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“Style within Style”:

Chopin’s use of smaller-form styles used in his sonata-form works

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Contents

Acknowledgments	2
Introduction	5
Chapter 1: Review of Literature	6
Chopin Early Compositional Background	7
Analytical Methodologies	9
Chapter 2: Chopin's Standalone Pieces	11
Nocturne and Form	11
Waltz and Form	17
Etude and Form	20
Chapter 3: Chopin's Style within a Style	25
Style within a Style	25
Standard Large Form	41
Conclusion	47
Bibliography	49

Introduction

Frédéric Chopin is widely renowned for his standalone piano works, namely his nocturnes, mazurkas, and polonaises. Many contend Chopin was better suited for salon music and should not have attempted sonata-form pieces for piano or larger ensembles. For example, in a review of Chopin's Piano Sonata in B-flat minor, opus 35, Schumann stated: "that [Chopin] should have called it a 'sonata' [is to] suggest a joke, if not sheer bravado."¹ Along with this, David Wright states that: "Chopin is certainly not a great composer since he is a very limited composer. All his works involve the piano, and he did not write anything for the stage, string quartets, or symphonies. In fact, his orchestral writing has been universally condemned as very poor, which it is."²

These near-sighted critiques fail to examine how Chopin incorporates the *style* of his smaller forms (nocturnes, waltzes, etc.) into his larger sonata-form compositions. It is here that Chopin's technique of style within a style emerges. Style within a style is where we find a small form piece such as a nocturne, waltz, etude, etc., embedded into a larger sonata form piece. An examination of Chopin's pieces through the lens of William Caplin's Formal-Function Theory, as well as Raymond Monelle's Topic Theory and Hepokoski and Darcy's Sonata Theory, will reveal that the smaller styles are integrated into the structure, context, tonal surroundings, and harmony of the larger form works. This demonstrates that Chopin's unique formal approach was equally suited for large and small structures and not, as Schumann might argue, mere "comical" attempts at sonata form.

¹ Robert Schumann and Henry Pleasants, "Chopin's Sonata," in *Schumann on Music: A Selection from the Writings* (New York, New York: Dover, 1988), 368.

² Wright, David. "Frederick Chopin," 1992. <https://www.wrightmusic.net/pdfs/frederick-chopin.pdf>

Chapter 1

Review of Literature

There have always been strong opinions surrounding the music of Frédéric Chopin. One long-standing belief is that Chopin could not write larger form pieces. Robert Schumann's response to Chopin's Piano Sonata No. 2 is the first clear example. In this review, Schumann stated: "That he should have called it a 'sonata' suggests a joke, if not sheer bravado. He seems to have taken four of his most unruly children and put them together, possibly thinking to smuggle them, like a sonata, into a company where they might not be considered individually presentable."³ This idea of "taking his four most unruly children" and putting them together is an excellent example of what truly is going on in the piece. In this sonata, Chopin uses several different styles, or "children"; most notably a nocturne-like subordinate theme in the third movement, and an etude in the fourth movement. But this will be expanded upon in later chapters.

Although Chopin rarely performed on the public stage, having performed a total of 30 times, Chopin's avid dislike for performing for the public does not make him any less of a musician than his contemporaries. Chopin was limited by his poor health and could not put on exuberant shows like his friend Liszt.⁴ In a letter to his friend and composer Ferdinand Hiller, Chopin wrote, "I write without knowing what my pen is scribbling, for at this moment Liszt is playing my etudes and transporting me out of all proper thoughts. I should like to steal from him

³ Robert Schumann, "Chopin's Sonata," 368.

⁴ Franz Liszt was a Hungarian composer and virtuosic pianist who was known for his amazing concerts and caused a stir with the young women, Lisztomania also known as Liszt fever was the intense adoration his fans felt towards the composer. It has been mentioned that this is perhaps the first case of an actual rock star that we see. Such fandom was not seen again till The Beatles in the 1960 with Beatlemania and now the rise of K-pop and the BTS Army.

the way to play my own etudes!”⁵ In a letter to Liszt, Chopin wrote, “I am not the right person to give concerts. The public intimidates me. I feel asphyxiated by the breath of people in the audience, paralyzed by their curious stares and dumb before the sea of unknown faces.”⁶ As can be seen in these quotes, the choice of not publicly performing was made by Chopin, not because he felt his works were inadequate but to preserve his health.

Chopin’s Early Compositional Background

It was early in Chopin’s childhood that his musical talent became apparent. After taking piano lessons with his mother, whose piano skills were respectable, his family sought out the help of professional Czech violinist Wojciech Żywny, the pupil of a pupil of Johann Sebastian Bach. Chopin’s technical skill on the piano quickly surpassed that of Żywny. For this reason, he “allowed Chopin to develop his method of playing without relying on the preconceived ideas of standard exercise books. He encouraged Chopin’s evident talent for improvisation and did not interfere with the boy’s natural facility.”⁷ Żywny focused on making sure Chopin received a piano education focused on the Austrian and Germanic classics, which would instill a lifelong love of Mozart, Haydn, and Bach. Żywny would also instill a “healthy amount of skepticism for Beethoven.”⁸ “Hummel and Moscheles were the only contemporary composers whom Żywny admired, and he actively disliked the music of Weber, Rossini, and Spontini (Italian opera composer). Bach’s music especially was to be a profound influence on Chopin’s music thought.”⁹ Along with this, it was known that Żywny was an ardent Polish patriot who would

⁵ Charles Cooke, “Chopin and Liszt with a Ghostly Twist,” *Notes* 22, no. 2 (1965), 857.

⁶ Glenn Kurtz, *Practicing: a Musician's Return to Music* (New York, New York: Alfred A. Knopf, 2008), 148.

⁷ Jeremy Nicholas, *Chopin: His Life and Music* (London: Naxos Books 2006), 8-10.

⁸ *Ibid.*, 8-10.

⁹ *Ibid.*, 8-10.

encourage Chopin to explore the music of his homeland.¹⁰ With Żywny's encouragement, Chopin composed Polonaise in G minor at the age of 8 in 1817.

In his article "Norm and Individuation in Chopin's Sonata," Polish musicologist Zofia Helman documents that perhaps Chopin was unfamiliar with some aspects of sonata form.

However, this can be quickly disproven by this quote from the same article:

Therefore, sources for the non-schematic nature of Chopin's Sonata in C Minor cannot be discovered in his educational gaps or lack of knowledge about the works of the classical masters. On the one hand, the formal scheme had not yet been sanctioned by theory to the degree that it would be later, especially after the publication of the studies by Reicha, Czerny, and, in particular, A. B. Marx. On the other hand, there is no reason to consider a sonata composed in 1829 from the point of view of 18th-century music theory. It is known that Chopin tried to avoid ready-made solutions and that he was not forced to follow them by Elsner.¹¹

Józef Elsner was the director of the department of music of the Royal University of Warsaw.

Chopin was a student there from 1827 to about 1829 and would be introduced to the formal study of music theory. Elsner used a "harmony textbook by Karol Antoni Simon; he is credited with fostering Chopin's early preference for composing polonaises."¹² In a letter to Jan Białobłocki, Chopin stated that he would study "strict counterpoint" with Elsner for six hours every day.¹³ This level of dedication from Chopin and admiration for Elsner is evident in letters he wrote back home to his family in Warsaw. In the letter dated August 19th, 1829, Chopin wrote to his family about how people could not believe he learned so much in Warsaw. Chopin gives credit to Żywny and Elsner; he states that "under Żywny and Elsner, the greatest donkey could

¹⁰Ibid., 8-10.

¹¹ Zofia Helman, "Norm and Individuation in Chopin's Sonatas," Polish Music Center, (2019), <https://polishmusic.usc.edu/research/publications/polish-music-journal/vol3no1/chopin-sonatas/>.

¹² Shu-Fen Viola Chen, "A Performer's Analysis of the Four Ballades by Frederic Chopin," *Proquest*, (Umi Dissertation Publishing, 2011), <https://www.bookdepository.com/Performers-Analysis-Four-Ballades-by-Frederic-Chopin-Shu-Fen-Viola-Chen/9781244018464>.

¹³ Maciej Gołąb, "The Origins of Chopin's Output," trans. Wojciech Bońkowski, (2008), <http://www.chopin.pl/origins.en.html>.

learn.”¹⁴ Chopin’s praises for Elsner did not end there. In a letter to his friend on April 10th, 1830, Chopin stated, “Although I am worthless, I would be even less if I didn’t learn from Elsner, who knew how to convince me.”¹⁵ This shows Chopin’s level of respect for his teachers, who allowed him to experiment but reminded him of the classics and how fundamental they were. Elsner was known to reprimand those who chided Chopin for not strictly adhering to traditional methods. He would say, “Leave him in peace. His is an uncommon way because his gifts are uncommon. He does not strictly adhere to the customary method, but he has one of his own, and he will reveal in his works an originality which in such a degree has not been found in anyone.”¹⁶ Elsner believed in Chopin’s talents and skills enough to let him experiment and not make him follow strict rules or methods that others were being taught at the time.

