

# RES MUSICA

---

nr 7 / 2015

Eesti Muusikateaduse Seltsi ja Eesti Muusika-  
ja Teatriakadeemia muusikateaduse osakonna  
aastaraamat

## **TOIMETUS / EDITORIAL BOARD**

Toomas Siitan, peatoimetaja / editor in chief

Kerri Kotta (muusikateooria / music theory)

Kristel Pappel (muusikateater, muusikaajalugu / music theatre, music history)

Žanna Pärtlas (etnomusikoloogia / ethnomusicology)

Jaan Ross (muusikapsühholoogia / music psychology)

Anu Schaper, toimetaja / editor

## **TOIMETUSKOLLEGIUM / ADVISORY PANEL**

Mimi S. Daitz (New York City University, USA)

Jeffers Engelhardt (Amherst College, USA)

Mart Humal (Eesti Muusika- ja Teatriakadeemia / Estonian Academy of Music and Theatre, Estonia)

Timo Leisiö (University of Tampere, Soome/Finland)

Margus Pärtlas (Eesti Muusika- ja Teatriakadeemia / Estonian Academy of Music and Theatre, Estonia)

Johan Sundberg (Royal Institute of Technology, Rootsi/Sweden)

Avo Sömer (University of Connecticut, USA)

Andreas Waczkat (Georg-August-Universität Göttingen, Saksamaa/Germany)

Res Musicale avaldamiseks esitatud artiklid retsenseeritakse anonüümselt kahe vastava valdkonna asjatundja poolt.

All articles submitted are reviewed anonymously by two experts in the field.

**Keeletoimetajad / Language editors** Paul Beaudoin, Triin Kaalep

**Küljendus ja numbri kujundus / Layout and design of the current issue** Maite Kotta

Tatari 13

10116 Tallinn, Eesti

Tel.: +372 6675717

e-mail: resmusica@ema.edu.ee

www.muusikateadus.ee/resmusica

© EMTS, EMTA, autorid

Trükitud AS Pakett trükikojas

ISSN 1736-8553

Res Musica artiklid on indekseeritud ja refereeritud RILMi andmebaasis (RILM abstracts of music literature).

The articles of Res Musica are indexed by the abstracting/indexing services of the RILM database (RILM abstracts of music literature).

# Sisukord

Saateks koostajalt .....	5
Editor's Preface.....	7

—  
Steven Vande Moortele

## **Turning Inward – Turning Outward – Turning Around:**

<b>Strong Subordinate Themes in Romantic Overtures.....</b>	<b>9</b>
Sisse-, välja- ja ümberpöörduvad „tugevad” kõrvalteemad romantilistes avamängudes (resümee) .....	31

—  
Charity Lofthouse

## **Mahlerian Quotations, Thematic Dramaturgy, and Sonata Form in the First Movement of Shostakovich's Fourth Symphony.....**

Mahleri tsitaadid, temaatiline dramaturgia ja sonaadivorm Šostakoviči neljanda sümfoonia I osas (resümee).....	51
---	----

—  
Aare Tool

<b>One-Movement Form in the Chamber Music of Heino Eller, Eduard Tubin, and Eduard Oja .....</b>	<b>53</b>
Üheosaline vorm Heino Elleri, Eduard Tubina ja Eduard Oja kammermuusikas (resümee) .....	67

—  
Michael Oravitz

<b>Meter as a Formal Delineator in Two Debussy <i>Préludes</i> .....</b>	<b>69</b>
Meetrum vormilise piiritlejana Debussy kahes prelüüdis (resümee) .....	82

—  
Ildar Khannanov

<b>Function and Deformation in Sergei Rachmaninoff's <i>Etudes-Tableaux</i> op. 39, Nos. 5 and 6 .....</b>	<b>84</b>
Vormifunktsioonid ja vormiline deformatsioon Sergei Rahmaninovi etüüd-piltides op. 39, nr. 5 ja 6 (resümee) .....	104

—  
Cecilia Oinas

## **The Role of Secondary Parameters in Musical Shaping: Examining Formal Boundaries in Mendelssohn's C minor Piano Trio from the Performer's Point of View.....**

Sekundaarsete parameetrite roll muusika kujundamisel: Mendelssohni klaveritrio c-moll vormiliste liigenduskohtade esitajaperspektiivist teostatud vaatlus (resümee) .....	115
--	-----

—  
David Lodewyckx

## **Marpurg's Galant Cadence in Mozart: Theoretical Perspectives, Formal Implications and Voice Leading.....**

Mozart ja Marpurgi galantsed kadentsid: teoreetilised perspektiivid, vormiline mõju ja häältejuhtimine (resümee).....	127
--	-----

—  
Stephen Slottow

<b>Sequences in Mozart's Piano Sonata, K. 280/I .....</b>	<b>128</b>
Harmoonilised sekventsids Mozarti klaverisonaadi F-duur KV 280 I osas (resümee) .....	143

---

## ARVUSTUSED

**Andreas Kalkun:** Igal linnul oma laul: Eesti Apostlik-Õigeusu Kiriku laulud muutumistes ..... 144  
Jeffers Engelhardt. *Singing the Right Way. Orthodox Christians and Secular Enchantment in Estonia*.  
Oxford: Oxford University Press, 2015, 268 lk.

**Toomas Siitan** ..... 147  
Mart Jaanson. *Nikaia-Konstantinoopoli usutunnistuse ladinakeelse normteksti grammatiline, teoloogiline ja muusikaline liigendamine*. Dissertationes theologiae universitatis Tartuensis 30, Tartu: Tartu Ülikooli Kirjastus, 2014, 371 lk.

**Ave Mattheus:** Luubi all muusikakriitika ..... 150  
Maris Kirme (koost., toim.). *Peatükke eesti muusikakriitikast enne 1944. aastat*.  
Acta Universitatis Tallinnensis Artes, Tallinn: Tallinna Ülikooli Kirjastus, 2014, 389 lk.

---

## IN MEMORIAM

Urve Lippus 1950–2015 ..... 154  
Urve Lippus 1950–2015, English version (translated by Kaire Maimets-Volt) ..... 155

---

KROONIKA..... 156

---

AUTORID / AUTHORS..... 158

---

ARTIKLITE ESITAMINE ..... 161  
ARTICLE SUBMISSION..... 164

## Saateks koostajalt

Res Musica seitsmes number põhineb 2014. aasta 8.–11. jaanuarini Eesti Muusika- ja Teatriakadeemias ning Pärnu Keskraamatukogus peetud seitsmenda rahvusvahelise muusikateooria konverentsi valitud ettekannetel. Konverentsi teemaks oli muusikaline vorm, mis mitmeplaanilise nähtusena on teose muusikalise struktuuri üks raskemini tõlgendatavaid aspekte. Kuna vorm moodustub muusikas paljude, kuid erinevat laadi elementide koosmõju tulemusena, tekib alati küsimus vormilise struktuuri peamistest mõjutajatest. Kas mingi vaadeldava üksuse vormiline tähendus tuleneb mainitud üksuse asukohast teose ajalisel tervikstruktuuris, nagu väidab funktsionaalne vormiteooria, või hoopis mainitud üksuse suhtest etalonstruktuuriga, nagu väidab näiteks dialoogilise vormi teooria?

Tänapäeval on aina suuremat mõjujõudu omandamas just viimasena mainitud vaade, millest annab tunnistust teose vormilise struktuuri käsitlemine deformatsioonina. Teisisõnu, vormi väljenduslik sisu ehk selle võime kuulajat kõnetada peitub peamiselt selle potentsiaalis etaloni genereeritud muusikaliste ootustega mängida ja nendega dialoogi astuda. Ka käesolevat kogumikku alustavad vormilisi erisusi ehk deformatsioone käsitlevad artiklid. Kogumiku esimene uurimus, Steven Vande Moortele „Sisse-, välja- ja ümberpöörduvad „tugevad“ kõrvalteemad romantilistes avamängudes“ keskendub ebatavaliselt käituvatele kõrvalteemadele. Traditsioonilises vormiõpetuses ei määratleta kõrvalteemat autonoomseid mõisteid kasutades, vaid pigem suhte kaudu peateemaga. Moortele käsitletud kõrvalteemad aga ei ületa peateemasid mitte ainult oma väljapaistvusest, vaid võtavad mõningal juhul üle ka peateema vormifunktsioonid.

Kõrvalpartii ambivalentne artikuleerimine ekspositsioonis ja selle vormilised järelmid on käsitluse all ka järgmises, Charity Lofthouse'i artiklis „Mahleri tsitaadid, temaatiline dramaturgia ja sonaativorm Šostakovitši neljanda sümfoonia I osas“. Lofthouse näitab, kuidas kõrvalpartii esialgne „luhtumine“ põhjustab retoorilise draama, mis ehitub rotatsiooniliste ootuste pidevale „nurjumisele“ ning viib lõpuks välja militaarse

*telos'*eni, nii pea- kui ka kõrvalteema meloodilise hegemoonia üksteist varjutava kokkulangemiseni mahlerlikus repriisis.

Aare Tool keskendub uurimuses „Üheosaline vorm Heino Elleri, Eduard Tubina ja Eduard Oja kammermuusikas“ nn. mitmemõõtmelisele vormile, mille alaosade ja neist moodustuva tervikstruktuuri tõlgendamisel ei ole võimalik lähtuda vaid ühest vormietalonist. Sageli avaldub selline vorm just üheosalistes instrumentaalteostes ning tavapäraselt põimuvad selles vormi kaks erinevat tasandit – sonaativorm ja sonaadiükskel. Tool näitab, kuidas Lääne- ja Kesk-Euroopas tollal juba oma olulisust kaotama hakkav vormiline strateegia mängis olulist rolli eesti muusikalise modernismi kujunemises.

Järgnevas kolmes artiklis on fookuses vormi kujundavad aspektid. Michael Oravitzi artiklis „Meetrum vormilise piiritlejana Debussy kahes prelüüdis“ demonstreeritakse meetrilise profiili ehk individualiseeritud meetrilisel struktuuril põhineva vormilõigu mõiste kaudu meetrumi mõju tervikvormi moodustumisele. Ildar Khannanovi uurimuses „Vormifunktsioonid ja vormiline deformatsioon Sergei Rahmaninovi etüüd-piltides op. 39, nr. 5 ja 6“ keskendutakse vormilist deformatsiooni mõjutavatele aspektidele vene helilooja loomingus. Khannanovi hinnangul on nendeks vanavene kirikulaulu (знаменное пение), hilisromantilisele stiilile omase poeetilise retoorika, kuid ka modernsemate võtete, s.o. teatraalse dramaturgia, kinematograafilise montaaži ja kirjandusliku teadvusega kaasneva dialoogilise teadvuse mõju. Cecilia Oinas läheneb oma artiklis „Sekundaarsete parameetrite roll muusika kujundamisel: Mendelssohni klaveritrio c-moll vormiliste liigenduskohtade esitajaperspektiivist teostatud vaatlus“ teosele aga esitaja perspektiivist, rõhutades traditsiooniliselt ebaolulisena käsitatud parameetrite rolli vormiliselt ambivalentsetele kohtadele interpretatsiooniliste lahenduste otsimisel.

Kogumiku lõpetavad kaks käsitlust 18. sajandi muusikast, milles keskendutakse helikõrgusliku struktuuri vormiloovale rollile. David Lodewyckxi artikkel „Mozart ja Marpurgi galantsed kadentsid: teoreetilised perspektiivid, vormiline mõju

ja häältejuhtimine" tutvustab 18. sajandil galantes stiilis käibele tulnud uut tüüpi kadentse ning seda, kui teadlikult ja läbimõeldult heliloojad neid kadentse oma loomingus kasutasid. Stephen Slottow' uurimus „Harmonilised sekventsids Mozarti klaverisonaadi F-duur KV 280 I osas" on aga analüütiline *case study*, mille tulemusi kasutatakse ühtlasi Heinrich Schenkeri seisukohtadega polemiseerimiseks.

Valdkonna spetsiifikast tulenevalt on kogumiku põhiartiklid inglise keeles, kuid varustatud laiendatud eestikeelsete kokkuvõtetega. Analoo-

giliselt Res Musica varasemate numbritega on kõik siin avaldatavad artiklid anonüümselt retsenseeritud oma ala väljapaistvate spetsialistide poolt, kellele kuulub ka koostaja sügav tänu.

Seitsmes rahvusvaheline muusikateooria konverents korraldati institutsionaalse grandiprojekti „Muusika performatiivsed aspektid" (IUT12-1) täitmise raames ning seda rahastasid Eesti Teadusagentuur, Eesti Ameerika Ühendriikide saatkond, Eesti Muusika- ja Teatriakadeemia ning Eesti Arnold Schönbergi ühing.

Kerri Kotta

## Editor's Preface

The seventh issue of *Res Musica* is based on selected essays from the Seventh International Conference on Music Theory held in Tallinn and Pärnu, January 8–11, 2014. The topic of the conference was musical form. Mainly due to its multifaceted nature, the interpretation of form is one of the more sophisticated aspects of music theory. Since musical form is a result of an interaction of many different elements, its analysis always raises the question of its main influencers. Is it primarily a temporal positioning that determines the formal meaning of a section, as claimed in the theory of formal functions, or a relation between a section and a referential set of ordered musical ideas that functions as a model for that section, as claimed in the theory of dialogic form?

Nowadays, the latter view seems to have a continuously increasing impact on the understanding of the musical form which is often treated as a deformational phenomenon. In other words, the expressive content of the form or its ability to speak to listeners, lies in its potential to play with the expectations generated by the referential set of ordered musical ideas and its capability for dialog. The deformational behavior of form is also one of the main topics of the first essay of this volume "Turning Inward – Turning Outward – Turning Around: Strong Subordinate Themes in Romantic Overtures" by Steven Vande Moortele. Vande Moortele focuses on the subordinate themes that show an unusual formal design. In traditional *Formenlehre*, the subordinate theme is not defined in absolute terms, but rather in relation to the main theme. The subordinate themes discussed by Moortele, not only exceed the main theme in their prominence, but sometimes takes over the formal functions associated with the main theme.

The ambivalent articulation of the subordinate theme in exposition and its formal consequences is a topic of the second essay. In her article "Mahlerian Quotations, Thematic Dramaturgy, and Sonata Form in the First Movement of Shostakovich's Fourth Symphony," Charity Lofthouse demonstrates how the initial "failure" of the subordinate

theme results in a rhetoric drama which is built by the constant thwarting of rotational expectations and eventually leads to an almost-militarized *telos*, a Mahlerian, recapitulatory eclipse of both the main theme and the subordinate theme fragment's melodic hegemony.

Aare Tool focuses on the multi-dimensional form, in which constituent parts and the structure as a whole cannot be discussed in terms of a single formal schema in his study "One-Movement Form in the Chamber Music of Heino Eller, Eduard Tubin, and Eduard Oja." Often such a design articulates the one-movement form of extended instrumental compositions usually combining two different formal dimensions – the dimensions of sonata form and sonata cycle. Tool shows how the formal strategy which was gradually losing its importance in the music of Central and Western Europe played a crucial role in the rise of musical modernism in Estonia between the two world wars.

The next three studies concentrate on the different aspects that shape musical form. Michael Oravitz applies the concept of a metrical profile, i.e. a formal section displaying an individualized metrical structure, to show the impact of meter to the musical form in his article "Meter as a Formal Delineator in Two Debussy *Préludes*." Ildar Khananov describes those aspects that result in the formal deformation in his essay "Function and Deformation in Sergei Rachmaninoff's *Etudes-Tableaux* Op. 39, Nos. 5 and 6." These aspects include ancient Russian chant (знаменное пение), the manifestation of late-Romantic poetics, but also more modern devices such as theatrical dramaturgy (with its entanglement-conflict-dénouement strategy), morphology of a fairy tale, cinematic montage and aspects of literary form reflecting dialogical consciousness. In her study "The Role of Secondary Parameters in Musical Shaping: Examining Formal Boundaries in Mendelssohn's C minor Piano Trio from the Performer's Point of View," Cecilia Oinas emphasizes the role of the parameters often considered insignificant in traditional *Formenlehre*. Oinas demonstrates how the sensi-

tivity to these parameters often help performer to find “working” solutions for the formally ambivalent passages.

The collection concludes with two essays on the 18th century music with emphasis on harmonic and contrapuntal structure and their impact to musical form. In his study “Marpurg’s Galant Cadence in Mozart: Theoretical Perspectives, Formal Implications and Voice Leading,” David Lodewyckx discusses a specific cadential formula extensively used in the galant style of the 18th century. He also underlines how consciously composers used this type of cadence in their music. Stephen Slottow’s essay “Sequences in Mozart’s Piano Sonata, K. 280/I” is an analytical case study, which’s results are used to put into question some theoretical positions expressed by

Heinrich Schenker in his “The Masterwork in Music.”

Due to the specificity of their topics, the main articles in this issue of *Res Musica* are in English, but provided with extended summaries in Estonian. Like those of the previous issues, articles published here are reviewed anonymously by the experts of the field, to whom belong my sincere gratitude.

The Seventh International Conference on Music Theory in Tallinn and Pärnu was held in the framework of the institutional grant project “Performative Aspects of Music” (IUT12-1) and was funded by Estonian Research Council, Embassy of the United States of America in Tallinn, Estonian Academy of Music and Theatre, and Estonian Arnold Schoenberg Society.

Kerri Kotta



# Turning Inward – Turning Outward – Turning Around: Strong Subordinate Themes in Romantic Overtures

Steven Vande Moortele

## Marx's Themes

When talking about Romantic subordinate themes – subordinate themes, that is, in sonata forms written between roughly 1820 and 1850 – it is almost impossible not to start with a music theorist: Adolf Bernhard Marx. One of the distinguishing features of nineteenth-century theories of musical form – in contrast to eighteenth-century ones – is the emergence and gradual solidification of the very notion of subordinate theme,<sup>1</sup> and a well-known passage from the third volume of Marx's *Die Lehre von der musikalischen Komposition* (Marx 1845: 247–291) has arguably served as the benchmark for most, if not all, subsequent theoretical discussions of subordinate themes. Indeed, Marx's treatise has become nothing short of notorious for the terms in which he casts the relation between the themes in a sonata-form exposition: a “masculine” main theme versus a “feminine” subordinate theme.

Marx's infelicitous word choice has been scrutinized (and often deplored) from a variety of angles.<sup>2</sup> However, the questionable political correctness of his gendered metaphor – highly uncomfortable from our perspective, but apparently relevant from a mid-nineteenth-century point of view – threatens to conceal that it seeks to clarify a more fundamental point. In Marx's theory, the relationship between main and subordinate themes shifts from a chronological to a hierarchical one, as his substitution of the terms *Hauptsatz* and *Seitensatz* for the older terms *erstes*

and *zweites Thema* reflects.<sup>3</sup> True, the term *Seitensatz* can be taken to mean that the second theme literally stands beside and, therefore, at the same level as the first theme. But the term *Hauptsatz* implies subordination: the *Seitensatz* is placed next to something more important, more fundamental than itself.

Marx himself puts it as follows:

The *Hauptsatz* is the first to be determined, [...] the more energetic, concise, and absolute formation, that which leads and determines. The *Seitensatz*, by contrast, is created after the first energetic statement; serving as a counter-statement, it is conditioned and determined by what precedes it.<sup>4</sup>

Scott Burnham has shown how this passage must be understood in light of Marx's general *modus operandi*, which “seeks to justify compositional choices by working through the piece from left to right” (Burnham 1996: 167).<sup>5</sup> Since the *Hauptsatz* comes first, it is, in the words of Marx's supporter Eduard Krüger, “*causa sui*, das Seiende” (Krüger 1847: 332). Standing to the right of it, the *Seitensatz* comes into being in relation to a *Hauptsatz* that was always already there. It is what it is because of the *Hauptsatz*; it depends on the pre-existing condition of the main theme.<sup>6</sup>

Marx's *Formenlehre* is largely about music of the late eighteenth and early nineteenth centuries; it is not a theory of the music of his own time (even though it was, of course, part of a manual

---

A shorter version of this essay was presented as a keynote address at the Seventh International Conference on Music Theory, Tallinn – Pärnu, 8–11 January, 2014. It is part of a larger study of form in Romantic overtures funded by the Alexander von Humboldt Foundation, the Connaught Fund of the University of Toronto, and the Social Sciences and Humanities Research Council of Canada.

<sup>1</sup> See Reicha 1826: 298; Birnbach 1827 and 1829; Czerny 1848[?]: 33–46; and Lobe 1844: 134–55. On all of these, compare Ritzel 1968 and Hinrichsen 1997.

<sup>2</sup> See, e.g., Citron 1993: 132–143; Hepokoski 1994; and Burnham 1996: 181–184.

<sup>3</sup> *Erstes Thema* and *zweites Thema* are the terms used in Birnbach 1827.

<sup>4</sup> “Der Hauptsatz [ist] das zuerst [...] Bestimmte, mithin das energischer, markiger, absoluter Gebildete, das Herrschende und Bestimmende. Der Seitensatz dagegen ist das nach der ersten Feststellung Nachgeschaffne, zum Gegensatz dienende, von jenem Vorgehenden Bedingte und Bestimmte” (Marx 1845: 273; my translation). For a translation of longer excerpts from volume 3 of Marx's *Lehre*, see Marx 1997.

<sup>5</sup> See also Uribe 2011: 225.

<sup>6</sup> “Die Bildung des Hauptsatzes [...] bestimmt alles Weitere” (Marx 1845: 259).

for beginning composers).<sup>7</sup> In this article, I nonetheless take two central elements from Marx's understanding of subordinate themes – the idea that themes are defined in relation to one another rather than in absolute terms, and the idea that the relation between those themes is hierarchical in nature – as a way into a discussion of the use of subordinate themes in four concert and operatic overtures by Felix Mendelssohn, Hector Berlioz, and Richard Wagner that were written right around the time when Marx was formulating his theory. But I do so in a contrarian way. For whereas Marx's "relational" approach can be applied to these works in a straightforward manner,<sup>8</sup> the hierarchical relationship between their themes is the exact opposite of what he describes (and, consequently, of received notions about how subordinate themes are expected to behave). Even though the relational nature of Marx's model allows for variation between individual cases, the main theme will always come out as relatively strong and independent, and the subordinate theme as weak and dependent; the main theme always is hierarchically superior. In the overtures I discuss below, this relationship is turned on its head. All four feature what I call a "strong subordinate theme": an unusually striking subordinate theme that, as soon as it appears, eclipses or overrules the preceding main theme. The subordinate theme appears as the more fundamental entity, to which the main theme is subservient.

My article consists of two shorter and two longer analyses as well as a brief set of concluding remarks. I begin with Janet Schmalfeldt's notion of subordinate themes that "turn inward," which I apply to Mendelssohn's overture *Die Hebriden*. Then I discuss a category of subordinate themes that do the opposite, namely turn outward, using the example of Berlioz's *Les Francs-juges*. Finally, I analyze two overtures in which the inverted relationship between main and subordinate themes has more far-reaching consequences: Berlioz's *Le Carnaval romain* and Wagner's *Tannhäuser* overture.

### Turning Inward: Mendelssohn, *Die Hebriden*

In her book *In the Process of Becoming*, Schmalfeldt has shown one way in which the hierarchical relationship between main and subordinate themes in nineteenth-century music can be inverted. In a chapter titled "Music That Turns Inward," she writes about

the tendency within [certain] early nineteenth-century instrumental works toward [...] formal techniques that draw new kinds of attention to deeply felt, song-inspired [...] secondary (as opposed to main) themes.

When this happens, the subordinate theme

becomes the focal point of the complete work – the center of gravity toward which what comes before seems to pull, and from which all that follows seems to radiate (Schmalfeldt 2011: 136).

For Schmalfeldt, these moments resonate with broader cultural and philosophical concerns in early nineteenth-century Europe, expressing an idea of inwardness and subjectivity that relies on the opposition between inside and outside – between "a subject with inner depths" and "the objects of this world" (Schmalfeldt 2011: 133). A crucial element in her account of this introversion is the category "song": introversive subordinate themes are "song-inspired," and it is the song that gives voice to the subject.

Analogous to Marx's notion of subordinate theme, Schmalfeldt's "inward" themes do not constitute an absolute category but are instead defined relationally. Even though the subordinate themes she writes about can be construed as "inward-turned," her persistent use of the phrase "turning inward" brings out the processual aspect of the phenomenon (fully in line, of course, with the general subject matter of her book). And the process implies a point of reference outside the introversive theme itself – a point in relation to which the music turns inward as it approaches the

<sup>7</sup> It has often been pointed out that nineteenth-century theories of sonata form in general are not necessarily the best instruments for the analysis of classical (especially early classical) music. For one of the earliest versions of this argument, see Ratner 1949.

<sup>8</sup> Marx's relational approach resonates with the distinction modern-day music theory makes between "intrinsic" and "contextual" formal functionality. See, e.g., Vallières et al. 2009: 18, and Vande Moortele 2013b: 420–421.

subordinate theme: the main theme (and, as the case may be, the transition).

Schmalfeldt associates the idea of subordinate themes that turn inward specifically with (late) Schubert, although she never claims that it is an exclusively Schubertian phenomenon. More generally, her idea of inwardness seems inextricably linked to notions of intimacy and privacy; its locus is chamber music in the most literal sense, i.e., as domestic music making (Schmalfeldt 2011: 142–143). Inward-turning subordinate themes are not limited, however, to the genres of the bourgeois drawing room. They also occur in public instrumental genres, and because of the larger apparatus those genres employ, they tend to be more extreme in their effect.

One of the earliest and, at the same time, most explicit manifestations of the turn inward in nineteenth-century orchestral music is Mendelssohn's overture *Die Hebriden* (1830/32). The subordinate theme appears at m. 47 in the exposition (see Example 1). It is first presented by the celli, bassoons, and clarinets (mm. 47–57) and then repeated by the first and second violins in octaves (mm. 57–66) before giving way to a grand expansion that leads to its final cadence (mm. 67–89). Save for the expansion, which quickly gathers momentum and brings about the first fortissimo in the piece, the theme is eminently lyrical; it is a true melody – according to one commentator, even “quite the greatest melody Mendelssohn ever wrote” (Tovey 1937: 92). Thomas Grey describes the theme as an “arching lyrical phrase, [which,] with its expression of hope and intimate confidences, reaches out to us from the musical ‘picture’ with a song” (Grey 2000: 70).

Grey's description brings together what would later become the two central characteristics of Schmalfeldt's introversive subordinate themes – lyricism and expressivity – and makes explicit their joint origin in song. While those characteristics are intrinsic to Mendelssohn's subordinate theme, and thus become evident regardless of contextual factors, they are enhanced by their

relationship to the theme's surroundings. Grey writes that the song “reaches out to us from the musical picture.” The allusion here is, of course, to the familiar characterization of Mendelssohn as a “musical landscape painter.” Although the original form of this epithet, which apparently stems from Wagner, was hardly meant in an unambiguously positive way, it is not easily dismissed in the context of *Die Hebriden*.<sup>9</sup> The overture's opening theme is generally understood as a musical depiction of a basalt cave on the Isle of Staffa (one of the inner Hebrides to the west of Scotland) that was known in the nineteenth century as “Fingal's Cave.”<sup>10</sup>

Many authors have singled out the main theme of *Die Hebriden*, shown in Example 2, for its deliberate musical primitivism: the emphasis on tone color, the implied parallel fifths between the outer voices, the plagal closing motion at mm. 8–9, and the hyper-repetitive motivic structure all exemplify what R. Larry Todd has dubbed “Mendelssohn's Ossianic manner” (Todd 1984). In the present context, the crucial element is that the main theme fails to articulate a melody. Although it is not impossible to hear mm. 1–9 as a loose sentence (a two-measure basic idea, two sequential repetitions, and a brief continuation), the motive that is constantly repeated in the most active voice (violas, celli, and bassoon) has a tendency to merge with the accompaniment; indeed, it is not hard to imagine the first two measures as a prefix that would have receded to the background had a melody entered in m. 3. The accompanimental nature of the leading voice becomes particularly clear in mm. 3–4, where the celli, which were doubling the violas at the octave in the preceding measures, temporarily go their own way and play a rising arpeggio-like motive in counterpoint to the violas. With its weakly profiled flow of eighth notes, this motive is even more accompanimental than the main motive. Only in mm. 7–8 does a modest melodic profile emerge, yet this immediately turns into an undulating backdrop to the repetition of the theme.

