

Francisco Xavier Baptista's Keyboard Works: Analysis and Attribution of His Last Sonatas

Obras para Tecla de Francisco Xavier Baptista: Análise e Atribuição das Suas Últimas Sonatas



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Abstract: The Portuguese composer Francisco Xavier Baptista (1741-1797) wrote sixteen keyboard sonatas, two of which are preserved under the name of Francisco Xavier Bachixa. From an analysis based on Hepokoski and Darcy's Sonata Theory, this study identifies the characteristics of Baptista's sonatas, as well as his sonata model: a cycle of two movements that ends with a minuet, which is representative of a clear formal transformation. Furthermore, a comparison of the single-movement sonatas assigned to the name Bachixa shows that these were the last works written by the composer and reveals a new formal and stylistic approach to the composition of the Portuguese keyboard sonata in the late 18th century.

Keywords: analysis. Francisco Xavier Bachixa; Francisco Xavier Baptista; keyboard sonata; portuguese music; sonata theory.

Resumo: O compositor português Francisco Xavier Baptista (1741-1797) escreveu dezasseis sonatas para tecla, duas das quais estão preservadas com o nome de Francisco Xavier Bachixa. A partir de uma análise baseada na Teoria da Sonata de Hepokoski e Darcy, este estudo identifica as características das sonatas de Baptista,

bem como o seu modelo de sonata: um ciclo de dois andamentos que termina com um minueto, sendo este representativo de uma clara transformação formal. Além disso, a comparação das sonatas de um único andamento indicadas com o nome Bachixa mostra que estas foram as últimas obras escritas pelo compositor e revela uma nova abordagem formal e estilística da composição da sonata portuguesa para tecla nos finais do século XVIII.

Palavras-chave: análise; Francisco Xavier Bachixa; Francisco Xavier Baptista; sonata para tecla; música portuguesa; teoria da sonata.

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Introduction

Francisco Xavier Baptista was born in Lisbon on 14th July 1741 and became a professional musician in early adulthood. On 14th February 1761 he joined the Irmandade de Santa Cecília (Brotherhood of St. Cecilia), the organisation which directed the professional activity of musicians in Lisbon and its suburbs. In 1781 he was accepted as organist at the Patriarchal Basilica of Santa Maria in Lisbon, taking up the position of first organist from at least the 1790s until his death, which occurred in Lisbon on 10th October 1797 (NEJMEDDINE, 2020a, p. 4-5). Research and study of the documentation of the period relating to the composer Francisco Xavier Baptista and the surname Baxixa revealed that, at least from 1782, he was also known as Francisco Xavier Baxixa (or Bachixa) (NEJMEDDINE, 2019).

Baptista is the author of a collection of twelve sonatas published in Lisbon between 1765 and 1777 under the title *Dodeci sonate, variazioni, minuetti per cembalo* of which the only known surviving copy is to be found in Lisbon, in the Biblioteca da Ajuda (catalogue no. 137-I-13) (ALBUQUERQUE, 2006, p. 200). This collection and the collection *Sei sonate per cembalo* by Alberto José Gomes da Silva (Lisbon, fl.1758 – †1793) are the only publications for keyboard instruments to have been printed in Portugal during the whole of the 18th century.¹ Both collections consist solely of sonatas, which highlights the importance of this musical genre in Portugal during the second half of the 18th century.²

In addition to the twelve sonatas published at the time, the keyboard music of Francisco Xavier Baptista includes seven isolated minuets and three other works, all held at the Biblioteca Nacional de Portugal. The three other works are an alternative version of Sonata IX from the printed collection with a different minuet, a *Tocata* (F major) in manuscript M.M. 337, and a *Sonata* (D major) in manuscript M.M. 338 (DODERER, 1981, p. vii; ALVARENGA, 1999).³ Analysis of the writing and paper of these

¹ Modern editions of these collections can be found in Doderer (1981) and Doderer and Nejmeddine (2003). Recordings of Baptista and Gomes da Silva sonatas can be found in Rosado Fernandes (1995) and Nejmeddine (2018).

² The general characteristics of the Portuguese keyboard sonata of the second half of the 18th century is discussed in Nejmeddine (2016).

³ A modern edition of the aforementioned minuet can be found in Doderer (1972, p. 34-35).

manuscripts allows the *Sonata* to be dated to 1765, the same date indicated for the *Tocata*. (ALVARENGA, 2009, p. 125-126). To this list of Baptista's compositions can be added two more works bearing the name Francisco Xavier Bachixa, who was until recently considered a different composer.⁴ These sonatas are preserved in manuscript Vm⁷ 4874 (fols. 55[54]v-59[58]r) in the Bibliothèque nationale de France entitled *Sonates pour clavecin de divers auteurs*, which is datable to the last quarter of the 18th century (ALVARENGA, 2009, p. 110).⁵

Baptista's musical output also includes chamber music works: a sonata for keyboard and violin, preserved in the Biblioteca Municipal de Elvas (catalogue no. MUS.138), and two modinhas for two sopranos with instrumental accompaniment published in 1793 and 1794 in the *Jornal de modinhas com acompanhamento de cravo pelos milhores autores*, preserved in the Biblioteca Nacional de Portugal and in the British Library.⁶ Baptista also composed a motet for four voices and organ but its whereabouts is unknown today (DODERER, 1981, p. vii). There are also two masses of his authorship which are referred to in recently discovered documentation whose whereabouts is also unknown.⁷ The research and analysis of the Portuguese keyboard repertoire of the latter half of 18th century show that Baptista is the Portuguese composer who wrote the largest number of sonatas (NEJMEDDINE, 2016, p. 251-256).