Understanding Chopin’s early compositional background helps us recognize that the criticisms asserting that Chopin had not been properly taught were baseless. As was seen above, he studied with some of the best teachers available to him, and his teachers recognized his talent immediately and did not confine him to a restrictive mold or standard. They allowed and encouraged him to experiment.

Analytical Methodologies

My analytical approaches incorporate William E. Caplins Formal-Function Theory, James Hepokoski and Warren Darcy’s Sonata Theory, and Raymond Monelle and Leonard Ratner’s Topic Theory. Caplin’s Formal-Function Theory aids in identifying whether a phrase is a sentence or a period and whether it is in binary or ternary form, which will aid this thesis with its approach to themes, phrases, and forms. To assist in distinguishing such nuances, Hepokoski

¹⁴ Frédéric Chopin, *Chopin’s Letters*, trans. Henryk Opieński and E. L. Voynich (Mineola, NY: Dover Publications, 2012), 139.

¹⁵ *Ibid.*, 181.

¹⁶ Jeremy Nicholas, *Chopin: His Life and Music*, (London: Naxos Books, 2006), 9.

and Darcy's Sonata Theory, along with Topic Theory, will help apply the aforementioned labels in order to place the works into their proper categories. Sonata Theory will inform my analysis of the larger form pieces seen in chapter 3. Lastly, Topic Theory is used to create the labels seen in Chapter 2 when detailing the smaller form pieces.

Chapter 2 takes a closer look at three of Chopin's standalone genres: the nocturne, the waltz, and the etude. The analytical technique used when analyzing the form of the pieces was William Caplin's Formal-Function Theory, as is delineated in his books *Classical Form: A Theory of Formal Functions for the Music of Haydn, Mozart, and Beethoven*, and *Analyzing Classical Form: An Approach for the Classroom*.¹⁷ This is exceptionally useful when breaking the pieces into smaller sections and provide a name to each four-measure phrase.

Chapter 3's analysis will rely on Hepokoski and Darcy's Sonata Theory as described in their book *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*.¹⁸ In conjunction with Sonata Theory, chapter 3 will also rely on Topic Theory as specified in the books *Classic Music: Expression, Form, and Style* and *The Musical Topic: Hunt, Military, and Pastoral* by Ratner and Monelle respectively.¹⁹ The use of these methods to produce a detailed analysis of Chopin's sonatas coupled with Topic Theory to help label traits that define his standalone pieces, will illuminate the style within a style found in his larger works.

¹⁷ William Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998); William Caplin, *Analyzing Classical Form: An Approach for the Classroom* (New York: Oxford University Press, 2013).

¹⁸ James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York, New York: Oxford University Press, 2011).

¹⁹ Leonard G. Ratner, *Classic Music: Expression, Form and Style* (New York, New York: Schirmer Books, 1995); Raymond Monelle, *The Musical Topic: Hunt, Military and Pastoral* (Bloomington, Indiana: Indiana University Press, 2006).

Chapter 2

Chopin's Standalone Pieces

Nocturne and Form

Although Caplin's method was initially designed for Classical form and style, with proper alterations, Formal-Function Theory can also work when analyzing an early 19th-century composer like Chopin. In the process of making his theory more accessible for analyzing work of the early nineteenth century, Caplin wrote an article titled "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music." In the article, Caplin discusses how the classical cadence was used by early romantic composers such as Schubert, Chopin, and Schuman.²⁰ An example of what this article adds to Formal-Function Theory is the use of "V7" as a half-cadence, where before in Mozart, that would have not been acceptable.²¹ Making sure that we take the time to understand the traits and the forms of Chopin's smaller works is essential for understanding Chapter 3, where we distinguish them in his larger works.

While compiling information for the style within a style claim, a study of Chopin's nocturnes was in order. During this study, three things became very apparent that even the most undeveloped ear would notice. The first trait was a cantabile melodic line. The melodic line would usually be filled with ornaments, trills, appoggiaturas, and chromatic passages. When tying this back to Leonard Ratner and Topic Theory, this would fall under the Italian opera branch and be known as the cantilena. The second trait is the stability created in the left hand with the use of arpeggiated flowing chords, a low pedal tone, and, at times, block chords in the

²⁰ William E Caplin, "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music," *Music Theory Spectrum* 40, no. 1 (2018), 1.

²¹ Janet Schmalfeldt, "Cadential Processes: The Evaded Cadence and the 'One More Time' Technique," *Journal of Musicological Research* 12, no. 1-2 (1992), 1-52; Janet Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music*. (New York: Oxford University Press, 2011).

“B” section. The final trait that helps distinguish a nocturne is the use of rubato, the act of “stealing time.” This act of suspending the melody but then following it with a set of 32nd notes is typical in Chopin’s music.

Chopin’s nocturnes are an excellent example of Raymond Monelle’s *lyric time* and *progressive time*. In his recent article on *Chopin and the Romantic Sonata: The First Movement of Op. 58*, Andrew Davis stated:

Raymond Monelle, in particular, drew a distinction between what he called *lyric time* and *progressive time* in music: lyric time is duration, or time-in-a-moment, and occurs in music in presentational modules with a foregrounded melody and relatively stable harmonic and phrase structures; progressive time is mobility and action, and occurs in destabilized, less thematic modules with more complex harmonic and phrase structures and heightened rhythmic activity.²²

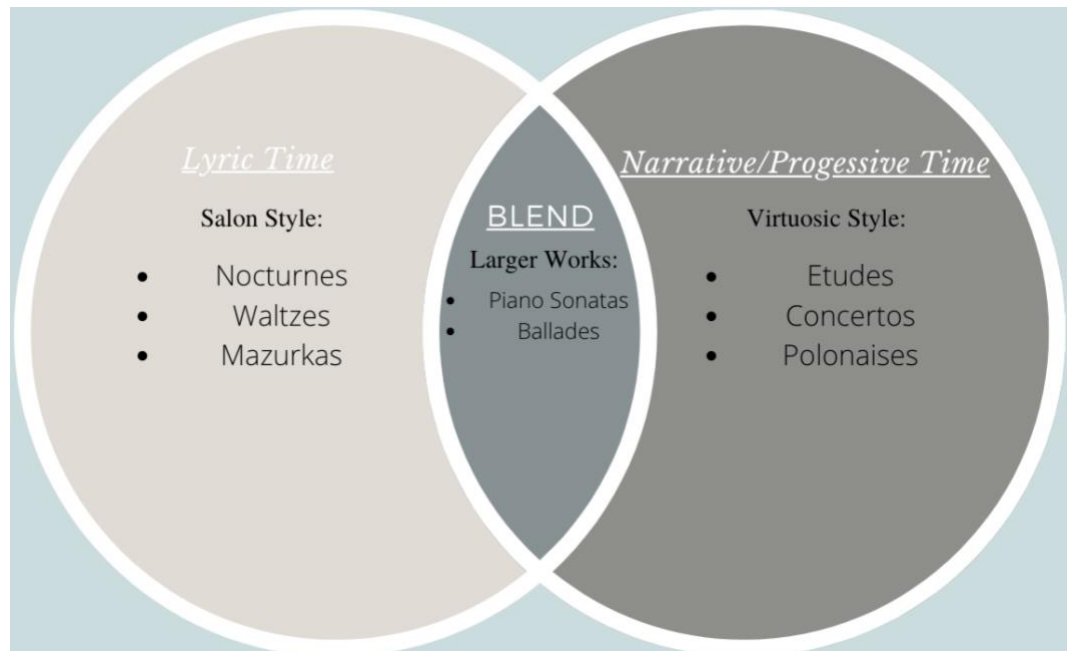
Another way of thinking of lyric and progressive time is to relate it to the world of opera.

Progressive/narrative time would be the recitative; they move the opera along and are very structured. They tell us what is going on and set up the aria. Lyric time would be the aria, where the singer is not moving the story along but is frozen in time pondering their emotions in a suspended dramatic state; it is usually a space for the singer to show off. A recitative is less thematic than an aria with no truly memorable melody. In contrast, the aria has identifiable tunes that will stay in the audience’s head long after the show. The A section of the nocturne is lyric time; the section is melodically driven, and an apparent use of the cantabile style can be seen. The “relatively stable harmonic and phrase structures” are seen in the A section’s arpeggiated baseline.²³ Progressive time is found in most B sections; this section tends to be more destabilized.

²² Andrew Davis, “Chopin and the Romantic Sonata: The First Movement of Op. 58,” *Music Theory Spectrum* 36, no. 2 (2014), 274.

²³ *Ibid.*, 274.

The B sections also tend to be less thematic with no genuinely memorable melodies. As mentioned above, “more complex harmonic and phrase structures and heightened rhythmic activity” can all be found in most nocturnes.²⁴ A more apparent distinction of progressive time will be seen later in chapter 3 with the analysis of larger form works that show where the styles begin to intermingle, creating the style within a style concept. On this, Michael Klein states that “In Chopin’s music lyric time is associated with the salon-style: the nocturne, the poeticized waltzes, and mazurkas. Narrative time is associated with the virtuosic style: the etudes, the concertos, and the polonaises’ portions. This broad division of Chopin’s music interacts with astonishing intertextuality.”²⁵ Klein goes on to mention how Chopin would “mix these influences so that lyric and narrative time” would alternate in his larger works.²⁶ An example of this division is seen in example 1.



