

CONCERTO FOR PIANO AND ORCHESTRA  
AND  
SONATA FORM IN SERGEY PROKOFIEV'S FIRST PIANO  
CONCERTO: AN ANALYSIS FROM THE PERSPECTIVE  
OF HEPOKOSKI AND DARCY'S SONATA THEORY

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by  
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## ABSTRACT

This dissertation comprises two parts: an original composition, *Concerto for Piano and Orchestra*; and an essay that analyzes the form of Prokofiev's Piano Concerto No. 1 in D-flat Major, op. 10.

*Concerto for Piano and Orchestra* is cast in three movements and scored in two versions: In "Version A," members of the orchestra are at times called on to use their voices to sustain the phonemes [m], [ŋ], and [v] on pitch and to create an intense whisper on the vowel [æ]. "Version B" is an alternative realization that uses instruments only. The first movement, unable to produce a recapitulation and continually interrupted at decreasing intervals of time by increasingly intense outbursts from percussion, brass, and wind instruments, is an extreme deformation of a sonata-concerto form. It proceeds *attacca* to the second movement, which is built in a large ternary form. The third movement is a concerto adaptation of James Hepokoski and Warren Darcy's "expanded Type 1" sonata form. The concerto's total duration is approximately 30 minutes.

The essay considers the form of Prokofiev's Piano Concerto No. 1 from the perspective of Hepokoski and Darcy's Sonata Theory, as laid out in their seminal 2006 treatise. It finds that Prokofiev's Piano Concerto No. 1 is a highly individualized instance of Hepokoski and Darcy's "Type 3" sonata form with introduction-coda frame. The essay's analysis is preceded by a glimpse at Prokofiev's experiences with sonata form during his youth, as well as brief reviews of the conceptual backdrop of concerto form as Prokofiev would have received it and of the basics of Sonata Theory.

For Olivia, Gabriel, and Ilene—

whose love is the tonic

that confirms me

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might come to understand that my least favorite part of completing this dissertation was having to spend time away from them.

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## CHAPTER 1

### INTRODUCTION

After the premiere of his Piano Concerto No. 1 in D-flat Major, op. 10 (1911-1912) the young Sergey Prokofiev (1891-1953) wrote of its single-movement form, “The canvas on which the basic formal design is drawn is sonata form, but I so far departed from it that my Concerto cannot possibly be described as being in sonata form.”<sup>1</sup> In March 1913, in a diary entry describing an epiphany regarding the form of the second half of the finale of his Piano Concerto No. 2 in G Minor, op. 16 (1912-1913; rev. 1923), Prokofiev reflected:

True, [the form] does not conform to the best of the old traditions, but in itself it is entirely logical and complete, and that is all that matters. I have great respect for the old forms, but I also have complete faith in my own instincts for form, and often give myself license to depart from convention.<sup>2</sup>

Nearly two decades later, Prokofiev’s views on form had not changed much. In a 1930 interview with Olin Downes at the New York Times, Prokofiev affirmed his reverence for traditional form: “I want nothing better, nothing more flexible or more complete than

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<sup>1</sup> Sergey Prokofiev, *Diaries, 1907–1914: Prodigious Youth*, trans. and ann. Anthony Phillips (Ithaca, NY: Cornell University Press, 2006), 236-237. This remark of Prokofiev’s notwithstanding, analysis from a sonata standpoint makes clear sense for this work. Indeed, Prokofiev proceeds in his own subsequent analysis of the piece (see pp. 25-26 below) to use such sonata-based terminology as “main subject,” “second subject,” and “concluding section.” Moreover, in refuting a critic who in 1914 heard the concerto as cast in four movements, Prokofiev asserted that the piece was constructed in a single sonata-form movement (see pp. 24-25 below). Analyzing this concerto’s form from a non-sonata standpoint, in spite of Prokofiev’s views, is an intriguing possibility that will not be explored here.

<sup>2</sup> *Ibid.*, 346-347.

the sonata form, which contains everything necessary to my structural purpose.”<sup>3</sup> ‘Flexible’ here doubtless expresses in one word the adaptability of sonata form that Prokofiev found in traditional forms in 1913.

Considered together, these three remarks make clear that Prokofiev felt a great affinity for such “old forms” as sonata form, but had no qualms about manipulating them to suit his needs. Prokofiev’s words point toward an approach in his composing that held seemingly contradictory values simultaneously: a respect for and veneration of tradition on one hand, and a willingness not only to rework conventional procedure but also occasionally even to reject it on the other. Indeed, listeners familiar with old forms cannot help but notice how Prokofiev hews just closely enough to them to render his own forms recognizable as kin to his predecessors’ structures, but deviates from them in gripping, idiosyncratic ways that often upend listeners’ expectations.

Using the interpretive and analytical methods of James Hepokoski and Warren Darcy in their seminal treatise on sonata forms<sup>4</sup>, this essay will feature an analysis of the form of Prokofiev’s single-movement Piano Concerto No. 1. It will note in particular how this concerto’s form—in its choice and construction—aligns with and differs from

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<sup>3</sup> Olin Downes, “Prokofieff Speaks: Russian Composer, Here This Week, Favors Return to Simpler, More Melodic Style,” *New York Times*, February 2, 1930.

<sup>4</sup> James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006). This essay presumes a familiarity with Hepokoski and Darcy’s five sonata types; Hepokoski and Darcy’s ideas about thematic rotation; and related concepts surrounding type, attainment, attenuation, avoidance, and deferral of cadences—particularly the all-important cadences at the moments of MC (medial caesura), EEC (essential expositional closure), and ESC (essential structural closure)—that Hepokoski and Darcy view as central to understanding sonata forms. The reader is referred to *Elements* for the definitive explication of Hepokoski and Darcy’s theories; where possible and necessary in this essay, abbreviated summaries have been offered.

historical models, and consider what kind of musical narratives the form may spin. It is far beyond the scope of this study to present as background either a comprehensive biography of Prokofiev or a detailed history of sonata form in the concerto genre; yet, to grasp what Prokofiev's models were and the ways in which Prokofiev's form relates to those of his forerunners, a glimpse at Prokofiev's experiences with sonata form during his youth and a brief initial review of the conceptual backdrop of concerto form as Prokofiev would have received it will prove helpful.

## CHAPTER 2

### HISTORICAL BACKGROUND

#### Prokofiev's Exposure to Sonata Forms During His Formative Years

Sonata- and sonata-inflected forms played a central role in Prokofiev's formation as a musician. His mother, Maria Grigoryevna Prokofieva (1855/56-1924, née Zhitkova), was by Sergey's description an accomplished pianist; she exposed her son to works of Beethoven and Chopin from an early age.<sup>5</sup> Sergey recalled:

When I was put to bed at night, I never wanted to sleep. I would lie there and listen as the sound of a Beethoven sonata came from somewhere far off, several rooms away. More than anything else, my mother played the sonatas of Volume I.<sup>6</sup>

By age nine Sergey was playing "some Mozart and two of Beethoven's easier sonatas."<sup>7</sup> Also at age nine, at the suggestion of Sergey Taneyev, Prokofiev received instruction from the twenty-eight-year-old Reinhold Glière, with whom Prokofiev recollected playing Mozart sonatas and studying the form of Beethoven sonatas.<sup>8</sup> Prokofiev made his first attempt at composing a symphony under Glière and remembered Glière guiding

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<sup>5</sup> *Sergei Prokofiev: Autobiography, Articles, Reminiscences*, ed. S. Shlifstein, trans. Rose Prokofieva (Honolulu, HI: University Press of the Pacific, 2000), 16.

<sup>6</sup> *Prokofiev by Prokofiev: A Composer's Memoir*, ed. David H. Appel, trans. Guy Daniels (Garden City, New York: Doubleday & Company, Inc., 1979), 15.

<sup>7</sup> *Ibid.*, 35.

<sup>8</sup> *Ibid.*, 47.

him toward composing its opening movement in sonata form.<sup>9</sup> Glière also assigned Prokofiev to compose a violin sonata. Prokofiev recalled this representing a significant step: “I worked on my own with the sonata form, the development, and the counterpoint.”<sup>10</sup> Prokofiev regarded his time with Glière as immensely important to his education, mentioning among other things the training in form that he received at Glière’s hands:

Glière’s stay at Sontsovka had a tremendous influence on my musical development. It was not merely that I had acquired a grasp of harmony and learned something about such new spheres of composition as form and instrumentation. Of prime importance was the fact that I had passed...into the hands of a professional who had a totally different attitude toward music [from that of my mother] and, without even being aware of it himself, opened up new horizons for me.<sup>11</sup>

From 1904 to 1914, Prokofiev trained at the St. Petersburg Conservatoire not only as a composer but also as a pianist and conductor. Through his studies there, he was further exposed to the rich diversity of sonata- and sonata-concerto forms in eighteenth- and nineteenth-century chamber and orchestral music. As a result of Tcherepnin’s tutelage, Prokofiev developed an early affinity for Mozart and Haydn,<sup>12</sup> whose music he would continue to come across with some regularity at the Conservatoire and whose endlessly inventive adaptations of—and, in Haydn’s case, deformations of—sonata forms and sonata-concerto blends could hardly have failed to influence the young Prokofiev. By

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<sup>9</sup> *Prokofiev by Prokofiev*, 52.

<sup>10</sup> *Ibid.*, 61.

<sup>11</sup> *Ibid.*, 53.

<sup>12</sup> *Autobiography*, 29. See also p. 121; Prokofiev mentions joining an acquaintance in playing Mozart sonatas in a two-piano arrangement by Grieg.

roughly the time of his twentieth birthday, Prokofiev had recorded in his diary encountering numerous late- and post-Classical sonata-form works at the Conservatoire: hearing Beethoven's Piano Sonata No. 23 in F minor, op. 57 ("Appassionata") and Violin Sonata in A major, op. 47 ("Kreutzer"), a sonata by Franck, a trio (presumably the Piano Trio in A Minor, op. 50) and the String Quartet No. 1 in D Major, op. 11 of Tchaikovsky, Chopin's Piano Concerto No. 1 in E Minor, op. 47, Rachmaninov's Piano Concerto No. 2 in C Minor, op. 18, and Glazunov's Symphony No. 7 in F Major, op. 77 ("Pastoral'naya"); studying piano concertos of Beethoven, Grieg, Liszt, and Tchaikovsky; studying and performing sonatas and chamber music by Mendelssohn, Schumann, Chopin, Liszt, Grieg, Scriabin, and Glazunov; conducting Beethoven's Symphony No. 4 in B-flat Major, op. 60 and Schubert's Symphony No. 4 in C Minor, D. 417 ("Tragic") and Symphony No. 8 in B Minor, D. 759 ("Unfinished"); hearing and studying concertos by Rimsky-Korsakov, Tchaikovsky, Rubinstein, and Saint-Saëns; playing through Tchaikovsky's Symphony No. 6 in B Minor, op. 74 ("Pathétique") and a transcription of Beethoven's Symphony No. 7 in A Major, op. 92; accompanying a colleague in a Schumann concerto; transcribing Scriabin's Symphony No. 3 in C Major, op. 43 ("Bozhestvennaya poema"/"Le poème divin"); and turning pages for Sergey Taneyev in a performance of Taneyev's own trio (presumably his Piano Trio in D Major, op. 22).<sup>13</sup> Moreover, by the first half of 1913, Prokofiev had already composed several sonatas and two piano concertos of his own, in which he was plainly already bending sonata and concerto forms to his purposes.