In this period in centers of European music, the keyboard sonata was characterized by a variety of styles and forms that were enriched by the individual characteristics of their composers.⁸ From the middle of the 18th century onwards, several formal patterns coexisted, and the sonatas were distinguished by their post-exposition sections. For instance, differences can be seen in the sonatas from Italy and the Iberian Peninsula, as demonstrated by Rosen (1988), Sanders (2004), Sutcliffe (2014), Igoa (2014) and Nejmeddine (2020b). In the Iberian Peninsula the formal plurality is highly noticeable in the sonatas of the Spanish composer Antonio

4 See the entries "Bachicha ou Baxixa. (Joaquim Felix)" and "Baptista (Francisco Xavier)" in Vieira (1900, v. 1, p. 79-80, 90-91).

5 Modern edition at Kastner *et al.* (1982, p. 46-53).

6 See Albuquerque (2006, p. 200-201). For more on the sonata for keyboard and violin, see Nejmeddine (2020a) and the modern edition at Cruz (1971).

7 The document indicating the composition of the masses is transcribed in Fernandes (2010, vol. 1, p. 161-162) and reproduced at Nejmeddine (2019).

8 An overview of the subject is provided by Newman (1983).

Soler (Olot, 1729 – San Lorenzo de El Escorial, 1783) in which three types of sonata forms and several variants have been identified, corresponding to models that include an exposition, a development and a recapitulation of the exposition (partially or almost in full) (IGOA 2014, p. 283-287).⁹ In Portugal, the study of this genre was for a long time focused on sonatas in which the following forms were identified: a binary design, also identified as the form of the bipartite sonata with formal repetition at the dominant; a model which goes beyond this form and its symmetry by creating a small development section; and a form with exposition, development and partial recapitulation (NEWMAN, 1983, p. 277-278; KASTNER, 1941, p. 278-280, 389-390).

The analysis of keyboard sonatas from the most relevant Portuguese composers of the latter half of the 18th century has shown the predominance of sonata forms with an exposition, a development and a recapitulation (which could be partial – also known as a tonal resolution – or almost full), and the existence of a variety of sonata forms (NEJMEDDINE, 2020b). Francisco Xavier Baptista was the most representative composer of keyboard sonatas of the pre-classical era in Portugal, with the largest printed collection of the time, so a comprehensive analysis of his output is required. This study aims to analyze these works in order to identify the sonata forms that Baptista used and understand their specific features, as well as tracing the chronology of his sonatas.

Methodology

We analyzed the keyboard works of Francisco Xavier Baptista through a grid drawn up on the basis of Hepokoski and Darcy's Sonata Theory (HEPOKOSKI; DARCY, 2006). The grid was applied to every movement and an identification code was assigned to each work, which was later inserted into the rows of a table. Inserted into the columns of the table were analytical parameters divided into three groups – identification (key, instrument, compass, tempo, meter), formal analysis (detailed elements of the sections and zones of sonata forms), and complementary information (texture, dimension of the parts and writing techniques) – for which

⁹ For a detailed description of Soler's sonata forms and the terminology used in this study, see Igoa (2014, p. 163-181).

a group of responses with the respective individual code was made available. The table was reproduced three times, in accordance with the maximum number of movements identified in the works. The movements were classified on the basis of the characteristics identified in the analysis grid. In the case of movements with sonata forms the classification was specified in accordance with the typology indicated in Sonata Theory for this type of repertoire, taking into account its historic antecedent – the binary sonata in the form of the parallel binary or balanced binary, considered by the authors as historical antecedents of the Type 2 sonata. The classification is designed for instrumental repertoire from the late 18th century and the repertoire under analysis includes works composed in the mid to late 18th century.¹⁰ Once the table had been completed the works were separated into two tables, one for works with sonata forms and the other for works without them. The table containing the works with sonata forms was subdivided from the second rotation (after the exposition) in accordance with the typology of the sonata and the respective sections (recapitulation; development and tonal resolution; development and recapitulation). Finally, the answers which had been entered into the table were filtered and a comparative analysis was performed. The stylistic identification of the works was based on the characteristics defined by William Newman.

General Description of the Sonatas

The keyboard repertory composed by Baptista is made up of seven short pieces written in binary (AB) and ternary (ABA') forms and sixteen sonatas with one to three movements, all of which have at least one movement written in a sonata form (Frame 1).¹¹

¹⁰ The classification of sonata forms established by Hepokoski and Darcy (2006) is based on a rotational principle of the structure of the exposition section, which is the first rotation, and usually includes the primary-theme zone, the transition zone, the secondary-theme zone (or *Fortspinnung* modules) and the closing zone. In this context, the expression "Fortspinnung modules" is used to indicate modules/passages that include motifs with repetitive characteristics or a succession of modules with thematic contours. The typology of the sonata form is defined by the characteristics and number of rotations that exist in a movement. According to Hepokoski and Darcy (2006, p. 353-386), the Type 2 sonata is a double-rotational form in which the second rotation begins with a development section (based on materials from the primary-theme zone and/or of the transition, in a non-tonic key) and continues with a tonal resolution section (with materials of the secondary-theme zone, or *Fortspinnung* modules, and the closing zone in the tonic key). The parallel binary and balanced binary forms are made up of two parts. These forms present, in the first part, two sections in which the second section is, at a melodic level, a continuation of the first. From a tonal standpoint, the first section is written in the tonic key and the second in a different key. In the second part, the forms diverge: in the case of the parallel binary form, the two sections reappear in the same order, however, in an inverted tonal plane; in the case of the balanced binary form the first section is replaced by a kind of modulatory episode while the second section is taken up in the tonic key. These forms have an underlying rotational principle of the structure presented in the first part, which can resemble an exposition and, therefore, the second part results in a recapitulation initiated in a different key than the tonic.

¹¹ In Frame 1, the Roman numeral in the column "Title" indicates the order of sonatas in the printed collection; the symbol *P* in the column "Classification ..." indicates the conversion of one type of sonata into another.

Frame 1: Francisco Xavier Baptista's keyboard works.