<sup>9</sup> Several of Wagner's comments along these lines are recorded in Cosima's diaries. See, e.g., 6 June 1879, on three of Mendelssohn's concert overtures: “Als Landschaftsmaler vortrefflich, nur aber nicht, wenn er mit dem Herzen wackelt” (Wagner 1977: 361).

<sup>10</sup> On the genesis of *Die Hebriden*, see Todd 1993: 26–33. But compare Grey 2000: 66–67.

Example 1. Die Hebriden, mm. 47–57.

basic idea

fragment

fragment ==>

47

violins 1-2

sempre *pp*

viola

sempre *pp*

flutes

*pp*

cello, bassoons

*mf cantabile*

+ clarinets

*sf*

*p*

double bass

*p*

III

basic idea repeated

fragment

fragment ==>

51

- clarinets

*cresc.*

+ clarinets

*sf*

*pp*

- clarinets

*p*

cadential

55

violin 2

*sf*

PAC

**Example 2.** *Die Hebriden*, mm. 1–9.

The musical score for Example 2, *Die Hebriden*, mm. 1–9, is presented in two systems. The first system (mm. 1–6) is marked **Allegro moderato**. It begins with a **basic idea** in the violin 1-2 staves (mm. 1–2), followed by **repetition (sequential)** in the clarinets (mm. 3–4) and oboes (mm. 5–6). The second system (mm. 7–9) is labeled **continuation** and features a **theme rebeginning** in the violin 1-2 staves (mm. 7–9). The score includes staves for violin 1-2, viola/bassoon 1, cello, double bass, flutes, and timpani. Dynamics include piano (*p*) and piano (*p*). The key signature is one sharp (F#) and the time signature is common time (C).

Like the first statement of the theme, its repetition (with the main motive now in the violins) and its subsequent expansions attain a more distinct melodic contour only towards the ends of phrases, first at mm. 15–16, then again in mm. 23–26 (an intermediary attempt to “sing” in mm. 19–20 is abandoned). Throughout the main theme group, the highest degree of “melodicity” emerges at

those moments where one least expects it: in the lead-up to the cadence, where thematic material typically is “conventional” rather than “characteristic.”<sup>11</sup> The first melodic impulse that is sustained for an entire phrase tellingly occurs only in the codetta (mm. 27–30), after the theme itself is over, further highlighting the absence of true melody from what comes before.

<sup>11</sup> On conventional and characteristic melodic material, see Caplin 1998: 11 and 37.



The main theme thus comes to act as a foil for the subordinate theme: it creates and sustains a melodic vacuum that is filled only when the subordinate theme enters. The latter establishes itself as the focal point of the form simply because it is, as Grey says, “the first ‘real’ theme, as a melodic entity” (Grey 2000: 80). Put bluntly, the subordinate theme attracts attention because there is no other theme to pay attention to.

In contrast to the main theme, the subordinate theme does appear as a theme in the full sense of the word, i.e., as a complete mid-level syntactic unit (albeit one of unorthodox intrathematic organization) with a distinct melodic profile. But it is a theme not only in an intrinsic sense. It also functions “relationally,” its effect relying largely on the confrontation with the main theme, which distinctly lacks its striking thematic profile. From this perspective, the subordinate theme reacts to the main theme, very much in Marx’s left-to-right sense, but with the hierarchical relationship inverted. The subordinate theme is not there as a necessary complement to the main theme, but instead the main theme exists to enable the subordinate theme to fulfill its powerful effect of introspection and subjectification. It is the main theme that is “subordinate” to the theme entering at m. 47, rather than the other way around.

### Turning Outward: Berlioz, *Les Francs-juges*

My second example takes us from Mendelssohn in Scotland to Berlioz in Paris, albeit through the detour of Wagner, who in the early 1840s worked as a musical correspondent in the French capital for the Dresden *Abend-Zeitung*. In May 1841, Wagner decided that the time had come to inform

his readers about Berlioz, who was then known in Germany primarily for his first three concert overtures, *Les Francs-juges*, *Waverley*, and *Le Roi Lear*.<sup>12</sup> Berlioz was hardly any less controversial in Germany than in France, and Wagner himself remained ambivalent about his music.<sup>13</sup> For Wagner, its idiosyncrasies stemmed from the tension between Berlioz’s German and French influences, personified by Ludwig van Beethoven and Daniel-François-Esprit Auber:

From our Germany the spirit of Beethoven blew across to him, and there certainly have been hours when Berlioz would have wished to be a German. [...] But as soon as he put pen to paper, the natural pulsing of his own French blood set in again, of that same blood that surged in Auber’s veins [...] Then he felt that he could not become like Beethoven, but neither could he write like Auber. He became Berlioz [...].<sup>14</sup>

Wagner then goes on to explain the difference between the German and French artistic temperament. Whereas the German artist prefers to withdraw from society to find the “true source of his productive powers within himself,” French art follows the “direction outward,” seeking its source of inspiration “in the outermost points of society.”<sup>15</sup>

German music, for Wagner, turns inward, French music turns outward. Interesting paragraphs could be written that deconstruct a deeply problematic ideology lurking behind Wagner’s position. But simply to dismiss Wagner’s discourse, no matter how essentializing and nationalistic it may be, would be to overlook its possible relevance to Berlioz’s music and its reception

<sup>12</sup> The overture to *Les Francs-juges* was originally part of an opera that was never performed and which survives only in fragmentary form. From its first performance in 1828 at the Paris Conservatoire, Berlioz clearly intended to salvage the overture by treating it as a concert piece. *Waverley* and *Le Roi Lear* were intended as concert overtures from the beginning. There are twenty-nine documented performances of works by Berlioz in Germany before 1841, all of them overtures. See the overview in Braam and Jacobshagen 2002: 619–620.

<sup>13</sup> On Wagner and Berlioz, see Bloom 2000 and Piontek 2003.

<sup>14</sup> “Aus unserem Deutschland herüber hat ihn der Geist Beethoven’s angeweht, und gewiß hat es Stunden gegeben, in denen Berlioz wünschte, Deutscher zu sein. [...] So wie er aber die Feder ergriff, trat die natürliche Wallung seines französischen Blutes wieder ein, desselben Blutes, das in Auber’s Adern braus’t [...] Da fühlte er, er könne nicht wie Beethoven werden, empfand aber auch, er könne nicht wie Auber schreiben. Er ward Berlioz [...]” “Aus Paris,” in: [Dresdner] *Abend-Zeitung*, May 24, 1841 (Wagner 1911: 86).

<sup>15</sup> “Es ist dieß die Richtung nach Außen, das Aufsuchen der gemeinschaftlichen Anklänge in den Extremitäten. Wenn im geselligen Leben sich der Deutsche am liebsten zurückzieht, um den eigentlichen Nahrungsquell seiner produktiven Kraft in seinem Innern nachzuforschen, sehen wir im Gegentheile den Franzosen diesem Quelle in den äußersten Spitzen der Gesellschaft nachstreben” (Wagner 1911: 87).

**Example 3.** *Les Francs-juges*, mm. 60–70.

among his and Wagner's contemporaries. Indeed, Wagner's aperçu may very well have rung true to a German music lover who first encountered some of Berlioz's pieces. For "turning outward" is exactly what the subordinate theme in the overture to *Les Francs-juges* (1826) – at the time Berlioz's most performed composition in Germany by far – seems to do.

It is almost a cliché in the literature on *Les Francs-juges* to point out that the main theme is overshadowed by the subordinate theme.<sup>16</sup> It would nonetheless be tendentious to pretend that there is anything intrinsically incomplete or unsatisfactory about the main theme itself (see Example 3). In contrast to the main theme in *Die Hebriden*, it has both the profile and the structure of a "theme." More specifically, it takes the form of a sentence. With its eleven measures, however (fourteen if one includes the postcadential extension that functions as a link to the transition), this main theme is rather short, especially after the expansive slow introduction, which lasts more than three minutes. Berlioz, in other words, grants the main theme very little breathing room. Admitted-

ly its motivic content spills over into the next unit: the transition begins at m. 74 with a varied repetition of the main theme, the first violins literally restating the theme's first six measures and the other strings following canonically at the distance of two measures. Yet the transition quickly moves to the mediant A<sub>b</sub> major and from m. 93 onward gets bogged down in mere passagework. Even though this passagework has hardly any thematic profile, it lasts twenty-three measures – almost as long as the main theme and its restatement at the opening of the transition combined.

When the subordinate theme enters at m. 116 (see Example 4), the contrast with the main theme could not be greater. It surpasses by far anything that precedes it in melodiousness and memorability. As in *Die Hebriden*, this is because of a combination of contextual and intrinsic factors. First and foremost, the subordinate theme is comparatively light, not so much because of the major mode (which was secured several measures earlier), but because of the texture. Whereas the main theme is labored and, at the beginning of the transition, even quasi-academic, the subordinate theme ap-

<sup>16</sup> See, e.g., Holoman 1989: 88 and Bickley 2000: 73.

**Example 4.** *Les Francs-juges*, mm. 60–70.

The musical score for Example 4, *Les Francs-juges*, mm. 60–70, is presented in three systems. The first system (mm. 116–121) shows a 'prefix' for the viola and cello/double bass in *mf*, and a 'basic idea' for violin 1 in *p* with the instruction *dolce e legato*. The second system (mm. 122–127) features a 'contrasting idea' for violin 1 in *p*. The third system (mm. 128–133) features a 'cadential' progression for violin 1, with harmonic markers I E.C.P., IV, and V<sup>7</sup>. The score is written for violin 1, violin 2, viola, and cello/double bass.

pears as a melody over an energetically pulsing accompaniment. In contrast to the hectic nature of the main theme, moreover, the subordinate theme has time, so to speak. Not only is the theme itself thirty-one measures long (against eleven for the main theme), it is also repeated almost in its entirety (embellished by a descant voice in the upper woodwinds that is derived from the main theme). As a whole, the subordinate theme group lasts for fifty-eight measures.

The subordinate theme's most striking intrinsic characteristic is that it is perfectly singable without being particularly lyrical. Every pair of measures comprises the same lively anacrusic rhythm followed by either a long sustained note, or a legato gesture of two or three notes. This gestural uniformity goes hand in hand with a hyper-regular metrical grid of thirteen groups of four measures (and one incipient fourteenth group). All that

keeps this succession of four-measure groups from becoming unbearably tedious, so it would seem, is its functional differentiation through harmony: after a four-measure prefix, the theme enters with a four-measure basic idea, a four-measure contrasting idea, and an eight-measure phrase underpinned by an expanded cadential progression. This cadential phrase leads to an IAC and is repeated twice with slight variations. The second iteration ends like the first, but the third leads to a PAC.

In spite of its irresistible energy, the overly regular phrase structure of Berlioz's subordinate theme could be (and has been) heard as an aesthetic defect.<sup>17</sup> It is a stylistic lapse from the main theme – a lapse, perhaps, into the aesthetic realm of Auber, the composer who in Wagner's account of Berlioz's music represented musical Frenchness *tout court*. It is not entirely surprising, then, that

<sup>17</sup> See Bickley 2000: 73.



## Example 4. Part 2

cadential (repeated)

134

IAC

E.C.P.

cadential (repeated)

140

146

PAC

in his *Mémoires*, Berlioz concedes that the theme was borrowed from a quartet he had written as a teenager (Berlioz 1870: 14). All the same, the subordinate theme's superiority over the main theme is confirmed – in a sense, acted out – in the final stages of the form: in the recapitulation, the main theme receives even less emphasis than in the exposition because its restatement at the beginning of the transition is now omitted. The opposite happens to the subordinate theme. Its energy now unleashed, it flourishes into a grand apotheosis that lasts close to one hundred measures.

\*\*\*

If I apply the same category of “strong subordinate theme” to both Mendelssohn’s and Berlioz’s overtures, I do so with the understanding that they are strong in almost opposite ways. Mendelssohn’s introversive subordinate theme is a subordinate

theme through and through: it is strong in spite of having all the characteristics we normally associate with a Romantic subordinate theme, such as lyricism, expressivity, and melodiousness. Even though the theme’s energy level rises towards the end of its expanded repetition, it is not on this turn outward that its strength relies, but rather on its degree of “thematicity” and phrase-structural stability in comparison to the main theme. Berlioz’s subordinate theme is strong in a different way. It is not lyrical or expressive, but energetic – acquiring, to a certain extent, characteristics we would normally associate with a main theme. To put it differently: the idea of a sonata form in which the subordinate theme from *Die Hebriden* would function as a main theme seems almost absurd. But it is not so hard to imagine how Berlioz’s subordinate theme could function, in a different context, as a main theme.

### Turning Around: Berlioz, *Le Carnaval romain* and Wagner, *Tannhäuser* overture

In the previous sections, I introduced the categories of inward- and outward-turned strong subordinate themes, focusing on how they function in their immediate context, that is, in relation to the rest of the exposition. In what follows, I adopt a broader perspective: I will analyze the role of outward-turned strong subordinate themes in Berlioz's concert overture *Le Carnaval romain* (1844) and in the overture to Wagner's *Tannhäuser* (1845) in relation to the form as a whole. In both works, the hierarchical superiority of the subordinate theme over the main theme in the exposition has momentous consequences for the way in which the rest of the form plays out. More specifically, the themes' form-functional roles are reversed over the course of the form, as the strong subordinate theme from the exposition seems to assume main-theme function in the recapitulation. In both overtures, moreover, the unusual formal trajectory can be clarified by bringing into play the programmatic aspect implied by the overture's title in *Le Carnaval romain* and by the opera's dramatic action in *Tannhäuser*.

Stephen Rodgers has recently pointed out that the reliance of *Le Carnaval romain* on some of the conventions of sonata form is as obvious as its departure from others (Rodgers 2009: 63). Figure 1 provides a formal overview; the numbers in the bottom row of the chart refer to the themes whose incipits are shown in Example 5.<sup>18</sup> Once the long multi-tempo introduction (a brief *Allegro assai con fuoco* followed by a luxuriating *Andante sostenuto*) has drawn to an end, the *Allegro vivace* launches what clearly seems to be an exposition: a saltarello main theme in mm. 78–102, a transition in mm. 102–127, and a boisterous subordinate theme in mm. 128–168. Already in this exposition, however, the distribution of cadences is odd. The main theme ends as expected on a PAC in the tonic (the covering  $\hat{5}$  in the flute is part of the accompaniment). The transition, however, begins as

a postcadential codetta to the main theme, then appears to modulate to  $\flat$ III, only to revert to the tonic in the last instant and conclude not with an HC, but with another PAC. Moreover, the subordinate theme does not achieve cadential closure at all. If one understands it as a ternary design (with mm. 128–143 as an A section, mm. 144–159 as a contrasting middle, and m. 160 as the beginning of a varied A $\times$  section), the A $\times$  section does not lead to a cadence in the dominant, but rather turns into a retransition that modulates back to the home key.<sup>19</sup>

Even more unusual is that this retransition leads to a full repeat of the exposition. This is at odds with the genre conventions of the overture, which distinguishes itself from the first movement of a symphony through its systematic omission of the exposition repeat. What is more, the exposition repeat in *Le Carnaval romain* is not indicated by repeat signs, but completely written out, with modifications. This too is exceedingly unusual in the first half of the nineteenth century. The modifications in the second exposition affect both instrumentation and tonal organization; the most important structural change is that the transition is expanded and now firmly establishes the dominant, ending with a V:PAC that is elided with the entry of the subordinate theme. Cadential closure is still absent from the subordinate theme itself, however, in spite of its substantially rewritten A $\times$  section.<sup>20</sup>

A new sonata-form cue is given at m. 276, where a developmental pre-core seems to begin. This impression is confirmed when a core-like unit starts at m. 300, drawing on the rhythm from the main theme and on the melody from the slow portion of the introduction.<sup>21</sup> The development leads not to a complete recapitulation, but to a return of the subordinate theme only (now transposed to the tonic). As Rodgers (2009: 65) emphasizes, this brings into play the notion of a “binary” sonata form or, in the terminology of Hepokoski and Darcy, a “Type 2 sonata,” in which there is

<sup>18</sup> My reading of the piece's outlines is largely analogous to Rodgers's, differing on only three accounts: the internal organization of the subordinate theme; the beginning of the development; and the beginning of the coda. Compare the form chart in Rodgers 2009: 66.

<sup>19</sup> In Hepokoski and Darcy's terms, this constitutes a “failed exposition” (2006: 177–178). Note that I do not consider m. 160 (the beginning of the A $\times$  section) to be a cadence. The preceding B section ends in  $F\sharp$  minor on the downbeat of m. 158, and the intervening unison passage forms a link between both sections.

<sup>20</sup> The situation at m. 257 is analogous to that at m. 160.

<sup>21</sup> On “core” and “pre-core” functions, see Caplin 1998: 141–155.

**Figure 1.** *Le Carnaval romain*: overview.

mm.	1–18	19–77
tempo	<i>Allegro assai con fuoco</i>	<i>Andante sostenuto</i>
formal function	<b>INTRODUCTION</b> (multi-tempo) “false start”	
keys	I	A – B – A – B – A – codetta bIII – V – I
cadences		I:HC I:HC
thematic material	1	2

mm.	78–102	102–127	128–168
tempo	<i>Allegro vivace</i>		
formal function	<b>EXPOSITION 1</b>		
	Main Theme	Transition (codettas⇒Tr)	Subordinate Theme
keys	I	I – (bIII) – I	A (128–143) B (144–159) A'⇒Retransition (160–168)
cadences	I:PAC	I:PAC (!)	V V – (vi) V no cadence (!)
thematic material	3	4	1

mm.	168–192	192–225	225–275
formal function	<b>EXPOSITION 2 (!)</b>		
	Main Theme	Transition (codettas⇒Tr)	Subordinate Theme
keys	I	I – (iii) – V	A (225–240) B (241–256) A'⇒Link to Dev. (257–276)
cadences	I:PAC	V:PAC (!)	V V – (vi) no cadence (!)
thematic material	3	4	1

mm.	276–299	300–343
formal function	<b>DEVELOPMENT</b>	
	Pre-core	Core
keys		bVI – I
thematic material	X	2 (+3)

mm.	344–355	356–366	367–387	387–412
formal function	<b>RECAPITULATION (?)</b>			
	Subordinate Theme (!)	Fugato	Intro Theme (!)	Closing Section
keys	A only		VII/V – v – I	I
cadences	I		I:PAC	
thematic material	1		2	4

mm.	413–446
formal function	<b>CODA</b>
keys	I
cadences	I:PAC
thematic material	1

**Example 5.** *Le Carnaval romain*: thematic incipits.

Allegro assai e con fuoco

1 *f*

Andante sostenuto

2 *mf* *espress.*

Allegro vivace (Tempo I)

3 *p*

4 *ppp*

no recapitulation but a “tonal resolution.”<sup>22</sup> Main theme material resurfaces only to accompany a final, fragmented statement of the introduction’s slow melody, while the opening of the transition now functions as a closing section. The final return of the subordinate theme marks the beginning of the coda.

Elsewhere, I have voiced reservations about applying the “Type 2” concept to sonata forms from the mid-nineteenth century (Vande Moortele 2013a: 60). Primarily a formal type of the mid-eighteenth century, the “Type 2 sonata” grew increasingly rare after 1770 (as Hepokoski and Darcy themselves concede). While mid-nineteenth-century compositions that appear to be in dialogue with it exist, the “Type 2 sonata” is never discussed in the nineteenth-century theoretical literature.<sup>23</sup>

It seems implausible, therefore, that an informed mid-nineteenth-century listener would have heard these works as being in dialogue with the (eighteenth-century) “Type 2 sonata” rather than with the overwhelmingly more common (eighteenth- or nineteenth-century) “Type 3 sonata.”

If we want to steer clear of the anachronistic application of the “Type 2” concept to *Le Carnaval romain*, how can we come to terms with the work’s unusual form? For Rodgers, the answer lies in hearing *Le Carnaval romain* as a mix of vocal and instrumental elements (Rodgers 2009: 71–72). Not only are several of the overture’s themes borrowed from Berlioz’s opera *Benvenuto Cellini* (1838), but its form also combines instrumental and vocal aspects. The sonata form, Rodgers argues, is overlaid with the (typically French)

<sup>22</sup> Hepokoski and Darcy are categorical about this distinction. Given the rotational basis of their theory, a recapitulation can by definition begin only with a return of the main theme. See Hepokoski and Darcy 2006: 353–387.

<sup>23</sup> Hepokoski and Darcy mention sixteen nineteenth-century compositions that they consider to be “Type 2 sonatas” (Hepokoski and Darcy 2006: 364). As part of his critique of the “Type 2” concept, Paul Wingfield notes a few other candidates but also questions the inclusion in the list of several of Hepokoski and Darcy’s examples (Wingfield 2008: 155–160). To be clear, I am not denying that mid-nineteenth-century composers may have been aware of eighteenth-century “Type 2 sonatas,” nor that they may even have modeled some of their own compositions on these earlier works. But in a nineteenth-century context, the very decision to revive this older format arguably constitutes a deformational gesture. I discuss the question of the “Type 2 sonata” in Romantic overtures at greater length in my forthcoming book *The Romantic Overture and Large-Scale Musical Form: From Rossini to Wagner*.

strophic song form of the romance or couplet. One common version of this couplet form consists of three strophes, each with a preparatory verse and a culminating refrain. While the refrain by definition remains more or less identical in all three strophes, the preceding verse may be subject to variation, especially in the final strophe. As Rodgers points out, it is not hard to see the analogy between this three-strophe plan and the exposition, its repetition, and the development and recapitulation in *Le Carnaval romain*.

While Rodgers reading of the piece is cogent, I want to advance an alternative explanation that takes the notion of “strong subordinate theme” as its point of departure. It needs little argument that the subordinate theme in *Le Carnaval romain* falls squarely within the category of strong subordinate themes; as Rodgers notes, “this is the tune we hum to ourselves as we leave the concert hall” (Rodgers 2009: 70). Especially in the first exposition, the preparatory character of the main theme and transition is unmistakable and contrasts starkly with the big bang that launches the subordinate theme. Rodgers goes so far as to claim that Berlioz, in his *Mémoires*, refers to the subordinate theme as the work’s “main theme” (Rodgers 2009: 70). This may be reading too much into Berlioz’s words. Berlioz writes that “l’allegro [du *Carnaval romain*] a pour thème ce même saltarello [du milieu du deuxième acte de *Benvenuto Cellini*]” (Berlioz 1870: 212). There is a double problem with Rodgers’s reading of the passage: not only does Berlioz write “thème” rather than “thème principal,” but there is also no reason to understand “saltarello” as referring specifically to the subordinate theme, since the entire double exposition is taken from the second tableau of *Benvenuto Cellini*.<sup>24</sup> Nonetheless, I find Rodgers’s suggestion tantalizing: what if the subordinate theme in *Le Carnaval romain* really is the main theme?

At first sight, the question may well appear nonsensical. True, intrinsically the subordinate theme “could” have been a main theme: as was the case with the strong subordinate theme in the overture to *Les Francs-juges*, it is not hard to imagine a sonata form in which it actually would function as the main theme. But that obviously is not how the theme is used in *Le Carnaval romain*. In both expositions, it is presented in the domi-

nant rather than the tonic, and both also contain a theme in the tonic that, while less memorable, nonetheless constitutes a perfectly acceptable main theme.

However, in a piece with the word “carnival” in its title, things are not necessarily what they seem. Quite the contrary: one of the essential elements of carnival is the masquerade, that is, the use of masks to confuse identities. The idea that in *Le Carnaval romain*, the themes are part of a masquerade resonates with the vocal-instrumental exchange that stands at the heart of Rodgers’s interpretation. But one can extend this idea to the form-functional plan: the strong subordinate theme in Berlioz’s overture is not really a subordinate theme, but a main theme that, for considerable stretches of the form, masquerades as the subordinate theme.

Several arguments support this interpretation. A first one is the very beginning of the multi-tempo introduction. A favorite strategy of Berlioz’s was to provide a brief in-tempo preview of a theme that does not emerge fully until later in the form; the more substantial slow portion of the introduction follows only in the second instance. In all other works in which Berlioz adopts this strategy, however, the preview is of the theme that will later function as the main theme; only in *Le Carnaval romain* is it the (supposed) subordinate theme. The implication is that a listener familiar with these other pieces would expect the previewed theme not only to play a role later in the form but specifically to play the role of main theme.

A second argument is the way in which the apparent subordinate theme enters in Exposition 1. There is an element of surprise here: the theme comes in, so to speak, head over heels. This is in part because of the sequence of events in the transition – first a postcadential codetta to the main theme, then a short-lived move to ♭III, and finally a return to, and cadential confirmation of, the tonic. At the tonic PAC in m. 126, there is no reason to assume that the main theme group is over (especially given the proportions of the introduction, which sets the listener up for a very expansive sonata form). Rather, after hearing two PACs in the tonic at the beginning of a sonata-form exposition, an informed listener probably

<sup>24</sup> “Thème” is nonetheless rendered as “main theme” in David Cairns’s translation, on which Rodgers relies (2002: 236).

does not expect a subordinate theme, but either a transition (beginning on or off-tonic) or yet another main theme. And given what happened in the introduction, the latter scenario probably would be the more likely: the main theme and transition (Themes 3 and 4 in Example 5) would then be heard as preparation for the entry of the theme that was promised by the preview. The surprise effect at m. 128, in other words, does not come from the fact that we hear this theme; this *is* the tune we have been waiting for. The surprise is that it appears in the dominant rather than the tonic (as at the beginning). One can think of the themes in Berlioz's overture, metaphorically, as characters in a play, or more precisely, as actors who, instead of following their script and playing their dedicated roles, start to improvise and react to each other's moves. In the two linking measures during which the brass gathers momentum (mm. 126–27), the main theme that was slated to enter in the tonic quickly puts on its subordinate theme mask and not only fools the listener, but also takes the two preceding formal units by surprise. (It is not hard to hear how it could and perhaps even should have entered in the tonic, as Example 6 illustrates.) In more technical terms, the entry of the main-theme-turned-subordinate-theme triggers a retrospective reinterpretation of the formal unit in mm. 102–127, as Figure 2 shows. In relation to the unit that precedes it (i.e., the main theme in mm. 78–102), it functions as a second main theme (more specifically, codetta $\rightarrow$ MT2). In relation to the main-theme-turned-subordinate theme that follows it, however, it functions as a transition.

After this unforeseen turn of events, the themes' formal functions – or, to continue the metaphor of a staged masquerade, the actors' roles – are redistributed in the second exposition; in my view, the very *raison d'être* of the second exposition is to make this redistribution possible. Rather than continue to act as two preparatory members of a larger main theme group, Themes 3 and 4 draw the conclusion from the fact that the planned third member of the main theme group has put on a subordinate-theme mask. Theme 3 now gets to carry the full burden of main theme function – hence its transformation at the be-

ginning of the second exposition. Theme 4 also adjusts to its new role and understands that it is supposed to modulate to the dominant (although it does so in a slightly overenthusiastic manner, leading to a PAC rather than an HC in the new key). Theme 1 continues to do what it did before: it pretends to be a subordinate theme. (That it still does not provide the expected cadential closure may be seen as another indication that it is a main theme that is merely posing as a subordinate theme.)