Example 1: Breakdown of Styles

²⁴ *Ibid.*, 274.

²⁵ Michael Klein, “Chopin's Fourth Ballade as Musical Narrative,” *Music Theory Spectrum* 26, no. 1 (2004), 39.

²⁶ *Ibid.*, 39.

We begin by looking at one of Chopin's most famous nocturnes, Nocturne Op.9 No.1 in B-Flat Minor. Like the majority of his nocturnes, it has a classic rounded binary form. This nocturne offers many of the unique traits we see in Chopin's music: the cantabile melody, arpeggiated bass, the alteration in time, and the elaborate cadences with corresponding cadential progressions. The piece opens with a haunting minor melody in b-flat minor. The melody starts with 8th notes in a pick-up measure with the tempo marking of Larghetto. The piece continues cadencing with a V⁷ chord in Bb minor in measure 9 (example 2). Typically, in Caplin's Formal-Function Theory, we would not call this a cadence. Still, when looking at Caplin's article "*Beyond the Classical Cadence: Thematic Closure in Early Romantic music*," we can consider using the V⁷ as a half-cadence. He goes on to enumerate what he calls the seven characteristics of the romantic style:

It identifies seven characteristics of Romantic compositional style that, compared to classical practice, bear on issues of cadential morphology and function: (1) a more extensive use of chromaticism and dissonance; (2) a greater emphasis on root-position harmonies; (3) a more uniform harmonic rhythm and harmonic density; (4) a circularity of formal organization; (5) an ambiguity between sequential and cadential harmonies; (6) a lack of cadential closure for thematic units; and (7) an ambiguity between penultimate and ultimate dominants at points of potential cadence.

²⁷

This becomes extremely helpful when continuing the analysis of Chopin's salon pieces as it helps show how one may overcome the dilemma of the V⁷ chord as the cadence. Caplin states that "in the Romantic period this restriction begins to be eased for the ultimate dominant of the half-cadential progression. With Chopin and Schumann especially, the effect of a HC continues to be projected even when the final harmony is represented by a dominant seventh."²⁸ Caplin

²⁷William E Caplin, "Beyond the Classical Cadence: Thematic Closure in Early Romantic Music," *Music Theory Spectrum* 40, no. 1 (2018), 1.

²⁸ *Ibid.*, 4.

further adds that “for this reason, Janet Schmalfeldt has specifically identified a *nineteenth-century half cadence* at points where a classical HC would be expected (such at the end of an antecedent phrase) but in which the ultimate dominant contains a dissonant seventh already at the moment of cadential arrival.”²⁹ This additional information is extremely useful when analyzing Chopin’s works. Towards the end of the first page of the Nocturne op.9 no.1, we come across several notable points. Measure 14 shows a *monte*, an ascending sequence, along with an evaded cadential progression.³⁰ Measure 16 echoes this with another failed attempt at what would be the closing cadential progression of the A section. Measure 17 brings us deviation before we get the final cadential progression starting at measure 18. This cadential progression is a very notable one going “vi v⁷/N N⁶ V7 i” this ends the A section; an example of this can be seen in example 3. The A section of this nocturne is a 19-measure long compound period comprised of two nine-measure sentences. This analysis helps reinforce and show Caplin’s method in action in an earlier nineteenth-century piece. In this section of the analysis, we see the use of the V7 as a HC that has not been seen before in the HC role in the eighteenth century. We also see the elaborate cadential progressions that Caplin pointed out in his article.



Example 2: Chopin, Nocturne Op.9 No.1 in B-Flat Minor, measures 7-9, V⁷ measure 9.

²⁹ Ibid., 4.

³⁰ *Monte*, Italian for mountain, consists of a rising/ascending sequence. This is just one of the three *Galant Schemata* that were first described by eighteenth-century music theorist Joseph Riepel. *Fonte*, Italian for fountain, consists of a falling/descending sequence. *Ponte*, Italian for bridge, consists of prolonging the dominant. “*Galant Schemata – Continuation Patterns*,” *Open Music Theory*, (2021).

14 V7

17 i iv V vi V7/N N6 V7 i:PAC

Example 3: Chopin, Nocturne Op.9 No.1 in B-Flat Minor, measures 14-17, elaborate cadence.

The B section of this piece begins at measure 20. This section is where we start to see more of the alteration in time with the use of *poco stretto*, *rallent*, *legattissimo*, and *più presto*.

The alternation in these tempo markings helps create the suspended in time feeling that the listener gets from so many different nocturnes. Example 4 shows a complete graphed analysis of the piece.

Section	A				B							
	Compound		Period		Hybrid		Hybrid		Hybrid			
Th type	Sentence		Sentence		Hybrid		Hybrid		Hybrid			
Th type	Presentation		Presentation		CBI	Consequent	CBI	Consequent	CBI	Consequent		
phrase	Continuation		Continuation									
misc.												
m.	1-6	6-9	10-13	14-19	20-23	24-27	28-31	32-35	36-39	40-43		
KEY	Bb minor		V7:HC		i:PAC		Db major		I:PAC		I:PAC	

Section	A'								Closing section	
	Hybrid		Hybrid		Sentence		Sentence			
Th type	CBI		CBI		Presentation		Presentation		Coda	
phrase	Consequent		Consequent		Continuation		Continuation			
misc.					LINK		Dom Lock/RT maps on to m.8			
m.	44-47	48-51	52-55	56-59	60-61	62-65	66-70	71-75	76-81	82-86
KEY	I: PAC		I: PAC		I: PAC		I: PAC		i: PAC	

Example 4: Diagram of Fredric Chopin, Nocturne Op.9 No.1 in B-Flat Minor

In the end, this nocturne served as a perfect example of what three traits we are looking for when trying to identify a nocturne later in this thesis. These traits were the cantabile line, the use of rubato, and the stability created in the left hand with the use of arpeggiated flowing chords, a low pedal tone, and at times block chords in the left hand. Seeing the three traits and an overall analysis of the piece helps prepare us for when it is time to look at larger form pieces and find the smaller styles in those larger forms.

Waltz and Form

Keeping in line with this idea of smaller forms, a study of Chopin's waltz is in order. Chopin's Waltz in C[#] minor op. 64, no.2 helps us understand how the style within style concept works when exploring a waltz. The Waltz and Grande Valse Brillante also have their own set of traits that make them easily recognizable to the listener and analyst alike. Three of the most evident and distinctive traits for a waltz are the triple time signature with a dance feel, the left hand that will usually have a singular note on beat one followed by two notes of a chord on beats two and three, and the use of the cantabile line in the melody.

Chopin's Waltz in C[#] minor has many of these traits. The time signature is kept at a constant 3 / 4, with a heavy emphasis on the downbeat and a lighter hand on beats two and three. The next trait we see is the use of the single note on the downbeat of the left hand, followed by the chord on beats two and three. The last trait would be the melody; although this melody is not marked "cantabile" over it, the tune is a memorable line that begins with a pick-up on "sol" (scale degree 5) to "me" (scale degree 3). While this piece does not meet Caplin's description for binary form, with slight modifications, we can analyze it as a ternary/modified rondo. This piece is in a ternary/modified rondo form because we have three large sections A B A', but within these large sections, we have two smaller sections.

A contains a small A that ranges from m. 1-33 and B that ranges from m. 34-65. The second large section of this piece also contains two smaller subsections, C, ranging from m. 66-98. The final A section begins again with the return of B at m. 98-129 that leads to a small A at measure 130-161, and finishing the section, we had the final return of B starting at m. 162-193. The small B section returns at the end of each section, adding a sense of symmetry to the piece, and, for this reason, we can categorize this piece as a ternary/modified rondo. Finally, the listener hears the B theme a total of 10 times since the B theme is a period and is brought back so often as a written-out repeat. An example of this breakdown can be seen below in examples 5-5.3.