Work no.	Title	Movements	Key and Time signature	Sources	Classification of the movements by form
1	—	[no tempo indication]	D major - 3/4	P–Ln M.M. 1297 no. 4	Binary
2	—	[no tempo indication]	D major - 3/8	P–Ln M.M. 1297 no. 6	Ternary (ABA')
3	—	[no tempo indication]	E flat major - 3/4	P–Ln M.M. 1297 no. 2	Ternary (ABA')
4	—	[no tempo indication]	E flat major - 3/4	P–Ln M.M. 1297 no. 5	Binary
5	—	[no tempo indication]	G major - 3/8	P–Ln M.M. 1297 no. 7	Ternary (ABA')
6	—	[no tempo indication]	A major - 3/8	P–Ln M.M. 1297 no. 3	Binary
7	<i>Minuetto</i>	[no tempo indication]	E flat major - 3/4	P–Ln M.M. 1297 no. 1	Ternary (ABA')
8	<i>Sonata</i> (V)	<i>Allegro</i> <i>Minuetto</i>	C major - 2/4 C major - 3/4	P–La 137-I-13 (fols. 16–19)	1 st - Type 3 sonata 2 nd - Ternary (ABA')
	—	[no tempo indication]	C major - 3/4	P–Ln M.M. 4510 (f. 1v)	
9	<i>Sonata</i> (VIII)	<i>Allegro</i> <i>Minuetto</i>	C minor - C C minor - 3/4	P–La 137-I-13 (fols. 27–31)	1 st - Type 3 sonata ⇒ Type 2 sonata 2 nd - Type 3 sonata
	<i>Sonata</i>	<i>Allegro</i>	C minor - C	P–Ln M.M. 4510 (fols. 3v–4v)	
10	<i>Sonata</i>	<i>Allegro</i>	D major - C	F–Pn VM ⁷ 4874 (fols. 55[54]v–57[56]r)	Type 2 sonata
11	<i>Sonata</i> (VII)	<i>Presto</i> <i>Minuete</i>	D major - C D major - 3/4	P–La 137-I-13 (fols. 24–27)	1 st - Type 2 sonata 2 nd - Ternary (ABA')
12	<i>Sonata</i> (XII)	[no tempo indication]	D major - C	P–La 137-I-13 (fols. 44–46)	Type 2 sonata
13	<i>Sonata</i>	[no tempo indication] <i>Minuete</i>	D major - 2/4 D major - 3/8	P–Ln M.M. 338 (fols. 1r–4r)	1 st - Type 3 sonata ⇒ Type 2 sonata 2 nd - Ternary (ABA')
14	<i>Sonata</i> (VI)	<i>Allegro</i> <i>Minuetto</i>	E flat major - 2/4 E flat major - 3/4	P–La 137-I-13 (fols. 19–23)	1 st - Type 2 sonata 2 nd - Ternary (ABA')
	<i>Sonata</i>	<i>Allegro</i>	E flat major - 2/4	P–Ln M.M. 4510 (fols. 2r–3r)	
15	<i>Sonata</i> (IX)	<i>Allegro Spiritoso</i> <i>Minuete</i>	E flat major - C E flat major - 3/8	P–La 137-I-13 (fols. 31–35)	1 st - Type 3 sonata ⇒ Type 2 sonata 2 nd - Parallel binary 2 nd - Binary (M.M. 338)
	<i>Tocata</i>	<i>Allegro</i> <i>Menuetto</i>	E flat major - C E flat major - 3/8	P–Ln M.M. 338 (fols. 4v–8r)	
16	<i>Sonata</i> (XI)	<i>Allegro Assai</i> <i>Minuetto</i>	E major - 2/4 E major - [3/8]	P–La 137-I-13 (fols. 40–44)	1 st - Type 3 sonata 2 nd - Type 3 sonata
17	<i>Sonata</i>	<i>Allegro Presto</i>	F major - [4/4]	F–Pn VM ⁷ 4874 (fols. 57[56]v–59[58]r)	Type 3 sonata
18	<i>Sonata</i> (III)	<i>Presto</i> <i>Andante Moderato</i> <i>Allegro Comodo</i>	F major - <i>c</i> F major - 2/4 F major - 3/4	P–La 137-I-13 (fols. 9–13)	1 st - Type 3 sonata 2 nd - Parallel binary 3 rd - Ternary (ABA')
19	<i>Sonata</i> (II)	<i>Allegro</i> <i>Allegro Moderato con Variazioni</i>	G major - C G major - C	P–La 137-I-13 (fols. 5–8)	1 st - Type 3 sonata 2 nd - Theme and variations
20	<i>Sonata</i> (I)	<i>Allegro</i> <i>Allegro Comodo con Variazioni</i>	G minor - 3/8 G minor - 2/4	P–La 137-I-13 (fols. 1–4)	1 st - Type 2 sonata 2 nd - Theme and variations
21	<i>Sonata</i> (X)	<i>Presto</i> <i>Minuetto</i>	A major - 3/8 A major - 3/4	P–La 137-I-13 (fols. 35–39)	1 st - Type 3 sonata 2 nd - Type 3 sonata ⇒ Type 2 sonata
22	<i>Sonata</i> (IV)	<i>Allegro</i> <i>Allegro</i>	B flat major - 3/4 B flat major - 2/4	P–La 137-I-13 (fols. 13–16)	1 st - Type 2 sonata 2 nd - Rondeau
	<i>Sonata</i>	<i>Allegro</i> <i>Allegro</i>	B flat major - 3/4 B flat major - 2/4	P–Ln M.M. 4510 (fols. 1r–1v, 3r–3v)	
23	<i>Tocata</i>	[no tempo indication] <i>Menuetto</i>	F major - C F major - 3/4	P–Ln M.M. 337 (fols. 29r–31v)	1 st - Type 3 sonata ⇒ Type 2 sonata 2 nd - Type 2 sonata

Source: Frame created by the author.

Image description: List, sources and classification of Baptista's works (Abbreviations: F–Pn: France, Paris, Bibliothèque nationale de France; P–La: Portugal, Lisboa, Biblioteca do Palácio Nacional da Ajuda; P–Ln: Portugal, Lisboa, Biblioteca Nacional de Portugal).