If the "subordinate theme" really is a main theme that pretends to be a subordinate theme, then it must be overwriting another theme that was originally slated to be the subordinate theme. Who is the actor who was supposed to play that role? I venture to suggest that it is the lyrical melody from the slow introduction (Theme 2 in Example 5). It would not be unreasonable to expect that melody to play a role beyond the slow introduction itself: in the same way that in many of Berlioz's overtures, the initial false start of the introduction offers a preview of what will later become the main theme, the melody from the main portion of the introduction in several Romantic overtures returns as the subordinate theme in the exposition.<sup>25</sup> In *Le Carnaval romain*, the melody from the introduction is prevented from doing so by the main-theme-turned-subordinate-theme. As a result, its reappearance is pushed back into the development.

Until the end of the development, the themes stay out of sync with their intended formal functions (or at least with the formal function that was suggested by their use in the introduction). When, immediately after the development, it is the apparent subordinate theme, rather than the beginning of the exposition, that launches the recapitulation, the masks come off. The strong subordinate theme finally assumes the role it was supposed to play all along: that of main theme.

\*\*\*

It is not hard to see the similarities between *Le Carnaval romain* and Wagner's *Tannhäuser* overture, which was completed little more than a year later. First, like Berlioz, Wagner begins his

<sup>25</sup> Other examples include Beethoven's *Leonore 2* overture, Wagner's *Rienzi* overture, and Mendelssohn's overture to Jean Racine's *Athalie*.



**Example 6.** *Le Carnaval romain*: hypothetical version of the “main-theme-turned-subordinate theme” entering in A major.

**Figure 2.** *Le Carnaval romain*: retrospective reinterpretation in the first exposition.

78–102	102–27	128–68
MT 1	← MT 2	MT 3
	↓ TR	→ ST

overture with a substantial (slow) introduction that almost outweighs the fast sonata form that follows it (all the more so because Wagner brings the introduction back at the end). Second, in the exposition of the overture’s sonata-form portion, the strongest theme is the one that is presented in the subordinate key. Third, it is this subordinate theme that first returns in the tonic after the development, thereby greatly minimizing the role of main theme material in the recapitulation. And fourth, like in *Le Carnaval romain* (as well as in *Die*

*Hebriden* and *Les Francs-juges*), the strength of the subordinate theme in the *Tannhäuser* overture is established to a large extent relative to the main theme and transition that precede it.

The exposition in its entirety is organized as what Hepokoski has called a “two-block” exposition: the main theme and transition (mm. 81–141) are merged into one large unit that maximally contrasts with the subordinate theme.<sup>26</sup> Characterized by an abundance of short motives and unstable harmonies, the first block projects a relatively (although not uniformly) high degree of form-functional looseness that creates a sense of increasing anticipation culminating in the HC that concludes the first block with a pronounced colon effect.<sup>27</sup>

The entry of the subordinate theme after this HC does not miss the mark. It emphatically presents itself as the first real theme, the moment we have been waiting for since the beginning of the *Allegro*. The harmonic instability and volatile texture of the preceding units give way to a much more continuous – and largely diatonic – melody

<sup>26</sup> On the “two-block exposition,” see Hepokoski 1994: 497–498. Also see Hepokoski and Darcy 2006: 147.

<sup>27</sup> I hear the harmony at m. 137 as the final dominant of a half-cadential progression in spite of the presence of a seventh and a ninth.

**Example 7.** *Tannhäuser* overture, mm. 142–161.

A: compound period  
Antecedent (hybrid: ant. + cont.)  
(antecedent [lower-level])  
violins 1-2, flutes

(continuation)

142

*f* oboes, clarinets  
(horns, bassoon 1: 8va)

viola

*f* trumpets

cello

*f* double bass, bassoon 2 (8va a)

(V)

(HC)

Consequent

148

trumpets

DC

with chordal accompaniment. For the first time since the slow introduction, there is a sustained melodic line that comes from one voice; it is not insignificant, of course, that in the opera this theme is literally a song: *Tannhäuser's* song in praise of Venus (Act 1, Scene 2).

The harmonic and textural simplification goes hand in hand with a tightening of phrase structure. As Example 7 shows, the subordinate theme begins with a modulating sixteen-measure period, with the antecedent ending on a deceptive cadence and the consequent leading to a V:PAC.<sup>28</sup>

This period is followed by a contrasting middle in the dominant, suggesting that the theme as a whole will take the form of a small ternary. Yet the A section never returns; at m. 172, the contrasting middle merges with the development – without having provided cadential closure to the subordinate theme.<sup>29</sup>

The consequences of this constellation reach far beyond the exposition itself. As in *Le Carnaval romain*, the weakly profiled main theme lacks the capacity to launch the recapitulation, a task that instead falls to the subordinate theme. When ma-

<sup>28</sup> The fact that the antecedent ends with a deceptive cadence is uncommon, but it makes sense given that the antecedent itself is distinctly periodic: the deceptive cadence is stronger than the lower-level HC midway through the antecedent, yet not so strong that it precludes the following consequent from achieving even stronger closure.

<sup>29</sup> Procedures such as these are common in Wagner, including his later works. See Newcomb 1983.



## Example 7. Part 2

154

violin 1, flute 1

*meno f*

oboes, clarinets

violin 2, viola

V:PAC

B: contrasting middle

violin 1, flute 1, oboes, clarinets

(+ flute 2)

158

horns

cello, bassoons

double bass

terial from the first block eventually returns at m. 273, it has been relegated to the closing section.<sup>30</sup> This “reversed” recapitulation, as several authors have shown, is only one aspect of a larger arch-like plan that underlies the entirety of Wagner’s overture (see Figure 3).<sup>31</sup> On the one hand, the symmetry established by the exposition and the recapitulation is carried over into the interior of the sonata form, whose developmental space centers around an interpolated G major episode flanked by two more genuinely developmental sections that are based on material from the first

block. On the other, it is projected onto the sonata form’s “exterior,” so to speak, in the return of the slow introduction after the sonata form. Seen from “within” the *Allegro*, the introduction and its return function as a large-scale structural frame;<sup>32</sup> viewed from the outside, the form projects a large ternary design, in which the fast sonata-form portion functions as a contrasting middle. The tendency towards symmetry also affects the internal organization of both framing units: the alternation of the two themes in the slow introduction not only follows the pattern A-B-A-B-A (short-

<sup>30</sup> Cf. Liszt 1851: 116.

<sup>31</sup> Strohm 1985: 83–84; Grey 1988: 16–17. Figure 3 differs from the similar overviews provided by Strohm and Grey in its details but not in its substance.

<sup>32</sup> On framing functions, see Alegant and McLean 2007. Wagner later changed the overture dramatically by excising the return of material from the slow introduction and leading directly from the overture into the opening scene of Act 1.

Figure 3. *Tannhäuser* overture: formal symmetry.

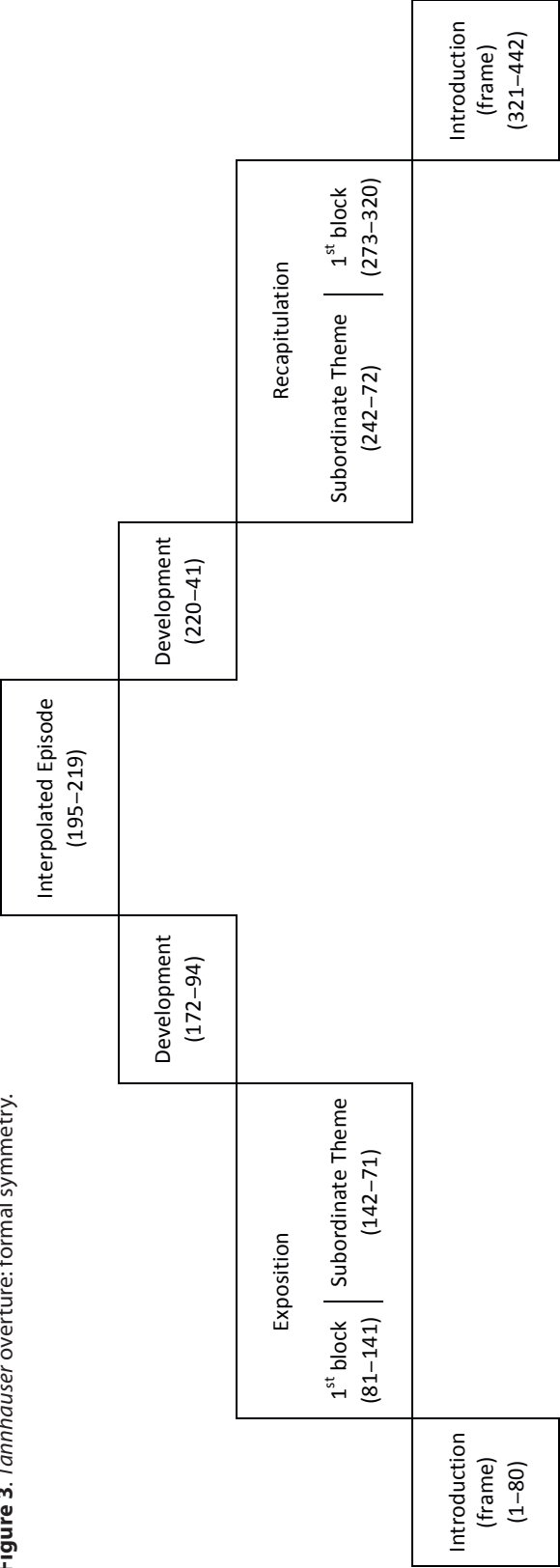


Figure 4. *Tannhäuser* overture: “real” and “embedded” sonata forms.

<b>81-172: EXPOSITION</b>		<b>172-241: DEVELOPMENT</b>		<b>242-320: RECAPITULATION</b>	
81-141: block 1	142-171: ST	172-194: DEV 1	195-219: Episode	242-272: ST!	273-320: CS (block 1 material)
I	V	♭III:HC	♭III → V/V	I	I:PAC
V:HC			♯A: PAC		
<b>Embedded Sonata Form:</b>					
142: MT ( <i>Tannhäuser</i> )	172: Tr	195: ST ( <i>Venus</i> )	220: DEV	<del>242: R#</del>	
I		♭VI → V		♯PAC	
		♭VI:HC			

ened to A-B-A when the introduction returns at the end), but also coincides with a composed-out crescendo and decrescendo; the instrumentation of the last A section is identical to that of the first.

The impression of a schematic architectonic construction is reinforced by the overture's heavy reliance on the opera. Every slot in the scheme is filled by premade musical content lifted from one of the opera's three acts. The two melodies that alternate in mm. 1–80 are associated with the pilgrims. In the opera, they are heard together for the first time only in Act 3, Scene 1, although the second one already makes a brief appearance in Act 1, Scene 3. All themes and motives in the overture's *Allegro* come from Act 1. The largest and most literal borrowing from the opera occurs in mm. 88–137, a rennotated version of mm. 9–107 from Scene 1 with changes that for the most part affect only the orchestration. The subordinate theme, as indicated above, is Tannhäuser's "Dir töne Lob" from Scene 2. The clarinet melody in mm. 196–203 of the interpolated episode in the development, as well as the material that follows it, finally, is based on Venus's "Geliebter, komm" from the same scene.

The symmetrical arrangement of thematic material across the overture as shown in Figure 3 tells only part of the story, however. The other part is shown in Figure 4. Following the form as it unfolds from left to right within the fast sonata form results in a much more dynamic picture, as the functional relationship between formal units changes "en cours de route" and gives rise to various overlapping but sometimes mutually incompatible interpretations. In this process of changing relationships, the strong subordinate theme plays a crucial role.

From the perspective of the overture as a whole, the role of the strong subordinate theme seems unambiguous enough. Even though the first block, comprising the main theme and transition, is thematically underarticulated, the functional sequence (introduction – main theme – transition – subordinate theme) is uncontroversial, not only because of the tempo change at m. 81, but also because of the large-scale tonal organization, which makes it virtually impossible for the orchestral version of Tannhäuser's song to function as anything other than a subordinate theme. The situation changes, however, when the perspective is narrowed: if one brackets out the

first 141 measures and imagines that the strong subordinate theme at m. 142 marks the beginning of the exposition, then it becomes possible to hear that subordinate theme as a main theme.

The suggestion to ignore the overture's first 141 measures may seem preposterous at first. But as the boxed portion of Figure 4 shows, it enables an interesting interpretation of the music from the strong subordinate theme onwards. For if one hears the strong subordinate theme as a main theme, then the first section of the development can be understood as a transition and the interpolated episode as a subordinate theme. This makes sense tonally: the transition leads to an HC (with standing on the dominant) in  $\flat VI$  at m. 190. The subordinate theme enters in  $\flat VI$  and modulates to V, concluding with a thwarted PAC in that key at m. 220. The theme at m. 142, in other words, while functioning as the subordinate theme in the sonata form that starts at m. 81, simultaneously acts as the pivot into an embedded three-key exposition in which it plays the role of main theme.

This embedded exposition is no abstruse analytical construct. It is made salient by the fact that its cadential plan is much more conventional than that of the "overarching" exposition. What is more, the formal function of both themes in the embedded exposition is highlighted by the themes' contrasting character: a boisterous main theme and a lyrical subordinate theme. This characterization resonates with the incontestable (and stereotypical) gendering of the themes that relies on their origin in the opera. As mentioned before, Tannhäuser sings the melody of the strong subordinate theme (the main theme in the embedded exposition), Venus that of the slow episode (the subordinate theme in the embedded exposition). The thematically amorphous music that is used for the overture's first block and that recurs in the development and in the closing section of the recapitulation stands not for one of the characters, but for a setting: the Venusberg. In the overture, it can analogously be understood as a backdrop, a décor in which two actors, represented by Tannhäuser's and Venus's themes, enter the stage – just as in the opera.

Like the relationship between Tannhäuser and Venus in the opera, the embedded sonata form in the overture was not meant to last. The PAC at the end of the embedded exposition is elided with the onset of a development, whose emphatic

half-cadential close is followed by a recapitulation of the main theme. The glitch is, of course, that this recapitulation is not in B major, the tonic of the embedded sonata form, but in the E major of the real sonata form. The recapitulation of Tannhäuser's theme thus functions as a pivot back into the real sonata form, which is confirmed when that theme leads to a PAC in E major that is followed by material from the first block, now with a postcadential function marking the beginning of the closing section that was missing from the exposition.

Over the course of the sonata-form portion of the *Tannhäuser* overture, we witness a gradual transformation in formal function of the melody from Tannhäuser's "Dir töne Lob." When it first enters, it relates to the preceding first block as a strong subordinate theme. It is "subordinate" in the sense that it is the theme appearing in the subordinate key, but it is "strong" in the sense that it is rhetorically more prominent than the first block. This rhetorical prominence is what allows the strong subordinate theme to function as a main theme: first in its own sonata form (the "embedded" sonata form), but then also in the overarching sonata form. In the latter, the strong subordinate theme takes over the function of launching the recapitulation where the first block lacks the rhetorical strength to do so. Conversely, the first block, which had main-theme function in the exposition, sheds that function in the recapitulation in order to assume post-cadential function. It is important to note, however, that the first block yields its main theme function not only to the strong subordinate theme. Arguably the strongest recapitulatory gesture in the *Tannhäuser* overture is the framing return of the slow introduction at the very end. This moment marks the final form-functional transformation in the overture. To the extent that the return of the opening melody has the effect of a recapitulation, the opening music itself – which from the perspective of the fast sonata form, was an introduction – now becomes an exposition. Only here (and therefore only in retrospect) does the form represented by Figure 3 emerge.

\*\*\*

In analyzing the four overtures in this article through Marx's "relational" lens, I have taken a

deliberately piece-specific approach. Indeed, the reader may have been struck by my reluctance to generalize about the notion of "strong subordinate theme." I have remained deliberately vague about anything to do with criteria for strong subordinate themes, and I have opted not to provide a long list of examples. Not that the latter would be impossible: examples of inward- and outward-turned strong subordinate themes that readily come to mind include those from the overtures to Wagner's *Der fliegende Holländer* and Auber's *La Muette de Portici*, respectively. However, the relevance of any specific example of a strong subordinate theme remains limited when adduced without a broader analytical consideration of its larger formal context. Put differently: it is difficult to define what a strong subordinate theme is, except in a piece-specific manner. As I have emphasized, the strength of a subordinate theme relies not only on what it is intrinsically, but also, and especially, on its relation to the main theme.

This piece-specific approach does not mean that I think of the works I analyze as monads. I do interpret them in dialogue with a general model of sonata form that exists beyond the pieces themselves. That model is, however, less a generalized norm derived from late-eighteenth-century sonata practice than a more narrowly defined conception of sonata form that is chronologically, generically, and even composer-specific: not just "sonata form," but rather "sonata-form overtures in the 1830s and 40s" or even "sonata form in Berlioz's overtures." Finally, the four works that I have analyzed alongside each other do not stand in isolation but rather mutually shed light on each other. The dialogue between a work and a more or less abstract norm is thus complemented by a dialogue between specific works.

The emphasis on specific works rather than abstract norms leads us back to the question of the "Type 2 sonata" and its inappropriateness as a tool for the analysis of mid-nineteenth-century sonata forms. It is not just that, as I have argued above, invoking the "Type 2" concept in relation to this repertoire is anachronistic. The concept also fails to do full justice to the specific forms of *Le Carnaval romain* and the *Tannhäuser* overture. In contrast to what would be the case in a "Type 2 sonata" in Hepokoski and Darcy's sense, the notion of recapitulation *is* relevant for both of these works. In both, it is hard to think of the return of

the strong subordinate theme after the development as merely a tonal resolution. It is, very emphatically, a thematic return. In both works, the omission of a main theme recapitulation is the logical consequence of the specific constellation in the exposition, where the main theme was eclipsed by the presence of a much more effective subordinate theme to such an extent that a recapitulation beginning with the main theme would be ineffective.

It should nonetheless be clear that by choosing not to invoke the concept of the "Type 2 sonata" in my analyses of *Le Carnaval romain* and the *Tannhäuser* overture, I by no means advocate for a simplistic rehabilitation of the outdated concept

of the reversed (or "mirror") recapitulation. With its emphasis on symmetry, this concept suggests a static form, a pre-made formal scheme in which each formal unit has its fixed function. This is the exact opposite of the way I understand the two overtures in question. The "turning around" that takes place in the recapitulation is not there in order to fulfill the requirements of a formal scheme that is imposed on the piece from the outside, but rather reacts in real time to the internal workings of the earlier portions of the piece. More importantly, both overtures are emphatically dynamic, rather than static, forms, in which the formal function fulfilled by a formal unit changes according to the perspective one takes.

## References

- Alegant**, Brian, Don McLean 2007. On the Nature of Structural Framing. – *Nineteenth-Century Music Review* 4/1, pp. 3–29.
- Berlioz**, Hector 1870. *Mémoires*. Paris: Lévy. (English translation: *The Memoirs of Hector Berlioz*. Trans. David Cairns, New York / Toronto: Knopf, 2002.)
- Bickley**, Diana 2000. The Concert Overtures. – *The Cambridge Companion to Berlioz*. Ed. Peter Bloom, Cambridge: Cambridge University Press, pp. 69–80.
- Birnbach**, Heinrich 1827. Über die verschiedene Form größerer Instrumentaltonstücke aller Art und deren Bearbeitung. – *Berliner allgemeine musikalische Zeitung* 4/34–36, 45–46, S. 269–272, 277–281, 285–287, 361–363 und 369–373.
- Birnbach**, Heinrich 1829. Über die einzelnen Sätze und Perioden eines Tonstücks und deren Verbindungen, und über die modulatorische Einrichtung desselben (mit Notentafeln). – *Cäcilia* 10/38, S. 97–120.
- Bloom**, Peter 2000. Berlioz and Wagner: Épisodes de la vie des artistes. – *The Cambridge Companion to Berlioz*. Ed. Peter Bloom, Cambridge: Cambridge University Press, pp. 235–250.
- Braam**, Gunther, Arnold Jacobshagen (Hrsg.) 2002. *Hector Berlioz in Deutschland: Texte und Dokumente zur deutschen Berlioz-Rezeption (1829–1843)*. Göttingen: Hainholz.
- Burnham**, Scott 1996. A.B. Marx and the Gendering of Sonata Form. – *Music Theory in the Age of Romanticism*. Ed. Ian Bent, Cambridge: Cambridge University Press, pp. 163–186.
- Caplin**, William E. 1998. *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*. New York: Oxford University Press.
- Citron**, Marcia J. 1993. *Gender and the Musical Canon*. Cambridge: Cambridge University Press.
- Czerny**, Carl 1848[?]. *School of Practical Composition*. Vol. 1, London: Cocks.
- Grey**, Thomas S. 1988. Wagner, the Overture, and the Aesthetics of Musical Form. – *19th-Century Music* 12/1, pp. 3–22.
- Grey**, Thomas S. 2000. *Fingal's Cave and Ossian's Dream: Music, Image, and Phantasmagoric Audition*. – *The Arts Entwined: Music and Painting in the Nineteenth Century*. Ed. Marsha L. Morton and Peter L. Schmunk, Critical and Cultural Musicology 2, New York / London: Garland Publishing, pp. 63–99.
- Hepokoski**, James 1994. Masculine–Feminine. – *Musical Times* 135/1818, pp. 494–499.
- Hepokoski**, James, Warren Darcy 2006. *Elements of Sonata Theory: Norms, Types, and Deformations in the Late Eighteenth-Century Sonata*. New York: Oxford University Press.
- Hinrichsen**, Hans-Joachim 1997. Sonatenform, Sonatenhauptsatzform. – *Handwörterbuch der musikalischen Terminologie*. Nach Hans-Heinrich Eggebrecht hrsg. von Albrecht Riethmüller, Schriftleitung Markus Bandur, Lieferung 25, Stuttgart: Steiner, S. 1–20.
- Holoman**, D. Kern 1989. *Berlioz*. Cambridge, MA: Harvard University Press.
- Krüger**, Eduard 1847. *Beiträge für Leben und Wissenschaft der Tonkunst*. Leipzig: Breitkopf und Härtel.
- Liszt**, Franz 1989. Tannhäuser et le combat des poètes-chanteurs à la Wartbourg, grand opéra romantique de R. Wagner [1851]. – *Franz Liszt: Sämtliche Schriften*. Bd. 4, *Lohengrin und Tannhäuser von Richard Wagner*. Hrsg. Rainer Kleinertz, Wiesbaden: Breitkopf und Härtel, S. 94–153.
- Lobe**, Johann Christian 1844 (1988). *Compositions-Lehre*. Weimar: Voigt (Nachdruck Hildesheim / Zürich / New York: Olms).
- Marx**, Adolf Bernhard 1845. *Die Lehre von der musikalischen Komposition*. Bd. 3, Leipzig: Breitkopf und Härtel.

- Marx**, Adolf Bernhard 1997. *Musical Form in the Age of Beethoven: Selected Writings on Theory and Method*. Ed. and trans. Scott Burnham, Cambridge: Cambridge University Press.
- Newcomb**, Anthony 1983. Those Images That Yet Fresh Images Beget. – *The Journal of Musicology* 2/3, pp. 227–245.
- Piontek**, Frank 2003. 'Auch bin ich wahrlich nicht gleichgültig gegen ihn!' Wagner und Berlioz. – *Berlioz, Wagner und die Deutschen*. Hrsg. Sieghart Döhring, Arnold Jacobshagen und Gunther Braam, Köln: Dohr, S. 25–52.
- Ratner**, Leonard 1949. Harmonic Aspects of Classical Form. – *Journal of the American Musicological Society* 2/3, pp. 159–168.
- Reicha**, Antoine 1826. *Traité de haute composition musicale*. Vol. 2, Paris: Zetter.
- Ritzel**, Fred 1968. *Die Entwicklung der "Sonatenform" im musiktheoretischen Schrifttum des 18. und 19. Jahrhunderts*. Neue musikgeschichtliche Forschungen 1, Wiesbaden: Breitkopf und Härtel.
- Rodgers**, Stephen 2009. *Form, Program, and Metaphor in the Music of Berlioz*. Cambridge: Cambridge University Press.
- Schmalfeldt**, Janet 2011. *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music*. New York: Oxford University Press.
- Strohm**, Reinhard 1985. Gedanken zu Wagners Opernouvertüren. – *Wagnerliteratur – Wagnerforschung*. Bericht über das Wagner-Symposium München 1983, Hrsg. Carl Dahlhaus und Egon Voss, Mainz: Schott, S. 69–84.
- Todd**, R. Larry 1984. Mendelssohn's Ossianic Manner, with a New Source – *On Lena's Gloomy Heath*. – *Mendelssohn and Schumann: Essays on Their Music and Its Context*. Ed. Jon W. Finson and R. Larry Todd, Durham, N.C.: Duke University Press, pp. 137–160.
- Todd**, R. Larry 1993. *Mendelssohn, The Hebrides and Other Overtures*. Cambridge: Cambridge University Press.
- Tovey**, Donald Francis 1937. *Illustrative Music*. Essays in Musical Analysis 4, London: Oxford University Press.
- Uribe**, Patrick Wood 2011. A.B. Marx's *Sonatenform*: Coming to Terms with Beethoven's Rhetoric. – *Journal of Music Theory* 55/2, pp. 221–251.
- Vallières**, Michel, Daphne Tan, William E. Caplin, Stephen McAdams 2009. Perception of Intrinsic Formal Functionality: An Empirical Investigation of Mozart's Materials. – *Journal of Interdisciplinary Music Studies* 3/1–2, pp. 17–43.
- Vande Moortele**, Steven 2013a. Form, Narrative and Intertextuality in Wagner's Overture to *Der fliegende Holländer*. – *Music Analysis* 32/1, pp. 46–79.
- Vande Moortele**, Steven 2013b. In Search of Romantic Form. – *Music Analysis* 32/3, pp. 404–431.
- Vande Moortele**, Steven forthcoming. *The Romantic Overture and Large-Scale Musical Form: From Rossini to Wagner*. Cambridge: Cambridge University Press.
- Wagner**, Cosima 1977. *Die Tagebücher*. Bd. 2: 1878–1883. Hrsg. Martin Gregor-Dellin und Dietrich Mack, München: Piper.
- Wagner**, Richard 1911. *Sämtliche Schriften und Dichtungen*. Bd. 12, 5. Aufl., Leipzig: Breitkopf & Härtel.
- Wingfield**, Paul 2008. Beyond 'Norms and Deformations': Towards a Theory of Sonata Form as Reception History. – *Music Analysis* 27/1, pp. 137–177.



## Sisse-, välja- ja ümberpöörduvad „tugevad” kõrvalteemad romantilistes avamängudes

—  
Steven Vande Moortele  
(tõlkinud Kerri Kotta)

Artikkel sisaldab Felix Mendelssohni, Hector Berliozi ja Richard Wagneri komponeeritud nelja romantilise avamängu analüüsi. Kõiki neid avamänge ühendab omadus, mida artikli autori arvates võiks nimetada „tugevaks” kõrvalteemaks, s.t. ebatavaliselt silmatorkavaks teemaks, mis ilmudes varjutab või tühistab eelneva peateema ja on seega vastuolus kõige sellega, mida kaasaegsed sonaadivormi teooriad meile pea- ja kõrvalteema suhte kohta ütlevad.

Artikli lähtepunktiks on kõrvalteema sellisena, nagu seda kirjeldab Adolf Bernhard Marx oma vormiõpetuses (Marx 1845). Siin näidatakse, kuidas mainitud teoorias pole kõrvalteema määratletud mitte absoluutseid mõisteid kasutades, vaid pigem suhte kaudu peateemaga. Marxi teooriale omane vaade sonaadivormi teemade vastastikusest seotusest on kehtiv ka vaadeldavate avamängude puhul, selle erandiga, et kõrvalteema on siin peateemaga võrreldes suhteliselt tugev ja mitte nõrk. Just kõrvalteema ilmub siin entiteedina, mille kaudu peateema end (tagantjärele) määratleb.