A						
Section	A			B		
Th type phrase m.	32 m. Doubly Compound Period			16 m. Compound Period		16 m. Compound Period
	Antecedent	Consequent		Sentence	Sentence	Hybrid Hybrid
	1-17	18-33		34-41	42-49	42-57 58-65
KEY: C# Minor	V ⁷ :HC i:PAC			i:IAC i:PAC		i:IAC i:PAC

Example 5.1: Chopin Waltz in C# Minor Op.65 no.2, Big section A

B A'						
Section	C		B			
Th type phrase m.	16 m. Sentence Hybrid	Sentence	16 m. Compound Period		16 m. Compound Period	
			Sentence	Sentence	Sentence	Sentence
	66-82	83-98	98-105	106-113	114-121	122-129
KEY: C# Minor	i:IAC V:HC		D-Flat Major: I:IAC I:PAC		I:IAC I:PAC	

Example 5.2: Chopin Waltz in C# Minor Op.65 no.2, Big section B

A						
Section	A			B		
Th type phrase m.	32 m. Doubly Compound Period			16 m. Compound Period		16 m. Compound Period
	Antecedent	Consequent		Sentence	Sentence	Sentence Sentence
	130-145	146-161		162-169	170-177	178-185 186-193
KEY: C# Minor	V ⁷ :HC i:PAC			i:IAC I:PAC		i:IAC I:PAC

Example 5.3: Chopin Waltz in C# Minor Op.65 no.2, Big section A'

The piece begins with a 32-measure doubly compound period. This idea of a double period is not new in the music theory world; however, where not seen before the eighteenth century. In a 16-measure compound period, the sections would be comprised of two standard eight-measure sentences. The first sentence would act as the antecedent phrase ending with a weak cadence, perhaps an IAC or HC, and the following 16 measures would serve as the consequent ending with the stronger cadence, a PAC. With the idea of the 32-measure doubly compound period, we can see the divisions as measures 1-17 acting as the section's antecedent. The section is broken up into a contrasting basic idea (c.b.i.) and compound contrasting idea (c.c.i.) ending with V⁷, measures 18- 32 acting as the section's consequent with the same division as the antecedent c.b.i. + c.c.i. and ending with the minor i perfect authentic cadence.

This ends the small A section and takes us to the small B section. The cadence for the second smaller sentence that would later become part of the 16-measure period is very noteworthy. This section's continuation is an expanded cadential progression starting at measure 45 with a iv to a neapolitan 6 (N⁶) chord for two measures, then a V chord at measure 48, and ending with a i PAC at measure 49. This cadential progression is in line with what Caplin refers to in his article *Beyond the Classical Cadence: Thematic Closure in Early Romantic music*. An example of this cadential progression is seen below in example 6.

Example 6: Chopin, Waltz Op. 64 No.2, measure 42-47, elaborate cadence.

In the end, this waltz served as a perfect example of what three traits we are looking for when trying to identify a waltz later in this thesis. These traits were the triple time signature with a dance feel, the left hand with a singular note on beat one followed by two notes of a chord on beats two and three, and the cantabile line in the melody. Seeing the three traits and an overall analysis of the piece helps prepare us for larger sections and pieces. It is also noteworthy to see such things as a 32-measure doubly compound period in nineteenth-century music, which was not seen before in eighteenth-century music.

Etude and Form

Following the idea of lyric time vs. narrative/progressive time, an inspection of one of Chopin's more narrative/progressive pieces is in order. Chopin's *Revolutionary Etude* functions as an etude that contains possible autobiographical/musical connections that offer us a look into Chopin's life and viewpoints during the Russian occupation of Warsaw, Poland, while he was in France. In a journal entry by Chopin during this time, it is clear to see his frustration and anger with the current state of things.

The suburbs area destroyed, burned.[. . .] Moscow rules the world! Oh God, do You exist? You're there, and You don't avenge it — How many more Russian crimes do You want — or — or are You a Russian too!!? — My poor Father! The dear old man may be starving, my mother not able to buy bread? Perhaps my sisters have succumbed to the ferocity of Muscovite soldiery let loose! Oh Father, what a comfort for your old age! Mother! Poor suffering Mother, have you borne a daughter to see a Russian violate her very bones! — Mockery! Has even her grave been respected? Trampled, “thousands of other corpses are over the grave — What has happened to her? — Where is she? — Poor girl, perhaps in some Russian's hands — a Russian strangling her, killing, murdering! Ah, my Life, I'm here alone; come to me, I'll wipe away your tears, I'll heal the wounds of the present, remind you of the past — the days when there were no Russians, the days when the only Russians were a few who were very anxious to please you, and you were laughing at them because I was there — Have you your mother? — Such a cruel mother, and mine is so kind—But perhaps I have no mother, perhaps some Russian has killed her, murdered — My sisters, raving, resist — father in despair, nothing he can do — and I here, useless! And I here with empty hands! — Sometimes I can only groan, and suffer, and pour out my despair at the piano! — God, shake the earth, let it swallow up the men of this age, let the heaviest chastisement fall on France, that would not come to help us — The bed I go to — perhaps corpses have lain on it, lain long — yet today that does not sicken “me. Is a corpse any worse than I? A corpse knows nothing of father, of mother, or sisters, of Tytus; a corpse has no belovéd, it's tongue can hold no converse with those who surround it — a corpse is as colourless as I, as cold, as I am cold to everything now [. . .]A vile corpse and a decent one — virtues and vice are all one, they are sisters when they are corpses. Evidently, then, death is the best act of man — And what is the worst? [. . .] I am right to be angry that I came into the world — What use is my existence to anyone? I am not fit for human beings, for I have neither snout nor calves to my legs; and does a corpse have them? A corpse also has no calves, so it lacks nothing of a mathematical fraternity with death — Did she love me, or was[...]"point to get over — Yes, no, yes, no, no, yes — finger by finger — “Does she love me?” Surely she loves me, let her do what she likes —Father! Mother! Where are you? Corpses? Perhaps some Russian has played tricks —oh wait — wait — But tears — they have not flowed for so long — oh, so long, so long I could not weep — how glad — how wretched — Glad and wretched — If I'm wretched, I can't be glad — and yet it is sweet — This is a strange state — but that is so with a corpse; it's well and not well with it at the same moment. It is transferred to a happier life, and is glad, it regrets the life it is leaving and is sad. It must feel as I felt when I left off weeping. It was like some momentary death of feeling; for a moment I died in my heart; no, my heart died in me for a moment. Ah, why not for always! — Perhaps it would be more endurable then — Alone! Alone! — There are no words for my misery; how can I bear this feeling.³¹

³¹ Chopin, *Chopin's Letters*, 307-310.

A multitude of emotions flow from this journal entry; anger, despair, sorrow, hopelessness, and passion, to just name a few. Some of the same emotions are mirrored in the *Revolutionary Etude*. There is no clear distinction that the *Revolutionary Etude* was written in clear opposition to the Russians' occupation of Poland. Still, it is agreed upon by many theorists, musicologists, and even the Polish people themselves that this was the case.³² The left hand shows the torment being dealt to the Polish people, while the right-hand acts as the proud and defiant barricades of Warsaw.³³

The piece begins with the resilient V⁷ chord in measure 1, the right hand, acting as the Polish people's willpower and resilience against the Russian forces. This is quickly opposed by the left hand acting as the Russian forces bombarding the Polish people with the rapid runs seen in the left hand. The chords that continue in the right hand have been compared to barricades, showing the Polish people's strong will and defiance. The chords have also been compared to "gunshots," showing the Polish people taking a more active stance in defending their homeland.³⁴ The left hand can also be likened to the active turmoil felt by not only soldiers but the citizens. This is seen by what can be described as "spinning" that is felt and heard in the left-hand scalar passage that goes up then back down. The B section of this piece shows the most active area of turmoil between the left hand and right hand. In measure 69, we see the Polish people's spirits begin to diminish as the chords in the right hand become less harsh and apparent and more lyrical. As we reach measure 80, the right hand abruptly begins to play the scalar-style passage. This shows the Polish acceptance of defeat to the Russian opposition. The piece ends abruptly with a picardy third cadence in C major, I:PAC.

³² Fred Yu, "Complete Music Analysis - Etudes," (2021) <https://www.ourchopin.com/analysis/etude.html#top>

³³ Nicholas, 48.

³⁴ Fred Yu, "Complete Music Analysis - Etudes," (2021) <https://www.ourchopin.com/analysis/etude.html#top>

An etude is a study piece used to strengthen a particular technique that varies from piece to piece and composer to composer. Naming three specific traits that would transfer over and work for distinguishing a style within a style in a larger piece was no easy feat. The first distinct trait is the scalar motion in either of the hands. This is something that is seen in many of his etudes and not just the left hand of the *Revolutionary Etude*. The second trait is the use of block chords against the hand playing the busy scalar passage.

This piece, in particular, is in ternary form that begins with a brief eight-measure introduction before continuing to a sentence. The B section could be called a development section that starts with a harmonic sequence that then retransitions back to the A' section. Although this could almost be mapped onto the Type 2 sonata, the label of ternary is a much better fit. A complete analysis of this piece can be seen below.

A		B							
Section Th type phrase m.	Intro					Harmonic sequence			
		Sentence		Sentence				Sentence	
		Presentation	Continuation	Presentation	Continuation			Presentation	Continuation
	1-8	9-12	13-19	19-22	23-28	29-32	33-36	37-40	41-49
KEY: C Minor		Elided i:PAC				Eb:HC		i:PAC	

A'						Closing
Section Th type phrase m.		Sentence		Sentence		
		Presentation	Continuation	Presentation	Continuation	
		49-52	53-59	59-62	63-77	78-89
KEY: C Minor		i:PAC		i:PAC		I:PAC

Example 7: Revolutionary Etude Op.10 No.12

In the end, the *Revolutionary Etude* serves as a perfect example of what traits we are looking for when trying to identify an etude. These traits are the scalar motion in one hand and the use of block chords in the other. Seeing the traits along with an overall analysis of the piece

helps us identify the traits in larger sections and pieces. Understanding the meaning behind the music helps the reader and listener understand what period of Chopin's life this was written in.