The sonatas comprise thirty-one movements, including the alternative minuet for the Sonata in E flat major (no. 15), twenty-two of which are written in a sonata form. The pattern used with greatest frequency (in nine sonatas) combines two movements, with a fast movement – sometimes only identifiable by the writing – followed by a minuet. More rarely the cycle of two movements concludes with a theme and variations (in two sonatas) or a rondeau (in one sonata). The only sonata in three movements has a slow second movement written in parallel binary form and it finishes with a movement in ternary form. The remaining three sonatas have just one movement.

The instrument indicated in the sources is the harpsichord, which suggests the possibility of using a harpsichord with plectra or a harpsichord with hammers (fortepiano). The use of hammers is suggested by the presence of dynamic markings in two of the printed works.¹² Baptista's sonatas fit within the compass of C-d³ and, with the exception of two sonatas, are written in major keys keeping the same key within the cycle.

The sonatas are representative of the galant style, using a homophonic texture in which the melodic line is fragmented and supported by different types of accompaniment such as chords, arpeggiated chords, broken octaves, drum basses, Alberti basses, and, more rarely, octaves and the *murky bass*.¹³ The harmony keeps a slow rhythmic pulse and the harmonic language used is enriched by chromaticisms and marked by a rich use of half-cadences and of cadences prepared by the formula 6/4–5/3. From the tonal point of view, the first part of the movements with sonata forms moves from the tonic key to the dominant, fluctuating at times between the major and minor modes of the same key; the sonatas written in minor keys move to the mediant and only one of these cases shows a later deviation to the key of the dominant minor. The second part usually opens in the dominant and moves towards the tonic.

The upper melodic line of sonata form movements is frequently arranged in groups of two measures and ornamented,

12 Some Portuguese fortepianos from Baptista's time are preserved, including those built by Henri-Joseph van Casteel (Lisbon 1763, National Music Museum in Lisbon), Antunes (Lisbon 1767, National Music Museum in Vermillion, USA), Mathias Bostem (Lisbon 1777, Torres Novas Municipal Museum) and by anonymous (Portugal c.1750, Harold Lester Private collection; Portugal last quarter of 18th century, owned privately in Lisbon) (DODERER; VAN DER MEER, 2005, p. 447-480).

13 The expression "murky bass" refers to an accompaniment with a broken octave upward movement in which the upper octave performs a mordant. A summary of the characteristics of the galant style can be found in Newman (1983, p. 120-124).

incorporating some syncopation, dotted figures, series of semiquaver triplets, scales, arpeggios, harmonic thirds and sixths, repeated notes and broken octaves. The technical requirements of the writing include crossing of hands, leaps, interactions of hands and synchronization of thirds and sixths between the two melodic lines. Imitative writing is used only at the beginning of the first movement of the Sonata in F major (no. 23/i), entitled *Tocata per cemballo*, which changes into an accompanied melody (m. 5) along the primary-theme zone (Example 1).¹⁴ This movement begins with the primary theme consisting of a two-measure module followed by its repetition. At the upbeat to measure 5 a new two-measure module, also repeated, appears using the galant schema *Prinner*.¹⁵ The use of galant schemata such as *Prinner*, *Fonte*, *Do-Re-Mi* or *Monte* is common in Baptista's sonatas and reveals an idiosyncrasy of the composer: the module repetition.¹⁶

Example 1. Sonata in F major (no. 23), first movement, mm. 1–8.

Source: Author's transcription from M.M. 337, fol. 29v in the Biblioteca Nacional de Portugal.
Image description: Imitative writing and accompanied melody.

Sonata forms

The sonata cycle begins with a bipartite movement in sonata form. The second half is longer than the first, and the movements are frequently composed in a fast tempo. The sonata forms used are classified as Type 2 sonata, Type 3 sonata and Type 3 sonata

¹⁴ Henceforth, Baptista's sonatas are identified by the number indicated in the column "Work no." of Frame 1 followed, when necessary, by the respective movement in Roman numerals.

¹⁵ The *Prinner* is characterized by the simultaneous descent of the melody, from the 6th to the 3rd scale degree, and of the bass, from the 4th to the 1st scale degree (GJERDINGEN, 2007, p. 45-60, 455).

¹⁶ Regarding the galant schemata, *Fonte* corresponds to a sequence of direct modulations that are basically composed of a pair of harmonies in the minor mode that are repeated one step lower in the major mode. In each pair, the melody moves from the 4th to the 3rd scale degree and, at the same time, the bass moves from the 7th to the 1st scale degree. *Monte* corresponds to a modulating ascending sequence and is identified with the schema *Fonte*, diverging from it with the repetition of the pair of harmonies one step higher, by the lack of specificity of their mode and by the possible extension of the sequence by more degrees. The *Do-Re-Mi* schema is composed of three events that are based on the harmonies of tonic, dominant and tonic, respectively. The melody presents an ascending movement from the 1st to the 3rd scale degree and the bass moves from the 1st to the 7th (or 5th) scale degree and back to the 1st (GJERDINGEN, 2007, p. 61-71, 77-106, 456-458).

converted into Type 2 sonata.¹⁷ Type 2 and Type 3 converted into Type 2 are the sonata forms Baptista uses with the greatest frequency. Nine minuets of variable lengths and forms are included in the sonatas and five of them display a sonata structure which goes from the simple form of the parallel binary sonata (with an exposition containing a primary theme, a transition and *Fortspinnung* modules, followed by a recapitulation) to the form classified as Type 3 sonata, passing through the formats of Type 2 sonata and Type 3 sonata converted into Type 2 sonata (see Frame 1).¹⁸

Exposition

The sonata forms developed by Baptista always have a continuous exposition expanded by modules of *Fortspinnung*, except in no. 16/i. Here, the exposition has been divided into two parts through a medial caesura, produced by a rest (Figure 1).

Figure 1. Sonata in E major (no. 16), first movement, mm. 1–58.



Source: *Dodeci sonate, variazioni, minuetti per cembalo* (Lisbon: Francesco D. Milcent), Biblioteca da Ajuda, 137-I-13, fol. 40.
Image description: Two-part exposition with the medial caesura at the end of the second system.