Järgnevalt tutvustatakse tugeva kõrvalteema kahte ilmnemistüüpi. Esimene analüüs, Mendelssohni avamäng „Hebriidid” („Die Hebriden”, 1830/32) istutab Janet Schmalfeldti arusaama n.-ö. sissepoole pöörduvatest kõrvalteemadest (Schmalfeldt 2011) sümfoonilisse konteksti. Kui looduspilti edasi andvat peateemat võib kirjeldada omalaadse meloodilise vaakumina, siis kõrvalteema ilmub just teose esimese tegeliku teemana: see avaldub hoolimata mõnevõrra ebatavalisest ülesehitusest lõpetatud vormilise kesktaandri üksusena, mille väljaarendatud meloodia lisab teosele lüürilisust ja väljendusrikkust ja seega ka subjektiivsust. Teises analüüsis, Berliozi avamängus „Vabakohtunikud” („Les francs-juges”, 1826) kirjeldatakse kõrvalteemat, mis näib käituvat täpselt vastupidi, nimelt, „pöörduvat väljapoole”. Kuid selgi juhul ei saa rääkida peateemast selle sõna tegelikus ja täielikus mõttes, kõrvalteema ületab seda niihästi pikkuse kui ka meloodilisuse ja meedejäävuse poolest. Mõlemas analüüsis näidatakse, kuidas mainitud avamängude sisse- või väljapoole pöörduvad kõrvalteemad muutuvad „tugevaks” eelkõige sisemistest ja kontekstuaalsetest faktoritest tingituna.

Kaks pikemat analüüsi artikli teises osas lähtuvad mõnevõrra laiemast perspektiivist ning käsitlevad rolli, mida väljapoole pöörduvad tugevad kõrvalteemad mängivad Berliozi kontsertavamängus „Rooma karneval” („Le Carnaval romain”, 1844) ja Wagneri avamängus „Tannhäuser” (1845) vormi kui terviku seisukohast. Mõlemas teoses avaldab kõrvalteema hierarhiline ülimuslikkus peateema ees kohest mõju vormi edasisele arengule. Täpsemalt öeldes pööratakse teemasid esindavad vormifunktsioonid siin vormi edasisel lahtirullumisel ümber nii, et ekspositsiooni tugev kõrvalteema näib omandavat repriisiis hoo- pis peateema rolli. Vormi ebatavalist avaldumist võib ühtlasi selgitada muusika programmilise aspektiga, millele on viidatud juba avamängu „Rooma karneval” pealkirjas ja ooperi „Tannhäuser” tegevuses: esimeses on see seotud teemade maskeraadiga, teises aga kõrvalteema ja töötluses kiilundina avalduva episoodi samastamisega Tannhäuseri ja Veenuse tegelaskujudega.

Artikli lõpuosas argumenteeritakse teosekeskse lähenemise poolt ning arutletakse Hepokoski ja Darcy (2006) sonaaditüübi nr. 2 mõiste rakendamise võimalikkuse üle mainitud teoste puhul, samuti rõhutatakse pigem dünaamilise kui staatilise vaate olulisust muusikalise vormi käsitlemisel.

# Mahlerian Quotations, Thematic Dramaturgy, and Sonata Form in the First Movement of Shostakovich's Fourth Symphony

Charity Lofthouse

*The frontiers of music are never clear-cut: beyond its framing silence, beyond its inner form, it is caught up in a web of references to other music: its unity is variable and relative. Musical texts speak among themselves.*

Michael Klein, *Intertextuality in Western Art Music*  
(Klein 2005: 4)

Surpassing its three predecessors in both size and scope, Dmitri Shostakovich's Symphony No. 4 (1936) is broadly considered to be the most "Mahlerian" of his symphonic output. The reasons for this consideration range from its size, instrumentation, and use of folk idioms to a wealth of Mahler allusions and quotations distributed throughout its nearly hour-long duration. Indeed, the history of intertextual dialogue between Mahler and Shostakovich reaches back prior to Symphony No. 4's composition, finding its origins in Shostakovich's relationship with Ivan Sollertinsky, a champion of Mahler's music in the Soviet Union with whom Shostakovich took up in-depth study of Mahler's works (Sollertinsky 1932).<sup>1</sup>

Analytical pathways to Shostakovich's intertextual exchange with Mahlerian practice could thus be traced along two root systems: those that analyze Mahlerian symphonism and those that compare Mahler's and Shostakovich's symphonic languages. Foremost in the first category is Theodor Adorno, whose analytical concepts have found a secure place in Shostakovich scholarship (Adorno 1992; Monahan 2008, 2007, 2011). The second category could stretch loosely from contemporary reception of Shostakovich's symphonies to Russian- and English-language writings by Genrikh Orlov (1961), Marina Sabinina (1976), Richard Taruskin (1997), Boris Gasparov (2005), and Pauline Fairclough (2006), to name but a few.

In addition to noting thematic and tonal allusions reminiscent of Mahler's First, Second, Third, Sixth, Ninth, and Tenth Symphonies, Fairclough claims that it is "at the more fundamental level of structure and dramaturgy that the parallels between [Mahlerian practice and Shostakovich's Fourth Symphony] are most suggestive" (Fairclough 2006: 46). Symphony No. 4's atypical expression of sonata-form thematic conventions evokes questions of thematic identity and sectional apportioning. In response, analytical readings of the first movement include "reverse" recapitulation, a sonata exposition with three main themes, and even disavowal of sonata form entirely.<sup>2</sup> These structural analyses also wrestle with the location and designation of the second theme, which appears in various guises throughout the movement.

Within Symphony No. 4's rich tapestry of Mahler quotations, interactions between its allusions and quotations and each composer's sonata-form layouts have yet to be explored. In this article, I link Mahler quotations, thematic dramaturgy, and formal design in reconsidering Symphony No. 4's dialogue with sonata processes through the lenses of Mahler's First Symphony and Sonata Theory (Hepokoski, Darcy 2006).<sup>3</sup>

I first highlight a Mahlerian "quotation" in Shostakovich IV/I, proposing the plaintive, lyrical bassoon "second" theme at m. 263 is a transformed

<sup>1</sup> For a thorough and excellent recount of Sollertinsky's work and the relationship between Sollertinsky and Shostakovich, see Fairclough 2001 and 2006.

<sup>2</sup> In addition to Fairclough and Sabinina, Hugh Ottaway, Michael Koball, Eric Roseberry, Richard Longman, Karen Kopp, and Charity Lofthouse have analyzed the first movement in various publications. See Fairclough 2006; Ottaway 1975, 1978; Koball 1997; Roseberry 1989; Longman 1989; Kopp 1990; and Lofthouse 2014.

<sup>3</sup> The term "Sonata Theory" refers specifically to the theoretical framework developed by Hepokoski and Darcy. Related writings preceding *Elements of Sonata Theory* (Hepokoski, Darcy 2006) include Hepokoski and Darcy 1997; and Hepokoski 2002. Hepokoski explores dialogic form and Beethovenian practice in his article "Sonata Theory and Dialogic Form" (Hepokoski 2009).



**Figure 1.** Shostakovich, Symphony No. 4, i, mm. 47–159, thematic/quotation overview and layout.

Theme zone	Contrasting, S-like, fragmented theme zone						
m. #	47	60	75	96	111	128	159
Statements/ Repetitions	1st	2nd	3rd	4th	"Call to Attention" 1	"Call to Attention" 2	Return of P
Theme(s)	S-theme fragments (S-frag.)	S-frag.	S-frag.	S-frag.	S-frag./ P-rhetoric; Mahler "Inferno"	S-frag./ P-rhetoric; Mahler "Inferno"	P-frag., S-frag.

version of the *Durchbruch* fanfare from Mahler I/iv.<sup>4</sup> Next, the Mahler I/i and I/iv quotations and allusions found throughout Shostakovich IV/i are contextualized through comparison with their formal locations of origin in Mahler I/iv. Lastly, I employ concepts from Sonata Theory to examine formal and tonal correspondences between the two movements, including the ways Mahler and Shostakovich treat the intersections of form and thematic recomposition or substitution. Similar techniques in each symphony suggest Shostakovich's "secondary" theme in m. 263 may serve as a compensatory development-space attempt to rectify an underdeveloped S-theme fragment heard earlier in the movement.

### Shostakovich's "Mahlerian" Second Theme

Analyses often denote mm. 47–159 as a lyrical, contrasting theme that expresses the potential for an attempted secondary theme, especially when compared to the just-completed strident and militaristic primary theme. These readings differ, however, as to whether this lyrical theme's rhetorical and tonal deficiencies eliminate it entirely as a prospect for the movement's S-theme

(it is not considered a second theme at all, but instead a contrasting subsidiary theme that takes part in a P-theme group), create a situation of eventual displacement (it is a flawed or "failed" secondary theme later supplanted by the "real" secondary theme beginning in m. 263), or compel a third theme (it is a troubled, loosely formed S-theme, necessitating a more suitably lyrical and cohesive compensatory theme presented in the development).<sup>5</sup>

It is during this debated "subsidiary" theme zone, mm. 47–159, that the first of Shostakovich's Mahler quotations appears. Figure 1 displays the thematic layout of mm. 47–159. The triplet "Inferno" motive from Mahler I/iv is quoted for the first time within this section at m. 132, soon after four statements of a series of five melodic fragments. Two of these melodic fragments (displayed in Example 1a and b) are notable: (1) the arpeggio outlined at mm. 53, 100, 106, and 109; and (2) the stepwise descending fourth followed by an ascending leap in mm. 61 and 69. These fragments are later expanded into what is broadly considered the movement's second theme at m. 263. The key areas indicated for each fragment reoccur

<sup>4</sup> This nomenclature for identifying symphonic movements refers to the symphony and movement; I will use this labeling system throughout the article.

<sup>5</sup> See Ottaway, Koball, Kopp, Longman, Fairclough, Sabinina, Roseberry, and Lofthouse. Several of these analyses consider this theme to be part of a primary-theme zone group or first subject group, with various characterizations ranging from "subsidiary theme" to "transition theme" to "false second subject" (Fairclough 2006: 83; Roseberry 1989: 389–395; Longman 1989: 9; Sabinina 1976: 101; Kopp 1990: 157; and Koball 1997: 5). Hugh Ottaway and Charity Lofthouse read the theme in m. 263 as belonging to development space (Ottaway 1975: 20; Lofthouse 2014: chapters 3–5). Though the subsidiary-theme designation is ascribed in most analyses, consideration of this theme's identity within particular analyses also seems to reflect the difficulties regarding its contrasting rhetoric with the primary theme and its ambiguous tonality. For example, Roseberry explicitly argues the identity of the theme beginning at m. 47 as a subsidiary theme of the first theme group, then immediately refers to it as a "secondary" theme. The interchangeability of the terms in this case is not explained.

Example 1a. Shostakovich, Symphony No. 4, i, mm. 47–72, reduction.

53

(C minor)

Thematic fragment later heard as first phrase of melody at m. 263

61

Hint of later theme's second phrase

pizz.

arco

cresc.

68

Clearer reference to second phrase of later theme

A minor to A major

arco *p espr.*

*f*

*p*

cn

**Example 1b.** Shostakovich, Symphony No. 4, i, mm. 96–110, reduction.

during further statements throughout the rest of the movement.<sup>6</sup>

These thematic fragments and the “Inferno” Mahlerian quotation next appear – again paired – during a more subdued and tightly organized theme zone beginning at m. 261, wherein whole-tone harp accompanimental figures and a plaintive solo bassoon provide a more cohesive version of the fragments first heard in mm. 47–159. I propose this more unified version of the fragmented lyrical theme at m. 263, often considered the actual second theme, can be deemed an additional modified quotation from Mahler I/iv (see Example 2).

The openings of the first and second phrases from Shostakovich IV/i bear strong resemblance to the breakthrough brass arpeggios and subse-

quent theme from Mahler I/iv. Shostakovich IV/i’s opening arpeggio gesture, contour, and rhythm evoke the motive from the *Durchbruch* arpeggios in Mahler I/iv, including the strong-beat ascent of an octave launching from the fifth of a major triad, neighbor figuration emphasizing scale-degree 2 at the mid point, and the return to scale-degree 3 following the initial arpeggiated ascent. The second phrase presents a contour similar to the chorale-like Mahler I/iv theme first presented in m. 389 following the arpeggio breakthrough heard at m. 370; both melodies outline two motives of a descending fourth, followed by an ascending leap of a seventh.

Though one could argue these gestures too generic to constitute a quotation, several other associations in this section support its link to the

<sup>6</sup> A major is the featured key at the fragment’s first return, in m. 263; F major is omitted; and D-flat major is featured at m. 812. The A-major and D-flat-major appearances are each paired with quotations from Mahler I/iv.

**Example 2.** Shostakovich, Symphony No. 4, i, mm. 263–275 and 287–295, demonstrating correspondences to Mahler, Symphony No. 1, iv, mm. 624–626 and 306–316.

Shostakovich IV/i, S-variant theme, first phrase (mm. 263–275).

263

Mahler I/iv, trumpet arpeggio breakthrough motive, third appearance (mm. 624–626); stems indicate correspondence to Shostakovich.

287

Shostakovich IV/i, S-variant theme, second phrase (mm. 287–295).

624

Mahler I/iv, Breakthrough theme, first appearance (mm. 306–316); marked intervals indicate correspondences to Shostakovich.

306

**Figure 2.** Shostakovich, Symphony No. 4, i, subrotation 3 key and quotation layout, outlining additive quotation/allusion schema of repetitions.

Theme statement	m. #	Key	Mahler I/iv quotations and allusions
Statement 1	263	A major	Breakthrough-variant theme; trumpet “Inferno” triplets
Statement 2	335	B major	Breakthrough-variant; cuckoo from Mahler I/i and I/iv
Statement 3	372	A major	Breakthrough-variant; cuckoo at pitch; “Inferno” triplets
Statement 4	428	D/C	Breakthrough-variant; key areas; descending-fourth melody and dominant six-four harmonic emphasis at breakthrough

*Durchbruch* theme from Mahler I/iv. The bassoon theme is consistently paired with additional direct quotations from Mahler I/iv during each of three successive repetitions in mm. 335, 372, and 428 respectively. Figure 2 shows quotations from Mahler I/iv and corresponding keys that appear during each repetition of the theme. First to return is the “Inferno” trumpet quotation, which accompanies the initial statement of the lyrical breakthrough-like theme. This is followed by the first appearance of the “cuckoo” fourths from Mahler I/i (also quoted in Mahler I/iv) during the repetition. The third statement contains both the “Inferno” and cuckoo quotations, with the latter featuring the original D-A fourth from Mahler I/i and I/iv.<sup>7</sup>

The final repetition presents the theme in D major, the “redemption” key of Mahler I/iv and the overall tonality of Mahler I/i, and surrounded by *furioso* scalar figures resembling those accompanying the brass *Durchbruch* arpeggios at m. 370 of Mahler I/iv.

This fourth statement of the lyrical theme then progresses into a *Durchbruch*-like continuation at m. 435, featuring a thematic motive first introduced in m. 307. Shown in Example 3, this C major breakthrough also strongly outlines the descending-fourth interval found in the chorale-like Mahler I/iv theme and unfolds over a dominant harmony in 6/4 position; this is a harmonic choice similar to the extended dominant harmony un-

dergirding the S-theme at the end of Mahler I/iv’s development. After this breakthrough, one last truncated statement of this lyrical theme accompanies a sardonic descent back to reality; instead of dreamlike harps and celesta neighbor-tone accompaniment, the Mahler cuckoos become mocking ninths as the basses and contrabassoon present an incomplete, grotesque version of the theme’s now distant and illusory lyricism.

### Quotations and Locations in Sonata Space

Having outlined the thematic structure and Mahler quotations of mm. 261–476, let us turn to mm. 477–905, widely regarded as the movement’s development. Additional quotations from Mahler I’s finale imply further correspondence between the two works; though allusions attributed to Mahler’s Sixth, Ninth, and Tenth Symphonies are found in this section, the “Inferno” triplets and cuckoos remain most salient. In addition to similarities in thematic partitioning, corresponding placement of Mahler I/i quotations in Shostakovich IV/i and Mahler I/iv suggests the Mahler I/i quotations and allusions in Shostakovich IV/i can be considered as corresponding to the formal placement of similarly located quotations from the development of Mahler I/iv, not as borrowings directly from Mahler I/i.

Figure 3 illustrates the thematic layout of mm. 477–905 from Shostakovich IV/i and mm. 317–532 from Mahler I/iv. The overall thematic and formal

<sup>7</sup> More generally, the key areas of these repetitions feature the pitches that serve as the melodic link between the brass arpeggios and the subsequent *Durchbruch* theme in Mahler I/iv: A–B–D, before arriving at the movement’s own *Durchbruch* suggesting C major. Finally, the last repetition’s key areas, D and C are the key areas employed at the D-major and C-major breakthrough statements in Mahler I/iv.



Example 3. Shostakovich, Symphony No. 4, i, mm. 428–451.

B-centered C diatonicism      ...shifts through B-flat to suggested F major

428

*ff*      S theme, fourth statement, now in D major Mahlerian "redemption" key

431

...shift to *f*

433

*fff*      *riten.*      *riten.*

F major/minor or C major/minor? (01347)

The musical score is presented in three systems, each with three staves (treble, middle, and bass clefs). The first system (measures 428-430) begins with a piano introduction marked *ff*. The second system (measures 431-432) continues the piano introduction, marked *f*. The third system (measures 433-434) shows the piano introduction with a fortissimo (*fff*) dynamic. The score includes annotations for key changes and dynamics. The first system is annotated with "B-centered C diatonicism" and "...shifts through B-flat to suggested F major". The second system is annotated with "S theme, fourth statement, now in D major Mahlerian 'redemption' key". The third system is annotated with "F major/minor or C major/minor? (01347)". The score also includes dynamic markings: *ff*, *f*, and *fff*, and a *riten.* (ritardando) marking.

Example 3, continued.

Breakthrough in C major, descending-fourth contour resembles Mahler I/iv breakthrough theme

435

*fff espr.*

*fff espr.* ascending scales resemble end of exposition

(C: V<sup>6</sup>)

440

Breakthrough shifts to B-flat major, still over G!

445

Breakthrough is derailed, Mahler cuckoos as mocking ninths, sardonic S-theme in tubas, retransition

horns

*ff* tuba

c-b

Figure 3. Shostakovich, Symphony No. 4, i, and Mahler, Symphony No. 1, iv, development sections.

Shostakovich IV/i:					
Measure #:	160	233	252	436	
Thematic modules:	P+S, P TR	P S-variant	TR MC S-variant (w/ BT motive)	BT retrans.	
c:	f	A-flat/C	f/g-flat A+D (E-flat, A)	C B-flat	
Formal function:	Development	C/OCT/WT a/c	(Compensatory Fantasy/Interruption)		
Mahler I/iv:					
Zone:	Development pt 1		Preview 1		
Subrotation:	intro SR1	SR2	TR	BT prep/retrans.	
Measure #:	254 262	274	290	297 306	
Thematic modules:	intro P+S	P+S			
f:	g				C (quasi-tonicized)
Formal function:	Development		(Interruption-Preview)		
Shostakovich IV/i:					
Zone:	Development				
Measure #:	477	499	551	580 679	
Thematic modules:	P	P+S	P/TR	fugue: new (quasi-P/TR/S cycle)	
c:	f	A	f/OCT	OCT/WT (C/D/G/A)	
Formal function:	Development			(Interruption-S theme substitute)	
Mahler I/iv:					
Zone:	Development pt. 2				
Section:	Development pt. 2		Preview 2		
Measure #:	317	327	337	370 386 389 413	
Thematic modules:	P+S	P+S	intro, P+S, P+S	BT new	
f:	c: i		f: V	C-D	
Formal function:	Development			(Interruption-preview)	
Shostakovich IV/i:					
Zone:	Development				
Measure #:	717	818	882		
Thematic modules:	P+ TR	S, S + Mahler I/i	Retrans. (quotes Mahler I/iv mm. 445-457)		
c:	OCT, f, g, b-flat	D-flat, E-flat B	OCT, chromatic		
Formal function:		(Interruption-flashback?)			
Mahler I/iv:					
Zone:	Development pt. 2				
Section:	Flashback 2		Retrans.		
Measure #:	429	445	458		
Thematic modules:	Mahler I/i, S	S-based transition	S(!)		
f:	d-c		F:V		
Formal function:	(Interruption-flashback)				

BT = breakthrough

layout does not provide an identical correlation, but several congruencies are notable. First, both movements alternate more standard developmental passages with two instances of what could be considered extra-formal interruptions containing flashbacks, previews, or breakthrough material (these are distributed roughly in the

same order and formal location).<sup>8</sup> Significant departures from expository materials or ruptures that feature contrasting instrumentation, new thematic modules, or other indicators of departure follow truncated and fragmented cycles of P/S statements. Second, C major is featured at the moment of breakthrough in both works. These

<sup>8</sup> For a detailed examination of breakthrough and fantasy projection in Mahler, see Darcy 2001; Monahan 2008, 2007 and 2011.



**Example 4.** Shostakovich, Symphony No. 4, i, mm. 812–820, reduction, with Mahler allusions.

S-theme in D-flat major, key of Mahler I/iv secondary theme area

Turn and figure outlining minor sixth, resembles motives from Mahler I/iv:

(turn motive, Mahler I/iv, m. 405ff) (P1.2, Mahler I/iv)

breakthrough moments are followed by preparatory or retransitional passages before returning to more typical developmental P/S-centered activity at the beginning of the next section.

Perhaps most striking, near the end of each development zone both movements prominently feature their respective S-theme modules alongside quotations from the first movement of Mahler's First Symphony: in other words, both Shostakovich IV/i and Mahler I/iv allude to the same referential movement, Mahler I/i, just before the end of their developments. Example 4 displays mm. 812–820 from Shostakovich IV/i, near the end of the development section; this area of sonata space (mm. 812–905) presents several correspondences to Mahler I/iv. First, a series of S-theme statements begins in D-flat major,

Shostakovich IV/i's global Neapolitan and the key of Mahler I/iv's secondary theme. In addition to the S-theme, formal placement, and key area, the string accompanimental figures in mm. 812–820 transform the section's waltz-like triplet figure into a turn motive and ascending-sixth gesture resembling accompanimental turns and the second portion of Mahler I/iv's primary theme.

Mahlerian correspondences increase in the next passage: Example 5a shows mm. 422–446 of Mahler I/iv; Example 5b provides the corresponding passage, mm. 853–906 of Shostakovich IV/i. Following a module based on Shostakovich IV/i's breakthrough, a second S-theme statement in m. 831 – now in E-flat and shortened to only the opening Mahler-like arpeggio – leads to motivic

**Example 5a.** Mahler, Symphony No. 1, iv, mm. 422–446, reduction, outlining quotations and tonal/chordal events corresponding to Shostakovich IV/i.

Chordal quotation from Mahler I/i

423

fp

turn figure

429

ppp

p

Breakthrough arpeggios

Melodic quotation from Mahler I/i

D/E $\flat$  half-step juxtaposition

433

435

ppp

pp

ppp

molto rit.

## Example 5a, cont.

C/A $\flat$  juxtaposition (seen throughout development of Shostakovich IV/i)

Measures 439-440. The score is in B-flat major (two flats). Measure 439 features a piano (pp) dynamic and a triplet of eighth notes in the right hand. Measure 440 continues the triplet pattern. The bass line is mostly rests with a few notes.

C/F juxtaposition (seen throughout development of Shostakovich IV/i)

Cuckoo quotations in C and F; cuckoos only quoted in development section of Mahler I/iv

Measures 441-442. Measure 441 features a piano (p) dynamic and a triplet of eighth notes in the right hand. Measure 442 continues the triplet pattern. The bass line has some chords and rests.

Mahler I/iv S-based transition fragment

Measures 443-447. Measure 443 starts with a piano (pp) dynamic. Measure 444 has a piano (p) dynamic. Measure 445 has a piano (pp) dynamic. Measure 446 has a piano (p) dynamic. Measure 447 has a piano (pp) dynamic. The score shows a complex melodic line in the right hand and a more active bass line.

Mahler I/iv S-theme  
quotation

(the following measures  
feature "flashback"  
material as a retransition  
leads to an attempted  
Type 3 recapitulation)

**Example 5b.** Shostakovich, Symphony No. 4, I, mm. 853–906, reduction, displaying Mahler allusions from development space.

(The preceding passage featured fragments of the breakthrough theme, originally derived from Mahler I/iv breakthrough)

Allusion to chordal quotation from Mahler I/i

853 *pp* S-theme, shortened to only arpeggios

B/B $\flat$  half-step juxtaposition

Ascending sixth with descending semitone resolution resembles P1.2 of Mahler I/iv (see Example 4)

862

(Loosely resembles melodic "flashback" material from opening and closing of Mahler I/iv development)

870 [2,5,6,7,8,E] (012369) in strings

[2,3,5,6,7,8,T,E] (01345689)

[1,3,4,7,T] (01369)

(melodic expression of (012369))

878 *p* *gliss*

[0,2,4,7] (0247) [E,1,3,6] (0247)

*pp*  $\triangleleft$  *p* *p*  $\triangleleft$  *mp*

## Example 5b, cont.

886

*mp* *mf* *mp* *mf*

A/C boundary dyad featured throughout the movement

[0,2,3,5,6,8,9]  
(0235689) septachord, OCT and complement of (01369) in m. 875

Retransition featuring fragment very closely resembling Mahler I/iv S-based transition fragment, now OCT

894

*f* *ff* *ff* *fff* *ff*

Full chromatic collection

fragmentation and a stasis point in m. 853 that closely resembles Mahler I/iv in texture, Mahler I/i quotation, and location in sonata space.

In Shostakovich IV/i, the development-concluding presentation of the S-theme (the last in a series of four statements) appears in B major at m. 854.<sup>9</sup> Simultaneously, the wind instrumentation and texture sustaining B-flat strongly alludes to the opening of Mahler I/i (and, with the presence of the *campanelli*, a return to fantasy-like flashback instrumentation heard throughout mm. 261–476). A Mahler I/i flashback is similarly featured near the end of the development of Mahler I/iv; there, a quotation from the first movement appears in m. 429 during a flashback episode following the second breakthrough interruption. Moreover, the B/B-flat semitone juxtaposition from Shostakovich IV/i corresponds to the D/E-flat

dyads at an analogous location in development space in Mahler I/iv: mm. 432–435. This dyad accompanies a presentation of the breakthrough arpeggios as well, and is succeeded by a presentation of the triplet “Inferno” motive.

Shortened to just its initial Mahlerian arpeggio, Shostakovich IV/i’s B-major S statement at m. 854 launches a series of Mahlerian quotations and allusions in succession, unfolding through the end of the development and roughly mapping onto the events at the conclusion of Mahler I/iv. The S-theme arpeggios are followed in m. 860 by a figure whose ascending-sixth leap and semitone descent again resembles the P-theme module from Mahler I/iv. A descending melody in mm. 864–872 journeys in mirror opposition to the chromatic ascending “flashback” theme from the opening and closing of Mahler I/iv’s development. Lastly, an

<sup>9</sup> Like Mahler I/iv, Shostakovich IV/i’s development features melodic material from the S-theme near its conclusion; this B-major statement of the S-theme in Shostakovich IV/i serves as the last main thematic module of development space.



octatonic retransition in mm. 898–906 is nearly identical to an S-based fragment from a transition passage near the end of Mahler I/iv's development (see Example 5a and 5b). This retransition reorients the Mahler quotation into octatonic figures that usher in the return to the movement's opening introductory module at m. 906.

### **Sonata Theory, Rotation, and Thematic Overwriting**

Thematic quotations and formal correspondences within sonata space between Shostakovich IV/i and Mahler I/iv illuminate larger notions of thwarted thematic expectations within sonata-form frameworks. The thematic and formal correspondences between the two movements outlined above suggest two points of reconsideration regarding the formal layout and thematic dramaturgy of Shostakovich IV/i.