Chapter 3

Chopin's Style within a Style

Style within a Style

Understanding the traits and form of Chopin's smaller works helps us find and distinguish them in his larger pieces. In this chapter, we will take a closer look at several of Chopin's pieces that incorporate a style within a style. As mentioned before, style within a style means that we can find a small piece embedded into a larger sonata form piece. The pieces highlighting this idea are Chopin's Piano Concerto no.2 op. 21 and Piano Sonata in b minor op.58.

We begin by analyzing Chopin's Piano Concerto no. 2 op.21; the concerto which was written before the first concerto but published later. Composed in 1829, while Chopin was just 19 and still living in Warsaw, the publication was postponed because Chopin may have accidentally misplaced or lost the orchestra's original parts on his long trip from Warsaw to Paris from 1830 to 1831.³⁵ Not wanting to re-write the orchestra parts caused this delay. The concerto was written for his friend Countess Delphine Potocka. The Countess sang to Chopin on his deathbed.³⁶

Chopin's Piano Concerto no.1 op.11 was composed in 1830. Knowing that Chopin's teacher Żywny, admired Hummel and that Chopin was given Hummel's work to study, the orchestra's mechanical treatment and use in his two concertos can be attributed to how Hummel would also provide "the orchestra a subordinate role in his concertos."³⁷ This "lack of interest" in the orchestra led to criticism and helped fuel the idea that Chopin could not write large form

³⁵ Melinda Ann Erickson, "A Formal Analysis of Four Selected Piano Concertos of the Romantic Era." (Master's Thesis, Texas Tech University, 1974) 31.

³⁶ *Ibid.*, 31.

³⁷ *Ibid.*, 31.

pieces. On this, we look at Berlioz's critique of the piece; he states that “All the interest, is concentrated in the piano part; the orchestra of his concertos is nothing but a cold and almost useless accompaniment.”³⁸ However, this critique is inequitable, as Mozart and Beethoven also employed a subservient orchestra which allows the soloist to shine. Chopin’s composition is no different; it previews the theme in the orchestral expositions as is common and follows the form of a sonata. This piano concerto is full of many different elements that add a new dimension to the piece.

The piece begins with the orchestral exposition with a two-part transition and ends at measure 71. Looking at the Piano Concerto no.1 op.11 through the lens of sonata theory, we begin with the Primary theme (P) in f minor. A transition begins in measure 9; this develops and leads us to a cadential progression that evades and creates our medial caesura (MC) decline at measure 27. Measure 31 commences the second transition that is much shorter and leads us to the MC at measure 36 that ends with a half cadence in f minor (i:HC). Subordinate theme one (S1) in A-flat major begins at measure 36; this leads to S2 at measure 51. The essential exposition closure (EEC) in this piece is declined. The Re-Transition (Re Trans.) back to f minor begins at measure 59, and the final Closing Section (CS) ranges from measure 71 to 74. A reduced graph of the orchestral exposition is seen below in example 8.

Zone	P	TR	MC (decline)	TR 2	MC	S1	S2	EEC	Re Trans.
m.	1	9	27	31	36	36	51		59
mis.	Narrative	Time				Lyric	Time	Narrative	Time
Key	f minor				i: HC	Ab Major			f minor

Example 8:Orchestal Exposition of Chopin’s Piano Concerto no.2 op 21

³⁸ Abraham Veinus, *The Concerto: from Its Origins to the Modern Era* (Mineola, New York: Dover Publications, 2012), 52.

After the orchestral exposition, we have the piano's exposition; this exposition is much larger and gives the soloist more opportunities to display their skill. The primary theme begins at measure 75, and we return to the home key of f minor. The first transition begins at measure 82; something new happens at measure 101, but a MC is nowhere to be found even though there is a concluding HC. This change in the piece's texture at measure 101 begins the second transition. The MC is found at measure 123 and is an MC fill with the piano continuing as the orchestra drops out. The S theme begins at measure 125 in A-flat major, and this where we see the first instance of style within a style.



Example 9: Measure 125 of Piano Concerto no.2 op 21 vs. Measure 1 of Nocturne op. 32 no. 1³⁹

We continue with the second theme, and we find another instance of style within a style via quotation. Measure 130 is quoting Chopin's Nocturne op. posth no. 20 in c sharp minor, it is most commonly known by its catalog number B.49.⁴⁰ Although the two excerpts are in two different keys, the similarities are uncanny and seen below in example 10.

³⁹ The circled note in each example shows the beginning of the quotation and the original, respectively.

⁴⁰ Maurice John Edwin Brown, *Chopin: An Index of His Works in Chronological Order* (London, Macmillan: Macmillan & Co, 1960), 7.



Example 10: Measure 130 of Piano Concerto no.2 op 21 vs. Measure 24 of Nocturne op. posth no.2 B.49

You might ask when were these pieces composed? What piece came first and was alluded to by the other? The second piano concerto was composed in 1829, and the Nocturne op. posth no.2 B.49 and written in 1830. Chopin wrote the nocturne for his older sister Ludwika to prepare her for his second concerto.⁴¹ This makes us question what sort of edits went into the piano concerto before it was first performed on March 17, 1830. Chopin wanted Ludwika to use the Nocturne op. posth no.2 B.49 as a study and preparation piece before she was able to work on the concerto. Nocturne op. 32 no. 1 was composed in 1837, which permits us to say that the piano concerto's opening S theme line inspired the nocturne. Apart from these two notable spots, we continue with the piano's exposition as expected. The key modulates to c minor at measure 143. In his analysis, music theorist Andrew Aziz in his article "The Evolution of Chopin's Sonata Forms: Excavating the Second Theme Group," calls measures 151 to 175 the "virtuosic display zone (DZ)."⁴² The EEC occurs in measure 180 with a c minor PAC.

⁴¹ William Murdoch, *Chopin: His Life* (London: John Murray, 1935) 24.

⁴²Andrew I. Aziz, "The Evolution of Chopin's Sonata Forms," *Music Theory Online* 21, no. 4 (2015), 8.

When looking at this movement with the idea of Michael Klein’s lyric and narrative/progressive time, we can see how the concept of blended time works within the first movement of this piano concerto. The P theme acts as the narrative/progressive time, while the S theme acts as the piece's lyric time with the quotations of the nocturnes. The display zone brings back the narrative/progressive time ending the movement in progressive time, driving us to the second movement.

Zone	P	TR	TR 2	MC	S1		EEC		
m.	75	82	101	123	125	130	181		59
mis.					1st Quotation	2nd Quotation			
	Narrative	Time	Lyric Time		Lyric	Time	Narrative	Time	
Key	f minor				Ab Major		c minor: PAC		f minor

Example 11: Piano Exposition of Chopin’s Piano Concerto no.2 op 21⁴³

As mentioned previously, one of the nocturne’s traits is the cantabile line that inspired much of Chopin’s music. In 1829 while studying at the Warsaw Conservatory, Chopin met a soprano whom he fell madly in love with; her name was Konstancja Gładkowska. Chopin’s adulation for Gładkowska left him speechless, not saying a single word to the young woman for the first six months of him knowing her.⁴⁴ Much of “the romance, such as it was remained largely an affair in letters between Chopin and his friends.”⁴⁵ In a letter to his longtime friend Tytus Wojciechowski, Chopin says,

I have – perhaps to my misfortune – already found my ideal, which I worship faithfully and sincerely. Six months have elapsed, and I have not yet exchanged a syllable with her of whom I dream every night. Whist my thoughts were with her, I composed the *Adagio* [Larghetto] of my Concerto, and early this morning, she inspired the Waltz [op. 70 no.3] which I send along with this letter.⁴⁶

⁴³ Graham, Hunt “Three- key Trimodular Block and It’s Classical Precedents: Sonata Expositions of Schubert and Brahms.” 68.

⁴⁴ Erickson, 39.

⁴⁵ Ibid., 39.

⁴⁶ Frederick Niecks, *Frederick Chopin. as a Man and Musician*, (London: Novello and Co., 1973), 108.

With these quotes, it is clear to see that Chopin was in love with the young soprano, and this love for her helped spark his love of the Italian cantabile line and style. In the end, Chopin left Warsaw for Paris, and Gładkowska went on to marry a Polish tradesman; it wasn't till years later, after his death, when reading a biography of her old school mate did she learn that he loved her.

The concerto's second movement is an excellent example of the style within a style concept at the larger movement level. The nocturne-esque traits mentioned above are clearly seen in this movement, also inspired by Gładkowska and her singing. In this movement, we see the defining characteristics: cantabile line, arpeggiated left hand, and rubato. All this coupled with the fact that the piece is in the classic ternary form we expect, it is safe to say that this exhibits all the nocturne parameters for style within a style.