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<sup>13</sup> Prokofiev, *Diaries: 1907-1914*, 5-376 passim.

First-Movement Form in the Eighteenth- and Nineteenth-Century Concerto:  
A Brief Overview

Hepokoski and Darcy, in introducing the Type 5 sonata (the sonata-concerto blend, the most complex of the five sonata forms they identify<sup>14</sup>), call attention early on to the differences and gradual rapprochement between eighteenth-century symphonic and concerto styles. The early-eighteenth-century concerto, they explain, was built around alternations between solo and tonality-confirming tutti (ritornello) passages, with the number of each that might appear in a given movement not yet being codified. The opening and closing ritornellos were in the tonic; these “enclosed an often-modulatory inner series of lightly accompanied, virtuosic solo passages. Each [solo passage] was affirmationally punctuated by a briefer, full-orchestra tutti (usually elided with emphatic solo cadences) that usually reanimated selected modules from the initial ritornello.”<sup>15</sup>

Later in the century, Hepokoski and Darcy continue, the concerto genre evolved toward *galant* style and toward using sonata forms found in contemporary symphonic music and sonatas. They cite Georg Joseph Vogler, who, writing in 1779 about one midcentury form of the concerto, posited that to build a concerto one could frame an “ordinary sonata” (which Vogler would have conceptualized as having two parts: a modulating exposition as the first, and development and recapitulation as the second)

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<sup>14</sup> Their other four types include sonata without development or with only a very brief link between exposition and recapitulation rotations (Type 1); the analytically challenging “binary variant” (Type 2), i.e. a bi-rotational sonata only recapitulating in the tonic material from the exposition’s secondary theme onward, with optional primary-theme-based coda —a type often mistaken by modern scholars for a kind of mirror form (featuring a so-called “reverse recapitulation”); the “textbook” sonata form (Type 3); and the sonata-rondo blend (Type 4).

<sup>15</sup> Hepokoski and Darcy, 433.



with tutti passages. This procedure resulted in a five-part structure: 1) Opening ritornello in the tonic; 2) modulating sonata exposition; 3) ritornello; 4) sonata development and [resolving] recapitulation; 5) concluding ritornello confirming the tonic.<sup>16</sup>

Hepokoski and Darcy observe that this was but one possible layout for the sonata-concerto blend, and that composers of the time probably viewed concerto form as highly flexible. They point next to Heinrich Koch, who in his 1793 *Versuch einer Einleitung zur Composition* described a similar but slightly more complex approach to fashioning a concerto movement in a seven-part format: 1) Opening ritornello establishing the tonic and the referential layout (*Anlage*) of the concerto's themes;<sup>17</sup> 2) First solo passage—a sonata exposition—punctuated by interjections from the orchestra; 3) Second ritornello arriving with the final cadence of the preceding solo and confirming the secondary key; 4) Second solo passage—a sonata development usually concluding with a cadence in a non-tonic key (e.g. vi, iii, or ii); 5) Third ritornello carrying out retransition function;<sup>18</sup> 6)

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<sup>16</sup> Hepokoski and Darcy, 434-435.

<sup>17</sup> This initial ritornello, ordinarily cycling fully through a rotation of themes (primary, transition, secondary, closing), coupled with the subsequent first solo passage that usually cycles again through a corresponding thematic rotation, gives rise to what in the literature is often called the “double exposition” layout.

<sup>18</sup> Hepokoski and Darcy (440-445) acknowledge the complexities surrounding this ritornello and touch on the debate about whether it deserves recognition as a ritornello at all. Their position is that it should, at a minimum, be viewed as “a ritornello effect, reanimating the opening bars of [Ritornello 1] and having a specialized quasi-ritornello function of calling attention to an important structural moment in the movement—in this case the beginning of the recapitulatory rotation.” They also highlight Mozart's strong preference for using Ritornello 3 to launch the recapitulation. As such, the seven-part layout is the basis for their analysis of sonata-concerto forms. This is far from a universal modern view, however. See, for instance, William E. Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998). Caplin proposes a six-part

Third solo passage—a sonata recapitulation, usually ending with a tutti leading to a six-four sonority, fermata, and solo cadenza; and 7) Fourth ritornello, whose onset elides with the final cadence of the soloist’s cadenza, and which closes in the tonic.

Citing Vogler, Koch, and other writers and composers, Hepokoski and Darcy ultimately put forward six conceptual subtypes of the Type 5 form that differ in the number and harmonic function of ritornellos and that reflect various paths composers could take in blending the concerto with Type 1, Type 2, or Type 3 sonata forms.<sup>19</sup> Hepokoski and Darcy make clear, though, that these subtypes are only to be viewed as malleable models, not as explicit blueprints for all sonata-concerto movements. Hepokoski and Darcy emphasize that the diversity of subtypes they identify still does not do justice to the range of sonata-concerto variants found in Mozart, and as an example cite the vast difference between Koch’s retransition-based conception of the third ritornello and Mozart’s clear preference in practice for using the third ritornello to initiate the recapitulation. All manner of deviations from the models of Vogler, Koch, and others are to be expected in the repertoire.<sup>20</sup>

After the turn of the nineteenth century, such deviations became increasingly common as composers of concertos experimented more freely with first-movement form. Stephan D. Lindeman observes that two concertos of Jan Ladislav Dussek (1760-

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layout for concerto form nearly identical to Koch’s except for the missing third ritornello. Caplin does not even acknowledge the possibility of a ritornello at the Solo 2-Solo 3 juncture.

<sup>19</sup> Concerto adaptations of Type 4 sonatas are discussed in Hepokoski and Darcy’s chapter on Type 4 form; see Hepokoski and Darcy, pp. 417-427.

<sup>20</sup> Hepokoski and Darcy, 436-443.

1812)—Piano Concerto in G Minor, op. 49 (1801) and Piano Concerto in E-flat Major, op. 70 (1810)—divorce the thematic worlds of the soloist and the orchestra, giving the two “sides” little to no thematic overlap, in clear contrast with classical practice. Lindeman also notes that Dussek left out opportunities for the soloist to improvise cadenzas<sup>21</sup> and cites John Warrack’s view that Dussek’s choice influenced many subsequent nineteenth-century concertos.<sup>22</sup> Leon Botstein, using Mendelssohn’s Violin Concerto<sup>23</sup> and Robert Schumann’s Cello Concerto in A Minor, op. 129 (1850) as examples, highlights the rise of the written-out cadenza, adducing it as evidence of the composer-performer split underway in the nineteenth century.<sup>24</sup> In his history of the concerto, Michael Thomas Roeder devotes an entire chapter to Beethoven and a significant subsection of it to his Piano Concerto No. 4 in G Major, op. 58 (1804-1806). Beethoven here defies all expectations and opens the first movement with a *piano, dolce* primary theme sounded by the unaccompanied soloist. The orchestra soon takes over; though the movement proceeds with an essentially normative opening ritornello, it exhibits unusual harmonic features: the orchestra’s echo in III of the soloist’s opening phrase and the harmonic instability of both the opening ritornello’s secondary theme area

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<sup>21</sup> Stephan D. Lindeman, *Structural Novelty and Tradition in the Early Romantic Piano Concerto* (Stuyvesant, NY: Pendragon Press, 1999), 27-29.

<sup>22</sup> John Warrack, *Carl Maria von Weber*, 2<sup>nd</sup> ed. (Cambridge: Cambridge University Press, 1976), 105.

<sup>23</sup> Presumably the Violin Concerto in E Minor, op. 64 (1844), though both of Mendelssohn’s other concertos involving solo violin feature written-out cadenzas as well.

<sup>24</sup> Leon Botstein, in Arthur Hutchings et al., “Concerto,” *Grove Music Online*, ed. Deane Root: www.oxfordmusiconline.com (accessed July 12, 2018).

and of the recapitulation chief among them.<sup>25</sup> Botstein has also pointed to Beethoven—his fourth and fifth piano concertos in particular—as distinctive and influential in the development of the nineteenth-century concerto.<sup>26</sup>

Beethoven's tinkering with the opening ritornello was a harbinger of ever-bolder Romantic-era experimentation with that part of the form. Composers soon began to forgo the opening ritornello altogether, bypassing the "double exposition" in favor of a merged solo-tutti exposition. Lindeman attributes this transformation to changes in perception of the opening ritornello's usefulness and currency:

By the 1830s, in what should be regarded as a profound and revolutionary development in the evolution of the concerto genre, progressive composers began to perceive the first ritornello of the opening movement (and in some cases, nearly all formal and discrete orchestral sections) as redundant and archaic.<sup>27</sup>

Botstein writes that the effect of eliminating the first ritornello was "to set aside the convention of using the orchestra as either background or theatrical and dramatic structural frame for the solo instrument; rather, the solo instrument assumes an equality if not dominance in the musical form."<sup>28</sup> Hepokoski and Darcy view this development as

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<sup>25</sup> Michael Thomas Roeder, *A History of the Concerto* (Portland, OR: Amadeus Press, 1994), 178-196, especially 184-188. Roeder goes on to devote another significant subsection to Beethoven's Piano Concerto No. 5 in E-flat Major, op. 73 (1809), observing that "[m]any of the musical devices with which Beethoven experimented in the Fourth Concerto are found in the Fifth, but in a more developed form" (e.g. the early appearance of the soloist, modulation to remote harmonic regions, and a cadenza composed directly into the score). See pp. 188-191.

<sup>26</sup> Botstein, in "Concerto," *Grove Music Online*.

<sup>27</sup> Stephan P. Lindeman, "The Nineteenth-Century Piano Concerto," in *The Cambridge Companion to the Concerto*, ed. Simon P. Keefe (Cambridge: Cambridge University Press, 2005), 101.