First, quotation and formal correspondences to Mahler I/iv, coupled with considerations of Sonata Theory's rotational processes, buttress an interpretation of Shostakovich IV/i as complicating sonata-form space with thematic displacements and extra-formal visions of thematic salvation. Second, as a result of rotational and formal correspondences and of the S-theme's identification as a quotation of Mahler I/iv's *Durchbruch* theme, Shostakovich's lyrical "second" theme beginning in m. 263 may be reinterpreted as unfolding within development space, serving as a dream-like, compensatory development "breakthrough" version of the earlier, "failed" secondary theme. This compensatory statement is part of a series of thwarted thematic and rotational promises, with fragmentation, fantasy projection, and substitution culminating in the brutal reimagining of this theme at the end of development space, another choice in dialogue with Mahler I/iv's *Durchbruch*.

Generically, Mahler I/iv and Shostakovich IV/i engage with expectations of the exposition's thematic retracking in recapitulation space, a process framed by Sonata Theory as rotation. Considered a foundational principle, rotational structures "extend through musical space by recycling one or more times – with appropriate alterations and

adjustments – a referential thematic pattern established as an *ordered succession* at the piece's outset" [emphasis added] (Hepokoski, Darcy 2006: 611).<sup>10</sup> Typical to sonata-form movements is a layout wherein three large-scale rotations correspond to the exposition, development, and recapitulation, with the exposition's P/S thematic layout serving as a referential rotation for the remainder of the movement.

Alterations to sonata-form rotational structures may range from straightforward transpositions to large-scale deformations and even wholesale recomposition. Such a recomposition or substitution is referred to by Hepokoski and Darcy as thematic "overwriting." Heard commonly as episodic displacement of primary-theme material at the beginning of development space, writing over a theme involves substituting new material for an expected, rotationally ordered thematic return while otherwise maintaining the rotational ordering of the referential (typically expositional) rotation. These substitutions may be a predictable element of an otherwise rotational episodic development section, or appear as a driving force behind thematic dramas wherein a major expected return – e.g., the return of the primary theme at the moment of recapitulation – may be written over (Hepokoski, Darcy 2006: 212–215).<sup>11</sup> This exceptional choice significantly impacts the sense of return generically expected at recapitulation space.

The thematic quotation outlined earlier – Shostakovich's "secondary" theme as a quotation of the *Durchbruch* of Mahler I/iv – may be coupled with formal and thematic correspondences to Mahler I/iv (viz. the gradual emergence of an additional thematic module during developmental space, the return of the secondary theme in the tonic before the primary theme, and the replacement of the exposition's secondary thematic statement with a development-space theme) to create a formal correlation between placement and function. The "secondary" theme of m. 263 in Shostakovich IV/i may thus be reinterpreted, in the light of its Mahlerian associations, as a compensatory *Durchbruch* theme, a fantasy version of

<sup>10</sup> Rotational deformations are examined in depth in Darcy 1997.

<sup>11</sup> Overwriting a problematic or flawed theme in Mahler's symphonic works is addressed in Darcy 2001.



**Figure 4.** Mahler, Symphony No. 1, iv, large-scale overview.Large-scale rotations: **Rotation 1 - Exposition**

Zone:	Introduction	P				MC			
Subrotation:		SR1		SR2		TR?	SR3		
Measure #:	1	55		74		107	112		144
Thematic modules:		p1.1 p1.2 p1.3		p1.1 p1.2 p1.1 p1.4		Coda?	p1.1 p1.2 p1.3		MC (coda as fill)
f:	V	i	V	i	V	i	V	i	i:PAC

Large-scale rotations: **Rotation 1, cont.**

Zone:	S	EEC	C
Subrotation:			
Measure #:	176	222	222
Thematic modules:			
f:	VI (D-flat)	EEC	VI

Large-scale rotations: **Rotation 2 - Development**

Zone:	Flashback 1	Development pt 1			Preview 1		
Subrotation:		intro	SR1	SR2	TR	breakthrough	prep
Measure #:	238	254	262	274	290	297	306
Thematic modules:	I/i	intro	P+S	P+S			
f:	IV	g			C (quasi-tonicized)		
Formal function:	(Interruption-flashback)	Development			(Interruption-Preview)		

Large-scale rotations: **Rotation 2, cont.**

Large-scale rotations: <b>Rotation 2, cont.</b>									
Zone: Development pt. 2					Preview 2				
Subrotation:	SR1		SR2		BT	prep	choral	coda	
Measure #:	317		327	337	370	386	389	413	
Thematic modules:				intro, SR1, SR2			a a b a' b a'		
f: c: i					V		C-D		D
Formal function: Development					(Interruption-Preview)				

Large-scale rotations: **Rotation 2, cont.****Rotation 3 - Recapitulation/Breakthrough**

Zone:	Flashback 2	Retrans.	P	Breakthrough			
Subrotation:			P	BT	prep	chorale	coda
Measure #:	429	458	533	631	646	649	696
Thematic modules:	I/I, S	S					
f:	d-c	F:V	i	D(!)	D	D	D
Formal function:	(Interruption-flashback)						

what the fragmented statements in mm. 47–159 should have been.

Comparison with the overall formal layout of Mahler I/iv highlights the thematic and rotational connections that underpin this recontextualization. Shown in Figure 4, Mahler I/iv's development features continuing P/S rotational cycles and departures from development space altogether, looking backward and forward with interruptions, flashbacks, quotations, and previews of break-

through material to come.<sup>12</sup> In a process similar to Shostakovich IV/i, the secondary theme of Mahler I/iv emerges at the end of the Flashback 2 section and is further developed throughout the retransition. This appearance of the secondary theme is comparable in length to its original expository statement. Furthermore, it is in *F major*, the major-mode inflection of the movement's global tonic, blurring the tonal lines between development and recapitulation spaces. This F-major return is

<sup>12</sup> The structural analysis and thematic labels referred to here are from unpublished analytical sketches created by Warren Darcy from 2005. I created the graphs using Darcy's proposed layout and analytical terminology; the hermeneutic analysis is my own. Seth Monahan outlines this general partitioning of the movement similarly, including dividing the development into flashback, preview/premonition, and *Durchbruch* spaces. See Monahan 2011: 47.

Figure 5. Shostakovich, Symphony No. 4, i, large-scale thematic/rotational overview.

Exposition					Development		
Rotation	Rotation 1				Rotation 2	Rotation 3	Rotation 4
m.#	1	18	31	32	160	233	252
Theme	P	TR	MC	S-theme fragments	P+S, P TR, S fragments	P S fragments	TR, S, S+P

Development, continued					Tonal Resolution (Crux)	Coda	
Rotation	Rotation 5		Rotation 6		Rotation 7	Rotation 8	Rotation 9
m.#	477		717	787	906	1006	
Theme	P(fifth too low)	fugue	P + TR	S, S, S + Mahler,	P(introductory) + S-telos	P TR	P+Mahler
	P+S-var, P/TR	no S!		retransition	followed by S fragments		

further complicated by its placement over a pedal C-natural in the bass, creating a sustained cadential 6/4 harmony that destabilizes this tonic return of the secondary theme.

The subsequent tonic return of Mahler I/iv's primary theme at m. 533 then attempts to bring about a standard recapitulatory rotation. Rather than a full return including the secondary theme in the tonic, the breakthrough theme interjects directly after the primary theme and produces the movement's jubilant *telos*. This breakthrough and its succeeding thematic modules appear in the order first featured during the development and completely displace the expected secondary-theme recapitulatory appearance normative to a sonata recapitulation.

Figure 5 shows the overall thematic layout of Shostakovich IV/i. The arrival of the "lyrical" bassoon theme in m. 263 – set apart with dreamlike instrumentation after a crisis point and emerging from an F-minor Mahler I/iv tonal landscape – may be reconsidered as presenting not merely a developing variant of the previously troubled lyrical theme attempt, but also a transformed, subdued, and fantasy-like version of the *Durchbruch* theme from the development of Mahler I/iv. The theme in m. 263 attempts a rescue of the problematic S-theme by creating its own fantastic "breakthrough" version, coopting the triumphant, bombastic brass theme from Mahler I/iv as a means of redemption. The theme's eventual

*telos* appearance at m. 906, as a displacement of the primary theme at the moment of return to tonic, then may be considered as strongly in dialogue with the analogous tonic statement of the secondary theme and subsequent *telos* statement of the *Durchbruch* during the recapitulation space in Mahler I/iv.

Furthermore, the recomposition of the original S-theme fragments can be recontextualized as part of a larger pattern of substitution and overwriting resulting from the unsatisfactory status of the S-fragments in mm. 47–159. During subsequent rotations, additional attempts to address the difficulties of the initial presentation result in continued fragmentation, as heard throughout mm. 160–232. Still consistently paired with Mahler quotations, the lyrical, *Durchbruch* version in m. 263, though quoting Mahler's successful breakthrough, is troubled by its dreamlike instrumentation; the tragic, then sardonic recasting of Mahler's triumph eventually gives way to ironic polka and waltz textures in a return to development-space reality.

The next substantial rotational invitation to S-theme material at m. 580 supplants an expected secondary theme with a frantic four-voice fugal string passage in mm. 580–716. After a waltz-like version at m. 854 is mired in the static texture of Mahler I/i, the theme's C-minor *telos* version emerges at m. 906 as victorious, yet brutalized by the oppressive primary-theme texture and minor-

mode presentation. No longer lyrical, the “triumphal” version uses the thematic and formal roadmap of Mahler I/iv, paired with the rhetoric of its own militaristic opening, to shore up the movement’s foundering thematic structure, which endangers both the execution of the overarching sonata form trajectory and the movement’s driving, relentless, almost menacing musical energy.

### Form versus (Mahlerian) Content

In light of the Mahlerian quotations and correspondences outlined here, where does this reconsideration position what is considered by many scholars to be the “real” arrival of S in m. 263? Certainly the S-theme presented at m. 263 is what is commonly considered rhetorically, thematically, and formally necessary to cement an unequivocal secondary-theme zone; thus, the later statement seems to compensate for the failures of the earlier statement. In this light, considerations of the S-theme fragments as a failed or aborted attempt that is addressed by the later, more cohesive statement beginning in m. 263 (or even as a variation of the P-theme) are certainly plausible. The bassoon version of the theme is presented in A major, a chromatic variation on the common submediant S-theme default in expositions at the time. Furthermore, the most prominent melodic fragment at m. 47 is not the Mahlerian arpeggios, but rather a descending scale violin melody, arguably that section’s “main” theme.

Conversely, this movement’s saturation with Mahlerian quotations and its obsessive rotational cycles complicate the nature of the secondary theme’s “failed” origins and its role within the overall sonata structure. Whereas the eventual thematic arrival of the secondary theme in the development is indeed the first cohesive appearance of this theme, I contend the rhetorical effects of m. 47’s similarity to a rotationally expected S-theme, its “failure,” and the dramatization of its subsequent statements support a hearing of the first rotation through these thematic modules in mm. 47–159 as corresponding to the expository

rotation of a sonata-form structure. In addition to its contrasting lyrical style, this section features key areas commonly associated with S-themes (the first fragment highlights G minor, v, a common key choice for minor-mode sonata movements, and later features VI, a then-common S-theme option, and the Neapolitan, the S-theme tonality of Shostakovich V/i). Further, the two highlighted Mahlerian fragments from mm. 47–159 eventually displace their scalar-melody counterpart, most prominently at the movement’s recapitulatory return to C minor. This reversal of fortunes serves to further underscore both the importance of these Mahlerian fragments at their first appearance and the meaning behind the rotational retracing of their “failure” to rise above the violin’s melodic hegemony earlier on.

Pauline Fairclough refers to Shostakovich’s Fourth Symphony as a particular manifestation of the Soviet concepts of *syuzhet* versus *fabula*, “plot” versus “story” or form vs. content (Fairclough 2006: 56). In Shostakovich IV/i, each successive rotation engages the dilemma of the initially fragmented secondary theme, and rhetorical drama is built by the consistent thwarting of rotational expectations, as well as constant reminders – engendered through the very same process of rotation – of the formal processes threatened by such thematic failures. Highlighting the connections between this movement and Mahler’s First Symphony and grounding these observations in Sonata Theory allows expressive possibilities that position Shostakovich’s thematic and formal innovations within a constellation of dialogic norms and deformations, adding another layer to the interchange between form and content. This frames the movement so that, as Seth Monahan emphasizes regarding Mahler’s music, “later happenings, down to their smallest inflections might be understood as the consequence of earlier events” (Monahan 2011: 37). Shostakovich’s formal and thematic processes in Symphony No. 4, equally captivating, create a grand formal plot, with a grand story to match.

## References

- Adorno**, Theodor W. 1992. *Mahler: A Musical Physiognomy*. Transl. Edmund Jephcott, Chicago/London: University of Chicago Press.
- Darcy**, Warren 1997. Bruckner's Sonata Deformations. – *Bruckner Studies*. Ed. by Timothy L. Jackson and Paul Hawkshaw, Cambridge / New York / Oakleigh: Cambridge University Press, pp. 256–277.
- Darcy**, Warren 2001. Rotational Form, Teleological Genesis, and Fantasy-Projection in the Slow Movement of Mahler's Sixth Symphony. – *19th-Century Music* 25/1, pp. 49–74.
- Fairclough**, Pauline 2001. Mahler Reconstructed: Sollertinsky and the Soviet Symphony. – *The Musical Quarterly* 85/2, pp. 367–390.
- Fairclough**, Pauline 2006. *A Soviet Credo: Shostakovich's Fourth Symphony*. Aldershot: Ashgate.
- Gasparov**, Boris 2005. *Five Operas and a Symphony: Word and Music in Russian Culture*. New Haven: Yale University Press.
- Hepokoski**, James 2002. Beyond the Sonata Principle. – *Journal of the American Musicological Society* 55/1, pp. 91–154.
- Hepokoski**, James 2009. Sonata Theory and Dialogic Form. – *Musical Form, Forms and Formenlehre: Three Methodological Reflections*. William E. Caplin, James Hepokoski, James Webster, ed. by Pieter Bergé, Leuven: Leuven University Press, pp. 71–89.
- Hepokoski**, James, Warren Darcy 1997. The Medial Caesura and Its Role in the Eighteenth-Century Sonata Exposition. – *Music Theory Spectrum* 19/2, pp. 115–154.
- Hepokoski**, James, Warren Darcy 2006. *Elements of Sonata Theory: Norms, Types, and Deformations in the Late Eighteenth-Century Sonata*. New York [et al.]: Oxford University Press.
- Klein**, Michael L. 2005. *Intertextuality in Western Art Music*. Bloomington: Indiana University Press.
- Koball**, Michael 1997. *Pathos und Groteske: Die deutsche Tradition im symphonischen Schaffen von Dmitri Schostakowitsch*. *Studia slavica musicologica* 10, Berlin: Verlag Ernst Kuhn.
- Kopp**, Karen 1990. *Form und Gehalt der Symphonien des Dmitrij Schostakowitsch*. Bonn: Verlag für Systematische Musikwissenschaft.
- Lofthouse**, Charity 2014. *Rotational Form and Sonata-Type Hybridity in the First Movement of Shostakovich's Fourth Symphony*. Ph.D. diss., City University of New York.
- Longman**, Richard M. 1989. *Expression and Structure: Processes of Integration in the Large Scale Instrumental Music of Dimitri Shostakovich*. New York: Garland.
- Monahan**, Seth 2007. 'Inescapable' Coherence and the Failure of the Novel-Symphony in the Finale of Mahler's Sixth. – *19th-Century Music* 31/1, pp. 53–95.
- Monahan**, Seth 2008. *Mahler's Sonata Narratives*. Ph.D. diss., Yale University.
- Monahan**, Seth 2011. Success and Failure in Mahler's Sonata Recapitulations. – *Music Theory Spectrum* 33/1, pp. 37–58.
- Orlov**, Genrikh 1961. *Simfonii Shostakovicha*. Leningrad: Muzgiz.
- Ottaway**, Hugh 1975. Looking Again at Shostakovich 4. – *Tempo* 115, pp. 14–24.
- Ottaway**, Hugh 1978. *Shostakovich Symphonies*. Seattle: University of Washington Press.
- Roseberry**, Eric 1989. *Ideology, Style, Content, and Thematic Process in the Symphonies, Cello Concertos, and String Quartets of Shostakovich*. New York: Garland.
- Sabinina**, Marina 1976. *Shostakovich – simfonist: Dramaturgiya, estetika, stil'*. Moskva: Muzyka.
- Sollertinsky**, Ivan 1932. *Gustav Maler*. Leningrad: Muzgiz.
- Taruskin**, Richard 1997. *Defining Russia Musically: Historical and Hermeneutical Essays*. Princeton: Princeton University Press.

## Mahleri tsitaadid, temaatiline dramaturgia ja sonaativorm Šostakoviči neljanda sümfoonia I osas

Charity Lofthouse  
(tõlkinud Kerri Kotta)

Dmitri Šostakoviči neljandat sümfooniat (1936), mis ületab helilooja varasemaid sümfooniasid nii pikuselt kui ulatuselt, on peetud tema sümfooniate seas üheks kõige „mahlerlikumaks”. Selle põhjused ulatuvad teose mastaapsusest, orkestratsioonist ja rahvamuusika kasutamisest mahlerlike assotsiatsioonide ja tsitaatideni, mida on teoses läbivalt kasutatud. Lisaks temaatilistele ja harmoonilistele sarnasustele Gustav Mahleri sümfooniatega on kõnealune teos sonaativormi konventsioonidega dialoogis viisil, mis tekitab küsimusi teemade identifitseerimisel ja struktuursel määratlemisel: sümfoonia I osa erinevad käsitlused on selles leidnud peegelrepliisi, kolmest teemast moodustuvat ekspositsiooni ja isegi sonaativormi kui sellise täielikku eitamist. Eelnevates analüüsides on ühtlasi osutunud probleemiks kõrvalteema täpse asukoha määratlemine, sest see näib erinevates maskeeringutes kummitavat I osa läbivalt.

Käesolevas artiklis pakutakse välja tõlgendus, mis seostab Šostakoviči neljanda sümfoonia I osa mahlerlike tsitaatide ja allusioonidega, temaatilise dramaturgia ning iseloomuliku vormikujundusega. Neljanda sümfoonia temaatilist ja vormilist arengut vaadeldakse ühtlasi Mahleri esimese sümfoonia ja James Hepokoski sonaaditeooria valguses (Hepokoski, Darcy 2006). Kahes sümfoonias kasutatud sarnased tehnikad lubavad väita, et taktis 263 algav „kõrvalteema” on tegelikult modifitseeritud Mahleri tsitaat, mis funktsioneerib katsena kehtestada uut kõrvalteemat, kompenseerimaks sellele eelnevat ja vähearendatud kõrvalteema fragmenti taktides 47–159.

Neljanda sümfoonia I osa esimene Mahleri tsitaat, trioosil põhinev „põrgumotiiv” helilooja esimese sümfoonia IV osast, ilmub taktis 132 pärast vähearendatud kõrvalteema viie meloodilise fragmendi nelja kordust. Järgnevas fagotiteemas (alates taktist 263) ilmuvad kõik need fragmendid koos, olles ühtlasi ühendatud ka „põrgumotiivi” tsitaatidega. Väidan, et mainitud fragmentide hilisemad kordused, mida sageli seostatakse „tegelikult” kõrvalteema tulekuga, on hoopis Mahleri esimese sümfoonia IV osa töötluse nn. läbimurdeteema (*Durchbruch*) tsitaadid. Šostakoviči teemat alustav arpedžokäik, teema meloodiline kontuur ja rütm vastab alates taktist 263 Mahleri läbimurdeteemale nii kolmkõnaliselt täidetud ja harmoonia kvinte ühendava oktavikäigu, laadi teist astet rõhutava abihelikäigu kui ka peale arpedžot laadi kolmandale astmele tagasilikumise poolest. Järgmise fraasi meloodiline kontuur on sarnane Mahleri esimese sümfoonia IV osa läbimurdeteemale järgneva koraalteemaga: mõlemad sisaldavad kahte laskuvat kvardimotiivi, mis lõpevad tõusva septimihüppega.

Edasised temaatilised ja tekstuaalsed tsitaadid viitavad Šostakoviči ja Mahleri teoste töötlusosade vormilisele vastavusele. Pärast seda kui fagoti täiendavad läbimurdeteema teostused seotakse Mahleri tsitaatidega taktides 335, 372 ja 428, viitab dramaatiline *stasis* taktis 853 Mahleri esimese sümfoonia I osale (Mahler tsiteerib seda veel IV osa töötluse lõpus). Šostakoviči töötlus jätkub laskuva meloodiaga taktides 864–872, mis peegeldab tõusvat „tagasivaateteemat” Mahleri IV osa töötlusest, ja okatoonilise lõpuosaga taktides 898–906, mis on peaaegu identne Mahleri IV osa töötluses kõlava kõrvalteema materjalil põhineva lõpuosaga. Mainitud vastavuste valguses näib Šostakoviči tsiteerivat Mahleri esimese sümfoonia IV osa neid kohti, mis on omakorda mainitud sümfoonia I osa tsitaadid: võib öelda, et nii Šostakoviči neljanda sümfoonia I osa kui ka Mahleri esimese sümfoonia IV osa põhinevad samal etalonil, Mahleri esimese sümfoonia I osal, peegeldades mainitud eeskuju vormilise ruumi sarnastes punktides.

Temaatilised tsitaadid, läbimurdemotiiviga seonduvad muusikalised sündmused ja vormiline vastavus Šostakoviči neljanda ja Mahleri esimese sümfoonia vahel peegeldavad ühtlasi sonaativormi kontekstis n.-ö. ootuspäraste vormiosade mitterealiseerumise üldisemat ideed. Šostakoviči lüürilist „kõrvalteemat” (takt 263) võib interpreteerida unistava, varasema „luhtunud” kõrvalteemat (taktid 47–159) kompenseeriva variandina või paradiisinägemusena, mis oleks sellisena pidanud realiseeruma juba mainitud „luhtunud” kõrvalteemas. Mainitud kompenseeriv žest avaldub ühtlasi töötluses kõlavate realiseerumata kõrvalteema arvukate „lubadustena”: killustamine, fantaasiapildid ja temaatilised asendusvõt-

ted kulmineeruvad töötluse lõpus mainitud teema brutaaelses taasilmumises, sarnaselt Mahleri esimese sümfoonia IV osa repriisi algust artikuleerivale läbimurdemotiivile.

Šostakoviči omase temaatilise arenduse seostamine Hepokoski sonaaditeooria ja rotatsioonilise vormi printsiipidega toob nähtavale „luhtunud” kõrvalteema kasutamise temaatilised ja vormilised tagajärjed ning pakub võimalust seostada teos nii vormi kui ka sisu poolest Mahleri esimese sümfooniaga. Kui kõrvalteema lõplik saabumine taktis 263 ka on selle esimene sidus ilmumine, üritab käesolev analüüs demonstreerida rotatsioonilisi seoseid ja sellest tulenevat draamat kõrvalteema mõlema võimaliku variandi vahel. Taktis 263 algab kõrvalteema, mis retooriliselt, temaatiliselt ja vormiliselt oleks sellisel kujul pidanud kõlama juba oma esimesel ilmnemisel. Selle võimaluse mahamängimine hakkab paratamatult rõhutama teema kompenseerivat rolli ning kriipsutab alla nii varasemate kõrvalteema fragmentide rotatsioonilist tähtsust kui ka teekonda teema algsest „luhtumisest” selle retooriliselt markeeritud avaldusteni töötluses ning peaaegu militaarse *telos'*eni, nii pea- kui ka kõrvalteema meloodilise hegemoonia üksteist varjutava kokkulangemiseni mahlerlikus repriisis. Iga järgnev rotatsioon peab taas rinda pistma dilemmaga, mille põhjustajaks oli kõrvalpartii esimene, fragmentaarne algus; retooriline draama ehitub siin rotatsiooniliste ootuste pidevale „nurjumisele”, aga ka rotatsioonilise arengu loogikast tulevale pidevale meenutusele suurematest vormilistest protsessidest, mida kirjeldatud temaatiline lagunemine alati ähvardab. Seega ehitatakse Šostakoviči neljandas sümfoonias üles suur Mahlerile omane vormidraama, mis viimase esimese sümfooniaga ka suuresti haakub.



# One-Movement Form in the Chamber Music of Heino Eller, Eduard Tubin, and Eduard Oja

Aare Tool

In the present article, three chamber works written in the 1920s and 1930s will be analysed: Heino Eller's (1887–1970) First String Quartet (1925), Eduard Tubin's (1905–1982) Piano Quartet (1930), and Eduard Oja's (1905–1950) Piano Quintet (1935). In the first part of the article, I will explain, drawing on historical evidence, why these works can be considered as significant for their formal design in the Estonian context. In the second part, a comparative analysis of the works will be presented, the goal of which is to demonstrate the multitude of compositional options available within the boundaries of "one-movement form."

## 1. One-Movement Form and the "Tartu" School of Composers

There has been a long tradition of distinguishing two schools of composers in Estonia. Firstly, there was the "Tartu" school gathered around Heino Eller, the prominent composition teacher of the Tartu Higher Music School (the present official name of the institution being, significantly, the Heino Eller Music School of Tartu). His students from the late 1920s and early 1930s include Eduard Tubin, Eduard Oja, Alfred Karindi, Olav Roots, and Karl Leichter. In his later years, as professor of the Tallinn Conservatoire (the present-day Estonian Academy of Music and Theatre), Eller brought up, among many others, Arvo Pärt and Lepo Sumera. Secondly, there was the "Tallinn" school epitomised by Artur Kapp (1878–1952), the head of the composition faculty of the Tallinn Conservatoire in the 1920s and 1930s. Both Eller and Kapp, as typical of their generation, graduated from the St. Petersburg Conservatoire: Kapp in 1901, having studied composition with Nikolai Rimsky-Korsakov, in addition to mastering the organ, and Heino

Eller in 1920 as a student of Vasily Kalafati, a former pupil of Rimsky-Korsakov.

Naturally, in comparing the "Tartu" and the "Tallinn" schools, some caution is due because the compositional practices within each are diverse enough to evade any attempt of making simple generalisations. In the critical reception of the "Tartu" school, modernist tendencies have generally been emphasised, whereas the "Tallinn" school has been associated with the more moderate trends, prevalent in the Estonian musical scene of that time. During the 1920s, Eller built his reputation of being the leading Estonian modernist – a label that in the second half of the 1930s was claimed by Eduard Tubin, especially with his Second Symphony (*Legendary*). Although the terms "modernist" and "impressionist" – another adjective widely applied to Eller by his contemporaries – had lost some of their previous pejorative connotations by the 1930s, the music of the "Tartu" school was still foil for fierce discussions.<sup>1</sup> In comparison to Eller (and even to Tubin), Oja was less known to the general public, and the majority of his most substantial works, including the Piano Quintet, were rediscovered and published only in the 1980s.

For their open-minded attitude towards the new ways of expression, Eller and his students formed a relatively well-defined circle of musically kindred spirits. Nevertheless, Eller, Tubin, and Oja produced few works related so explicitly in their concept as the three discussed in the present article. Eller's First String Quartet, Tubin's Piano Quartet, and Oja's Piano Quintet, all completed within a period of ten years (1925–1935), are not in the form of traditional three- or four-movement sonata cycles, but rather in one continuous movement. From the first half of the 19th

<sup>1</sup> According to Tubin's (2003: 138) retrospective assessments made in the 1950s and 1960s, Eller's music was considered to be ultra-modern and labelled as "French impressionism" – only because the more recent Western-European musical trends had virtually no impact on the Estonian musical scene in the 1920s, and there was little awareness that "French impressionism" had long been exceeded by Schoenberg, Hindemith, Bartók, and Stravinsky. Tubin (2003: 204) acknowledged to have been familiar with the music of Scriabin, Prokofiev, Stravinsky, Kodály, and, to a lesser degree, with Hindemith, while Schoenberg, Berg, Webern, and Shostakovich were almost unknown in Estonia in the 1930s.

century onwards, there had been an ever increasing tendency to use one-movement form in genres (piano sonata, instrumental concerto, etc.) that in the late 18th and early 19th centuries typically required a sonata cycle.