On the second piano concerto, music theorist Melinda Ann Erickson states,

many nocturnes have an extended melody, essentially vocal and extremely expressive, played and ornamented by the right hand over a rocking eight-note accompaniment in the bass. Also, as in nocturnes, the good voice leading in the accompaniment often creates the effect of a second voice in the bass and gives direction to the phrase.⁴⁷

The sparse orchestral accompaniment is more evident here than in the first movement, allowing the piano to shine as the solo instrument.⁴⁸ This is also a great example of Michael Klein's lyric, blended, and narrative/progressive times. We see how the idea of blended time works; the first movement offered us the narrative/progressive time for the P theme and then lyric time in the S theme before returning to the narrative time in the DZ. The second movement offers something similar but in a different order. After the 5-measure introduction, the first section, A, is in lyric time. Like many of Chopin's nocturnes, the A includes written-out repeats that are heavily

⁴⁷ Erickson, 39.

⁴⁸ As mentioned earlier, Chopin's studies with Żywny led him to study many of Hummel's larger works. Hummel was also known to have used sparse accompaniment for the orchestra and was very influential to many early Romantic composers.

ornamented. This adds to the lyric time and the repetition of the A theme with ornamentation that happens at measure 25. The B section and narrative time begin at measure 45. The strings create a more suspenseful feeling while playing tremolos, and the piano opens with some theatrical octaves. Erickson states, “This dramatic, recitative-like middle section heightens the operatic flavor of the middle section.”⁴⁹ Just like in the A, the written-out repeats in the B section offer more ornamentation with each iteration. Measure 71 initiates the retransition back to the A prime section at measure 74. This closes out the ternary form and brings back lyric time. This displays once more Chopin’s use of written-out repeats and ornamentation. Example 12 shows the analysis of the second movement.

Zone	Intro	A	B	Re Trans	A'
m.	1-5	6	45	71	74
mis.	Lyric Time		Narrative/ Progressive time		Lyric Time
Key	A flat major		F minor		A flat major

Example 12: Second Movement of Chopin’s Piano Concerto no.2 op 21

The third and final movement of the piano concerto begins with a waltz and includes three instances of the style within a style with three different styles being used. The three traits for a waltz are all present: the time signature at 3 / 4, emphasizing the downbeat, and a lighter hand on beats two and three. The single note on the downbeat of the left hand followed by the chord on beats two and three and the memorable cantabile melody. Also, the form of this waltz is similar to the one above in the Waltz in C# Minor Op.65 no.2; but, instead of starting with a large 32-measure doubly compound period, it begins with a 16-measure compound period. Beginning the finale with a waltz is not common. This is just another example of how Chopin used style within a style to prove that he could write large form music and add his own twist and make it successful.

⁴⁹ Erickson, 41.

Section	Main theme			
Th type	16-measure period			
Th type	Sentence		Sentence	
phrase	Presentation	Continuation	Presentation	Continuation
units	B.I.	Cont.	B.I.	Cont.
m.	1-4	5-8	9-12	13-16
KEY	f minor		HC	i:PAC

Example 13: Third Movement of Chopin's Piano Concerto no.2 op 21

At the beginning of the third movement, the waltz is also a magnificent example of how Michael Klein's styles blend. The waltz in the piano is an example of lyric time, while the orchestra is an example of progressive/narrative time. This combination continues through the rest of the piece showing the blend and the symbiotic relationship between the soloist and orchestra. The beginning of measure 65 introduces another style within a style. This section begins with an etude-like section in the piano solo. The scalar motion in both hands followed by block chords and the overall quick-paced rhythm are elements of a study piece. Comparing the solo at measure 65 to the Revolutionary Etude, the resemblances prove salient.



Example 14: Measures 65-73 of the Third Movement of Chopin's Piano Concerto no.2 op 21

12. **Allegro con fuoco.** ♩ = 160.

Example 15: Chopin’s Revolutionary Etude, measures 1-6.

Observing the two examples above, the second piano concerto’s scalar motion matches the same style and pattern seen in measures 5 and 6 of the Revolutionary Etude. The piece continues on its expected formal trajectory, following the S1 to the EEC and then leading to the link before we arrive at the development. At measure 145, we reach our last instance of style within a style. Measure 145 shows a distinct tonal and timbral change with the introduction of the military polonaise. Some of the traits of a military polonaise are the 3/4-time signature, the distinct left and right hands playing together in chord or octaves, and lastly, the militaristic feel with the rhythm of the work. When comparing the polonaise that begins at measure 145 to Chopin’s famous Polonaise, op. 40 no. 1 in A major “Military” and op. 53 in A-flat major “Heroic,” we can see that all three have the traits mentioned above.

Scherzando.
Solo.

145

Example 16: Chopin’s Piano Concerto no.2 op 21, Third Movement, measures 145-152.

Deux Polonaises.

A. M^r J. Fontana. F. Chopin, Op. 40.

Allegro con brio.

1.

Example 17: Chopin Polonaise op.40 no. 1 in A major “Military,” measure 1-8.

Polonaise.

F. Chopin Op. 53.

Maestoso.

Example 18: Chopin Polonaise op.53 in A flat major “Heroic,” measure 1-8.

This final polonaise is the last instance of style within a style seen in the second concerto. In essence, we have a total of six different times where different styles were brought into the second piano concerto. Whether by quoting, like in the first movement, or the subtle use of all of the traits from a specific piece, including the nocturne form known so well to us, like in the second movement and the traits and timbre seen in the third movement. The third movement of this concerto is a Type 3 sonata. This is the most common type of sonata form of the eighteenth-century concerto, although we are looking at a nineteenth-century piece. In this movement,

several notable things set it apart and show that it is a nineteenth-century composition and not what we are used to in a typical eighteenth-century concerto. We have a dissolving transition and no notable EEC in the exposition. If compelled to name an EEC, it is possible to see it at measure 141 as an elided I:PAC leading us straight to the development at measure 145. Although, there is no real need to label an EEC as failed expositions are quite normal by this time period, as noted in Hepokoski and Darcy’s book.⁵⁰ The recapitulation begins at measure 405 with the statement of the P theme from the exposition. The essential structural closure (ESC) is at measure 485 and ends with a i:PAC. Horn calls introduce our closing zone, which repeats the same playful tune seen at measure 489 and again at measure 530 before leading to the F major perfect authentic cadence at measure 594. The analysis of this movement is seen below.

Zone	P	TR	MC	S1	EEC	Link to Devel	Development	Recapitulation	ESC		Closing Zone
Style w/in Style	Waltz			Etude			Polonaise	Waltz		Horn Call	
m.	1-16	16-63	64	65-140	141	141-144	145-404	405-484	485	486-488	489-594
mis.	Lyric Time	Blended time		Narrative	Time		Narrative Time	Lyric Time		Narrative	Time
Key	f minor		i:PAC	A flat major	I:PAC			f minor	i:PAC		I:PAC

Example 19: Complete Analysis of Third Movement of Chopin’s Piano Concerto no.2 op. 21

Chopin’s Piano Concerto no.2 op. 21 is an excellent example of style within a style and how it can be used in all three movements of the piece. This showed how he successfully incorporated the styles, and it not only enhanced the genre of piano concerto but helped add the Chopin touch. The use of the waltz as the P theme that started the final movement was something that had never been done before. The use of lyric and progressive time in this piece, especially in

⁵⁰ James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*, (New York, New York: Oxford University Press, 2011), 117.

the second movement, clearly depicts how both ideas can work together to create one uniform piece.

Chopin's Piano Sonata in B minor, Op. 58 no.3

As one of Chopin's larger solo works, the sonata in b minor is a prime example of how the Classical and Romantic styles meet and blend. Composed in the late summer of 1844, Chopin dedicated this piece to Countess Emilie de Perthuis, his friend and pupil.⁵¹ This sonata is "considered to be one of Chopin's most difficult compositions, both technically and musically."⁵² The sonata was hailed as "undoubtedly the most remarkable work of Chopin's late style."⁵³ Nonetheless, there is always a critic, and Chopin's larger works have always been a point of contention. Marcell Antoni Szulc (who wrote the first Polish monograph over Chopin) had mixed reactions to this piece. Szulc applauds the piece's "exuberance of imagination, the richness of ideas" and the "touching simplicity" evident in the piece's slower movement.⁵⁴ However, he also points out the "certain hesitation" in "working of the thematic material" along with the "lack of compliance with correctness" found in the first movement.⁵⁵ Peter Gould, classical pianist, and cellist mentioned that there was a deficiency of clarity in the overall structure in the first movement.⁵⁶ Władysław Zielński, a Polish composer, noted that the first movement was "unsuccessful due to insufficient development of the opening material"⁵⁷ and

⁵¹ Emanuel Ax, "Frederic Chopin (1810-1849) Piano Sonata No. 3 in B Minor, Op. 58," Parlance Chamber Concerts, (2017), . <https://www.parlancechamberconcerts.org/parlance-program-notes/frederic-chopin-1810-1849-2/>.