¹⁷ The Type 3 sonata is characterized by having three rotations corresponding to the exposition, development and recapitulation sections. The recapitulation usually presents the materials of the exposition in the tonic key. The Type 3 sonata converted into the Type 2 sonata has two rotations: the first corresponds to the exposition section and the second to the development and tonal resolution sections. The development section, in addition to being able to include materials from the primary-theme zone and/or the transition, also includes materials from the secondary-theme zone (or *Fortspinnung* modules) and/or materials from the closing zone, which is a possible procedure for a Type 3 sonata but is not used in a Type 2 sonata. After this section, the tonal resolution appears – characteristic of the Type 2 sonata – in which materials from the secondary-theme zone (or *Fortspinnung* modules) and from the closing zone are included in the tonic key. In this section, it is also possible to have material that appears, in the first rotation, after the primary theme, if this precedes the last material presented in the development section (HEPOKOSKI; DARCY, 2006, p. 14-22, 377-378).

¹⁸ Among the sonatas with minuets, only nos. 9, 16, 21, 23 and 15 (source: printed collection) have minuets composed in a sonata form.

Baptista chose various patterns of exposition which go from a relative balance between the different zones to emphasizing one or two zones to the detriment of the others, passing through the extension of the post-transition zone(s). In the opening movements of the sonatas, the predominant pattern settles into the expansion of just one exposition zone, usually the primary-theme zone, the *Fortspinnung* zone or the closing zone. Less frequently employed are the patterns of extension of two zones (the primary-theme zone together with the closing zone or with the *Fortspinnung* zone) or an extension of the whole of the post-transition zone(s). The extension is achieved through the use of preparatory modules in the secondary theme, modules with a conclusive character before the essential expositional closure or the composition of a theme in the closing zone.

In the majority of movements in sonata form, the primary theme is introduced as a phrase covering two to eight measures, generally organized into two blocks, although structures like a sentence or a sixteen-measure sentence are also used. The primary theme appears at the beginning of the movement and is preceded by a preparatory module in three movements (Example 2).

Example 2. Sonata in D major (no. 13), first movement, mm. 1–14.



Source: Author's transcription from manuscript M.M. 338, fol. 1v in the Biblioteca Nacional de Portugal.
Image description: Primary theme preceded by a preparatory module (mm.1–3.25).

The transition zone is usually short and modulates to the keys of the dominant or mediant. It is almost always separated from the primary-theme zone and, in more than half of the cases, it is formed from new materials. The preparatory modules are also employed in the elaboration of the only secondary theme present

in the sonatas, which appears in no. 16/i. In spite of maintaining a *forte* dynamic, this theme is more lyrical in contrast to the energetic character introduced by the arpeggios and chords of the primary theme. In this movement the composer still explores the closing zone, providing it with a theme, in the form of a phrase, which is based on motivic repetition with sequential treatment and the effect of a *crescendo* (see Figure 1).

Closing themes are introduced in three other movements (nos. 13/i, 21/i, 23/ii) and are based on phrases of variable dimensions, with new material or based on the primary theme. The essential expositional closure is achieved by a perfect authentic cadence, usually in the key of the dominant (in seventeen movements in major mode and in three in minor mode) and rarely in the key of the mediant (in two movements). In two movements (nos. 18/ii and 15/ii source: printed collection) the exposition is immediately followed by a recapitulation of all the previously presented zones and almost all their materials, starting in the dominant key and reaching the key of the tonic via the transition zone.

Development

The remaining twenty movements display a development section that frequently begins with the primary-theme presentation either partially or in its entirety, occasionally preceded by its preparatory module, in the key of the dominant (in twelve movements) at times followed by its reappearance in the tonic (in three movements). Materials from the zones of the primary theme and/or transition are preferentially used in the development (in eleven movements). The developmental activity explores up to four keys with the use of two or three keys predominating. The dimensions are variable, ranging from a small zone – based, for example, on the initial module of the primary theme and on a sequential progression (no. 19/i) – to a long area in which a complete rotation of the materials of the exposition can be identified. Nos. 13/i and 15/i are examples of the latter and they show two other techniques used by Baptista to extend the development section.

In no. 13/i Baptista includes a *vamp* with various chromaticisms and rhythmic acceleration at the end of the development, producing an unexpected effect that is unique in the corpus of Portuguese sonatas from the second half of the 18th century (Example 3).¹⁹

Example 3. Sonata in D major (no. 13), first movement, mm. 94–115.

Source: Author's transcription from manuscript M.M. 338, fols. 2v–3r in the Biblioteca Nacional de Portugal.
Image description: Vamp in the development section.

In no. 15/i he reintroduces the primary theme in the tonic early in the development, which can be mistaken for the beginning of a recapitulation. The development begins with the repetition of the first *Fortspinnung* module in the dominant key (mm. 27–31, downbeat), after which the primary theme appears in the tonic key. Although unexpected, what follows is not a recapitulation but a developmental activity, through an expansion of the transition module (mm. 34.5–44.5) and a sequential progression based on the primary theme (upbeat to mm. 44.5–50). The return of the tonic appears with the first *Fortspinnung* module and all the materials that follow it in the exposition, which now has more impact and marks the beginning of the tonal resolution at measure 51 (Example 4).

¹⁹ For more information about the use of *vamps* in 18th-century keyboard music, see the case of Domenico Scarlatti's sonatas in Sutcliffe (2003, p. 196-216).

Example 4. Sonata in E flat major (no. 15), first movement, mm. 27-53.

The musical score for Example 4, Sonata in E flat major (no. 15), first movement, mm. 27-53, is presented in a galant style. It consists of a piano accompaniment with a steady eighth-note bass line and a treble part with various melodic lines, including trills and ornaments. The score is divided into systems with measure numbers 27, 30, 33, 36, 39, 42, 45, 48, and 51. Key features include the lyrics 'SOL-FA-MI' at measures 30 and 33, and 'MONTE' at measure 42. The style is described as galant.