In the first half of the 19th century, two distinct routes were taken towards one-movement design: 1) in the earlier examples, such as Schubert's *Wanderer* Fantasy of 1822, an impression of continuity is created by thematically interrelating the movements, played attacca; 2) a further level of integration is achieved in some of Liszt's works, where the movements of the sonata cycle are incorporated into a higher-level formal paradigm, such as sonata form (or, more generally, ABA form).<sup>2</sup> Thus, the main difference between the "Schubertian" and "Lisztian" stages in the development of the one-movement cycle is the following: in the first case, the sonata cycle still functions as the highest level formal paradigm of the work, and other models (such as the sonata form) are instantiated in its movements as lower-level units. In the second case, however, ABA form (or any of its elaborated versions) is produced on the highest level, and the movements of the sonata cycle are instantiated within it as lower-level units. In both cases, the notion of "one-movement cycle," despite apparently an oxymoron, needs to be taken in the most literal sense: in those works, a greater level of integration is achieved than in the regular Viennese Classical sonata cycles, resulting in a greater continuity of musical "motion" (or "movement") throughout the piece.

Eller, Tubin, and Oja were practically the only Estonian composers to use one-movement form in their chamber music in the 1920s and 1930s.<sup>3</sup> In instrumental concertos, however, one-movement cycles were somewhat more common. Lisztian one-movement form can be encountered in Artur Lemba's Second Piano Concerto

(1931), Artur Kapp's First Concerto for Organ and Orchestra (1934), Eller's Violin Concerto (1937, revised in 1964), and Tubin's Double Bass Concerto (1948). A similar pattern exists in the late 19th- and early 20th-century Russian music that must have had an important role in guiding Eller to the Lisztian practice. One-movement piano sonatas in the vein of Liszt's celebrated B minor Sonata were produced by Sergei Lyapunov (Op. 27) and Nikolai Medtner. Nevertheless, the majority of one-movement works represent the genre of instrumental concerto (again paying tribute to Liszt's two Concertos): Rimsky-Korsakov's Piano Concerto (1883; dedicated to the memory of Liszt in the 1886 edition); Alexander Glazunov's Violin Concerto (1904), Second Piano Concerto (1917), Cello Concerto (Concerto Ballata, 1931), and Alto Saxophone Concerto (1934); Prokofiev's First Piano Concerto (1912), etc. That list does not include Liszt-inspired symphonic works (overtures, symphonic poems, symphonic tableaux, etc.) in which one-movement design, either with or without cyclic implications, used to be the norm. To underline Liszt's influence on the Russian musical scene of the late 19th century, let us mention only one of the many programmatic one-movement orchestral works produced in that period: Mily Balakirev's symphonic poem *Tamara* (1883), dedicated "with the profoundest respect" to the Hungarian composer. In addition, impulses for exploring the possibilities of a one-movement design may have been given by several Finnish composers. One-movement form is used in, for example, Selim Palmgren's Second Piano Concerto *Virta* (*The River*) of 1913 (Salmenhaara 1996: 165–167), not to mention Jean Sibelius's tone poems, such as *En saga* (analysed in Wicklund 2014: 173–174).

In the late 19th and early 20th centuries, one-movement form was used mainly in those genres in which Liszt himself had set the example, and

<sup>2</sup> One-movement cycles of both types have precursors in the second half of the 18th century. For example, in C. P. E. Bach's Symphony in E flat major Wq. 183 (*Allegro di molto – Larghetto – Allegretto*), the first two movements are performed attacca. Sonata form has been enhanced with cyclic implications in Mozart's Symphony (Overture) in G major KV 318; the development section is followed by an interpolated *Andante*, only after which a (partial) recapitulation is given. Thus, the emergence of one-movement cycles involved a reintroduction of the early-Classical procedures that had been excluded from the compositional vernacular by the early 19th century.

<sup>3</sup> Eller's First String Quartet was preceded by his First Sonata for Violin and Piano in A minor (1922), a one-movement work in sonata form. In the critical reception of its first performance, the Sonata was likened to the first movement of a sonata cycle, and as the piece was found to be a "significant one," it was suggested that the "remaining" movements should be added in the future – an utterance that indicates how unexpected was the one-movement design as an alternative to the traditional sonata cycle (Humal 1987a: 166).

there are significantly few instances of it in string quartets and other works for chamber ensembles. This might have been, at least in part, due to the social function chamber music had in the 19th century. Because of its greater degree of integration, one-movement design often (but not always) results in a shorter duration of the work than traditional three- or four-movement sonata cycles (for example, the length of Tubin's Piano Quartet and Oja's Piano Quintet is a bit more than 15 minutes each – that is as much as only the first movement of César Franck's Piano Quintet). In the 19th century, when chamber music was performed in private and players gathered on an ad hoc basis for a special occasion, a shorter duration was not necessarily an advantage (Talbot 2001: 156). In the 1920s, the tendency to introduce concertante elements into chamber ensembles gave rise to numerous "chamber concertos." Those works, however, typically represent the neo-Baroque trends (Hindemith) and have much less, if anything at all, to do with the Lisztian one-movement paradigm (Mäkelä 1990: 76–78).

In the 1920s and 1930s, chamber music became one of the main vehicles for the most radical new musical developments. For its elaborate contrapuntal technique (analysed in Humal 1987b: 104–107), the First String Quartet is one of Eller's most boldly experimental works. Nevertheless, Eller rejected the idea of his Quartet being atonal: "It has very much to do with a central tone, which I occasionally leave and return to, but it is only at the end of the work that I really tackle it" (Humal 1987a: 101). When asked what aspects he paid most attention to in his chamber music, Eller responded: "form as such and a total independence of voices (linearity)" (Humal 1987a: 107). In few of his other works, if any, has the preoccupation with linear voice-leading been taken to such measures as in the First String Quartet. It is interesting to note that Eller never returned to the one-movement design in his later chamber music; all of his four subsequent string quartets (1931, 1945, 1953, and 1959) are composed as traditional multi-movement cycles. Therefore, the First String Quartet holds a rather unique place in his oeuvre.

In Oja's output, the Piano Quintet is equally unparalleled – his only large-scale work of chamber music and arguably one of his most representative pieces in general. Oja was the first in Estonia to extensively use the octatonic scale, a hallmark of Rimsky-Korsakov (Taruskin 2011: 174), early Stravinsky, Scriabin, Bartók, and several other composers of the early 20th century (Jurkowski 2005: 71–72; about the origin of that term in Berger 2002: 186–187). The Piano Quintet is one of his three octatonic works, the other two being the piano cycle *Vaikivad meeleolud* (*Silent Moods*) and a suite for cello and piano entitled *Ajatriiloogia* (*Trilogy of Time*), all written in the first half of the 1930s.<sup>4</sup> Thus, it can be considered as an eloquent example of how the use of one-movement form is in correlation with the other features innovative in the local musical scene.

Tubin's Piano Quartet came to being in 1928–1930 as a graduation work. Subsequently, his priorities were shifted in favour of other genres (symphony, instrumental concerto, and, in the late 1960s, opera), and in the relatively limited number of works for chamber ensembles produced in his later years, traditional sonata cycle was favoured (however, one-movement design was revisited in Tubin's Tenth Symphony of 1973). In the chamber music of the "Tartu" school, the preoccupation with one-movement form was a markedly period-specific phenomenon, and, considering its rarity, Eller was very likely the one responsible for ushering Tubin and Oja towards it.

## 2. Analytical Perspectives

The notion of one-movement form (or one-movement cycle) is informative mainly in speaking of works in which, due to their indicator of genre (sonata, quartet, quintet, concerto, etc.), a three- or four-movement sonata cycle would be expected by analogy with the Viennese Classical tradition, but a more integrated type of design is used instead. For the aforementioned "Lisztian" one-movement model, other terms have been proposed, one of the most recent ones being "two-dimensional form" introduced by Steven

<sup>4</sup> The first piece (*Lento, con moto*) from *Silent Moods*, which is based on the pitches of only one transposition of the octatonic scale and contains no other tones, is particularly significant as an example of Oja's octatonic practice.

Vande Moortele (2009).<sup>5</sup> Compared to “two-dimensional form,” one-movement form is a considerably wider term. It encompasses, in addition to the “two-dimensional” design, sonata cycles following the examples of Schubert’s *Wanderer* Fantasy and Schumann’s Fourth Symphony – which, according to Moortele (2009: 29, 37), come close to being “two-dimensional” – and single-movement works in sonata form, regardless of the explicitness (or implicitness) of the sonata cycle. The term “one-movement form” stands for a rhetorical function of deviating from the classical sonata cycle towards a greater degree of integration, and does not specify (apart from the exclusion of separated movements) how that goal is to be achieved.

## 2.1. Setting the Trend: Eller’s First String Quartet

Eller’s First String Quartet can be divided into two relatively independent but interrelated parts of approximately equal duration (10 minutes), played attacca, the first one (*Allegro assai*) encompassing bars 1–275 and the second one (*Presto scherzando*) bars 276–748 (Scheme 3a). The *Allegro assai* (in 3/4 time) is written in sonata form and accommodates an extensive *Andante sostenuto* interpolation (4/4), preceding the recapitulation. The *Presto scherzando* (6/8) is in ternary form, leading to a restatement of the primary theme of the first part (*Adagio molto espressivo*, 3/2), followed by a *Prestissimo* coda (2/4). Therefore, the aforementioned “Schubertian” and “Lisztian” models are combined in that work. The procedure of inserting a slow-movement episode within a developmental space of the sonata form was well known in the 18th century and subsequently became increasingly common as a means for enhancing the cyclic properties of a one-movement work (Hepokoski, Darcy 2006: 221). The *Allegro assai* is governed by the “Lisztian” paradigm, combining sonata form with the sonata cycle. In the work as a whole, the “Schubertian” paradigm, characterised by relatively self-contained (but interrelated)

movements and the absence of an overarching ABA form, comes to the fore.<sup>6</sup>

In the *Allegro assai*, the primary- and secondary-theme zones (bars 1–41 and 42–70) are not significantly differentiated in terms of character, the “secondary” function of the latter being only slightly underlined by the *poco sostenuto* and *dolce* indications. Furthermore, they are strongly interrelated, and the secondary theme results from a gradual thematic transformation. The main phrase (Scheme 1a) features descending triplets {B|, A|, G} and an appoggiatura figure {E, F}, resulting in an incomplete neighbouring tone figure {G, E, F} – a motivic cell that plays an important role in the forthcoming thematic material. In bars 14–15, an inversion of the main phrase occurs in the cello part (1b), extended in bars 22–26 by means of an {D, E|, C, B|} figure. The thematic material of the secondary theme zone (1c) is produced by combining these figures.

The qualities of sonata form, obscured in the exposition (due to the lack of clearly differentiated primary- and secondary-theme zones), are further blurred in the developmental space by means of an extensive *Andante sostenuto* interpolation (bars 120–198), which is linked to the primary theme by the triplets-and-appoggiatura-figure (Scheme 1d). At first hearing, it would not be unthinkable to assume that the *Andante sostenuto* (rather than the *poco sostenuto* of bar 42) functions as the secondary-theme zone of the sonata exposition. Its status as a self-sufficient slow movement, undermined by the seamlessness with which it outgrows from the preceding music, is not obvious enough to exclude such an interpretation. This would allow for a somewhat more differentiated primary-secondary theme relationship in terms of character (*Allegro assai* versus *Andante sostenuto*). The recapitulation (bars 199–275), however, provides little justification to that reading, because it clearly follows the musical events of bars 1–70, with the *poco sostenuto* secondary theme being transposed by a fifth lower than in the exposition.

<sup>5</sup> Speaking of the emergence of one-movement form in the early 19th century, Lev Mazel (1960: 184–185) used the term “new one-movement form” (новая одночастная форма). According to Mazel, Lisztian one-movement form was anticipated by Chopin in, for example, the Fantasy in F minor Op. 49 and the Polonaise-Fantasy Op. 61.

<sup>6</sup> According to Hugo Riemann (1889: 95–97), ABA (*Hauptgedanke–Nebengedanke–Hauptgedanke*) is the archetype of all classical formal paradigms and one of the most general musical concepts (see also Rehding 2011: 220). Therefore, it is interesting to observe if that model, typically evaded on the highest formal level in the traditional sonata cycles, is instantiated in the one-movement works of Eller, Tubin, and Oja.

Thus, the recapitulation fulfils one of the essential criteria of the sonata form, according to which – to put it in the most general terms – the tonal relationship between the primary and secondary themes in the recapitulation has to be different than in the exposition.

There is sufficient ground to speak of the presence of the sonata cycle only if the work contains sections resembling a slow movement and a scherzo. Eller's Quartet meets that criterion, with the *Andante sostenuto* as a slow movement and the *Presto scherzando* as, obviously, a scherzo. The *Presto scherzando* (Scheme 1e) sets a mood completely different from that of the *Allegro assai*. For its certain rhythmic gestures, such as the iambic phrase ending, standing in contrast to the appoggiaturas of the *Allegro assai*, and the multitude of pedal tones (such as the drone of open fifths played by the cello in bar 227), the *Presto scherzando* seems to fall into the category of Eller's "rustic" style, not uncommon in his orchestral works written in the latter half of the 1920s, including *Varjus ja päikesepaistel* (*In the Shade and in the Sunshine*) and *Sümfooniline burlesk* (*Symphonic Burlesque*). Thematically it is not unlinked to the preceding material, as demonstrated by an incomplete neighbouring tone figure {D $\sharp$ , E, C} derived from the *poco sostenuto* phrase (Scheme 1c), although the connections are not as obvious as had been within the *Allegro assai*. In the coda, the *Presto scherzando* theme, or rather the first bar of it, is transformed into 2/4 time, its every statement instantly echoed by an inverted version, as if to point out one of the most characteristic contrapuntal procedures of the Quartet in a nutshell (Scheme 1g).

There are not many pieces that could be considered as a likely model for the rather unusual form of Eller's First String Quartet. Nevertheless, some similarities with Alexander Glazunov's celebrated Violin Concerto in A minor (1904) may be worth exploring. Glazunov's Concerto consists of two movements (*Moderato* and *Allegro*) connected by a solo cadenza, the first movement being in sonata form with an *Andante* interpolation. Thus, Eller's and Glazunov's works are both one-movement cycles composed of two relatively self-sufficient parts, and the first part of each contains a slow-movement interpolation: in Glazunov's case, before, and in Eller's case, after the outset of the developmental space. In Eller's work, the

thematic connections between the two parts are more explicit and, unlike in Glazunov, the primary theme of the first part recurs before the coda. There are some similarities in how the two parts relate to each other in terms of their character. In Glazunov's Concerto, the contrast between the passionate *Moderato* and the "hunting calls" finale (*Allegro*) is as stark as that between the *Allegro assai* and the "rustic" *Presto scherzando* in Eller's Quartet. Moreover, in both works, the second part is in 6/8 time and the theme even begins with a similar rhythmic figure (♩ ♪ ♪ ♪). Glazunov's *Allegro* is a rondo, whereas Eller's *Presto scherzando* is written in ternary form. However, both follow the Beethovenian practice according to which the finale of a minor-key work is signalled by a tonal shift to the parallel major. At the beginning of Eller's *Presto scherzando*, the C minor key signature of the preceding *Allegro assai* is omitted to give way to C major, and, analogously, A minor is followed by A major at the outset of the "hunting-calls" finale of Glazunov's Concerto.

Although the two works are, apart from the aforementioned common features, markedly dissimilar, the possibility of a link between them should not be ruled out. In his early years, Eller had been an aspiring violinist and was undoubtedly well familiar with the violin repertory. It is worth knowing that in 1907 Eller had originally entered the St. Petersburg Conservatoire to study the violin, and it was only later, after his prospects as a violin virtuoso had been shattered, that he enrolled at the composition class. In January 1922, Glazunov, the long-time director of the St. Petersburg Conservatoire, paid a visit to Tallinn and Tartu to attend (and conduct) the performances of a number of his works, including the Violin Concerto, giving Eller the opportunity to renew his acquaintance with both the author and his music. It says much for Glazunov's reputation in Estonia that in 1935 the title of "honorary professor" was bestowed upon him by the Tallinn Conservatoire.

## 2.2. Eller and Beyond

It is open to debate whether Glazunov's Violin Concerto could have served as a model for Eller's First String Quartet. However, it is almost certain that the one-movement form exemplified in Eller's oeuvre had considerable impact on Eduard Tubin's Piano Quartet in C sharp minor. That is not to say that the two works are similar in terms of



**Scheme 1.** Intra- and intertextual connections between Eller's First String Quartet (**a** to **g**) and Tubin's Piano Quartet (**h** to **m**).

their formal design. Tubin's Piano Quartet is written in sonata form (Scheme 3b), with a slow introduction and an extensive coda, the slow introduction (*Lento, grave*) returning before the outset of the recapitulation (*Andante, grave*, bars 178–200). The primary- and secondary-theme zones – bars 20–72 and 73–119 in the exposition; bars 201–234

and 235–266 in the recapitulation – are considerably differentiated in terms of character (*Allegro energico* versus *Un poco andante*, or *Andante sostenuto e molto espressivo*, as in the recapitulation). In the exposition, the secondary-theme zone begins in E minor (or D mixolydian), transposed into B flat minor (or A flat mixolydian) in the recapitulation.



h) **3** **Lento, grave**  
*dolcissimo*  
*pp*

i) **20** **Allegro energico**  
*f*

j) **74** **Un poco andante**  
*cantabile*  
*p*

k) **267** **Allegro vivace assai**  
*f*

l) **327** **Maestoso**  
*fff*

m) **Presto** **339**  
*pp*

There is little in Tubin's work that could be considered as a significant departure from the late 19th-century sonata practice. If we still are to speculate that he might have taken Eller's music as a model, then why did he not adopt a more idiosyncratic design, such as the two-part "Schubertian-Lisztian" form used in the First

String Quartet? In answering to that question, one should not underestimate the fact that Tubin wrote the Piano Quartet as his graduation works, and it was thus expected to demonstrate the author's familiarity with the *Formenlehre* models. On the one hand, Tubin followed Eller's example by producing a one-movement work instead of a

traditional three- or four-movement sonata cycle; on the other hand, as appropriate for a student work, he chose a relatively well-defined formal principle, rather than a more adventurous “two-dimensional” (Moortele) solution. Nevertheless, as not uncommon for late-Romantic sonata form, the Quartet has some elements of the sonata cycle, not least because of the scherzo-like *Capriccioso* episode of the development section and the restatement of the slow introduction before the recapitulation.

Given all the differences, is there any reason at all to assume that Tubin might have been familiar with Eller’s First String Quartet while working on his Piano Quartet (note that the first performance of Eller’s work took place only after the Piano Quartet had already been premiered)? After all, Eller’s First Sonata for Violin and Piano (1922), a one-movement work in sonata form, could be considered as another likely source of influence. However, despite of all the counter-arguments, there are still some similarities in Tubin’s Piano Quartet and Eller’s First String Quartet that might urge to provide a positive answer to the previous question. Scheme 1 demonstrates thematic links within each work as well as intertextual connections. The staves to be compared (b and i; c and j; e and k; f and l) are aligned and the similar motivic units of each pair highlighted by means of a rectangular shape. Firstly, let us compare Eller’s *Allegro assai* phrase (Scheme 1a) and the main phrase (*Allegro energico*) of Tubin’s work (1i). Their similarity is best revealed if one observes the *Allegro assai* phrase in its inverted form, as played by the cello in bars 14–15 (1b). Both contain a figure of ascending triplets (on the last beat of the first bar) that concludes with an incomplete neighbouring tone figure: {D, F, E} and {F $\sharp$ , A, G $\sharp$ }, respectively, a similar figure appearing in the slow introduction of Tubin’s work. The time signature is in both cases 3/4. Therefore, Tubin’s *Allegro energico* phrase seems to be derived from Eller’s *Allegro assai*. Secondly, both Eller’s *poco sostenuto* phrase (1c) and Tubin’s *Un poco andante* (1j) contain a specific grace note figure that coincides both in terms of melodic contour and rhythm. Thirdly, both Eller’s *Presto scherzando* phrase (1e) and Tubin’s *Allegro*

*vivace assai* phrase (1k) consist of four bars, begin with an  $\hat{1}$ - $\hat{5}$  upbeat (followed by  $\hat{4}$ ), and conclude with an accentuated drone-like long note ( $\hat{5}$ ) that contributes to their “rustic” character.

Lastly, and perhaps most importantly, in both works, the primary phrase (*Allegro assai* and *Allegro energico*, respectively) is eventually restated (as *Adagio molto espressivo* and *Maestoso*) to enhance the sense of conclusion (Schemes 1f and 1l): in Eller’s case, the restatement precedes the *Prestissimo* coda, and, in Tubin’s work, separates the two coda-like episodes (*Allegro vivace assai* and *Presto*). In both cases it is given an apotheosis-like character, played fortissimo and in augmented rhythmic values (in 3/2 time).<sup>7</sup> In Eller’s work, the *Adagio molto espressivo* is anticipated in bars 543–552 (that is within the *Presto scherzando* and in 6/8 time) by a statement of the primary phrase, which, due to being thematically transformed and off the original C minor, resembles an deceptive recapitulation and thus underlines the function of the subsequent *Adagio molto espressivo* as the “proper” recapitulation – a role that the latter, however, fails to fill convincingly, because the material of the *Presto scherzando* returns shortly in the guise of a *Prestissimo* coda (2/4), leading the works to a conclusion in C major.

The extensive coda functions as an “additional” recapitulation, with the *Allegro vivace assai* being based on the primary theme (*Allegro energico*) and the *Presto* derived from the four-note figure {A, E, C, D} of the secondary theme (*Un poco andante*). The Beethovenian practice of concluding a minor-key work in the parallel major, observed by Eller, can also be witnessed in Tubin’s Quartet, where the *Maestoso* restatement of the primary theme begins in D flat (= C sharp) major, and C sharp major is the key in which the work is drawn to an end. The aforementioned subtle thematic links, as well as the practice of recalling the main theme in an apotheosis-like fashion, seem to suggest that Tubin might have drawn inspiration from Eller’s First String Quartet, even though the two works are anything but similar in other aspects.

Eduard Oja’s Piano Quintet falls into a somewhat different category than the quartets of Eller and Tubin in more than one sense. Of the three,

<sup>7</sup> A similar procedure is used in Eller’s First Sonata for Violin and Piano, where the coda (*Presto*) is “interrupted” by a fortissimo restatement (*Largo e molto espressivo*) of the brief *Adagio* introduction of the work, after which *Prestissimo* is resumed.

it comes the closest to resembling a traditional sonata cycle (Scheme 3c), with a clearly defined first movement (*Allegro moderato*), slow movement (*Andante con moto*), scherzo (*Allegro scherzando*), finale (*Allegro moderato*) and coda (*Presto*). Remarkably, large portions of the first and second movements are literally reproduced in the finale in order to provide the work with a thematic frame. Literal repetitions of substantial formal units (to produce the recapitulation) are one of the hallmark features of Oja's treatment of form in general and can also be encountered in, for example, his symphonic poems *Müsteeriumid* (*Mysteries*) and *Mere laul* (*Song of the Sea*), written in the early 1940s. In the first movement, the material of bars 13–49 is repeated (transposed and expanded) in bars 50–79 and 80–153, the beginning of each unit being marked by a four-bar "motto" (Scheme 2b) that lends the music an ever-recurring (rotational) character. The extensive repetitions and the lack of thematic differentiation contradict assumptions about sonata form, and the first movement can rather be perceived as a *Fortspinnung* of the main phrase (2a).

The second movement (*Andante con moto*), initiated as a canon, leads to a *Largamente* culmination area (2e), later reproduced in the finale. That procedure of "reproduction" is not dissimilar to the practice mentioned in connection with the quartets of Eller and Tubin, where the preceding material is restated in the concluding part of the work in an apotheosis-like fashion to amplify the impression of a finale. However, there are some considerable differences in the realisation of that model. In Oja's case, it is not the beginning of the work, but rather the second movement that is being recalled, and, unlike in Eller and Tubin, that procedure does not involve any transformations in terms of character. *Largamente*, the culmination area of the *Andante con moto*, is restated in the finale, seamlessly combined with the preceding material extracted from the first movement (*Allegro moderato*). Oja draws together material not originally combined in order to "synthesise" a recapitulation (finale). What makes that treatment exceptional, is the fact that the two segments are played with virtually no changes (adornments, textural modifications, transpositions, etc.). The two rather extensive thematic blocks have been extracted from their original context and placed adjacently to produce the finale – a procedure sig-

nificantly at odds with the aesthetics of Lisztian thematic transformation or Schoenberg's concept of "developing variation" (Frisch 1982: 215–216), at the very heart of which lies the idea that recurring themes need to be given a new appearance.

If the multitude of literal restatements in Oja's Piano Quintet seems puzzling, it is only because one is tempted to consider that work against the backdrop of the 19th-century (Lisztian) practices. However, that technique is much less surprising in view of the overall ostinato-like repetitiveness of the thematic material, especially in the *Allegro moderato* (Scheme 2b) and the scherzo – a characteristic that distinguishes the Quintet clearly from the late-Romantic moods of Tubin's Piano Quartet. Let us consider the beginning of the *Allegro scherzando*, reproduced in Example 1: the *secco* textures in the piano part, the written-out trill figures (Violin I), and the somewhat ironic effect underlined by the subsequent glissandi and the octatonic context, are just a few of the several stylistic devices that liken the scherzo (as well as the whole work) to Stravinskian neoclassicism, rather than to the realm of late-Romantic gestures.

On the one hand, Oja's Piano Quintet follows, at least apparently, the Lisztian tradition of one-movement form, with motivic transformation as its precondition. On the other hand, that formal principle has been transferred into a harmonic context very different from anything written by Liszt, Eller, or Tubin. In the Piano Quintet, Oja has combined one-movement form with a harmonic idiom characterised by a combination of octatonic, hexatonic, and diatonic procedures. This gives rise the question: how is the principle of thematic transformation to be realised in a harmonic context as strictly defined as octatonicism? One part of Oja's solution is to minimize the role of motivic transformation and, instead of that, provide the work with a fitting degree of thematic unity by recalling rather substantial sections. The other part of the solution was to devise the main thematic material in a way that facilitates combining octatonic with hexatonic, major, and minor scales.

The main phrase, played by the violins in bars 3–5 (Scheme 2a), is based on octatonic collection {C, D, E $\flat$ , F, F $\sharp$ , G $\sharp$ , A, B}, with F as a pedal tone in the piano part; there is also an extra-octatonic tone {B $\flat$ }. Its most remarkable feature is the four-note opening figure {F $\sharp$ , E $\flat$ , D, B}, stated in bars 20–21 by the cello in its inverted form (2c) and thereafter

**Example 1.** The beginning of the *Allegro scherzando* from Oja's Piano Quintet.

*Allegro scherzando*

The musical score is for the beginning of the *Allegro scherzando* from Oja's Piano Quintet. It is written in 3/4 time and consists of two systems of staves. The first system includes five staves: four for the string quartet (Violin I, Violin II, Viola, Cello/Double Bass) and one for the piano (Grand Staff). The second system includes five staves: four for the string quartet and one for the piano. Dynamics include *pp*, *cresc.*, *mf*, and *con ped.* The tempo is *Allegro scherzando*.