⁵² Frédéric Chopin, "Chopin Complete Piano Sheet Music – Sonatas," (Google, 2014), https://books.google.nl/books?id=nblZCAAAQBAJ&printsec=frontcover&redir_esc=y#v=onepage&q&f=false

⁵³ Chomiński Józef Michał, *Sonaty Chopina*, (Lieu de publication non identifié: éditeur non identifié, 1960), 14.

⁵⁴ Marcell Antoni Szulc, *Fryderyk Chopin i Utwory Jego Muzyczne: Przyczynek Do życiorysu i Oceny Kompozycji Artysty* (1986).

⁵⁵ Ibid.

⁵⁶ Peter Gould, 'Concertos and Sonatas,' in *Frédéric Chopin: Profiles of the Man and the Musician*, ed. Walker, A. (London: Barrie & Rockcliff., 1966).

⁵⁷ Adam Zukiexicz, "Chopin's Third Piano Sonata, Op. 58: Late Style, Formal Ambiguity, and Performance Considerations" (PhD Dissertation, University of Toronto, 2013), 25.

“illogical progress of the structural plan in the development section.”⁵⁸ Nevertheless, there are still positive reviews. Polish philologist Tadeusz Zieliński states that the “realization of Chopin’s ideal of the new sonata, reaching the greatness of its time – large, vast, enlightened by the brilliance of the modern harmonic and pianistic sonorities.”⁵⁹

In an article written by Andrew Davis titled “Chopin and the Romantic Sonata: The First Movement of Op. 58;” Davis called this a type 2 sonata with “two rotations.”⁶⁰ It begins with a period from measures 1-8 ending in a i:HC, this ending our P theme and beginning our TR. Our TR starts at measure 9, and we see the instances of a failed start to the style within a style idea at measure 23. The right hand has the beginnings of the nocturne-like traits, the cantabile melody, and the alteration in time, but this idea is quickly canceled by the left hand’s scalar motion and almost etude-esque nature. This could be considered a failed S theme for many reasons: the lack of a preceding MC and the fact that it continues with its transitioning material. The MC happens at measure 39 with a half cadence in D major. Measure 41 begins with the S theme, and this is where we see the first instance of true style within a style. The cantabile melody in the right hand, along with the arpeggiated bassline, leaving no doubt that this is the true S theme. Measure 56 exhibits another example of a new nocturne with all the requisite traits. Examples 20 and 21 show the failed S theme's openings along with the successful S themes that include the nocturne style.

⁵⁸Mieczysław Tomaszewski and Praca Zbiorowa, *Kompozytorzy Polscy o Fryderyku Chopinie: Antologia* (Warszawa: Polskie Wydawnictwo Muzyczne, 1980).

⁵⁹ Tadeusz Zieliński, *Chopin - Życie i Droga Tworcza* (Polskie Wydawnictwo Muzyczne, 1993).

⁶⁰ Andrew Davis, “Chopin and the Romantic Sonata: The First Movement of Op. 58,” *Music Theory Spectrum* 36, no. 2 (2014), 288.



Example 20: Chopin's Piano Sonata in B minor, Op. 58 no.3, first movement, measures 23-24,
Failed S theme.



Example 21: Chopin's Piano Sonata in B minor, Op. 58 no.3, first movement, measures 41-43,
Nocturne like S Theme.



Example 22: Chopin's Piano Sonata in B minor, Op. 58 no.3, first movement, measures 56-58,
Nocturne like S2 Theme.⁶¹

The S2 theme continues until the EEC at measure 76, a PAC in D major. The closing zone begins at measure 77 and ends at measure 94 with another D major PAC as the following complete analysis below imparts.

⁶¹ The circles show where all the nocturnes start in the right hand.

Zone	P	TR	MC	S1	S2	EEC	Closing Zone
Style w/in Style		m. 23 Failed Nocturne		Nocturne	Nocturne		
m.	1-8	9-38	39	41-55	56-75	76	77-94
Key	b minor		III:HC		III:PAC		III:PAC

Example 23: Chopin's Piano Sonata in B minor, Op. 58 no.3

The second rotation of this piece is similar to the first section. The opening P theme starts at measure 99 in b minor and continues till measure 109. This quickly crumbles away from the tonic making it ultimately a type 2 sonata. Starting at measure 110, the beginning of our TR, and just like in the first rotation, the introduction of a failed nocturne and S theme at measure 118 appears. Measure 149 shows the arrival of MC in i:HC. In another instance of style within a style, the nocturne like S1 and S2 themes at measures 151 and 166, respectively, exemplify this point. Like in the first rotation, these nocturne-like themes show the complete and successful integration of the style. The nocturne that begins at measure 151 most similarly resembles the nocturne found at measure 41. The nocturne that starts at measure 166 resembles the one found at measure 56. This is another instance of Chopin's written-out and ornamented repeats used to display the pianist's skills.



Example 24: Chopin's Piano Sonata in B minor, Op. 58 no.3, measures 23-24, Failed S theme.



Example 25: Chopin’s Piano Sonata in B minor, Op. 58 no.3, measures 151-153, Nocturne like S1 Theme.



Example 26: Chopin’s Piano Sonata in B minor, Op. 58 no.3, measures 166-167, Nocturne like S2 Theme.

When comparing example 19 to example 23 and example 20 to 24, we see that they are similar. The second rotation continues with the arrival of the essential structural closure (ESC) at measure 186 with an I: PAC that leads to our final closing zone at 187, ending with a cadence at measure 197, I:PAC. The piece ends with a section of codas beginning at measure 198 and officially ending at measure 203 with the final I: PAC. The overall analysis of this “rotation” is found below.

Zone	P	TR	MC	S1	S2	ESC	Closing Zone	Coda
Style w/in		m. 118 Failed		Nocturne	Nocturne			
Style		Nocturne						
m.	99-109	110-148	149	151-165	166-185	186	187-197	198-203
Key	b minor		i:HC		I:PAC		I:PAC	I:PAC

Example 27: Measures 99-203 of Chopin’s Piano Sonata in B minor, Op. 58 no.3

As the analysis shows, this piece is another example of the style within a style in Chopin’s music. Using the nocturne-like S theme in this piece, Chopin creates a sort of thematic disparity between the P and S theme. Chopin “introduces an element of stability, even if temporary, amongst the various materials. That contrast would prove emotionally releasing and provide grounds for contemplative and introverted expression, another characteristic of Chopin’s

late style.”⁶² This alludes to the idea of blending and combining the lyric time and progressive/narrative time in one piece.

Standard Large Form

When looking at Chopin’s larger works, we have several large form pieces that fit the “normal” structure and form we expect from a piano sonata in the early romantic era. In this section, we will look at two distinct pieces and analyze their form, thereby arguing that Chopin was capable of composing music without relying on the style within a style trait. The pieces highlighted in this section are his Cello Sonata in g minor op. 65 and the fourth movement of his Piano Sonata no. 1, op.4 in c minor.

Chopin’s Sonata for Cello and Piano op. 65, composed in 1846 for French cellist and friend Auguste Franchomme. The sonata was first played in a dress rehearsal where the first movement was omitted entirely.⁶³ Despite Chopin’s presentation of an incomplete sonata, the audience enjoyed the sonata. Franchomme gave a complete performance of the sonata in 1852 that did include the first movement.⁶⁴ In a review posted in 1853, Kreutzer stated that “Everything in it plaintive and melancholic, we found the first two movements better than the last.”⁶⁵ This shows that although the first movement was initially omitted, it was liked more than the final movement by Kreutzer at least.

⁶² Adam Zukiexicz, “Chopin's Third Piano Sonata, Op. 58: Late Style, Formal Ambiguity, and Performance Considerations” (PhD Dissertation, University of Toronto, Lap Lambert Academic Publishing, 2013), 40.

⁶³ Jim Samson and Anatole Leikin, “The Sonatas,” in *The Cambridge Companion to Chopin* (Cambridge: Cambridge Univ. Press, 2007), 178.

⁶⁴ Daniel Saenz, “Chopin's Last Message: a Study of the First Movement of Chopin's Sonata for Cello and Piano, Op. 65” (PhD Dissertation, University of Houston, 2015), 4.

⁶⁵ Léon Kreutzer, “Revue Et Gazette Musicale De Paris,” [PDF] 1 Tellefsen dans les pas de chopin : enTre affiniTés , dévouemenT - Free Download PDF, 1853, https://nanopdf.com/download/1-tellefsen-dans-les-pas-de-chopin-entre-affinites-devouement_pdf.

Chopin and Auguste Franchomme met at a dinner party coordinated by Liszt.⁶⁶ The two became quick friends and reportedly “formed a friendship as is rarely encountered among musicians in urban centers.”⁶⁷ The cellist “played a central role in the creation of the cello sonata and was one of Chopin’s closest companions during the final years of [the] composer’s life.”⁶⁸

We begin with the P theme at measure 1 in g minor, and the cello joins in at measure 8. As we saw in the piano sonata, a failed nocturne emerges in the cello but is quickly shut down by what the piano is playing. Apart from the cantabile line, there is no other evidence of the traits that make up a nocturne in this section. A reason that we could attribute to this failed nocturne is that “Franchomme played principal cello in the Théâtre-Italien, today the site of Opéra Comique.”⁶⁹ Knowing that Franchomme played and was around Italian opera and as mention earlier in the thesis, Chopin loved the Italian cantabile style and *bel canto* opera. This failed nocturne could have been an homage to both men’s love for the cantabile style. However, this failed attempt at a nocturne could be due to the fact that while writing this, Chopin was in a very melancholic, almost depressive part of his life.