Source: Author's transcription from edition 137-I-13, fols. 33-34 in the Biblioteca da Ajuda.
Image description: Features of the galant style.

Tonal Resolution

In twelve of the movements, the development section is followed by a tonal resolution that integrates all the zones presented in the exposition after the transition (omitting some modules) into the tonic key, and in one movement, it also includes the transition zone.²⁰ A structural balance is achieved through the repetition of

²⁰ These movements are nos. 9/i, 10, 11/i, 12, 13/i, 14/i, 15/i, 20/i, 21/ii, 22/i, 23/i and 23/ii.

the closing materials of the exposition transposed to the tonic key. This section of sonata form is expanded in two movements: in no. 10 the expansion produces the effect of a coda-rhetoric interpolation, since the new material interrupts the preceding phrase; in no. 23/i it produces a coda-rhetoric interpolation proper because it is introduced after the cadence of the preceding phrase. Examples 5a–b show some measures of the exposition and the corresponding measures in the tonal resolution, as well as the beginning of the coda-rhetoric interpolation (after the downbeat of measure 30).

Example 5a. Sonata in F major (no. 23), first movement, mm. 14–16.



Source: Author's transcription from manuscript M.M. 337, fol. 29v in the Biblioteca Nacional de Portugal.
Image description: End of the exposition.

Example 5b. Sonata in F major (no. 23), first movement, mm. 28–36.



Source: Author's transcription from manuscript M.M. 337, fols. 30r–30v in the Biblioteca Nacional de Portugal.
Image description: End of the tonal resolution.

Recapitulation

In eight of the movements, the development section is followed by a recapitulation that resumes all the exposition zones (in three movements) – although at times the recapitulation of all modules is not included – or omits just one zone, either the transition zone or the *Fortspinnung* zone (in five movements).²¹ The recapitulation

²¹ Movements with a recapitulation after a development section are nos. 8/i, 9/ii, 16/i, 16/ ii, 17, 18/i, 19/i and 21/i.

appears in the tonic key (in five movements), occasionally in its parallel mode (in one movement), or begins in the dominant and later reaches the tonic (in two movements). No. 21/i is an example of the deformed recapitulations resulting from the dominant reaching the tonic. Here, the recapitulation omits the transition module (mm. 10–13) and presents the primary theme (mm. 1–9) followed by the *Fortspinnung* module (mm. 14–21, downbeat) of the exposition, in the dominant key (mm. 73–81) and in the minor mode of the tonic (mm. 82–86), respectively (Examples 6a–b).

Example 6a. Sonata in A major (no. 21), first movement, mm. 1–21.

The musical score for Example 6a shows the first 21 measures of the first movement of Sonata in A major (no. 21). It is written in treble and bass clefs, 3/8 time, with a key signature of two sharps (F# and C#). The score features a primary theme in the right hand, often with trills (tr), and a supporting bass line. Labels 'DO-RE-MI' and 'SOL-FA-MI' are placed above the notes to indicate the scale degrees. Measure numbers 7 and 14 are indicated at the start of their respective systems.

Source: Author's transcription from edition 137-I-13, fols. 35–36 in the Biblioteca da Ajuda.²²
Image description: Beginning of the exposition.

Example 6b. Sonata in A major (no. 21), first movement, mm. 73–87.

The musical score for Example 6b shows measures 73–87 of the first movement of Sonata in A major (no. 21). It is written in treble and bass clefs, 3/8 time, with a key signature of two sharps (F# and C#). This section represents the beginning of the recapitulation, featuring the primary theme and the *Fortspinnung* module. Labels 'DO-RE-MI' and 'SOL-FA-MI' are placed above the notes. Measure numbers 73 and 80 are indicated at the start of their respective systems.

Source: Author's transcription from edition 137-I-13, fol. 37 in the Biblioteca da Ajuda.
Image description: Beginning of the recapitulation.

All movements in sonata form always achieve the essential structural closure through a perfect authentic cadence in the tonic key, which is in parallel mode in two movements. Movement no. 16/i is the only example that comes close to the old model of the

²² In the original, the rhythm of the first beat in measures 2 and 4 is a dotted quaver and two demisemiquavers.

classical sonata form, defined by the presence of a secondary theme in the exposition and a recapitulation after the development section. However, a complete reproduction of that model is not present, since the entire transition zone, the preparatory module of the secondary theme and the repetition of a module of the closing zone are omitted in the recapitulation.

Comparison of two sonatas from manuscript Vm⁷ 4874

A comparison between sonatas nos. 10 and 17, preserved in manuscript Vm⁷ 4874, revealed common characteristics and shared materials, as described below. Both sonatas have a single movement and feature similar writing techniques in the composition of the melody such as the use of arpeggios, scales and chords. Despite having different sonata forms, they have the same structure in the exposition section: a continuous exposition that includes a primary-theme zone, a transition zone, a *Fortspinnung* zone and a closing zone.

In no. 10, the primary theme is structured as a sixteen-measure sentence comprising a presentation phrase (mm. 1–4) and a continuation phrase (mm. 5–9.5). The continuation phrase is merged with the transition through the dissolution of the continuation module of the sentence (Example 7).

Example 7. Sonata in D major (no. 10), mm. 1–12.



Source: Author's transcription from manuscript Vm⁷ 4874, fol. 55[54]v in the Bibliothèque nationale de France.²³
Image description: Excerpt of the exposition.

²³ In the original, the first beat of measure 8 on the lower staff is E.

This exposition initially looks like a two-part exposition in which the expected gap (medial caesura) after the half cadence in the dominant key, at the end of the transition, is filled by a small bridge (caesura-fill) that leads to the secondary-theme zone. However, if that was the case, the end of the transition and of the primary theme would be marked in measure 8 and the caesura fill in the first half of measure 9 but what follows has a transition-like texture, thus declining the supposed medial caesura and defining the following modules as *Fortspinnung*.²⁴

In no. 17, the primary-theme zone (mm. 1–12.5) is separated from the transition (mm. 12.5–17.5) by a perfect authentic cadence in the tonic key. The transition modulates to the dominant and ends with a perfect authentic cadence in the new key (Example 8). There is no gap or fill, like in the previous sonata, and the music continues through a series of *Fortspinnung* modules.