<sup>28</sup> Botstein, in "Concerto," *Grove Music Online*.

representing the near-complete surrender of the concerto to the principles of the symphony, and remark that as the opening ritornello disappeared, “what had been the favored format for concerto first movements—the Type 5 sonata—collapsed into the Type 3 pattern. At this point the absorption of the concerto idea into sonata form became complete.”<sup>29</sup>

Examples of concertos that attenuate or omit the orchestra’s opening ritornello abound in the repertoire in the first half of the nineteenth century: e.g. the *Konzertstück*, op. 79 (1821) of Carl Maria von Weber—something of an archetype for the Romantic piano concerto, with its programmatic dramatization of the soloist’s passage from despair to elation over multiple and linked movements; Mendelssohn’s Piano Concerto No. 1 in G Minor, op. 25 (1831), *Capriccio brillant*, op. 22 (1832), and Piano Concerto No. 2 in D Minor, op. 40 (1837); the Concerto da camera in A Minor, op. 10 (1832) of (Charles-) Valentin Alkan (1813-1888); and the Piano Concerto in A Minor, op. 7 (1833-1836)<sup>30</sup> of Clara Schumann (1819-1896). Certain late-century composers, though—Brahms and Dvořák among them—would look back to earlier practice in the way they opened their first movements. Brahms, in his Piano Concerto No. 1 in D Minor, op. 15 (1854-1862), and Dvořák, in his Piano Concerto in G Minor, op. 33 (1876) recaptured the idea of an opening ritornello. In his Piano Concerto No. 2 in B-flat Major, op. 83 (1881-

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<sup>29</sup> Hepokoski and Darcy, 435.

<sup>30</sup> The first movement of the Piano Concerto in A Minor, op. 54 (1845) of Robert Schumann (1810-1856) harks back in several ways to Clara Schumann’s op. 7: the works feature A minor as tonic, a merged solo-tutti exposition, and an unusual move to the distant key of A-flat major at approximately the same position in the movement (Lindeman, “The Nineteenth-Century Piano Concerto,” 107).

1882), Brahms recalled the early appearance of the soloist in the manner of Beethoven's last two piano concertos.<sup>31</sup> Most frequently, though, nineteenth-century concerto composers did away with the opening ritornello. Hepokoski and Darcy assert that instances in which composers restore it, as Brahms and Dvořák do, are best viewed as "archaizing or retrospective efforts, recalling largely eclipsed traditions of enhanced monumentalization."<sup>32</sup>

Other noteworthy developments in concerto form in the nineteenth century include transitional links between movements;<sup>33</sup> eschewing the traditional triple-movement layout in favor of a single movement cast in four or more subsections;<sup>34</sup> the use of secondary solo instruments;<sup>35</sup> thematic recall and recapitulation across multiple movements;<sup>36</sup> and novel treatment, placement, number, and length of cadenzas.<sup>37</sup>

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<sup>31</sup> Lindeman, "The Nineteenth-Century Piano Concerto," 110-111.

<sup>32</sup> Hepokoski and Darcy, 435.

<sup>33</sup> See Weber's *Konzertstück* and Mendelssohn's First and Second Piano Concertos.

<sup>34</sup> See Liszt's Piano Concerto No. 1 in E-flat Major, S. 124 (1835-1856) and Piano Concerto No. 2 in A Major, S. 125 (1839-1861).

<sup>35</sup> Botstein, in "Concerto," *Grove Music Online*; see the horn solos in Brahms's Piano Concerto No. 2 and Grieg's Piano Concerto in A Minor, op. 16 (1868, rev. 1907).

<sup>36</sup> Lindeman, "The Nineteenth-Century Piano Concerto," 95, 100. See Piano Concerto No. 8, op. 70 (1825) of Johann Baptist Cramer (1771-1858) and Piano Concerto No. 1 of Mendelssohn, which in their finales summon themes first heard in their opening movements, and Schubert's Fantasy in C Major, op. 15/D760 ("Wanderer," 1822), which, though not a concerto, had a profound effect on Mendelssohn, Alkan, Liszt, and Clara and Robert Schumann, and which Liszt fashioned into a piano concerto in 1851.

<sup>37</sup> See, for instance, the omission of improvised cadenzas in works of Dussek and the total lack of cadenzas in Piano Concerto in F Minor, op. 16 (1844) of Adolf Henselt (1814-89) (Lindeman, "The Nineteenth-Century Piano Concerto," 105-106), the insertion of written-out cadenzas before the secondary-theme area in the concertos of Daniel Steibelt (1765-1823) (*ibid.*, 99-100), and the gargantuan 156-bar cadenza in

### The Piano Concerto in Russia Before Prokofiev

Jeremy Norris cites two main causes for what he dubs the highly “inauspicious beginnings” and “painfully slow development” of the Russian piano concerto: Russia’s cultural and geographical remoteness [from Western Europe], and the fact that Russia had no native symphonic tradition. The earliest Russian piano concertos, written in the late eighteenth century, have not survived; Norris conjectures that they were derivative chamber works written for use in the Imperial Court and in aristocrats’ palaces.<sup>38</sup>

Around the turn of the nineteenth century, travel abroad to other European countries became more common among Russian nobles; two results of this trend were an awakening of Russian nationalism and heightened awareness of how far Russia lagged behind Western Europe. In addition, new channels of exchange opened between Russia and Western Europe for piano builders, performers, and such composer-virtuosos as John Field (1782-1837) and Daniel Steibelt, European expatriates living in Russia who had a particularly heavy influence on the development of the Russian piano concerto and concert culture in the early part of the nineteenth century.<sup>39</sup>

Owing to Steibelt’s considerable influence as both zealous entrepreneur and brilliant performer, symphonic concerts became much more common for aristocrats and laypeople alike; consequently, orchestral musicians increasingly found employment

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Tchaikovsky’s *Concert Fantasia*, op. 56 (1893), which begins approximately 40% of the way through the movement and occupies more than half of the movement’s total composed length.

<sup>38</sup> Jeremy Norris, *The Russian Piano Concerto, Volume I: The Nineteenth Century* (Bloomington: Indiana University Press, 1994), 5-13.

<sup>39</sup> *Ibid.*, 8-10.

outside of the service of nobles. These developments, in turn, led to a revolution in musical rhetoric; Norris notes that “[t]o attract new audiences, novelties, special effects, and musical representations of recent historical events became part and parcel of the composer-virtuoso’s box of tricks, and gratuitous virtuosity gradually superseded genuine musical creativity.” Steibelt was known for such copious use of pianistic pyrotechnics, aided by exploitation of the then-new sustain pedal.<sup>40</sup>

In contrast, Field’s impact on pianism and concert culture in Russia was more subtle, but was ultimately at least as far reaching as Steibelt’s. Field did not rely on virtuosity as habitually as Steibelt, and his concerto composition shows a more studied craftsmanship than that of his more flamboyant contemporary. Norris points to Field’s concertos as influencing the structure and pianism of concertos by Field’s student Ivan Feodorovich Laskovsky (1799-1855), Alexander Alexandrovich Alyabev (1787-1851), Iosif Iosifovich Genishta (1795-1853), and Ivan Genrikhovich Cherlitsky (1799-1865), whose 1818 piano concerto is cast in two movements and modeled on Field’s Concerto No. 3 in E-flat Major, H. 32 (1811); Tchaikovsky’s two-movement *Concert Fantasia*, op. 56 may likewise have been modeled on Field’s bipartite third concerto. Field’s Piano Concerto No. 7 in C Minor, H. 58A (1822-32), receives special mention from Norris as having had a profound effect on Alexandre Villoing (1808-1878), whose Piano Concerto in C Minor, op. 4 was a model for an early attempt at a piano concerto by Villoing’s student and grandfather of the Russian piano concerto, Anton Rubinstein (1829-1894). Also noteworthy is Field’s influence as a pedagogue and performer on piano playing in

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<sup>40</sup> Norris, 11.



Russia. His many pupils included Mikhail Glinka (1804-1857) and Alexandre Dubuque (1812-1898); Dubuque's students (and these students' pupils) included not only Villoing, Rachmaninov, and Scriabin, but also Mily Balakirev (1837-1910), Nikolai Zverev (1832-1893), Nikolai (1835-1881) and Anton Rubinstein, and Alexander Siloti (1863-1945).<sup>41</sup>

By the second half of the nineteenth century, the musical soil in Russia was at last fertile enough that the Russian piano concerto could take root. Once it did, it largely tracked with contemporaneous developments in the Western European piano concerto: many Russian concertos of the time employed merged solo-tutti expositions,<sup>42</sup> transitions between movements, cyclical design, secondary solo instruments, and/or cadenzas of unconventional number and placement. The three most significant Russian composers of piano concertos before Prokofiev—Anton Rubinstein, Tchaikovsky, and Rimsky-Korsakov—made their weightiest contributions to the genre in the second half of the nineteenth century, and each of these composers in certain respects anticipates Prokofiev.

Anton Rubinstein's five piano concertos all retain the traditional three-movement form. Only the initial movement of Piano Concerto No. 1 in E Minor, op. 25 (1850) boasts an opening orchestral ritornello. Lindeman observes that Piano Concerto No. 2 in F Major, op. 35 (1851) deeply influenced Chopin, Clara Schumann, and numerous

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<sup>41</sup> Norris, 13-15. See p. 15 for an especially helpful family-tree diagram of teacher-student connections in Russian piano pedagogy of the nineteenth century.

<sup>42</sup> One of Balakirev's earliest attempts at a piano concerto—a single movement for piano and orchestra dating from 1855-1856 and labeled "Op. 1" on its title page—is an interesting exception, predating Brahms's and Dvořák's anachronistic examples mentioned above. Balakirev's movement hews to sonata form and has an opening orchestral ritornello (Norris, 56-57). This may owe more to the fact that this is an early work of Balakirev—who in his youth studied works of Mozart, Mendelssohn, Field, and Hummel—than to any intentional historicism on Balakirev's part.

Russian composers of the later nineteenth century.<sup>43</sup> The first movement of Rubinstein's Piano Concerto No. 3 in G Major, op. 45 (1853-1854) is notable for the way that it prefigures several features of Prokofiev's piano concertos: its persistent interpolation of miniature cadenza-like passages for the soloist is reminiscent of Prokofiev's Piano Concerto No. 1, and its form,<sup>44</sup> clearly in dialogue with Hepokoski and Darcy's bi-rotational Type 2 sonata form, shares certain traits with the form of the first movement of Prokofiev's Piano Concerto No. 4, op. 53 (1931). With all three of its movement taken as a whole, Rubinstein's Piano Concerto No. 3 also somewhat foreshadows Prokofiev by recalling in its final movement thematic material from earlier movements—a procedure Prokofiev follows in the finale of his Piano Concerto No. 4. Rubinstein's Piano Concerto No. 4 in D Minor, op. 70 (1864), is the most enduringly popular of his five piano concertos; Norris not only opines that it is Rubinstein's best and is the first worthy effort of any Russian writing in the genre, but also points out that it had a strong impact on Tchaikovsky—especially on the main cadenza of that composer's Piano Concerto No. 1 in D-flat Major, op. 23 (1874-1875).<sup>45</sup> In the finale of his Piano

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<sup>43</sup> Lindeman, "The Nineteenth-Century Piano Concerto," 112.