⁶⁶ Saenz, 4.

⁶⁷ Niecks, 109.

⁶⁸ Daniel Saenz, “Chopin’s Last Message: a Study of the First Movement of Chopin’s Sonata for Cello and Piano, Op. 65” (dissertation, 2015), University of Houston, 4.

⁶⁹ *Ibid.*, 5.

Example 28: Chopin's Sonata for Cello and Piano op. 65, measures 5-15, Failed nocturne in cello part beginning at measure 8.

Anatole Leikin makes the connection that the opening four measures of this movement are very similar to the song "Gute Nacht" from Franz Schubert's song cycle *Winterreise*.⁷⁰ Daniel Saenz later expands this point as he makes the connection of farewell that is conveyed in the text of the piece "Fremd bin ich eingezogen, fremd zieh' ich wieder aus."⁷¹ Saenz states that this could be because "Chopin felt he was a stranger in Paris."⁷² This idea of Chopin's melancholia was also seen in his Revolutionary Etude.

Continuing our analysis of the piece, we see the transition begins at measure 24 and leads us again to another failed nocturne at measure 61. This failed nocturne acts as a link to the actual S theme at measure 69. This S theme contains no traits that show this could have been a nocturne. The closing section begins at measure 92; this leads to our i:PAC in d minor. An analysis of this can be seen below, along with the failed S themes.

⁷⁰ Jim Samson and Anatole Leikin, "The Sonatas," in *The Cambridge Companion to Chopin* (Cambridge: Cambridge Univ. Press, 2007), 169.

⁷¹ English Translation "Stranger was I moved-in, stranger move I again out."

⁷² Saenz, 8.

Zone style w/in style	P	TR	MC	link to S	S	Closing Zone
m.9 Failed nocturne				Failed nocturne		
m.	1-23	24-58	59	60-68	69-91	92-112
Key	g minor				B flat Major	d minor

Example 29: Chopin's Sonata for Cello and Piano op. 65, Exposition

Example 30: Chopin's Sonata for Cello and Piano op. 65, measure 60-68, Failed S Theme linking to actual S theme.

Thinking of the idea of a failed nocturne in the same light as Caplin's evaded and abandoned cadences, I define the term failed nocturne as a nocturne that was not able to complete the three traits of the style: cantabile line with ornamentation, the left hand's stability of arpeggiated or block chords and lastly the rubato. This idea of failed and abandon nocturnes that never seem to be able to take flight only serves to prove how flexible Chopin was in his ability to play with his own form and tease the audience. Evident in the examples above, both instances of possible nocturnes are negated by the absences of the arpeggiated baseline in the piano. Both contain the *dolce* marking that is commonly seen in the cantabile style and nocturnes, and the cello's melody line has elements of the cantabile style. This piece shows that Chopin was capable of writing large-scale pieces without the need to include one of his smaller form pieces embedded in his works.

Chopin Piano Sonata no.1 Op.4 mvt.4

Lastly, we will be looking at the final movement of Chopin's Piano Sonata no.1 in c minor. This piano sonata was composed in 1828 and dedicated to his instructor Elsner who taught him during his time at the conservatory in Warsaw. This work was published posthumously two years after Chopin's death in 1851 by Tobias Haslinger.⁷³

We begin the piece with our P theme at measure 1 in c minor. This piece contains a dissolving P theme that leads into the transition at measure 32—beginning at measure 41, a transition leading to the first medial cesura that ends with a PAC in d minor. This forms the first subordinate theme in d minor. This S theme contains the Sturm und Drang style; and leads to our d minor PAC at measure 61.⁷⁴ A repeat of the cadential progression also beginning at measure 61, in g minor. This cadential progression leads to a deceptive cadence in g minor. That acts as an MC and launches us into our E flat major S2. the final MC is seen at measure 84 before the appearance of the third S theme at measure 86 in g minor. This piece is a four-key quad-modular block.⁷⁵ An extension of Hepokoski and Darcy's trimodular block (TMB) and trimodular S (TMS). A trimodular block is a:

(an especially emphatic type of multimodular structure in an exposition or recapitulation, always associated with the phenomenon of *apparent double medial caesuras*. Individual modules may be designated as TM¹, TM², and TM³. Of these, TM¹ and TM³ are usually "thematic." TM¹ follows the first apparent MC, TM² often reinvigorates the TR-style [often TM¹ merges into TM², TM¹⇒TM²] and helps to set up the second apparent MC, and TM³ follows that second MC-effect. A TMB leads, at its end, to the EEC.

⁷³ Artur Bielecki, "Narodowy Instytut Fryderyka Chopina," Narodowy Instytut Fryderyka Chopina, (2020), https://chopin.nifc.pl/en/chopin/gatunki/18_sonaty.

⁷⁴ Sturm und Drang means Storm and Stress. This is not one of the Style within Style traits that we are looking for but still interesting. Perhaps the storm and stress included in this passage could be attributed to something to do with his past.

⁷⁵ Rene Rusch, 'The Four-Key Exposition? Schubert's Sonata Forms, the Fantasia, and Questions of Formal Coherence', paper presented at the annual meeting of the Society for Music Theory, Vancouver, 4 November 2016.; Graham G. Hunt, "Diverging Subordinate Themes and Internal Transitions: Assessing Internal Modulations in Three-Key Expositions," *Music Analysis* 39, no. 2 (2020), 145.

Either TM1 or TM3 may give the impression of being the “real” S depending on the individual circumstances. Cf. TMS.)⁷⁶

In contrast, a Trimodular S is:

(a common type of MMS with three S- modules. Within the sonata narrative, the first proves “unable” to produce a PAC; the second often thematizes the threat or difficulty; the third is a decisive cadential module. It differs from the TMB in its lack of apparent double medial caesuras: there is no second “apparent” MC after the second S module.)⁷⁷

In example 31, we can see the four distinct key centers c minor, d minor, E flat major, and g minor that make up this quad modular block. Each preceded by an MC that helps close up the previous section.

Zone	P	TR	MC	ST1	MC	ST2	MC	ST3
subd.				Sturm und Drang				
m.	1-41	23-41	41	41-64	65	66-83	84	86-115
Key	c minor		d:PAC	d minor	G: DC	E flat Major		g minor

Example 31: Chopin Piano Sonata no.1 Op.4 mvt.4

In this chapter, we saw how Chopin incorporated his smaller pieces into his larger works through the idea of style within a style. With the smaller pieces incorporated into, the larger work, we could see how they were being used and how they added to the larger piece in question without taking anything away from the works themselves. We also saw how Klein’s lyric and progressive time worked within the pieces. The second half of this chapter analyzed two of Chopin’s larger works that did not include the style within a style idea—showing that this idea of style within a style was not a compositional crutch that Chopin used reflexively but just one of the many tools in his composer tool kit.

⁷⁶ Hepokoski and Darcy, 27.

⁷⁷ Ibid., 28.

Conclusion

In this thesis, I explained how Chopin employs the use of his smaller forms to help create his large forms. This melding of the two forms aided Chopin in successfully creating a large-scale form as defined by some of the most seminal theoretical approaches in the literature: Caplin's Formal-Function Theory, Hepokoski, and Darcy's Sonata Theory, and Ratner's Topic Theory. Successful by the definitions given to us in each theory practice, if we were looking at a sonata, all elements that Hepokoski and Darcy use to define a sonata are present and the same if looking at a different form with a different theoretical approach. To assess these forms, none of the theoretical approaches by themselves could have been enough to gain a complete understanding, this in part because Chopin did not always follow the typical schema that was set by his predecessors. Chopin was able to compose several successful large form pieces in which he incorporated his smaller pieces' styles to add an extra level and element of difficulty to the compositions. The idea of style within a style helped show that Chopin's works were not fully understood during his time.

Chopin still stands the test of time, especially when discussing the talent it takes to incorporate an entire form inside an ongoing larger work and evading the audience's expectations by teasing a form that is later abandoned like in the case of the failed abandoned nocturne. I concluded that style within a style is an inevitable and exciting part of his compositions but not the sole element holding his compositions together. We also incorporated Klein's lyric and progressive time and saw how that worked into Chopin's music and what it had to offer us. This thesis also began to look at how these pieces tied back to what was going on in Chopin's life. This is something that could be delved into further. From a purely musicological approach, deciding if certain styles appear more often than others is futile unless the moments of

trials, tribulations, and success in Chopin's life are correlated. Rarely, even the most intense battles that rage in the quiet chambers of our hearts echo beyond, but in Chopin's case, we possess the knowledge that serves as a measure to the triggers of his timeless inspirations and works.

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