**Scheme 2.** Thematic connections within Oja's Piano Quintet.

**a)** *Allegro moderato* 3  
+ pedal tone F [0,3,4,7] OCT {C, D, Eb, F, F#, G#, A, B}

**b)** 13

**c)** 20 *dolce* [0,3,4,7]

**d)** 37 (347)

**e)** *Andante con moto (Largamente)* 204 (436) *fff* *ff*

**f)** *Allegro scherzando* 258 266  
OCT {C, D, Eb, F, F#, G#, A, B}

forming the basis for a sixteenth-note accompanimental figure. When played by the cello, however, the octatonic qualities of the phrase are not defined as clearly as previously, because the four-note opening figure {E; G, A $\flat$ , B}, combined with the subsequent tone {E $\flat$ }, produces rather a five-note subset of hexatonic collection {E, G, A $\flat$ , B, C, E $\flat$ }. Now it is evident that there was a very specific reason why Oja chose to initiate the main phrase with that particular four-note figure of pitch-class set [0,3,4,7]: it is the only type of tetrachord that can be produced both in the octatonic and hexatonic scales and, therefore, being harmonically ambiguous, perfectly sets the scene for combining material based on those two scales. A similar degree of harmonic ambiguity is displayed by the incomplete neighbouring tone figure of bar 37 (2d), to be later recalled in the *Allegro scherzando* from bar 266 onwards (2f), and by the opening figure of the *Andante con moto* phrase (2e). They enable to combine octatonic and diatonic material as seamlessly as the four-note figures of pitch-class set [0,3,4,7] enable to combine octatonicism and hexatonicism; the four-note collection {F, F $\sharp$ , A $\flat$ , A} can be produced both in the octatonic and harmonic minor scales, and {G, A, B $\flat$ , C} leaves the door open for octatonic, major, and minor implications.

The finale grows seamlessly from the *Allegro scherzando*. It is only gradually that one, not aware of the subtle switch from 3/8 to 6/8 time indicated in the score, can recognise that the scherzo has already been brought to an end and the finale is in progress. Notably, this transition is realised much more seamlessly than the previous ones: the first movement (*Allegro moderato*) was rounded off by a solo passage played by the cello (*calando*), and the transition from the *Andante con moto* into the *Allegro scherzando* was marked by a fermata and a *morendo* indication. Therefore, at first glance, Oja's practice is not dissimilar to that of Beethoven's Fifth and Sibelius's Second Symphonies, in which the first movements are detached but the third movement and the finale are performed *attacca*, although in Oja's case, unlike in Beethoven and Sibelius, that procedure totally lacks the quality of a symbolic gesture. Of the many questions rising in connection with one-movement form, that concerning the finale is definitely one of the most complicated. In the 19th-century symphonic tradition, the finale often assumed the role of

the most substantial and significant movement, providing the clue for interpreting the work as a whole. In one-movement works with an overarching ABA structure, the "finale problem" is uniquely troublesome. On the one hand, in order to be perceived as "meaningful," the finale needs to be clearly differentiated from the preceding material in terms of character (a criterion that the finale of Oja's Piano Quintet hardly meets); on the other hand, a contrast too overwhelming might undermine the impression of a recapitulation.

## Conclusions

The three chamber works of Heino Eller, Eduard Tubin, and Eduard Oja are similar in their formal concept, and yet so different. Eller's First String Quartet (1925) is composed of two interrelated parts (*Allegro assai* and *Presto scherzando*), the first one being in sonata form and including an extensive *Andante sostenuto* interpolation – an example of how traditional three- or four-movement sonata cycle has been replaced by a one-movement design that, however, does not lack the qualities of the sonata cycle. Considering the rarity of one-movement works (sonatas, quartets, quintets, concertos, etc.) in the local musical scene, it is most likely that the subsequent chamber works of Tubin and Oja grew out of their fascination with Eller's oeuvre. Tubin's Piano Quartet (1930) is in sonata form, with some cyclic implications, whereas Oja's Piano Quintet (1935) takes the four-movement sonata cycle as its point of departure, combining it with an overarching ABA form.

Those three works were produced in an age when Lisztian one-movement form, as several other Romantic procedures, were falling into disfavour, not least because of burgeoning neo-classical trends. In the 1920s and 1930s, one-movement design, once not uncommon in, for example, instrumental concertos, was losing ground in Western Europe, and there was rather a tendency to return to the 18th-century practice of self-contained and separated movements. It was an age when Lisztian one-movement form started to seem obsolete as another invention of the Hungarian composer, the genre of symphonic poem. However, the situation was quite different in those European regions, like Estonia, where the first Conservatoire-trained composers had entered the musical scene only in the early



**Scheme 3.** One-movement form in Eller (**a**), Tubin (**b**), and Oja (**c**).

**a)**

1–275 *Allegro assai* (**3/4**)

1–70 Exposition:

1–41 Primary-theme zone

42–70 Secondary-theme zone (*poco sostenuto*)

71–119 Development (*a tempo*)

120–198 *Andante sostenuto* (**4/4**): SLOW MOVEMENT interpolation

199–275 Recapitulation (**3/4**):

199–246 Primary-theme zone (*Allegro assai*)

247–275 Secondary-theme zone (*poco sostenuto*)

276–748 *Presto scherzando* (**6/8**): SCHERZO MOVEMENT

276–350 A<sup>1</sup>

351–405 *Meno mosso* B

406–579 *Tempo I* A<sup>2</sup>

580–601 *Adagio molto espressivo* (**3/2**): restatement of the *Allegro assai*

602–748 *Prestissimo*: coda based on the *Presto scherzando* (**2/4**)

**b)**

1–19 *Lento, grave*: introduction (**6/4**)

20–119 Exposition (**3/4**)

20–72 Primary-theme zone (*Allegro energico*)

73–119 Secondary-theme zone (*Un poco andante*)

120–177 Development

120–135 *Allegro non troppo, ma energico*

136–154 *Un poco più mosso, capriccioso*: SCHERZO MOVEMENT?

culmination area: 155–177 *Appassionato*: based on the secondary theme

178–200 *Andante, grave*: restatement of the introduction (**6/4**)

201–266 Recapitulation (**3/4**)

201–234 Primary-theme zone (*a tempo, ma part ritenuto*)

235–266 Secondary-theme zone (*Andante sostenuto e molto espressivo*)

267–417 Coda

267–326 *Allegro vivace assai*: based on the primary theme

327–336 *Maestoso*: restatement of the primary theme (**3/2**)

337–417 *Presto*: based on the secondary theme (**3/4**)

**c)**

A<sup>1</sup> 1–153 *Allegro moderato* (**6/8**)

B 154–223 *Andante con moto* (**4/4**): SLOW MOVEMENT

culmination area: 204–223 *Largamente*

C 224–346 *Allegro scherzando* (**3/8**): SCHERZO MOVEMENT

A<sup>2</sup> (A<sup>1</sup> + B) 347–455 *Allegro moderato* (**6/8**)

347–435 ≈ 37–124

436–455 = 204–223 *Largamente* (**4/4**)

Coda 456–487 *Presto*

20th century, trying to catch up with the 19th-century genres and models still unprecedented in their homeland. In Estonia, the symphonic poem was a genre that epitomised, with Eller as its main proponent, the progressive, rather than the “obsolete” practices. Analogously, it is telling that most of the one-movement chamber works written in the 1920s and 1930s (Eller’s First String

Quartet and Oja’s Piano Quintet in particular) also stand out for their innovative harmonic idiom. As an alternative to the traditional sonata cycle, one-movement design could still be considered as a novelty in the local musical scene and was therefore, not surprisingly, embraced by the composers of the “Tartu” school as a means for their modernist aspirations.

## References

- Berger**, Arthur 2002. *Reflections of an American Composer*. Berkeley: University of California Press.
- Frisch**, Walter 1982. Brahms, Developing Variation, and the Schoenberg Critical Tradition. – *19th-Century Music* 5/3 (Spring), pp. 215–232.
- Hepokoski**, James, Warren Darcy 2006. *Elements of Sonata Theory: Norms, Types, and Deformations in the Late Eighteenth-Century Sonata*. Oxford [et al.]: Oxford University Press.
- Humal**, Mart (koost.) 1987a. *Heino Eller oma aja peeglis*. Tallinn: Eesti Raamat.
- Humal**, Mart 1987b. Heino Elleri kahe esimese kvarteti kompositsioonist. – *Muusikalisi lehekülgi IV*. Tallinn: Eesti Raamat, lk. 100–113.
- Jurkowski**, Edward 2005. Alexander Scriabin’s and Igor Stravinsky’s Influence upon Early Twentieth-Century Finnish Music: The Octatonic Collection in the Music of Uuno Klami, Aarre Merikanto and Väinö Raitio. – *Intersections* 25/1–2, pp. 67–85.
- Mazel**, Lev 1960. ekotorye cherty kompozicij v svobodnyh formah Shopena (About Some Composing Features in Chopin’s Free Forms). – *Friderik Shopen: stat’i i issledovanija sovetских muzykovedov (Frédéric Chopin: Articles and Studies by Soviet Musicologists)*. Moscow: State Publisher Muzyka). [Мазель, Лев 1960. Некоторые черты композиций в свободных формах Шопена. – Фридерик Шопен: статьи и исследования советских музыковедов. Москва: Государственное музыкальное издательство, с. 182–231.]
- Moortele**, Steven Vande 2009. *Two-Dimensional Sonata Form. Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky*. Leuven: Leuven University Press.
- Mäkelä**, Tomi 1990. *Konsertoiva kamarimusiikki 1920-luvun alun Euroopassa. Historiallinen ja interaktionalistinen näkökulma tyylilajin muotoihinekspressionisminja uusbarokin piirissä*. Studia musicologica Universitatis Helsingiensis 1, Helsinki: Helsingin yliopiston musiikkitieteen laitos.
- Rehding**, Alexander 2011. Dualistic Forms. – *The Oxford Handbook of Neo-Riemannian Music Theories*. Eds. Edward Gollin and Alexander Rehding, Oxford: Oxford University Press, pp. 218–245.
- Riemann**, Hugo 1889. *Katechismus der Kompositionslehre. I. Teil. Musikalische Formenlehre*. Leipzig: Max Hesse.
- Salmenhaara**, Erkki 1996. *Kansallisromantiikan valtavirta 1885–1918*. Suomen musiikin historia 2, Porvoo: Söderström.
- Talbot**, Michael 2001. *The Finale in Western Instrumental Music*. Oxford: Oxford University Press.
- Taruskin**, Richard 2011. Catching Up with Rimsky-Korsakov. – *Music Theory Spectrum* 33/2 (Fall), pp. 169–185.
- Tubin**, Eduard 2003. *Rändavate vete ääres*. Koost. Vardo Rumessen, Eesti mõttelugu 49, Tartu: Ilmamaa.
- Wicklund**, Tuija 2014. *Jean Sibelius’s En saga and Its Two Versions: Genesis, Reception, Edition, and Form*. Studia Musica 57, Helsinki: University of the Arts / Sibelius-Academy.

## Üheosaline vorm Heino Elleri, Eduard Tubina ja Eduard Oja kammermuusikas

Aare Tool

Heino Elleri (1887–1970) esimene keelpillikvartett (1925), Eduard Tubina (1905–1982) klaverikvartett (1930) ja Eduard Oja (1905–1950) klaverikvintett (1935) moodustavad mõttelise teosegrupi. Neid ühendab võrdlemisi eripärane vormilahendus, üheosaline vorm (*one-movement form*), mille puhul puudub traditsiooniline kolme- või neljaosaline sonaaditsükkel ja selle asemel kulgeb teos sidusa tervikuna. Selle võrdlemisi laia mõiste alla mahuvad kõik teosed, mis nimetuse poolest (sonaat, kvartett, kvintett, kontsert jne.) võiksid koosneda eraldiseisvatest osadest, nagu on tavaline Viini klassikutele ja suuremas osas hilisemas muusikas, kuid selle asemel on osi omavahel sidudes teos tugevamini integreeritud.

19. sajandil püüeldi sonaaditsükli integreerituse poole kahel viisil. Esimene neist seostub Franz Schuberti loominguga ja eriti tema klaverifantaasiaga „Rändur“, kus sonaaditsükli osad on temaatiliselt läbi põimunud ja esitatakse *attacca*. Teist lähenemisviisi esindab näiteks Ferenc Liszti klaverisonaat h-moll, kus omavahel põimuvad (kõrgeima vormitasandi) sonaadivorm ja sonaaditsükkel. Lisztiliku mudeli puhul on teos tervikuna sonaadivormis (või üldistatumalt ABA vormis), kuid selles leidub sonaaditsükli osadega (aeglane osa ja skertso) sarnanevaid rohkem või vähem iseseisvaid lõike.

Kuigi 20. sajandi alguses ei olnud üheosalised kammeransamblid sugugi pretseedenditud, võib siiski väita, et kammeransamblites oli see vormipõhimõtte märksa vähem levinud kui näiteks instrumentaal-kontsertides. Üheosalised on Artur Lemba teine klaverikontsert (1931), Artur Kapi esimene kontsert orele ja orkestrile (1934), Heino Elleri viiulikontsert (1937/1964) ja Eduard Tubina kontrabassikontsert (1948). Kuivõrd Eller (nagu teisedki sama põlvkonna heliloojad) oli Peterburi Konservatooriumi kasvandik, siis väärib mainimist, et üheosaline vorm oli seal teatud perioodil vägagi soositud – nii näiteks on üheosaline Nikolai Rimski-Korsakovi klaverikontsert (1883), Aleksandr Glazunovi viiulikontsert (1904), teine klaverikontsert (1917), tšellokontsert (1931) ja saksofonikontsert (1934) ning Sergei Prokofjevi esimene klaverikontsert (1912).

Elleri esimese keelpillikvarteti ja Glazunovi viiulikontserdi ülesehituses võib täheldada mõningaid sarnasusi. Elleri teos koosneb kahest suhteliselt iseseisvast, kuid *attacca* mängitavast osast (*Allegro assai – Presto scherzando*), kusjuures esimene on sonaadivormis ja sisaldab sonaaditsükli aeglase osaga sarnanevat *Andante sostenuto* lõiku; kaheosaline on ka Glazunovi teos (*Moderato – Allegro*) ning sonaadivormis esimene osa sisaldab *Andante* episoodi. Esimene keelpillikvartett on Elleri kammermuusikas erandlik, sest tema hilisemad neli kvartetti on ehitatud üles traditsioonilise, eraldatud osadega sonaaditsükliina.

Kuigi Tubina klaverikvartetis ja Oja klaverikvintetis on üheosalist vormi käsitletud sootuks erinevalt kui Elleri teoses, võib siiski oletada, et Elleri oli Tartu Kõrgema Muusikakooli kompositsiooniõppejõuna otsustav roll nende suunamisel selle vormipõhimõtte juurde. Tubina klaverikvartett on ulatusliku kooda sonaadivormis, kuid selles ei puudu ka mõningad sonaaditsükli tunnused. Elleri ja Tubina teose temaatilises materjalis on tunda sugulust. Skeem 1 demonstreerib nii kummagi teose sisemisi (intratekstuaalseid) motiiviseid kui ka omavahelisi (intertekstuaalseid) kokkupuutepunkte. Siit nähtub, et Tubina teose peateema (*Allegro energico*) langeb suuresti kokku Elleri *Allegro assai* teema peegelkujuga ja teatav analoogia on ka Elleri *Presto scherzando* ja Tubina *Allegro vivace assai* l.

Oja klaverikvinteti lähtepunkt on neljaosaline sonaaditsükkel, kus eristuvad selgelt esimene osa (*Allegro moderato*), aeglane osa (*Andante con moto*), skertso (*Allegro scherzando*), finaali (*Allegro moderato*) ja kooda (*Presto*); finaali on kombineeritud esimese ja teise osa materjalist, moodustades seetõttu teose temaatilise raami (ABCA<sup>1</sup>). Klaverikvintett on klaveritsükli „Vaikivad meeleolud“ ja „Ajatrilooja“ (tšellole ja klaverile) kõrval üks neid Oja teoseid, milles on ulatuslikult kasutatud oktaatoonilist helirida. Oktatoonikat leidub Igor Stravinski, Maurice Raveli, Aleksandr Skrjabini, Béla Bartóki ja teiste 20. sajandi alguse heliloojate muusikas, kuid Eestis võib Oja pidada selle esmaesitlejaks.

Elleri, Tubina ja Oja üheosalised kammerteosed valmisid ajal, mil Liszti eeskuju järgiv üheosalisus (nagu paljud teisedki 19. sajandi kompositsioonipõhimõtted) oli Lääne-Euroopas varasemat populaarsust minetamas ja Stravinski neoklassitsismi tuules püüti pöörduda tagasi 18. sajandi eraldatud osadega

sonaaditsükli juurde. Üheosaline vorm (ja eriti selle lizstilik versioon) mõjus nüüd samavõrd vanamoodsana nagu ungari helilooja üks teine leiutis, sümfooniline poeem. Olukord oli aga paljuski erinev neis Euroopa paigus, kus konservatooriumiharidusega heliloojad (ja koos nendega 19. sajandil kujunenud žanrid ja vormipõhimõtted) ilmusid areenile alles 20. sajandi alguses. Nagu Heino Eller rakendas sümfoonilise poemi tollase Eesti kontekstis uuendusmeelse väljenduslaadi teenistusse, nii on ka esimene keelpillikvartett, olgugi „vanamoodsas“ üheosalises vormis, harmooniakeelelt üks tema uuenduslikumaid teoseid.

# Meter as a Formal Delineator in Two Debussy *Préludes*

Michael Oravitz

## Introduction

Debussy's music is rich with fluctuations in meter, hypermeter, and phrasing. At times, these fluctuations can be uniquely composition-specific delineators of form. One can witness what I refer to as "metric profiles" at work in his music, which I simply define as unique metric-activity facets in a given span of time, facets that can recur elsewhere in a work to create a sense of formal recall and unity. Such a span can be said to possess a metric profile if metric activity, be it local or hypermetric, creates an identifiable metric experience that, to loosely borrow from Cooper and Meyer (1960: 4), is "marked for consciousness." Cooper and Meyer's original discussion references downbeat accent as the event so marked in order to create meter. In a metric profile, I may refer to a certain order of local states of metric orientation, as found in "Danseuses de Delphes," or I may refer to the use of a particular ordering of suggested hypermetric orientations within a section or entire work, as occurs in "Le vent dans la plaine."

Richard Cohn's (1992: 197) discussion of the opening eight measures of the scherzo to Ludwig van Beethoven's Ninth Symphony – the "call to attention," to use Cohn's term – and those measures' implications of future events serve as an apt example. The scherzo is a movement that William Kinderman (2009: 297) deems "one of Beethoven's most fascinating essays in metric manipulation." Beethoven provides us with an interesting rhythmic/metric eight-measure opening that puts forth an intentional metric-orientation duality (see Example 1). As Cohn (1992: 197) has noted, the eight-measure span, by its very length, comprises a "pure duple span well suited to establish the four-measure hypermeter that pervades the exposition." But, he goes on to state "[t]hese par-

ticular eight measures, however, make a messy job of it." Cohn teases out tonal, registral, and timbral events to illustrate how an accentual 2+3+3 grouping scheme among this eight-bar span creates conflict. Cohn goes on to note that "there are implicit duple/triple conflicts" that immediately follow in mm. 9–56, at numerous hierarchical levels. Though Cohn does not explicitly define the role of these measures as harbingers of duple/triple interplay, he unquestionably suggests this in his essay. One can argue that the presence of a duple span shifting to triple provides us with a "profile" of sorts, that – most significantly – foreshadows the duple/triple interplay first heard at the *ritmo di tre battute* indication at m. 177.<sup>1</sup> Below, I briefly expound on his observations to demonstrate this.

If we take all the attacks at face value, we note a tendency for activity that groups in two-bar units, as shown in Orientation A. This orientation frames mm. 1–8 in a conventional  $a+a+b$  quasi-sentential statement – albeit one with minimal content – in a standard 2+2+4 measure arrangement, complete with the acceleration in rhythmic activity in the "continuation" segment of this quasi-sentence.<sup>2</sup> A convenience of this hearing is that it creates broad four-bar hypermeter in mm. 1–8 that, as Cohn suggest, paves the way for the clear continuation of that hypermeter commencing at m. 9.

Cohn then outlines reasons why we may hear something far more interesting than this. Given the timbral and dynamic primacy of the double-forte strings in orchestral-unison entrances over the timpani,<sup>3</sup> we may hear something more in line with what is shown in Orientation B, a mix of A and B, or perhaps even some other orientation. Orientation B's portrayal of the listening experience, which draws upon Christopher Hasty's the-

<sup>1</sup> Regarding this interplay, Justin London (2004: 55) notes "William Caplin (1981) makes the distinction between *notated* vs. *expressed* meters – that is, between what we write and what we hear – and this example is a paradigmatic case of this distinction." Here, I simply use the term "perceived meter," which may or may not be in accord with the time signature.

<sup>2</sup> For further discussion of conventional sentence structure, see Caplin 1998: 10. The coupling of terms "presentation" for the first four measures of a standard-length sentence and "continuation" for the last four is seen in Caplin, and is in slight contrast to Schoenberg's use of "continuation" (1967: 21ff) in his *Fundamentals of Musical Composition*. Here, I am using Caplin's sense of "continuation."

<sup>3</sup> Leon Botstein (2000: 171) notes "Beethoven's ear for instrumental color, texture and timbre was, as Bekker (1918) suggests, integral to his compositional process."

**Example 1.** Beethoven, Symphony no. 9, ii; mm. 1–12; Variant metric orientations that foreshadow the *ritmo di tre battute* hypermeter.

Molto vivace  $\text{♩} = 116$

Winds and Brass

Timpani

Strings

(oboe 1)

(violin 2)

A: 2 + 2 = 4 2 + 2 = 4 4

B: 2 2? 3! 3 4

ory of projected meter,<sup>4</sup> acknowledges Orientation A's potentials, but then re-evaluates events in real time as the passage unfolds.<sup>5</sup> Thus, the duple orientation that was coaxed by the timpani entrance in m. 5 is gradually overridden by the more significant consecutive attacks at three-measure intervals at mm. 3, 6 and 9.<sup>6</sup> This is summarized in Example 1 with a strike-through of the 2 (duple) at m. 3, a question mark, and then a re-evaluated orientation of 3 (triple) spanning mm. 3–8. Just as a criminologist profiles the actions of the pursued, as listeners we profile actions exhibited in these opening bars, and note a potential for this motive's thematic presentations to quickly shift from a potential duple orientation to that of triple.

Another example of what one could arguably call a metric profile is found in Gretchen Horlacher's analysis of Bartok's "Change of Time," *Mikrokosmos* no. 126 (Horlacher 2001). Her analysis of the opening bars' metric projections is shown in Example 2. She illustrates how select accental events and melodic-tone prolongations put forth a nested pattern of accent that is consistently nine eighth notes in length, as shown, à la Hasty, by solid inverted-arch arrows. In sum, even though we will sense metric irregularities in the first phrase, we can begin to entertain the possibility that the opening B-flat in m. 2 is a beginning and m. 1 is anacrusis, allowing a potential nine-pulsed span to emerge. Horlacher notes

<sup>4</sup> A primary component of Hasty's model of projection is that a given durational and accental pattern harbors with it an expectation that it will be repeated. When it is, it begins to instill a sense of metric orientation. For more on Hasty's concept of metric projection, see his "Chapter 7: Meter as Projection" in *Meter as Rhythm* (Hasty 1997).  
<sup>5</sup> Also see Cohn's (1992) Example 3, p. 197, upon which Orientation B in Example 1 is based; Orientation B intermingles Hasty's model of metric perception with Cohn's reading.  
<sup>6</sup> Botstein also notes (2000: 181) "No instrument was better suited to assist in [fostering punctuation and discontinuity in orchestral textures] than the timpani." Thus, Orientation A's prizing of the timpani as hypermetric downbeat has its merits, but those are, in my opinion, subject to the duality described in Orientation B.



**Example 2.** Gretchen Horlacher; Example 2 from “Bartók’s ‘Change of Time’: Coming Unfixed,” in *Music Theory Online* 7/1 (Horlacher 2001).

part 1 | → /

Allegro pesante ♩ = 250

5 /

10

*f* *sf* *sf* *p*

if we allow ourselves to follow the new possibilities that arise out of the first phrase [mm. 1–4], we are more prepared to expect the next ‘interruption’ [the 3/4 bar at m. 6 that follows the 2/4 bar in m. 5], or at least to be less distracted by it, for we may have come to value beginnings that occur every nine eighths.

Though the Beethoven and the Bartók examples differ greatly, they share the quality of being uniquely “marked” or noteworthy with regards to their metric activity. In both cases, such activity occurring in one passage early in the work influences the manner in which we structurally hear an ensuing passage.

Finally, I must mention that certain temporal events described in the above examples cannot be clearly defined as “metric,” yet they exist in a broader metric context, and for this reason, I maintain use of the term “metric profile.” For example, given Orientation B’s reading of the Beethoven, the initial two-bar event is not “metrically” established in the Hastian sense, in that the given rhythmic event did not clearly recur to instill perceptual meter, but rather, was disrupted by two ensuing three-bar events in mm. 3–8. And, in the Bartók, if one is to compare the engaging contrasts between the two “metric” readings – one through his time signature use and the other suggested in the Horlacher analysis, we note that the first reading is also not “metric” in the Hastian sense unless one subsumes all 18 eighth-note pulses within mm. 1–4, 5–8, and after into a broader metric unit with inner syncopations. But

each measure is composed in a way that the listener can certainly feel Bartók’s notated “meter” of 2/4 – 3/4 – 3/8 – 5/8. Technically, one could refer to these local units as having “mensural” identities (defined by length) rather than “metric” identities (defined by perception of periodicity), ones that are presented in an engaging contrast to the nine-eighth-note span that perceptually emerges. In both the Beethoven and Bartók, however, the mensural and metric identities of given spans are in constant dialogue. As we will see in my discussion of Debussy’s “Danseuses de Delphes,” there is a span within a metric profile that is arguably “mensural” (it is a singular quadruple-length span), but one that is very much situated within a broader “metric” profile.

Debussy’s metric profiles rarely if ever suggest the rapid changes in orientation as seen in the Bartók example, but they do go somewhat beyond the hemiola-like shifts between duple and triple that we see in the Beethoven example. Horlacher (2001) notes, with regards to the use of Hasty’s model for meter, that “a processive perspective [such as Hasty’s, as opposed to a “fixed” view of meter] is especially appropriate when metrical irregularity is frequent because it allows irregularity to assume a substantive role in shaping a piece’s time.” And, one could add, in shaping its form.

Existing analytical approaches to Debussy’s metric irregularity engage local fluctuations at the phrase level, as seen in discussions by Richard Parks (1999: 193), Christopher Hasty (1999), and

Simon Trezise (2003). Other approaches to Debussy's flexible metric palette are indirectly seen, for example, in the work of Avo Somer (2005), who illustrates the manner in which conventional thematic models (particularly Caplin's specific notion of sentence) provide stylistic contexts for irregular phrase lengths (which, on a higher level, often foster irregular hypermetric events).

In the two analytical essays that follow, similar to the various approaches mentioned above, I trace metric irregularities by way of unearthing "expressed" meter and, in some cases, even implied but incomplete hypermeter. I then frame and define metric profiles and demonstrate how they project large-scale formal narratives that work hand in hand with more traditional formal signifiers based in thematic and tonal contrast. As will be seen, I do not graphically apply direct Hastian analytical symbols, but his approach is strongly implicit within my profile framing.

### **A metrically ambiguous profile, its varied restatement, and a metric resolution in "Danseuses de Delphes"**

Léon Vallas (1933: 208) notes Debussy's inspiration for the title "Danseuses de Delphes" to be an ancient Greco-Roman sculpture exhibited in the Louvre. The sculpture is of three bacchantes in an arm-in-arm circular dance. Debussy's musical depiction of dance here evokes "the ancient" in a collective and admittedly anachronistic sense,<sup>7, 8</sup> and is imbued with expressive, linear chromati-

cism that lends to it an air of sensuality.<sup>9</sup> Additionally, Debussy's rolling of the blocked chords in mm. 4.2–5 in his piano-roll recording, rather than simply being construed as contemporary performance practice, may be heard as an Attic evocation of the lyre.<sup>10</sup>

On its surface, it appears to possess a fairly clear A B A' ternary design. In mm. 1–10, similar to a binary dance's first reprise, an opening five-measure theme is stated that cadences in or on the dominant, depending upon one's interpretation, and a composed repeat follows in mm. 6–10. A contrasting area spans mm. 11–24, and a return of the theme spans mm. 25–31. One could argue that mm. 11–31 comprise a binary dance's second reprise, albeit without repeat, with an incipient-ternary<sup>11</sup> return of A' at m. 25. Yet – as Boyd Pomeroy (2003: 169–172) has noted – such a construal is not without its issues. Specifically, he notes that a marked return to the tonic at m. 21 is misaligned with the return of its opening thematic material (A') at m. 25. If one takes the clear return of the opening thematic material as the A' point of reprise, then the delayed return of A' makes for a rather imbalanced three-part design.<sup>12</sup> The observations on meter that I put forth here do not fully explain away this surface thematic-area imbalance. However, they provide a structural narrative for the late return of the theme as a point of gradually achieved metric clarity rather than any recapitulation in the standard formal sense of that word.

