A. Thus Poulenc is able to obey one of the few "rules" of classical sonata form: all important material should be presented in the tonic at some point during the movement. This final movement is certainly not in sonata form, but by including important themes from the other movements in the tonic, albeit briefly, Poulenc is able to make the movement imply a recapitulation for the entire sonata. The a theme of the second movement is presented obliquely in the transition at measure 111, but it is in f. But Poulenc did present that material in A during the second movement, just as he presented the complete a material of the first movement in A during that movement. Perhaps

the "rule" in this sonata is to present all important material in the tonic at some point during the entire sonata.

The forms Poulenc employs in this sonata have only minimal connections with the forms traditionally associated with the classical style. All three movements are ternary forms, consisting of opening material in a particular key, a move away from the key and sometimes the material, and a return of the opening material in its original key. This technique could be seen as an incipient version of sonata form. The classical theme and variation and rondo ideas are suggested within the ternary frame of the second and third movements, but go no further than suggestion. More significant is Poulenc's use of the last movement to reconcile the conflict of the keys and thematic material in the sonata. He uses not any one movement, but the sonata as a whole to invoke the spirit of sonata form.

Poulenc's harmonic vocabulary is in the common-practice style, only enriched with sevenths, ninths, chromatic inflections, and other added tones. It is nearly always functioning in a traditional manner within tonicizations, but in the overall harmonic design of the movements and of the sonata, Poulenc, like Hindemith and Prokofiev, finds fresh ways to interpret the traditional tonic-dominant relationship. On the large scale Poulenc withholds the tonic until the last movement, only then revealing that the first movement was in the dominant key and the second in the lowered supertonic. Within the movements, the dominant is not used as the secondary key until the last movement, the first and second movements emphasizing (besides their tonics)

the lowered supertonic and the leading tone. By withholding tonic-dominant polarity (both large and small scale) until the last movement, and by emphasizing those tonal areas by the half-step relationship, Poulenc makes a predictable relationship interesting.

Poulenc's textures, primarily melody and accompaniment and homophony, are consistent with the classical idiom, as are the shape, character, and diatonicism of most of his melodies. Dynamic markings are used more frequently in this sonata than in many classical works, but the manner in which they are used is not inconsistent with classical usage (e.g., complementing themes and helping to articulate sections). Phrasing in this sonata is periodic and is often predictably regular. The humorous and serious qualities often found side by side in the sonata are found in many classical works. The clarity, restraint, and lack of excess exhibited in the sonata also contribute to the classical spirit of this formally unclassical work.

CHAPTER 5

CONCLUSION

Of the three sonatas examined in this study, Prokofiev's adheres most closely to the classical formal "ideal." The Hindemith sonata is influenced by the classical sonata and its forms, but takes more liberties with their traditional presentations (e.g., the addition of the Marsch as a coda). The forms of the movements of the Poulenc sonata are only minimally related to classical forms. But with the inclusion of themes from the first two movements in the last movement, Poulenc is able to impose a classically-inspired formal unity (e.g., sonata form recapitulation) on the work. The formal proportions of nearly all of the movements are marked by a classical return of the opening material and/or key no later than three-quarters of the way through. Another element of the classical style present in these sonatas is the clear articulation of structural divisions.

The composers of these sonatas, each writing in a tonal system, manage in similar ways to replace or renew interest in the tonic-dominant polarity so crucial to the classical sonata. By utilizing the relationship of a half-step above or below the tonic or the dominant, they are able to create and sustain large-scale tension and to emphasize those overworked scale degrees.

The Prokofiev and Poulenc sonatas are characterized by rapidly-shifting tonal centers, while Hindemith's sonata (excepting developmental sections) tends to contain longer tonicizations or modulations.

However, key changes in all three sonatas are facilitated by mixing major and minor modes and freely inflecting scale degrees (both techniques not uncommon in classical development sections).

The use of thematic material as a means of articulating structure is more important in these sonatas than in most classical sonatas. However, the thematic material at important structural divisions is only one means of articulation.

The textures used in these sonatas are not inconsistent with the classical idiom. Hindemith's textures are more polyphonic than the other two composers', but melody and accompaniment textures play a prominent role in all three sonatas. There are many passages in the piano parts where, if the pitches were changed, the figuration might well have come from a classical sonata. Change of texture is also used as another means of articulating formal structure.

Phrasing in the three sonatas is usually classically periodic; it is most often regular in areas of greater harmonic stability, e.g., beginnings of themes or ends of movements. What is now considered good compositional craft, smooth transitions and evolutions of rhythmic changes, was a feature of the classical style, and is a technique employed in these three sonatas. Changes in dynamics are effected in a similar manner. While these composers use more dynamic markings than are normally found in classical sonatas, they are far more restrained in their use than many Romantic and other twentieth-century composers; no extremes such as *pppp* or *ffff* are found in these works.

Elements of humor reminiscent of the classical style are found in Hindemith's Marsch, Prokofiev's Scherzo, and Poulenc's finale, among other places.

Like many classical sonatas, the Hindemith and Poulenc sonatas require a certain amount of facility, but are not extremely difficult to play. The Prokofiev sonata is quite difficult, but is not beyond practicable limits.

Although many works in the twentieth century have been entitled "sonata," their composers have not always looked to the classical sonata as a model. Hindemith, Prokofiev, and Poulenc have consciously invoked the classical spirit into their sonatas for flute and piano by using those classical techniques which are still viable and by revising and adapting some of those which are not.

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VITA

Elizabeth Ann Goode was born in Cleveland, Tennessee, on December 30, 1960. She attended elementary schools in Sweetwater, Tennessee, and graduated from Sweetwater High School in June 1979. The following September she entered The University of Tennessee, Knoxville, and in June 1983 she received a Bachelor of Music degree in Flute Performance. In the fall of 1983 Ms. Goode accepted a graduate assistantship at The University of Tennessee, Knoxville and began study toward a Master of Music degree in music theory. This degree was awarded in August 1985.

The author is a member of Sigma Alpha Iota, Pi Kappa Lambda, Phi Kappa Phi, Golden Key, and Phi Eta Sigma.