<sup>44</sup> Lindeman refers to this and other similar movements in Rubinstein's concerto output as having "reversed restatements of the primary and secondary themes" ("The Nineteenth-Century Piano Concerto," 112). Hepokoski and Darcy would almost certainly have rejected this outlook, likely preferring instead an analysis in the framework of a Type 2 sonata. Reframing analysis thus would, in the case of Rubinstein's Piano Concerto No. 3, imply either that the first movement's second rotation ends with a primary-theme-based closing section or that the second rotation is followed by a primary-theme-based coda, depending on one's interpretation.

<sup>45</sup> Norris, 37. An unforgiving critic through the entirety of *The Russian Piano Concerto, Vol. I*, Norris takes a particularly dim view of Rubinstein's Piano Concerto No. 5 in E-flat Major, op. 94 (1874), harshly condemning it (pp. 37-38) as "inferior from every point of view. Its thematic material is of astonishing banality, and the dull, textbook harmony that accompanies it is hardly an improvement [...]. Worse still

Concerto No. 4, Rubinstein invokes the character of Russian folk music; this set a precedent for Tchaikovsky's Piano Concerto No. 1, which quotes from a number of folk sources. Use of folk material in these concertos, as well as in certain works of such composers as Balakirev<sup>46</sup> and Anton Arensky (1861-1906),<sup>47</sup> adumbrated Prokofiev's Piano Concerto No. 2; a Russian lullaby serves as second theme in this concerto's finale.<sup>48</sup>

Tchaikovsky's writing in the piano concerto genre shows a debt to Anton Rubinstein. Tchaikovsky was Rubinstein's pupil at the St. Petersburg Conservatory; from Rubinstein, Tchaikovsky learned much about piano technique and composition. Of all of Tchaikovsky's essays in the genre, his Piano Concerto No. 1 was by far the most successful; it remains one of the most beloved piano concertos in the repertoire. Cast in three movements, with the first movement in a modified sonata form, it found inspiration both in Rubinstein's pianism and Balakirev's fascination with folk music. Its first movement forgoes an opening ritornello in favor of a brief orchestral introduction,<sup>49</sup>

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are the many patches of harmonic carelessness: ill-conceived modulations, awkward enharmonic shifts, and lengthy passages devoid of any harmonic change whatsoever. Miscalculations in the balance between soloist and orchestra are also characteristic of the Fifth Concerto [...]."

<sup>46</sup> See Balakirev's Concerto in E-flat Major (1861-1862 / 1906-1909), per Norris, 60-69.

<sup>47</sup> See Arensky's Piano Concerto in F Minor, op. 2 (1882) and *Ryabinin Fantasia on Two Russian Folksongs*, op. 48 (1899), per Norris, 78-83.

<sup>48</sup> Katarzyna Marzec, "Prokofiev's Second Piano Concerto: Its Genesis, Form, and Narrative Structure" (DMA diss., Temple University, 2013), <https://cdm16002.contentdm.oclc.org/digital/collection/p245801coll10/id/238190> (accessed July 12, 2018), 108.

<sup>49</sup> The "wrong key" of this movement's introduction and apparent disappearance of its theme have received much attention in the literature. Eric Blom, whom Norris cites, wrote of these perplexing matters, "It is [the opening theme's vanishing] even more than its appearing in the wrong dress of D flat major which makes Tchaikovsky's introduction, for all its magnificence, or at least magniloquence, one of the most baffling solecisms in the music of any great composer." Norris posits that the introduction "has generally been considered the concerto's most glaring defect" but adds that Alexander Alekseev, Edward Garden,

but boasts a more robust ritornello at the onset of the development. A cadenza erupts out of the end of this ritornello—perhaps providing another model beside the *Concert Fantasia*, op. 56 for Prokofiev’s developmental cadenza in the first movement of his Piano Concerto No. 2. Another cadenza, dreamlike at first but gradually awakening and asserting itself, interrupts Tchaikovsky’s recapitulation before emptying out onto the somewhat truncated tonic-key reappearance of the exposition’s second theme.<sup>50</sup> Tchaikovsky may have served as an antecedent for Prokofiev here too; Prokofiev employed abbreviated recapitulations, for example, in his own Piano Concerto No. 1 and in the opening movements of his Piano Concerto No. 2 and Piano Concerto No. 3 in C Major, op. 26 (1917-1921).

Rimsky-Korsakov, tutored by Balakirev, never received a formal education in music; rather, he gained most of his practical knowledge through conducting after accepting a post at the St. Petersburg Conservatory in his mid-twenties. In *Ma Vie Musicale*, Rimsky-Korsakov mentions first making Tchaikovsky’s acquaintance in the late 1860s, when Tchaikovsky returned to St. Petersburg and mingled with Balakirev’s circle, of which Rimsky-Korsakov was a member. The circle’s opinion of Tchaikovsky was apparently cool at first, but thawed considerably after Tchaikovsky played for them on this first visit. By Rimsky-Korsakov’s account, Tchaikovsky would continue to mix with Balakirev’s and Belyev’s circles on subsequent visits to St. Petersburg, with both groups

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and David Brown have convincingly demonstrated the thematic interconnectedness of the entire concerto through the motivic seed material found in the first movement’s introduction. See Norris, pp. 126-129.

<sup>50</sup> Norris highlights the connection between the cadenzas in Rubinstein’s Piano Concerto No. 4 and Tchaikovsky’s Piano Concerto No. 1; see pp. 44-47 and 140-141.

coming to view Tchaikovsky increasingly favorably, so it seems plausible that Tchaikovsky exercised at least a moderate influence on the younger Rimsky-Korsakov.<sup>51</sup> Rimsky-Korsakov went on to teach both Anatoly Lyadov (1855-1914) and Alexander Glazunov (1865-1936); all three men were on the faculty at St. Petersburg while Prokofiev studied there. Rimsky-Korsakov's Piano Concerto in C-sharp Minor, op. 30 (1882-1883)—his only essay in the genre—undoubtedly influenced the young Prokofiev, who heard and studied the work. Prokofiev's Piano Concerto No. 1 shares with Rimsky-Korsakov's op. 30 a single-movement form, similar approximate duration, and an enharmonic tonic; it also echoes Rimsky-Korsakov's somewhat free treatment of cadenza placement. Moreover, the older composer's concerto may have influenced Prokofiev's Piano Concerto No. 2: Rimsky-Korsakov opens with a descending staccato figure in the strings that Marzec views as kin to Prokofiev's opening,<sup>52</sup> and in Rimsky-Korsakov's quotation of a folk melody he foreshadows Prokofiev's finale. Rimsky-Korsakov's departure from sonata form may have helped give the young Prokofiev confidence to forgo traditional form (per Prokofiev's 1913 diary entry above), as Prokofiev would choose to do most boldly in the opening movement of his Piano Concerto No. 5 in G Major, op. 55 (1931-1932).

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<sup>51</sup> Nikolay Rimsky-Korsakov and E. Halpérine-Kaminsky, *Ma Vie Musicale* (Paris: Edition Lafitte, 1914), 34-35, and 166-167. For his part, Tchaikovsky thought highly of Rimsky-Korsakov as well, though Tchaikovsky heaped aspersions upon Balakirev for what Tchaikovsky perceived as Balakirev's miseducation of Rimsky-Korsakov. See Halpérine-Kaminsky's introduction, pp. ix-xi, in which is quoted a letter of Tchaikovsky's expressing these sentiments. Furthermore, Lindeman points out (p. 116) that Rimsky-Korsakov's concerto would in turn influence Tchaikovsky's later concertos.

<sup>52</sup> Marzec, 63-64.

### CHAPTER 3

## ANALYSIS OF PROKOFIEV'S PIANO CONCERTO NO. 1 IN D-FLAT MAJOR, OP. 10

### Preliminary Considerations

The entirety of Prokofiev's Piano Concerto No. 1<sup>53</sup> and the opening movements of his second, third, and fourth piano concertos are born of sonata form, each of them a singular but recognizable derivative of it. Even the first movement of Piano Concerto No. 2, with its unusual but not wholly unprecedented treatment of sonata form, can be plausibly analyzed as a deformational sonata-concerto construction. Only in the opening movement of Piano Concerto No. 5 does Prokofiev dispense with custom altogether, forgoing sonata form and instead employing an adapted large ternary form, an historically unconventional choice for a first (allegro) movement.<sup>54</sup>

No two (first-movement) forms are identical in Prokofiev's catalog of piano concertos; the forms are as delightfully different as the music they contain. While working on Piano Concerto No. 2, Prokofiev had mused about whether one could find an ideal way to compose a concerto—in fact, he seems to have independently arrived at a hypothetical approach similar to Vogler's: beginning with a piano sonata and then adding an orchestral framework to it. “The solo part would be bound to be interesting

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<sup>53</sup> The present analysis will proceed from the following edition: Sergey Prokofiev, *Piano Concerto No. 1 in D-flat Major, Op. 10 in Full Score* (Mineola, NY: Dover Publications, Inc., 2004 [reissued 2013]). This is a republication of the original publication of the work by P. Jurgenson, Moscow [n.d.].

<sup>54</sup> In the common practice era, large ternary forms were most often encountered in slow movements. See Caplin, p. 211.

pianistically, while the sonata itself would benefit by the reinforcement and embellishment of a skilfully added orchestral texture. Brilliant idea!”<sup>55</sup> He was initially excited by this notion and apparently saw in it a possible blueprint for a third concerto, but appears to have abandoned it after an older friend, Nikolay Myaskovsky, rejected the idea on the grounds that there was too great a chasm between Prokofiev’s old and new styles of composition.<sup>56</sup>

The analytical methods, abbreviations, and terminology of Hepokoski and Darcy’s Sonata Theory will figure centrally in the subsequent analysis of form in Prokofiev’s Piano Concerto No. 1. As Hepokoski and Darcy view sonata forms not merely as strategies developed by composers to create sonic bridges across ever-wider expanses of time but also as metaphors for human action and experience, they embrace the construal of narrative in their musical analyses as an aid to interpretation. Where appropriate in the examination to follow, this essay will suggest such narratives as well in a similar spirit. Though Hepokoski and Darcy honed their analytical approach on the sonata-form repertoire of the Classical and early Romantic eras in Western Europe, their method is highly flexible and customizable, and with imagination may profitably be adapted to the sonata-form music of other eras and places.