Example 8. Sonata in F major (no. 17), mm. 11–21.



Source: Author's transcription from manuscript Vm⁷ 4874, fols. 57[56]v–58[57]r in the Bibliothèque nationale de France.

Image description: Excerpt of the exposition.

The sonatas both have arpeggios passing from one hand to another, creating a rhythmic continuity. They both feature a first *Fortspinnung* module based on the harmonic minor scale of the

²⁴ According to Hepokoski and Darcy (1997) the absence of a medial caesura hinders the emergence of a secondary-theme zone and consequently the presence of a secondary theme. Other authors defend the idea that a medial caesura is not a necessary condition for the presence of a subordinate theme (or secondary theme, according to the terminology of Sonata Theory) in the sonata exposition. This subject is discussed in Richards (2013), Caplin and Martin (2016) and Hepokoski (2016).

dominant, which is A minor for no. 10 (mm. 9.5–12.5) and C minor for no. 17 (mm. 17.5–20) (see Examples 7 and 8). Their similarities also include the use of the diminished 7th chord (also arpeggiated) with dramatic effect, creating a clear contrast between tension and resolution. Example 9 shows the use of this feature in no. 10 followed by the immediate resolution of this harmony.

In no. 17 the diminished 7th chord is emphasized by a break in the musical discourse at the end of the first *Fortspinnung* module (m. 20) and by the repetition of the diminished 7th in arpeggiated chord form as an extension of the dominant harmony (mm. 26–27) just before reaching the closing zone (mm. 28–34) (see Examples 8 and 10). Even in these situations, the resolution arrives as soon as the first notes of the next harmony are heard.

Example 9. Sonata in D major (no. 10), mm. 68–71.



Source: Author's transcription from manuscript Vm⁷ 4874, fol. 57[56]r in the Bibliothèque nationale de France.
Image description: Diminished 7th arpeggiated chord.

Example 10. Sonata in F major (no. 17), mm. 26–29.



Source: Author's transcription from manuscript Vm⁷ 4874, fol. 58[57]r in the Bibliothèque nationale de France.
Image description: Diminished 7th arpeggiated chord.

This kind of chord appears rarely in the other sonatas composed by Baptista and, when it exists, it is never used with such a dramatic effect. In no. 8/i the diminished 7th chord (m. 24) is prepared but it is not immediately resolved (see Example 11). Here, the *piano* indication and the implicit *crescendo* in the rhythm and in the contrary motion of the melodic lines lead to an expected

tension, which is attenuated by the *decrescendo* effect created by the descending melody.

Example 11. Sonata in C major (no. 8), first movement, mm. 22–26.



Source: Author's transcription from edition 137-I-13, fol. 17 in the Biblioteca da Ajuda,
Image description: Diminished 7th chord.

The sonatas in manuscript Vm⁷ 4874 show other exceptional compositional procedures used by Baptista, such as the use of the sixteen-measure sentence for the structure of the primary theme (no. 10), as seen in Example 7, and the omission of the *Fortspinnung* zone in the recapitulation (no. 17). Example 12 shows an excerpt of this recapitulation, comprising the end of the recomposed transition zone (mm. 66–69) and the beginning of the closing zone (mm. 70–71), both in the tonic key, thus omitting the *Fortspinnung* zone (in comparison to Examples 8 and 10 where the first and second *Fortspinnung* modules of the exposition, respectively, can be seen).

Example 12. Sonata in F major (no. 17), mm. 66–71.

Musical score for Example 12, Sonata in F major (no. 17), mm. 66–71. The score is in F major and 3/4 time. It shows an excerpt of the recapitulation. The melody is in the right hand, and the bass line is in the left hand. The score includes a trill in the right hand in the final measure.

Source: Author's transcription from manuscript Vm⁷ 4874, fol. 59[58]r in the Bibliothèque nationale de France.
Image description: Excerpt of the recapitulation.

Discussion

The sonatas by Francisco Xavier Baptista incorporate elements that are typical of a solidly constructed galant style, displayed as much at the melodic level as in the harmonic accompaniment. These elements are also found in sonatas by his contemporaries, such as Baldassare Galuppi (Burano, 1706 – Venice, 1785), Antonio Soler or Manuel Blasco de Nebra (Seville, 1750 – 1784) (NEWMAN, 1983, p. 194-199, 279-285; SUTCLIFFE, 2014, p. 310-312, 324-332). Baptista's idiosyncrasy is his emphasis on grouping in two-measure units, resulting in module repetition.

Most of Baptista's sonatas fit the pre-established model of the Portuguese keyboard sonata comprising a fast movement and a minuet composed in a major key (NEJMEDDINE, 2020b). Although Baptista's sonatas have a similar number of movements as many of Blasco de Nebra's sonatas, they begin in a slow rather than fast tempo (SUTCLIFFE, 2014, p. 313). A fast tempo in the opening movement of a sonata is probably an influence of Italian music. It can be seen in the sonatas by composers from the Neapolitan school, such as Domenico Paradies (Naples, 1707 – Venice, 1791) or Giovanni Marco Rutini (Florence, 1723 – 1797). This influence came from the presence of Neapolitan musicians and composers in Portugal in the second half of the 18th century, as well as from Portuguese composers who studied in Naples.