For the sake of clarity and brevity, the following Sonata-Theory abbreviations will prove useful: P for primary theme, TR for transition, S for secondary theme, C for closing theme, and RT for retransition. In talk of a ‘space’ (e.g. ‘S-space’ or ‘C-space’)

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<sup>55</sup> Prokofiev, *Diaries: 1907-1914*, 280.

<sup>56</sup> *Ibid.*, 297.

per Hepokoski and Darcy, one refers to a span of music in which a certain sonata function takes place, regardless of which theme one may be hearing in that space (e.g. ‘In the Classical era, it was common for S-space to conclude with a trill cadence’ or ‘C-space in the first movement of Mozart’s Piano Sonata in A Minor, K. 310 contains references to that movement’s P- and S-themes’). In instances where thematic spaces are multi-modular and it is helpful to do so, numeric superscripts can be used to differentiate between modules (e.g. C<sup>1</sup>, C<sup>2</sup>, and so on).<sup>57</sup> Structurally important cadences—central to a full understanding of Sonata Theory—include the perfect authentic cadence (PAC); half cadence (HC); medial caesura, or MC (the structural HC in a two-part exposition<sup>58</sup> marking the end of TR and the opening of S-space); the essential expositional closure, or EEC (in a normative, two-part exposition, usually the first PAC in the secondary key that leads to non-S material, representing the structural goal of the exposition); and the essential structural closure, or ESC (in a normative, two-part recapitulation, usually the first PAC in the home key that goes on to non-S material and the cadence toward which

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<sup>57</sup> Hepokoski and Darcy’s superscript-numbering conventions may be summed up as follows: In a given span of music inside a thematic space, one does not increase the numeric superscript when labeling that span’s constituent themes or modules unless a perfect authentic cadence has been achieved between them in a key appropriate to that thematic space. A multi-modular space may be parsed using decimal superscripts within a given span of music that does not include a perfect authentic cadence. To illustrate: a P<sup>1.1</sup> module could move on, without sounding a perfect authentic cadence, to a differing P<sup>1.2</sup> module. If a perfect authentic cadence in the tonic then concluded P<sup>1.2</sup>, but the subsequent module remained solidly in P-space without proceeding to TR-rhetoric, one might label that module P<sup>2</sup>. See Hepokoski and Darcy, pp. 71-73 for a full explanation.

<sup>58</sup> In the common-practice era, a normative exposition had two parts separated by the medial caesura: the first part comprised P and TR; S and C composed the second. Historically, the MC was unavailable in a continuous exposition—i.e. an exposition with no clear demarcation between TR and (what would normatively be) S-space. See Hepokoski and Darcy, pp. 51-64.



the entire sonata form has been aiming).<sup>59</sup> A ‘rotation’, in Hepokoski and Darcy’s view, is ordinarily one cycle through the layout of a movement’s themes: P, TR (leading in a two-part exposition to the MC), S (closed off by the EEC or, if in a recapitulation, the ESC), C themes or codettas, and optional RT. Finally, a ‘deformation’ in the parlance of Sonata Theory is a conscious deviation from normative sonata practice. This term carries no value judgment and implies no shortcoming in the work or fault on the part of the composer. Rather, it expresses only an intentional subversion by the composer of listeners’ expectations.

### Analysis

The only one of Prokofiev’s piano concertos to eschew a multi-movement layout, Piano Concerto No. 1 was conceived in a sonata-form outline as something of a concertino.<sup>60</sup> Prokofiev premiered it in Moscow on July 25, 1912 with himself as soloist; his accounts of the premiere and of a subsequent performance that summer in Pavlovsk are favorable. He went on to play it in the spring of 1914 as part of his final examination at the St. Petersburg Conservatory and at that year’s Graduation Concert; he notes in his diary that on the latter occasion he tangled with a critic about the form of the piece. The critic perceived it to be built in four unequal movements, but Prokofiev replied to him, “Well, my dear fellow, you stepped right in it this time: my Concerto is in one sonata

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<sup>59</sup> Sonata Theory places great weight on the proper understanding of these cadences and the ways in which composers achieve, attenuate, undermine, and avoid them.

<sup>60</sup> See n. 1; see also Prokofiev, *Diaries: 1907-1914*, 234-235. Prokofiev recounts how, after several delays and compositional detours, he arrived at the idea of writing a concertino rather than a full-blown concerto.

movement, not four.”<sup>61</sup> The piece is dedicated to Tcherepnin, the Conservatory professor that Prokofiev most revered. Tcherepnin praised the concerto to Prokofiev as “vigorous, lively and marvellously rhythmic”<sup>62</sup> and gratefully received the dedication.<sup>63</sup>

Scholars have been fortunate that Prokofiev wrote his own complete description of this concerto’s form into his diary:

A massive introduction in D flat major, which by virtue of its material is of great importance in itself, moves into C major and is then followed by a transition from C major to the main subject, which is of course also in D flat major. This is extended and leads to the second subject, in E minor. A short cadenza for the solo piano introduces a new theme in E minor, which has some of the characteristics of a concluding section and may be thought of as the first concluding section. This is followed by a second concluding episode in E major. Although it too has a feeling of cadence about it, it does not in fact bring the exposition to a close but modulates back to the theme of the introduction, and it is that which concludes the exposition section of the work.

The notion of interpolating between the exposition and the development of a theme previously heard in the introduction can already be found in Beethoven, albeit in a more reticent fashion, for example in the ‘Pathétique’ Sonata.

My concerto then proceeds, not by the expected development section, but by an entirely new theme in the style of a rondo of the fourth and fifth types.<sup>64</sup> This theme is a completely self-contained *Andante* dropped in, as it were, at this point. It is followed by the scherzo-like development based on the second of the two concluding sections, into which the orchestra weaves references to the second subject, while the solo

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<sup>61</sup> Prokofiev, *Diaries: 1907-1914*, 685.

<sup>62</sup> *Ibid.*, 236.

<sup>63</sup> *Ibid.*, 657.

<sup>64</sup> Phillips expands (Prokofiev, *Diaries, 1907-1914*, 236 n. 1): “A rondo of the fourth type has two episodes between three refrains of the main subject and concludes with a repeat of the first episode in the tonic. The fifth type interposes a concluding episode of new material, usually in the dominant, before the first refrain of the main theme, and then once again to conclude the movement, this time in the tonic. Development of an episode brings the form closer to that of sonata rondo. In the work under discussion, the importance of the *Andante* as effectively the Concerto’s slow movement gives it considerably more weight than a conventional rondo episode.”

piano contributes an echo of the transition passage to the main theme. There ensues a dialogue between piano and orchestra based on the interval E-A, taken from the first concluding section, and against the background of this interval appear glimpses of the principal subject. The orchestra brings the development section to a close, after which the piano embarks on an extended cadenza reprising the main subject, with a note of freshness introduced by omitting the C major to D flat major modulation, the theme being instead succeeded by another extension. The orchestra enters with the second subject, and while the piano contributes some freely contrapuntal material, sets out one after another the two concluding sections. Piano and orchestra join together for a statement of the second concluding section, which as before leads back to the theme of the introduction, and this brings the whole work to a close. It is the three-fold repetition—at the beginning, in the middle and at the end—of this powerful thematic material that assures the unity of the work.<sup>65</sup>

It is fitting that Prokofiev ends his description by mentioning the repetition of the introduction, as this is one of the most conspicuous features of the concerto's form (Figure 1). The return of the introductory theme as a structural marker harkens back to ritornello practice—a significant difference being, of course, that in a normative ritornello the soloist would remain silent; in this case, however, the pianist plays with the orchestra (from m. 2, beat 4 through m. 27, beat 1, resting from m. 27, beat 2–m. 44, and then playing along in each subsequent iteration of the introduction's theme). The gesture also recalls one that Hepokoski and Darcy dub the “introduction-coda frame,” a sonata deformation encountered infrequently before 1800 but that became increasingly common over the course of the nineteenth century. Notable examples of the introduction-coda frame furnished by Hepokoski and Darcy include the opening movements of Schubert's Symphony No. 9 in C Major, D. 944 (“Great”), and Beethoven's Piano Sonata No. 8 in C Minor, op. 13 (“Pathétique,” a particularly noteworthy exemplar here given Prokofiev's

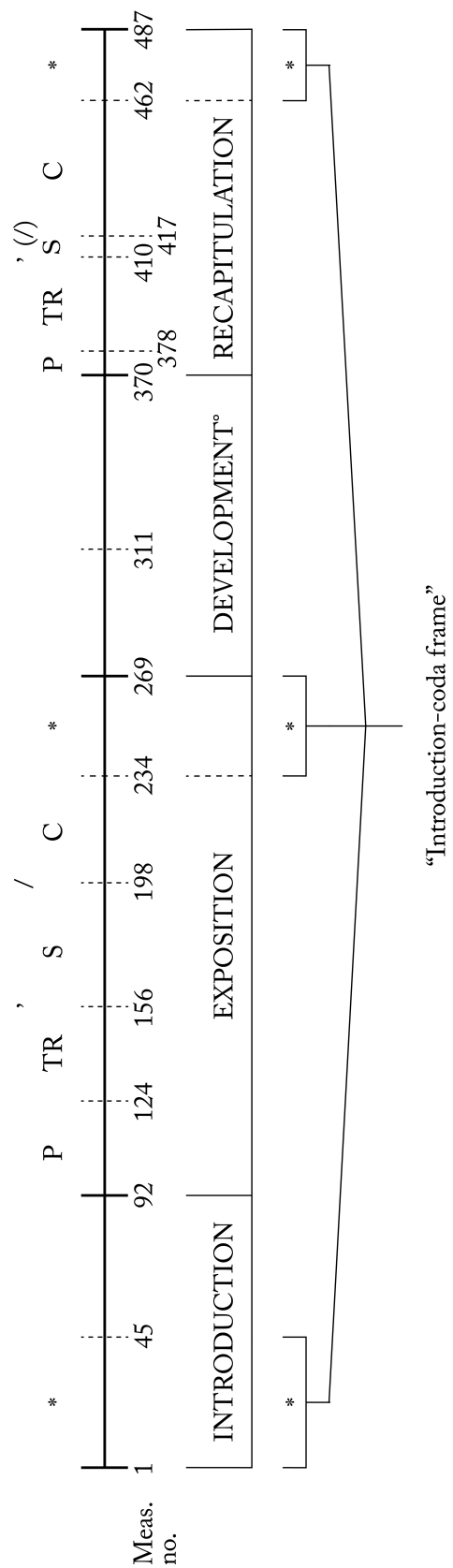
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<sup>65</sup> Prokofiev, *Diaries, 1907-1914*, 236-237.

Abbreviations:

P = Primary theme zone  
 TR = Transition  
 ' = Medial-caesura effect  
 S = Secondary theme zone

/ = Essential expositional closure  
 (/) = Essential structural closure deformation  
 C = Closing zone  
 \* = "Theme of the introduction" (per Prokofiev; see note below)



\*) In his description, Prokofiev refers to the music heard in these passages — mm. 1-44, 234-268, and 462-487 — as the “theme of the introduction.”

°) Prokofiev views the development as having ended at m. 367 (and therefore the recapitulation as beginning at m. 368); however, for reasons discussed below on p. 33, it seems more sound to view m. 370 as the true beginning of the recapitulation.

Figure 1. Form of Prokofiev’s Piano Concerto No. 1 in D-flat Major, op. 10.

own likening of the form of his Piano Concerto No. 1 to that of Beethoven's sonata), and Mendelssohn's overture to *A Midsummer Night's Dream*; in Russian music, Hepokoski and Darcy cite several works of Tchaikovsky: the opening movements of his Symphony No. 2 and Symphony No. 4, the finale of his Symphony No. 5, and his *1812 Overture*.<sup>66</sup> In some of these cases, introductory material appears in the middle of the form as well as at its close, as happens in Prokofiev's Piano Concerto No. 1.

When Prokofiev invokes the "theme of the introduction" in his description of the form, he is referring to the bombastic and churning theme heard twice in the opening forty-four measures of the piece.<sup>67</sup> Structurally speaking, the introduction also encompasses the fidgety, hyperactive C-major passage beginning at m. 45 and Prokofiev's "transition from C major to the main subject" (possibly mm. 80-91,<sup>68</sup> during which the A-natural / G-sharp oscillation in the bass cleverly becomes B-double-flat / A-flat). Prepared by the structural HC and pause at the end of m. 91, the arrival of P in m. 92 gives one the sense that the hitherto restless soloist is finally ready to settle down and begin the business of the sonata form proper. P retains a measure of the C-major passage's giddiness; this spills over to initiate the P-based TR<sup>1.1</sup> in m. 108. The harmony soon swerves away from D-flat major, tonicizing C major (again) and D major, returning

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<sup>66</sup> Hepokoski and Darcy, 304-305. Crucial to understand is that Sonata Theory views introduction and coda as "parageneric" spaces—accretions to the basic structure of the sonata. (See pp. 281-305 for Hepokoski and Darcy's discussion of parageneric spaces.) Prokofiev's introduction-coda frame will be considered further below; see especially n. 82 on pp. 39-40.

<sup>67</sup> Not including, it would seem, the fanfare-like chords of mm. 1-2. These return at the close of C-space in the exposition and recapitulation to herald repetitions of the introductory theme.

<sup>68</sup> One might, however, view this "transition" as beginning as early as m. 67 and incorporating a traditional hallmark of transitions—a pass through a "V/V effect" from mm. 76-79.

briefly to D-flat major at m. 124 for an even more highly energized TR<sup>1.2</sup> but once more veering away to tonicize B major and C major (yet again). TR-space skids to a stop on C major from mm. 153-155; the rests in m. 155 suggest an MC-effect.

S-space opens in a surprising, drab E minor at m. 156 in a humbler—humbled?—character. (We might imagine a youthful musical protagonist, having barreled rambunctiously through the piece thus far, now chastened.) Measures 156-163 (beat 2) might best be characterized as an S<sup>1.0</sup> idea,<sup>69</sup> with the E-F-E and A-B-flat-A figures in measures 157 and 161 (respectively) foreshadowing the prominent B-C-B motive of S<sup>1.1</sup> beginning in m. 163. S's momentum, compared to that of the introduction, P, and TR, is notably attenuated; S<sup>1.1</sup> peters out through mm. 187-189, as though lacking the willpower to move on to C. Prokofiev's somewhat desultory "short cadenza," set off by the fermata in m. 190, seems unable to reckon how to proceed until m. 196, whereupon the soloist appears finally to have decided to flee—*pianissimo*, and quickly ('Più mosso') via an ascending scale in sixteenth-notes—the bleak basement of S-space.

There is no literal PAC at the juncture between mm. 197-198 to serve as a normatively-expected EEC to close S-space. Though traditional perfect authentic cadences do occasionally occur in Prokofiev's music, often one finds instead gestures of closure that in varying degrees of strength suggest or substitute for them. Courtenay L. Harter has identified a number of cadential types in Prokofiev's piano sonatas; it seems reasonable to apply her findings to Prokofiev's work in the piano concerto idiom as well,

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<sup>69</sup> For an examination of S<sup>0</sup> and S<sup>1.0</sup> themes (subsidiary S-space ideas that preface a more normative S<sup>1.1</sup> theme), see Hepokoski and Darcy, pp. 142-145.

linked as the genres are by their use of the piano and by the formal connections between sonata and concerto.<sup>70</sup> Here, at the juncture between mm. 197-198, may reside an instance of what Harter labels a “subAC,” a deformation of a PAC in which Prokofiev substitutes for the pre-cadential dominant a sonority based on a tone a half-step away from it. In m. 197, the final left-hand sonority is based on C, not B, as the right hand ascends through D-sharp to cadence on E on the downbeat of m. 198. Prokofiev thus creates the effect of an authentic cadence without writing a literal PAC.

Heard thus, the subAC between mm. 197-198 could stand as an acceptable EEC, especially given Prokofiev’s description of the theme that follows as the “first concluding section.”<sup>71</sup> The beginning of C-rhetoric is marked by the re-entry of the orchestra and the change of texture in m. 198. Measures 198-199 take on the quality of a C<sup>1.0</sup>

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<sup>70</sup> Courtenay L. Harter, “Bridging Common Practice and the Twentieth Century: Cadences in Prokofiev’s Piano Sonatas,” *Journal of Music Theory Pedagogy* 23 (2009): 57-77.

<sup>71</sup> If one does not grant EEC-status to the subAC at the seam between mm. 197-198, from a formal standpoint, one must call into question Prokofiev’s assessment of the E-minor theme beginning at m. 198 as a C-theme. Hepokoski and Darcy’s “S<sup>c</sup>” theme label—designating a theme that, strictly speaking, belongs to S-space because of the failure of an EEC to materialize, yet that has clear characteristics of a C theme and assumes the burden of achieving the EEC that S could not—may be appropriate at m. 198. (If the S<sup>c</sup> label does not fit here, it may yet apply to the parallel passage in the recapitulation—cf. mm. 410ff.) Hepokoski and Darcy recognize the seeming paradox of the S<sup>c</sup> idea, yet point to several clear examples of it from Beethoven, Brahms, Bruckner, and Mahler, observing that the S<sup>c</sup> theme occurs predominantly in post-1800 sonatas. See Hepokoski and Darcy, pp. 190-191 for a full treatment of this complex formal and analytical possibility.

However one decides this issue, it raises a broader, more pressing question: namely, whether it is appropriate for an analyst even to search for cadences or cadential substitutes marking EEC (and, in the recapitulation, ESC) in the concertos of Prokofiev, given his idiosyncratic harmonic palette, given how far harmonic function and the very notion of cadence had been stretched by his time, and given that the EEC/ESC concepts were designed to describe features of an earlier repertory. The answer to this dilemma is more straightforward than one might think. Prokofiev himself showed concern with sectional closure as a function of cadence. Recall his description of the second concluding theme: “Although it too has a feeling of cadence about it, it does not in fact bring the exposition to a close [...]” It therefore seems perfectly reasonable to read Prokofiev’s music for EEC- and ESC-gestures, even (and particularly) if one ultimately finds he has weakened, subverted, or omitted them.

module,<sup>72</sup> the propulsive  $C^{1.1}$  arrives in m. 200. The “interval E-A” Prokofiev mentions in his diary description, perhaps a distant echo of an  $S^{1.1}$  fragment (e.g. the descending fifths in mm. 165-166 and parallel spots in  $S^{1.1}$ ) appears in the middleground two bars later and recurs underneath the soloist’s figuration in m. 206, m. 210, and m. 214.  $C^{1.1}$  plunges on, accelerating as though in pursuit and with *crescendo*, through m. 215. Unlike the mm. 197-198 joint, the juncture between mm. 215-216 is much more clearly articulated as a PAC.  $C^2$ , elided to the PAC and ratcheting the tempo up to *Animato*, erupts *fortissimo* at m. 216. At m. 227, flutes, contrabassoon, trumpets, trombones, and tuba, accented by cello and bass, sound the introductory fanfare gesture not heard since m. 1; as though called to attention in preparation, the harmony lurches to a modified A-flat (V) sonority at m. 229. After a reiteration of the fanfare in mm. 232-233, the soloist cascades, *forte*, into a repetition of the introductory theme in I at m. 234. Worth noting at m. 234 are the attenuated *piano* dynamic of the orchestra and the *diminuendo* in the preceding bar, undermining this rhetorically significant moment in the form. (One might imagine that the musical personage of the orchestra is hesitant to follow the soloist back into a section of the form—the introduction—that “ought not” occur here.) Following m. 244, after the orchestra has finally risen to meet the soloist at *fortissimo*, the introductory theme gradually abates; Prokofiev gently pares back his orchestration and dynamics until the exposition ebbs away in a G.P. at m. 268.

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<sup>72</sup> See Hepokoski and Darcy, pp. 187-190 for their discussion and examples of  $C^0$  and  $C^{1.0}$  themes—by their own admission, uncommon phenomena that initiate C-space with accompanying material in much the same way that  $S^0$  and  $S^{1.0}$  ideas can initiate S-space (see n. 69 above). Yet, at m. 198, Prokofiev makes clear use of such a  $C^{1.0}$  theme: though it does not feel “thematic” by any stretch, it belongs to C-space and gives the sense of a rhythmic vamp preparing for the launch of a more normative theme two bars later.