Sonata movements with an overall ternary disposition have been noted in works by Portuguese composers from the mid to late 18th century, including Baptista (ALVARENGA, 2019, p. 173). This study shows that Baptista used several sonata forms (also incorporating a ternary organisation) in the first two movements of the sonata cycle, which include minuets. However, the old model known as the classical sonata form is not present in Baptista's sonatas, although there is an approximation in no. 16/i. In this movement, the composition of a secondary theme and a recapitulation section (even if incomplete) led to the creation of a more elaborate Type 3 sonata form. The variety of structural content in the composition of the Type 3 sonata – which includes the classical sonata form – was

quite common at the time. For instance, all the opening movements of Paradies' sonatas show "some version of sonata form" and some feature "incomplete recapitulations in that all or part of the first-theme material is omitted" (SANDERS, 2004, p. 73). It has also been noted that Antonio Soler's sonatas do not reproduce the old model of the classical sonata form. The main difference between the classical model and the Spanish composer's sonatas is the partial omissions of the primary-theme zone and/or the partial or complete omissions of the transition in the recapitulation (IGOA, 2014, p. 255-257, 285-286).²⁵

Like his contemporaries, Baptista contributed to the progressive transformation of sonata forms, applying and experimenting with them, not only in the first movements of the sonatas but also in their minuets. The Sonata in E flat major (no. 15), with two different minuets, is an example of this process. The manuscript version of this sonata is dated to around 1765 and it was probably composed earlier than the printed version (ALVARENGA, 2019, p. 182). In the manuscript, Baptista composed the minuet in binary form, while in the printed version he composed another minuet in parallel binary form, thus choosing a sonata form for the more widely distributed printed collection. Soler has also integrated sonata forms into more than one movement in the sonata cycle, but only one minuet departs from the usual forms of AB and ABA' and follows the structure of a binary sonata (IGOA, 2014, p. 262-265, 295). Baptista's frequent use of sonata forms in the composition of minuets marks significant formal progress in the pre-classical sonata cycle.

Some techniques used by Baptista in the composition of sonata-form movements were also used by Italian and Spanish composers of the time. These techniques concern (i) the beginning of the development section with the primary theme in the key of the dominant, sometimes followed by its repetition in the key of the tonic, (ii) the practice of composing incomplete recapitulations with

²⁵ Examples of these procedures can be found in Soler's sonatas in C major (nos. 7 and 91/iv), F major (no. 56) and E flat major (no. 96/i). See the description and analysis of these sonatas in Igoa (2014, p. 256-257, 285-286, 344, 395-396, 456, 473).

the omission of some modules or an entire zone of the exposition, (iii) the occasional inclusion of material from the transition zone in the tonal resolution section (sometimes termed the recapitulation) and (iv) the launch of the recapitulation in a non-tonic key (ROSEN, 1988, p. 144-149; SANDERS, 2004, p. 73; HEPOKOSKI; DARCY, 2006, p. 277; IGOA, 2014, p. 255-257).²⁶ It is important to emphasize that Baptista substantially explored some less common formal features, such as the launch of the recapitulation in a non-tonic key which occurs in 25% of the movements with a recapitulation, always in the dominant key.

This study also highlights the similarities between sonatas nos. 10 and 17, which suggests that they were composed at the same time. No. 10 also has similarities to Baptista's *Sonata Prima* for keyboard and violin composed between 1781 and 1790, including a sequential progression by descending seconds embellished by an analogous melody and a chromatic descent accompanied by arpeggiated chords in a related rhythm, which indicates it was composed in the same period or shortly thereafter (NEJMEDDINE, 2020a, p. 11). A couple of features found in these sonatas are close to classical patterns. These are the use of the sixteen-measure sentence as the structure of the primary theme and the dramatic effect created by the diminished 7th chord followed by its immediate resolution.²⁷ This last feature can be seen as a contrast between dramatic tension and stability that is identified as "the emotional force of the classical style" (ROSEN, 2005, p. 74-75). Furthermore, the composition of these sonatas in a single movement, unlike most of Baptista's sonatas, was a common practice in Portugal in the late 18th and early 19th centuries. Examples of single-movement sonatas that definitely date from this period can be found in works by Portuguese composers Fr. Francisco de São Boaventura (Porto, fl.1770 – 1802), Afonso Vito de Lima Velho (Tomar, fl.1781 – post.1856), Marcos Portugal (Lisbon, 1762 – Rio de Janeiro, 1830), António Leal Moreira (Abrantes, 1758 – Lisbon, 1819) and João José

²⁶ At Igoa (2014), the expression "sonata binaria" (binary sonata) corresponds to the Type 2 sonata of the Sonata Theory by Hepokoski and Darcy (2006).

²⁷ For a description of the sixteen-measure sentence and its use by classical composers, see Caplin (1998, p. 69-70).

Baldi (Lisbon, 1770 – 1816) (NEJMEDDINE, 2016, p. 254-255). All these elements point to the sonatas being later works by Baptista, composed after the two sonatas from manuscripts M.M. 337 and M.M. 338 (1765) and the twelve printed sonatas (1765-1777).

Conclusions

Baptista's sonatas portray the freedom of writing of the transitional period to which they belong and are representative of Portuguese pre-classicism. Although the sonatas are relatively aligned with the formal and stylistic characteristics of the Iberian and Italian sonatas of the time, they offer a distinctive use of some elements – such as the module repetition, the sonata forms in minuets and the deformed recapitulations – that enable us to label Baptista as a progressive composer.

The variety of sonata forms used by Baptista in the sonata cycle suggests a transformation of the Portuguese sonata model. This can be seen in the structure of the two movements: the opening movement is closer to the form commonly known as classical sonata form and the minuet asserts itself as a movement in the sonata cycle through the use of sonata forms.

This study of sonata forms in Baptista's work has shown that manuscript Vm⁷ 4874 contains his last keyboard sonatas. A set of formal and stylistic characteristics from the late 18th and early 19th centuries can be seen in these sonatas and one is similar to the *Sonata Prima* for keyboard and violin, making it likely they were composed around the same time, between 1781 and 1790. Baptista's other sonatas have all been dated earlier than this. Although the sonatas in manuscript Vm⁷ 4874 have been attributed to Bachixa, we now know that this is a name Baptista used from at least 1782 onwards. The analysis of these pieces shows the changing pattern of the keyboard sonata in the late 18th century, marking the flourishing of a new era in the Portuguese sonata for keyboard instruments.

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