The first part of the development opens in G-sharp minor (enharmonically, v of D-flat major) at m. 269. Prokofiev, in describing this zone of his sonata form, says immediately that it does not proceed as one would expect; rather, he has “dropped in” here a “self-contained” *Andante* that he perceived to be in the shape of a rondo.<sup>73</sup> The mostly languid, *legato* character of this *Andante* contrasts starkly with the vivacious sections that surround it, providing something of a rhythmic respite from them.<sup>74</sup> This first portion of the development terminates at m. 310 on a tense, unsettling sonority: an A-flat German augmented-sixth chord (carrying no traditional pre-cadential connotation, however) with an added seventh (G). The opening of the second part of the development at m. 311—what Prokofiev called the “scherzo-like development”—picks up this sonority (with F-sharp respelled as G-flat) in a staccato rhythm that distantly echoes that of the introductory fanfare. The soloist soon furtively joins in with material woven from references to the high-strung C-major passage following the introductory theme and to C<sup>2</sup>; the orchestra undergirds this with material drawn likewise from C<sup>2</sup> and from S<sup>1.0</sup>. From the end of m. 341 through m. 345, soloist and orchestra come to something of

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<sup>73</sup> In their chapter on the development, Hepokoski and Darcy devote a subsection to developmental slow episodes (or allowing a slow episode to occupy the entire development). These options had precedent in older sonata forms. As examples, Hepokoski and Darcy cite Mozart’s overture to *Die Entführung aus dem Serail*, K. 384, his abandoned original conception for the overture to *Le nozze di Figaro*, K. 492, and his Symphony No. 32 in G Major, K. 318; Beethoven’s *Leonore* Overture No. 1, op. 138; the opening movement of Haydn’s Symphony No. 45 in F-sharp Minor (“Farewell”) and the finale of his Symphony No. 67 in F Major; and Weber’s overture to *Euryanthe*. Hepokoski and Darcy go on to make the following claim: “The eighteenth-century procedure of interpolating a slow-movement episode within a developmental space is the most likely source for nineteenth-century “double-function” sonatas (or “multimovement works in a single movement”), as famously in Liszt’s Piano Sonata in B Minor, several of his symphonic poems, the tone poems of Richard Strauss, the early works of Schoenberg, and so on.” See Hepokoski and Darcy, pp. 220-221.

<sup>74</sup> See n. 64 above; this episode shoulders the burden of serving as the (single-movement) concerto’s “slow movement.”

a shoving match over C<sup>1</sup>'s E-A descending-fifth figure; the orchestra seems to disengage suddenly at the end of m. 345, dropping abruptly to a *piano* (perhaps preferring a temporary truce with the soloist, but somehow still taunting through the pizzicato). As if to assert dominance, the orchestra begins again with a “wrong-key” statement of P—the first, “correct” version of which originally belonged to the soloist in the exposition—at m. 348. The descending-fifth figure initially remains in the background of P-statements from the brass but leaps to the fore at m. 356, widening to E-D# minor ninths and then settling on E-E octaves, *fortissimo*, at m. 360. Measures 362-363 augment the rhythm of this gesture (perhaps a reference to the introductory fanfare's rhythm) and lead to foghorn-like blasts from horns and tuba in unison at m. 364 (conceivably another such reference, with augmented and modified rhythm). In Prokofiev's view, the development seems to end at m. 367. However, mm. 368-369 offer the soloist an “escape” module parallel to that found in mm. 196-197, which concluded S; this would appear to shift the true launch of the recapitulation rotation to m. 370, when P itself appears as the head-motive of the longest cadenza of the concerto.

Yet, if Prokofiev wishes us to understand the P-statement at m. 370 (or even the prefatory “fleeing” figure of m. 368) as the onset of a recapitulation, by traditional standards, we must confront the fact that the music once again finds itself in C major instead of the expected D-flat major—the home key of the concerto and what would be the normative tonic at this moment. By this point, the unanticipated and untimely appearance of C major is a familiar problem: the second half of the introduction (mm.

45ff) unexpectedly rushed forth in C major, even making a feint toward V/V in that key at m. 76 (perhaps baiting the listener into thinking a normative pre-MC “dominant lock” in that key, on G, was imminent); C major is also tonicized at spots throughout TR (albeit fleetingly at some of these) and governs TR’s “screeching halt” in mm. 153-155 before the exposition’s MC-gesture. A sonority built on C stands for the dominant of E in the subAC-EEC in the exposition. Even the first clear post-expositional reappearance of P, at m. 348, is (perhaps as a jab to the soloist) deployed in the orchestra starting on E over an A-minor harmonization—this shortly before the P-theme again appears starting on E at the start of the recapitulation at m. 370.<sup>75</sup> If one has not already, one senses by now that the persistent recurrence of C major is a feature, not a bug, of this concerto. Indeed, as early as m. 3, one notices in microcosm a prominent example of C replacing what “should be” D-flat: the third note of the introductory theme’s melody (i.e. m. 3, beat 1) is C, used as an *appoggiatura* to D-flat.

In his own description of what occurs at the opening of the recapitulation, Prokofiev highlights the “note of freshness introduced” by eliminating the modulation to D-flat major that preceded P in the exposition. He could, with slight recomposition in mm. 368-369, have easily introduced P in D-flat major at m. 370; yet, to his mind, it is clearly to the piece’s merit that the recapitulation’s reprise of P does not materialize in the concerto’s tonic. Nor does the fact that P appears here in a non-tonic key prevent Prokofiev from viewing this juncture as the start of the recapitulation. Prokofiev was not

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<sup>75</sup> Here, though, the P-theme is harmonized clearly by C major (as if the soloist, perhaps somehow still “peeved” by the jousting of the development, were not only asserting ownership of P, but also showing the orchestra how P “should” be clothed—i.e. in major-key rather than minor-key garb.)

the first composer to opt for a “wrong-key” opening to the recapitulation; it was an available though uncommon compositional alternative as early as the eighteenth century, occasionally exploited to great effect by Clementi, Mozart, Haydn, Beethoven, and Schubert, among others.<sup>76</sup> It is also clear that in analyzing his concerto’s form, Prokofiev gives more weight to the choice and ordering of themes than to the keys in which they appear.

For much of the cadenza that launches the recapitulation rotation and occupies its P- and TR-spaces,<sup>77</sup> the soloist cannot seem to shake free of C major; only at m. 394, with an evaded cadence<sup>78</sup> on B-flat, does the listener sense that the soloist has finally relinquished it. After a more decisive PAC in B-flat at m. 398, the soloist pushes back up to B major with a PAC at m. 402 parallel to that of m. 398, and recreates, in mm. 407-409 and in a clangorous B major, the exposition’s TR-concluding MC-effect. B major, one notes, would have been the “correct” key at the parallel point in the exposition to set up the E-minor S. Yet, perhaps as though recognizing this as an attempt on the

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<sup>76</sup> Hepokoski and Darcy, 260-280. The extended treatment of this topic, at the close of Hepokoski and Darcy’s chapter on non-normative openings of the recapitulation, is nuanced and fascinating. A tantalizing analytical possibility put forth at the chapter’s end that may apply in Prokofiev’s Piano Concerto No. 1 is the idea of the “double recapitulation”—in which a first but ultimately unsatisfactory attempt at a recapitulation is subsequently “righted” by a second attempt, with the first attempt conceptually absorbed in retrospect into developmental space. Perhaps the major-key (albeit “wrong-key”) appearance of P at m. 370 represents the soloist’s attempt to “correct” P’s minor-key appearance at m. 348.

<sup>77</sup> Since the passage in question is a cadenza, to insist here on a rigid boundary between P and TR may be unnecessary; yet, the listener does sense that, with the *fortissimo* at m. 378, the soloist reanimates ideas from the exposition’s TR<sup>1.2</sup>. Were one to try to point to the onset of TR in the recapitulation, measure 378 would seem to be its most likely starting point.

<sup>78</sup> Hepokoski and Darcy’s term of choice for this situation—i.e. when a structural voice drops out at the moment of cadence, leaving a gap in the treble or in the bass. The bass is absent on the downbeat of m. 394, yet the feeling of cadence in B-flat is tangible.

soloist's part to “right” a past “wrong,” when S-space opens at m. 410, the orchestra, in a gesture of almost comical “wrong-key” one-upmanship, hands the soloist not E minor, nor the D-flat major one would normatively expect of this recapitulation's S, but rather C-sharp minor—enharmonically, i, the concerto's parallel minor tonic.

From a Sonata Theory perspective, the [parallel] minor tonic is the harmonically bleakest region in which a major-key movement's recapitulatory S-space could find itself. The traditional implication of i-based S in the recapitulation instead of the normative S-in-I is that the sonata has gone horribly wrong, and is in danger of failing to achieve the structurally all-important ESC in the original tonic (and in the proper mode). Oblivious to the circumstances, or perhaps consciously defying them, the soloist skips blithely past the ominous S<sup>1.0</sup> theme of mm. 410-416, with the undaunted dotted rhythm of P in the right hand.<sup>79</sup> Curiously, the melody of S<sup>1.1</sup> does not make an appearance in the recapitulation; it seems to have been “written over” by the naïve P-based material spun out by the soloist. In fact, in the recapitulation, S-space is significantly telescoped to seven bars (from forty-three in the exposition).

The joint between mm. 416-417 provides in C-sharp minor (again, enharmonically to D-flat) a rhetorically weak but clearly perceptible V-i PAC. Though it seems to seal off S-space prematurely and ignites in m. 417 an *accelerando* and the relentlessly-driving C<sup>1</sup> (in C-sharp minor, not in the D-flat major appropriate to the form), this PAC cannot serve as a traditionally satisfactory ESC. This represents a

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<sup>79</sup> One possible narrative interpretation here, conceived as a guide to what is happening in the form, is to imagine our puerile musical protagonist doing everything possible to ignore the grave threat of S-in-i (fingers in ears, “whistling past the graveyard”—in the dotted rhythm of P?—to block out the danger).

wrong-mode ESC-deformation that defers the sonata-form duty of securing the tonic to a point later in the composition.<sup>80</sup> Such a deformation is a highly unusual choice that invites interpretation. It is as if the musical personage of the orchestra, bestirred both by the soloist's reappropriation of P-derived material in S-space (where P ostensibly has no business<sup>81</sup>) and by the soloist's having "overwritten" S<sup>1.1</sup>, decides to bring S-space to an early close in m. 417 in order to begin "chasing away" the soloist with the dogged C<sup>1</sup> theme. That the soloist quickly relinquishes what had become the singsong-like P-rhythm at m. 418 and turns almost at once to fleet passagework ("Run away!") lends support to this envisaging. So do the menacing low-brass S<sup>1.0</sup>-interpolations in C-space at m. 425 (*piano*, triggering a *più mosso* in the next bar) and, more insistently, m. 437 (*mezzo forte*, spurring the pianist to an upward-charging, *fortissimo* cavalcade of sixteenth-note octaves in the following measure). These S-references have no parallel in the exposition's C<sup>1</sup>.

C<sup>1</sup> differs between exposition and recapitulation not only in this respect, but also in length: in the recapitulation, C<sup>1</sup> (mm. 417-443, twenty-seven bars) is half again as long as its expositional counterpart (mm. 198-215, eighteen bars). In addition, the way in which C<sup>1</sup> cedes to C<sup>2</sup> in the recapitulation diverges from that of the exposition. From

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<sup>80</sup> A similar quandary arises in Beethoven's overture to *Egmont*, op. 84 (1810); see James Hepokoski, "Back and Forth from *Egmont*: Beethoven, Mozart, and the Nonresolving Recapitulation," *19<sup>th</sup>-Century Music* 25 (iss. 2-3, Fall 2001): 127-154. Hepokoski writes that, in the case of *Egmont*, a "functionally-enhanced coda" shoulders the generically requisite burden—dropped by the nonresolving recapitulation—of securing the tonic with the ESC.

<sup>81</sup> Except, however, in monothematic movements; see, for example, the finale of Mozart's Symphony No. 39 in E-flat Major, K. 543, in which the P-theme appears in the S- and C-spaces as well, overruns the development, and constitutes the (very brief) two-bar coda.

the C-sharp minor of the recapitulation's  $C^1$ , and with an enharmonic shift, Prokofiev could easily have brought about  $C^2$  in what would have been the recapitulation's "correct" post-MC key of D-flat major by exploiting the parallel relationship, as he did in the exposition (there,  $C^1$  appeared in E minor;  $C^2$  in E major). Yet Prokofiev opts to recapitulate  $C^2$  (m. 444) in the same key in which it sounded in the exposition, thereby instead connecting  $C^1$  and  $C^2$  in the recapitulation by the relative relationship, and without a noticeable gesture of cadence.

This smacks of one last "wrong-key" jibe by the orchestra, seeming all the more mischievous in light of what happened earlier in the recapitulation around the MC-gesture. By sounding mm. 407-409 in B major, the soloist appeared to be preparing for S in the E-minor in which it had appeared in the exposition. The soloist instead received S and  $C^1$  from the orchestra in the new and unforeseen C-sharp minor. At m. 444, however, instead of following the harmonic blueprint of the exposition and moving from  $C^1$  in i to  $C^2$  in I as the listener and soloist might expect, the orchestra doubles back to the E major in which  $C^2$  first sounded in the exposition.

Indeed, as though stunned, the piano drops out immediately upon reaching  $C^2$  at m. 444; recall that in the exposition, the pianist boldly led the opening of  $C^2$ . The orchestra leads this theme in the recapitulation, scored much more powerfully, too, than at the analogous spot in the exposition. The soloist regains a footing in m. 445, beginning *fortissimo* but showing a failure of confidence (note the *diminuendo* to *piano* in m. 447, dynamics not present in the corresponding measures of the exposition). This

cycle repeats over mm. 448-451; from mm. 452-461, with the soloist now and for the remainder of the concerto fully self-assured, C<sup>2</sup> recapitulates the parallel passage in the exposition with certain changes of orchestration in the winds and strings. A significant difference, though, is the *molto crescendo* of the orchestra in mm. 460-461; gone is their diffident *diminuendo* to *piano* heard in mm. 233-234. Timpani reinforce the seam between mm. 461-462 and undergird a much more assertive relaunch of the introductory theme in m. 462 (marked *fortissimo*) than was heard at the close of the exposition (marked *piano* in the orchestra). The introductory theme, which here rounds off the recapitulation, is once again cooperatively presented by orchestra and soloist, provides the tonal closure in D-flat major that the recapitulation's S-space did not, and triumphantly and confidently ends the concerto.<sup>82</sup>

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<sup>82</sup> Strictly speaking, Hepokoski and Darcy view as coda any music occurring after bar-for-bar recapitulation of the exposition's closing materials has ended (p. 281); quite often, composers used literal or adapted restatements of P as coda (see p. 283 for a lengthier definition and discussion of coda). Yet from the perspective of Sonata Theory, whether a final return of introductory material formally constitutes coda is not wholly clear. On one hand, Hepokoski and Darcy write: "One striking deformation of normative practice was the *introduction-coda frame* [emphasis theirs], in which material from the introduction returns *as all or part of the coda* [emphasis added]" (p. 304). This would seem to indicate that one should analyze such returns as coda. On the other hand, in discussing specific cases of the introduction-coda frame that one might view as related to that of Prokofiev's Piano Concerto No. 1, Hepokoski and Darcy appear to come to different conclusions. About the first movement of Beethoven's "Pathétique" Sonata—the form of which Prokofiev cited in parsing his own Piano Concerto No. 1—Hepokoski and Darcy assert that "the tragic C-minor, *grave* incipit...provides a *prelaunch* [emphasis added] (m. 133) to the half-rotational development and to the coda (m. 295) [...]" (p. 220). That Hepokoski and Darcy call this final appearance of the *grave* introductory music a "prelaunch" to the coda would suggest that they view Beethoven's coda proper as not beginning until the final appearance of P at m. 299 ("Allegro molto e con brio") and that the *grave* theme, inserting itself between recapitulation and coda rotations but belonging to neither, has somehow stopped the "sonata clock." Regarding Mendelssohn's overture to *A Midsummer Night's Dream*, Hepokoski and Darcy remark that the final return (mm. 682-686) of the four-chord "gateway" that began the piece (mm. 1-7) and linked the development and recapitulation (mm. 394-403) "suggest[s] the conclusion of a series of multiple coda-sections [...]" without explicitly granting coda function to the four-chord gesture or naming it as one of the "coda-sections" (p. 305). Only in their discussion of Tchaikovsky's *1812 Overture*—where they observe that "the massive introduction and coda dwarf the relatively small but



Prokofiev's remarkable recapitulation exists in dialogue with a phenomenon Hepokoski and Darcy call the "nonresolving recapitulation." Hepokoski and Darcy identify three types of this deformation; the recapitulation in Prokofiev's Piano Concerto No. 1 exemplifies the third of these: that of recapitulations in which the S/C block begins in a non-tonic key, produces a "substitute" or "false" ESC, and fails to recover the tonic until a coda or at least until after S. Hepokoski and Darcy cite two models of this type from Beethoven—the *Egmont* Overture and the middle movement of Piano Sonata No. 26 in E-flat Major, op. 81a ("Les Adieux"), both with recapitulations whose "failures" have programmatic connotations. After Beethoven, this procedure became a more common deformation; as examples, Hepokoski and Darcy point in the Russian canon to Glinka's overture to *Ruslan and Lyudmila* and Tchaikovsky's *Romeo and Juliet* (Prokofiev demonstrated knowledge of both of these works in his diary by or around the time he

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vigorous sonata deformation within" (p. 305)—do Hepokoski and Darcy unequivocally label a return of introductory material as coda.

Though it is ultimately less important to split analytical and semantic hairs over whether the last reprise of the introductory theme in Prokofiev's Piano Concerto No. 1 is truly coda than it is to interpret the gesture's effect, two factors merit particular attention when considering the question. First, Prokofiev makes no mention of a coda in his own description of the concerto's form. Second, one should recall that Prokofiev unambiguously stated that at the parallel spot earlier in the form, it was the "theme of the introduction" that concluded the exposition. In light of this, one could argue that mm. 234-268 belong to the exposition rotation and that mm. 462-487 therefore correspondingly belong to the recapitulation rotation. One might then interpret these iterations of the introductory theme as something like high-profile, "souped-up" C-modules—not quite separate from their respective preceding rotations, but not quite part of them either. These introductory-theme statements especially seem to operate on their own plane of existence, independent of the processes of the sonata form they punctuate, when one considers that the introductory theme always appears in the concerto's tonic of D-flat major regardless of the harmony that preceded them in both exposition and recapitulation. In this sense, Prokofiev's introduction-coda frame is similar to Mendelssohn's, which likewise brings back its "gateway" chords in the same key at each appearance.

wrote his first piano concerto), as well as to symphony movements from Brahms, Saint-Saëns, and Mahler.<sup>83</sup>

Also striking in Prokofiev's recapitulation is the way that the orchestra comes to assert control over the harmonic trajectory and form of the concerto. Whereas in the exposition it was the soloist that initiated and prolonged motions to the most non-normative keys (e.g. the C major of the second half of the introduction and of the end of TR), in the recapitulation it is the orchestra, with its clever and sudden "wrong-key" substitutions at S and C<sup>2</sup>, that furnish the most surprising twists and that most commandingly direct the harmonic flow. The conspicuous difference between the launch of the introductory theme at m. 234 (with orchestra timidly following the soloist) and at m. 462 (with orchestra proudly joining the soloist) likewise highlights this change in the orchestra's role vis-à-vis the soloist from subordinate to equal partner, if not to a superior, in realizing the form.

Though Prokofiev seems most concerned with the way in which the threefold appearance of the introductory theme creates musical unity in the form, a listener senses additional effects of the introduction-coda frame device. One of these is purely to establish the primacy of the tonic—especially at the close of the recapitulation, which had been unable to secure the tonic through a normative ESC. Another, perhaps more significant, is to display the indomitable spirit and will of the solo instrument, which in

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<sup>83</sup> Regarding "failed" recapitulations and cases in which the recapitulation's S is unable to bring about a satisfactory ESC, see Hepokoski and Darcy, pp. 245-247. Hepokoski also treats this topic at length in "Back and Forth from *Egmont*" (see n. 80 above). See also Hepokoski and Darcy's subsection "Deformation: Failed Expositions" in *Elements*, pp. 177-178, as many parallel principles apply.

each of these passages vigorously stays in the foreground. In the introduction proper, in which the theme was sounded twice, recall that the soloist burst forth to lead the theme's first statement (m. 2, beat 4-m. 27, beat 1) and then, having asserted itself, stepped back (m. 27, beat 2-m. 44), content to rest while the orchestra did the work of repeating the theme. In normative conclusions of concerto expositions and recapitulations of the eighteenth and early-nineteenth centuries, the soloist most often rested while the orchestra played a ritornello. This is not the case in Prokofiev's Piano Concerto No. 1; his soloist plays straight through to the end of both exposition and recapitulation. Our imagined youthful soloist-as-musical-protagonist seems simply to have had too much to say and to have been too enthusiastic to rest—much like the prolix young Prokofiev himself, as any reader of Prokofiev's early diaries quickly realizes.

In the final analysis, one hears in Prokofiev's Piano Concerto No. 1 a highly individualized Type 3 ("textbook") sonata form with introduction-coda frame. It is not, as Prokofiev might have had a reader believe, so warped as to be unrecognizable as a sonata derivative. To be sure, Prokofiev bucks tradition throughout—most noticeably by bending and subverting harmonic conventions of sonata form, by employing a shortened and nonresolving recapitulation, and by placing cadenzas in atypical spots and assigning them unusual formal functions.<sup>84</sup> Yet, despite all of his witty play with listeners'

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<sup>84</sup> These features, one should note, resurface in his subsequent piano concertos; consider, in the first movement of Piano Concerto No. 2 alone, the recurrence of introductory material (in this case, a P<sup>0</sup> theme) at important points of the form, the ii-based S that produces no EEC, the sprawling cadenza occupying the development, and the truncated recapitulation that yields no ESC.

expectations on the surface of Piano Concerto No. 1, the work's sonata-form scaffolding is still clearly perceptible underneath.

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