<sup>7</sup> The anachronisms here are an evocation of the Baroque sarabande (see Howat 1997: 95) in the opening two measures (albeit with no overt beat-two emphasis), and imitation of the tonal plan and thematic statement process of a Baroque binary dance's first reprise, complete with composed repeat (Debussy rarely directly repeats entire nearly-identical phrase groups, as is done here). These events serve as "anachronistic triggers," so to speak, e.g., evocations of a past style or topic in order to evoke an even older era to which that style or topic may have little actual relevance.

<sup>8</sup> James Hepokoski (2009: 201) has also noted the opening two measures of "Danseuses" as an example of one of Debussy's formulaic openings, specifically, Hepokoski's category of the "Modal/Chordal Opening," whereby "chords in equal time values [can suggest a] [...] designated context [such as] [...] primeval times."

<sup>9</sup> Paul Roberts (1996: 243), with regards to this prelude, notes "Debussy's dancers, while noble and mystical, convey a cool eroticism."

<sup>10</sup> Jonathan Bellman's (2014) ongoing research on Attic topics in Debussy has influenced me to interpret the rolled chords in this passage in this light. I hold the opinion that the more pronounced rolled chords in Debussy's own performances, more likely than not, had topical meanings (such as tolling bells in "La Cathédrale engloutie") rather than resulting simply from whim or contemporary performance practice.

<sup>11</sup> I intend this as a loosely comparable application of Berry's (1986: 48–49) formal category. It does not meet his suggested requirement that the second half be of comparable length.

<sup>12</sup> For further discussion of such formal misalignments in tonal literature, see Peter Smith (2005: 37ff), who uses the term "dimensional noncongruence" to describe, among other things, instances where tonal return and thematic reprise are non-aligned.

**Example 3.** Contrasting metric orientations and a broader metric profile in “Danseuses de Delphes,” mm. 1–20.

**Triple-meter orientation**  
 (“stately dance”)

mm. 1–2 (and 6–7)

3 + 3  
 (in 3/4 time)

*Lent et grave (♩ = 44)*  
*doux et soutenu*  
*p*

**Duple-meter orientation**  
 (“dotted-rhythm duple”)

mm. 3–4.2 (and 8–9.2)

quadruple span  
 2 + 2

*p* *pp*

**Ambiguous metric orientation**  
 (“suspended meter”)

mm. 4.2–5 (and 9.2–10)\*  
 bracketed (mm. 4–5 shown)

suspended metric orientation

*pp*

mm. 11–14

3 + 3  
 (broad trochée rhythms in 3/2)

*pp*

mm. 15–16.2

quadruple span

*f*

mm. 16.2–20, bracketed (mm. 16–20 shown)

suspended metric orientation

*pp* *più pp* *PPP*

\*Note: m. 10 differs from m. 5 in that it is a 4/4 bar ending with a half note rather than a 3/4 bar ending in a quarter note (see score).

A summary of that narrative is as follows. As shown in Example 3, the opening theme (mm. 1–5 and its repeat in 6–10) comprises three mildly contrasting ideas, each with its own metric orientation or lack of thereof. The details of each orientation within this profile will be addressed shortly. The music spanning mm. 11–20 clearly contrasts the opening, giving the effect of a “B” section of sorts. However, as illustrated by the aligned, corresponding passages in Example 3, its metric profile can be seen as an outgrowth of the same broad profile heard in mm. 1–5. Both of these areas also share a significant cadential arrival on F, the dominant of the overall tonic, B-flat. Given the metric instability of both spans of music from mm. 1–5 (and its repeat in 6–10) and 11–20, mm. 21–24 can be construed as a transition, both tonally and metrically, into a state of restoration of the work’s opening triple-metered dance. That four-bar span is metrically stable overall, but features syncopated gestures among mm. 21–22 that hold clear metric perception at bay. The final measures, 25–31, align the thematic reprise with the prelude’s clearest span of metric and hypermetric stability, whose repetitive gestures occur every two bars and form clear four-bar hypermeter through the remainder of the prelude.<sup>13</sup>

Let us re-engage the correspondences between the two manifestations of the profile suggested in Example 3. I present the three contrasting gestures in mm. 1–5 in stages:

*Stage 1:* The opening gesture’s stable triple meter in mm. 1–2 is projected by a direct repetition of a three-beat musical idea. I label this as the “stately dance” figure in Example 3.

*Stage 2:* This span of music features a local shift to duple orientation, projected by binary groupings of quarter notes alternating between

diatonic and chromatic pitches in the ascending bass line in mm. 3–4.1. This duple span is propelled by contiguous dotted-rhythmic figuration. The strong downbeat at m. 3 and the agogic arrival at 4.2 define the four-beat boundary housing the brief duple orientation. As Pomeroy has noted (2003: 170), the chromatic ascending bass motive (B<sub>b</sub>–B–C–C<sub>♯</sub>) is also a rhythmic augmentation of the opening melody that “leads to the music’s temporary overspilling of its metrical confines.” As that same chromatic line spanned single metric units in mm. 1 and 2, its augmentation into four beats may also be associatively heard as an expansion of the original metric unit (now as two duple groups within a broader span of four pulses). The final arrival of the melody note D, resolving the V<sup>+</sup> (F<sup>+</sup>) sonority’s C sharp, also adds weight to m. 4.2’s sense of arrival. As with many metric readings in Debussy’s music, retrospective hearing is involved in this perceptual grouping. I name this the “dotted-rhythm duple” figure in Example 3.

*Stage 3:* In mm. 4.2–5, we experience dissolution of meter. Even though the span in 4.2–5 comprises six total quarter-note pulses, there is an absence of clear accentual cues needed to reorient a convincing return to triple meter at 4.2 given the recent shift to duple. Thus, mm. 1–5 cannot be explained away as a simple hemiola-like interplay between duple and triple orientations. In mm. 4.2–5, the steady rhythms, the gentle cascade of the modal melody, the lack of any clear periodic contour within the bass harmonization, and the parallel voice-leading negate any accentual cues that could overtly suggest metric orientation.<sup>14</sup> Debussy’s careful notation of uniform articulation (soft, “slurred staccato” attacks with implicit half-pedal) assists in this task as well.<sup>15</sup> Additionally, his

<sup>13</sup> The four-bar hyper meter is as follows: mm. 25–28 and 29–32(!). Note that, although there is no actual thirty-second measure, m. 31’s low B-flat (the work’s final articulation) offers a sense of downbeat for the perceived two-measure half of the four-bar hypermeter in m. 29 through the imagined m. 32. The fermata over that final articulation’s chord (m. 31) also provides a perceptual m. 32 of sorts.

<sup>14</sup> Accentual cues in the bass line obfuscate a clear return to 3/4 at 4.2. The nature of the line changes from that of an arpeggiating descent (D–A–F–D) in 4.2 (offbeat) through 4.3 to a series of downward moving tones at the quarter-note level (D–C–B<sub>b</sub>) beginning at 4.4. The D–G–C motion in eighth notes (also beginning at 4.4) initiates a descending fifths progression that does not continue. These factors may add a subtle accentual weight (an additional possible perceptual downbeat) to 4.4, which is another factor in fostering an overall metric ambiguity from 4.2 through 5.

<sup>15</sup> One may also cautiously mention Debussy’s Welte-Mignon piano-roll performance (Debussy 2000) of this span (4.2–5), whose evenness in articulation and stress seems to avoid any implied return of triple meter.

**Example 4.** Compressed bass-line/harmonic shifts in mm. 16–18.

( \_\_\_\_ 3 \_\_\_\_ / \_\_\_\_ 2 \_\_\_\_ / \_\_\_\_ 1.5 \_\_\_\_ )

time-signature notation here fosters in the performer a distraction from metric hearing.<sup>16</sup> Finally, the elongation of the last agogic arrival in the composed repeat – from quarter in m. 5 to half note in m. 10 – further negates any possible “return to triple” interpretation, as mm. 9.2–10 comprise seven quarter note pulses (as compared to the aforementioned six pulses in 4.2–5). I refer to this as the “suspended meter” figure in Example 3.

This three-stage theme in mm. 1–5 possesses somewhat sentential qualities that are duplicated at a larger scale in 11–20. Measures 1–2 comprise a one-measure basic idea and its repetition, mm. 3–4.2 a continuation to an agogic first-inversion tonic arrival (but not a cadence),<sup>17</sup> and then mm. 4.2–5 the motion to a half cadence.<sup>18</sup>

A varied and expanded duplication of this profile is heard in mm. 11–20. Its first stage, as shown in Example 3, spans four bars. Each of its twice-stated “basic ideas” can be heard as a broader 3/2 measure, as shown. Its first two beats motivically reference the dotted-duple figures, its third beat the lyre-evoking modal cascade first heard in mm. 4.2–5 (now inverted in ascent).

The singular quadruple span in mm. 15–16.1 corresponds with 3–4.1 in a number of ways. We see the same arguably idiosyncratic use of 4/4 in m. 16 as is seen in m. 4 (see footnote 16), and, again, a steady stream of dotted figures is heard, clearly continuing to an agogic arrival at 16.2. A contrast in material at m. 15 creates a marked juncture, and, just as the sense of arrival at 4.2 creates a local juncture to frame the mensural identity of that quadruple span, so it does at 16.2. Additionally, the offbeat bass melody of C–A–B–C creates a clear four-beat prolongation of C major that shifts to a supertonic first-inversion D minor seventh (the music loosely suggests a local tonal center of C in mm. 15–17), supported with the agogic arrival of F in the bass at 16.2.

A series of syncopated attacks follows the F arrival at 16.2. Similar to mm. 4.2–5 and 9.2–10, metric perception is skewed. Contrastingly, the absence of perceptual meter in mm. 16.2–20 is the result of more overt saturating accentual irregularities rather than the downplaying of marked accents heard earlier in mm. 4.2–5. We note, in mm. 16–18, a broader process of compressed,

<sup>16</sup> I propose that Debussy may have used what I refer to as “anti-metric notation” here. He may have barred this opening as he did to ensure that the gesture in mm. 4.2–5 downplayed potential metric stress. Had he, for example, placed his parenthetical 4/4 bar at m. 3 and returned to 3/4 in m. 4, this notation would have accommodated the four-beat duple orientation, as well as the agogic arrival at 4.2, while also providing a returning 3/4 notational context for the gentle cascade that follows. Pomeroy (2003: 305, n. 37) raises the question as follows: “Since the effect of the rhythmic adjustment is a (retrospectively understood) relocation of the downbeat to the second crochet, one wonders why Debussy did not notate the 4/4 bar in bar 3 rather than bar 4.” Perhaps it was to avoid an obvious map for accentuation to the performer (to avoid an overtly “metric” rather than fluid performance), by way of this idiosyncratic but effective notational solution.

<sup>17</sup> The agogic arrival of I<sup>6</sup> at 4.2 is preceded by an increase in surface rhythmic activity in m. 3 (consistent dotted figures), a common method of initiating a sentence’s continuation phrase (Caplin 1998: 42). Following this agogic arrival is a more substantive half-cadence, completing the quasi-sentential structure in m. 5.

<sup>18</sup> Somer (2005) cites numerous examples of Debussy’s use of the sentence in the late chamber sonatas.

bass-driven harmonic events that negate metric orientation, from that of 3 quarter-note pulses to 2 pulses to 1.5 pulses (see Example 4). The half-to-quarter F–E bass motion in m. 16 is compressed in 17 to two quarter notes. The C arrival, in turn, spans 1.5 quarter notes before the articulation of the A-flat harmony in m. 18. In the following phrase, the repetitive nature of the thrice-repeated figure in mm. 18–20 (see score) gradually begins to reinstate a sense of triple meter, but one with inner syncopations that work to hold that perception of stability at a distance.

As mentioned above, the returning tonic harmony that initiates the ensuing passage of mm. 21–24 (see score) can present a formal conundrum to the listener. Does this mark the point of an A' reprise, or do we assign higher value to the return of the opening theme at m. 25 and deem *it* the point of reprise? If we take metric events into account, we witness a metric profile moving from stability to ambiguity in three successive statements (1–5, 6–10, and 11–20), leading to a final metric-stability resolution from m. 25 on, which supports an interpretation that assigns a tonal and metric transitional role for mm. 21–24. Tonally, though this passage begins on B-flat with clear, homophonic texture, its harmonic motion is highly chromatic. Metrically, though periodic and stable in and of itself, it continues a syncopated offbeat motive first featured in m. 15 and again featured in mm. 18–20; both previous locations are associated with metric ambiguity. Finally, there is what one might deem an “afterthought reprise” in m. 25, one whose function is to offer a reminiscence of the opening idea rather than a full-fledged return.<sup>19</sup> This return of the opening theme affords itself the metric stability of continuous hypermeter at both the duple and quadruple hypermetric levels, as mentioned.

### The role of hypermetric profiles in clarifying facets of arch form in “Le vent dans la plaine”

As with many of Debussy’s works, “Le vent dans la plaine” is a musical depiction of a force of nature. Given its windstorm-depicting faster tempo

(*Animé*; quarter note = 126),<sup>20</sup> many of its broader phrases are forged on a hypermetric level; thus, metric profiles discussed in this analysis are generally hypermetric. The prelude comprises three contrasting thematic gestures that I name as follows (see Example 5):

1. the opening ostinato-like “murmur gesture” with main theme, whose octave-displaced rapid half-step figures mimic a wind-like white noise
2. the “cascade” gesture, comprising descending E-flat minor seven and C half diminished tetra-chords in alternation, and
3. the thunder-depicting “turbulent apex” at the center of the prelude.

Under the subheading of seven-part design on the form diagram (see Example 6), the lower-case letters a, b, and c, correspond to these three gestures respectively. Their order of occurrence creates a potential seven-part design based strictly on change in theme. Or, one could weakly argue for a ten-part design given the musical contrasts between each successive lower-case letter. Yet, such interpretations suffer from thematic myopia, and clearly ignore tonal, motivic, formal-functional, and hypermetric cues present in the music. When such cues are taken into account and conjoined with sections’ hypermetric profiles, I argue that a five-part design perceptually emerges on a broader scale, as shown in Example 6 with upper case letters A, B, C, B’ and A’.

There are two specific events in the music that aid in a five-part hearing of the form. One is a formal-function and pitch-contrast juncture amid an otherwise unchanging gesture at m. 15 (between a and a’ or A and B in Example 6’s form diagram), and the other the opposite – new material at m. 28 that contrasts on the surface, but arguably links with mm. 22–27 to form a broader C section spanning mm. 22–34.

Let us first address the juncture at m. 15. Among mm. 1–14, the clear, identical return of the opening murmur in mm. 13–14 helps to frame the local contrasting cascade gesture of mm. 9–12 inside this larger area labeled “A.” A tonal prolongation of B-flat Phrygian (as suggested in the bassline

<sup>19</sup> An “afterthought reprise” tends to suggest a closing rather than thematic-presentation function. I would argue for its presence here and in other Debussy works, such as “La fille aux cheveux de lin” or “Reflets dans l’eau.”

<sup>20</sup> In his piano roll recording, Debussy stays fairly true to this brisk tempo, slowing a bit for the “cascade” gestures in mm. 9–13 (see Example 5), and pressing slightly beyond the quarter = 126 tempo in certain passages.



**Example 5.** Three contrasting thematic gestures in “Le vent.”

Gesture no. 1: “Murmur and theme” gesture (mm. 1–4 shown)

*Animé* (♩=126)  
*aussi légèrement que possible*

Gesture no. 2: “Cascade” gesture (mm. 9–12 shown)

*pp* *8va* *Cédez //* *a Tempo* *8va* *Cédez //*

Gesture no. 3: “Turbulent apex” gesture (mm. 28ff)

sketch in Example 6) also contributes to this framing. At m. 15, the murmur figure continues, but with a very audible contrast; there is a new pitch, B double-flat, and a retrospectively heard new terminating contour to the thematic statement. Notice (Example 7) how the statement in mm. 3–4 descends where as the new version at mm.

15–16 ascends.<sup>21</sup> The ensuing melodic statement in mm. 19–20 (see score) is a step higher over the pedal B double-flat, lending this passage a migratory quality. No such melodic sequence is heard in the opening fourteen measures. This migratory, inverted-arch version of the theme is heard again in the larger B' area in mm. 34–43. The B' section's

<sup>21</sup> The bass motion in the “cascade” gesture foreshadows this contrast (see Example 5, no. 2); see the bass descent into m. 11.1 and the ascent into m. 13.1. Also, the descending contour heard in mm. 4 continues in diminution in mm. 5–6, just as the ascending contour heard in m. 16 continues in diminution in m. 17.

Meter as a Formal Delineator in Two Debussy *Préludes*

Example 6. Form diagram for “Le vent dans la plaine.”

Seven-part design based on surface changes in gestures and themes (each span of maintained thematic content is underlined):

a w/theme b    a    a' w/theme in tonal motion c<sub>1</sub> — c<sub>2</sub>                      a' w/theme in tonal motion    a w/theme b    a

Refined five-part formal design (with increased sensitivity to tonal and motivic variants):

A: mm. 1–14  
(with local a-b-a)

B: 15–21  
(B derived of a)

C: 22–34.1 (elision @ 34)  
C<sub>1</sub>      C<sub>2</sub>

B': 34–43  
(B' derived of a)

A': 44–59 (a-b-a)

mm: 1–8   9–12 13–14   15   –   21   22–24   25–27   28–30   31–33   34–35   36–39   40 – 43   44–49   50–53   54–59

Some hypermetrically-driven formal unifiers:

Underlined groups connected with ampersand (“&”) connote hypermetric relationships or expectations of hypermeter

A	B	C <sub>1</sub>	C <sub>2</sub>	B'	A'
mm. 1	15	22	28	34	44
1–2   3–6   7–8   9–12 13–14	15–18   19–21	22–24   25–27	28–30   31–33	34–35   36–39   40 – 43	44–49   50–53   54–59
(2) (4 + 2) & (4 + 2) (6 & 6)	(4 & expected 4) (actually 4 + 3)	(3 & 3 & 3 & 3) (6 & 6)	(2) (4 & 4)	mm. 44–49: (4+2=6)*  mm. 50–53: b + a are now conflated into two two-bar statements*  mm. 54–59 (codetta): (2 + 4=6)*	

hypermeter suggested in initial B section is now realized

\*Although six-bar events in 44–49 and 54–59 within this section are not contiguous (and thus not hypermetric), their six-bar identity fosters a metric-group kinship with the initial A section. Also, bars 50–53 comprise the conflation of the b-a portion of the local a-b-a into a four-bar gesture, forming a palpable compression of the six-bar phrase group previously heard in mm. 9–14.

Example 7. Contrasting thematic presentations of main theme in “Le vent” (mm. 3–4 and 15–16 shown).

Descent

Arch

**Example 8.** Three-bar hypermeter in  $C_1$  and  $C_2$  gestures (and changes in figuration between B and C sections in the  $C_1$  example).

Example 8a: mm. 21–24 (C section begins at m. 22).

*Change in figuration initiation C section* ↓  $C_1$  gesture:

8b: mm.  $C_2$  “turbulent apex” gesture.

migratory qualities are heightened by the downward transpositions of its statements, from  $G\sharp$  to E (see bass sketch in Example 6), with an ultimate arrival on B-flat that initiates  $A'$  at m. 44.

Given those subtle thematic and pitch-collection contrasts, the listener can group the outer A and  $A'$  areas in the five part design against the motivically and texturally similar B and  $B'$  sections,<sup>22</sup> which, in turn, will help the listener to frame the inner area as a potential, singular C section. Yet, both hearing the juncture that initiates the C section at m. 22 and hearing what I've labeled as  $C_1$  and  $C_2$  as a single formal area are tasks that Debussy has rendered challenging. Both tasks are greatly informed by hypermetric events.

The seamlessness between B and C at m. 22 is, in part, brought about by a play on hypermetric expectations (see summary of hypermetric events in Example 6). The first statement of the theme (mm. 15–18) is four bars long, as it was in the A section, but the second statement (19–21) is cut short one bar as the sixteenth-note figuration's contour slightly changes at m. 22 (between B and  $C_1$ ; see Example 8a). The listener's “reach” to complete the hypermeter hazes the formal seam in the music.  $C_1$ , in turn, builds to the thunder clashes in the turbulent apex of  $C_2$ . Yet, they are also formally wedded by a unique triple-hypermetric orientation, as shown in the hypermeter summary in Example 6. Specifically,  $C_1$  and  $C_2$  each

<sup>22</sup> As a kind of tonal “signal” of the returning B-flat arrival of  $A'$  in m. 44, Debussy uses contrastingly brief whole-step (as opposed to half-step) figurations among the murmur gesture in mm. 43.3–43.4.

comprise a pair of three-bar phrases that establish the broader triple-meter hypermeter.<sup>23</sup>

There are also other, perhaps more subtle, hypermetric connections at play among these five sections. If we account for the introductory function of mm. 34–35, akin to mm. 1–2, we note the framing B and B' sections' 4+4 hypermetric kinship. The initial B (mm. 15–21), as discussed, clips the potential hypermeter short in order to segue into the C section. The B' section (mm. 35–42), however, pays that promissory note – to borrow from Edward Cone (1982) – and provides a clear 4+4 hypermetric pair. In that way, the unified triple-hypermetric C section is flanked by music that first references and then completes quadruple hypermeter in its respective B sections.

There are also loose similarities between the A sections' hypermetric profiles. The similarities exist, albeit in perhaps more of a referentially mensural rather than literally hypermetric way. If we construe the opening two bars as introduction, we may be able to sense a kind of 4+2 kinship between these two flanking A areas in mm. 3–14 and 44–end (see Example 6). In the initial A, the four-bar theme is followed by the two-bar murmur gesture in mm. 3–8, and the four-bar cascade is also followed by the two-bar murmur in mm. 9–14. This 4+2 phrasing is again maintained at the onset of A' in mm. 44–49, even in light of a slightly altered thematic presentation.<sup>24</sup> The ensuing 4+2 that might have resulted in mm. 50–55, from a simple restatement of mm. 9–14 – with its four-bar cascade and two-bar murmur, is instead conflated into four bars among 50–53 as alternating figures of “cascade” (for 1.5 measures) and “murmur” (for half measures), thus taking events that once spanned six bars and compressing them into four. Note the earlier version's quarter-note bass notes in fifths, which serve as agogic arrivals in the middle of the second and fourth bars of the cascade gesture (at m. 10.3 and 12.3). And then note how these are replaced with fragments of the murmur gesture for half-measure spans at mm. 51.3 and 53.3. Debussy, in turn, transforms

the ensuing murmur gesture into a formally distinct coda in mm. 54 and after.

Finally, although Debussy is completely successful in dissolving metric and hypermetric orientation in the final measures,<sup>25</sup> we note that mm. 54–55 comprise a two-bar repetition of an idea, followed by a four-bar span that completely effaces meter. This is perhaps another mensural reference to the combination of two- and four-bar spans to create broader six-bar spans featured in the A sections.

### Concluding remarks

Regarding the early twentieth century, Edward Cone (1968: 82) notes “At this point (in music's history) metric and hypermetric articulation have gone too far, and it is not surprising to find that with Strauss, Mahler and especially Debussy, a new, looser, sometimes anti-metrical principle begins to emerge.”

It is true that Strauss, Mahler and “especially” Debussy, have, to an extent, abandoned conventional metric practices. Cone's observations raise the question: in what manner is this “new, looser principle” in Debussy “antimetric?” As has been illustrated in these analyses, Debussy's metric constructs can be highly unconventional, and the “anti-metrical principle” on display is imbued with structure and strategy. In “Danseuses de Delphes,” an opening metric profile serves as a source for an expanded variation on that profile in the works' ensuing section. And in “Le vent dans la plaine,” we see Debussy working on a broader, hypermetric canvas in order to give each section its own hypermetric identity in order to provide retrospective contrast between formal junctures that might otherwise escape perception. In both preludes, the metric profiles imbue spans of music with crafted yet subtle identities that, in turn, are strategically employed as formal delineators.

The irregularities with which Debussy imbues his metric and hypermetric constructs become, in many ways, points of focus – angularities that

<sup>23</sup> The three-bar pairs in C<sub>i</sub> are also clearly distinct from one another by overall (but not exclusive) use of the two different whole-tone collections for each span. The second span is, in essence, a sequential half step higher.

<sup>24</sup> Here in A', Debussy presents two complete and contiguous downward statements of the melody in mm. 44–47, which arguably serve to cancel out and contrast the “migratory” inverted arch versions heard in B and B'.

<sup>25</sup> Note the strategic spacing of attacks of the ascending major triad cocooned within the murmur gesture, from four quarter-note spans in mm. 54, 55 and 56 (on beat two of each measure), to a five quarter-note span in m. 57 (on beat three).

take on formal significance in most innovative and engaging manners. The sense of perfection we often experience in Debussy's forms remains – in many ways – ineffable, but it is my hope that

this discussion can provide some insights into the manner in which he uses meter along with more traditionally analyzed musical parameters to support the subtle rendering of his forms.

## References

- Bellman**, Jonathan D. 2014. Transcultural Music: Process, Reception, and Analysis. – *Musicology Department Lecture Series, Indiana University Bloomington, IN*, 2 April, 2014.
- Berry**, Wallace 1986. *Form in Music*. 2nd ed., Upper Saddle River, New Jersey: Prentice Hall, Inc.
- Botstein**, Leon 2000. Sound and structure in Beethoven's orchestral music. – *The Cambridge Companion to Beethoven*. Ed. Glenn Stanley, Cambridge: Cambridge University Press, pp. 165–185.
- Caplin**, William 1998. *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*. New York / Oxford: Oxford University Press.
- Cohn**, Richard L. 1992. The Dramatization of Hypermetric Conflicts in the Scherzo of Beethoven's Ninth Symphony. – *19th-Century Music* 15/3, pp. 188–206.
- Cone**, Edward T. 1968. *Musical Form and Musical Performance*. New York / London: W. W. Norton & Co.
- Cone**, Edward T. 1982. Schubert's Promissory Note: An Exercise in Musical Hermeneutics. – *19th-Century Music* 5/3, pp. 233–241.
- Cooper**, Grosvenor, Leonard B. Meyer 1960. *The Rhythmic Structure of Music*. Chicago: University of Chicago Press.
- Debussy**, Claude 1910. *Préludes*. 1. livre, Paris: Durand et Cie.
- Debussy**, Claude 2000. *The Composer as Pianist: All His Known Recordings*. Pierian CD 0001. Compact Disc.
- Hasty**, Christopher F. 1999. Just In Time for More Dichotomies – A Hasty Response. – *Music Theory Spectrum* 21/2, pp. 275–293.
- Hasty**, Christopher F. 1997. *Meter as Rhythm*. New York / Oxford: Oxford University Press.
- Hepokoski**, James 2009. Formulaic Openings in Debussy. – *Music, Structure, Thought: Selected Essays*. Farnham / Burlington, VT: Ashgate Publishing Co, pp. 197–212.
- Horlacher**, Gretchen 2001. Bartók's 'Change of Time': Coming Unfixed. – *Music Theory Online* 7/1, <http://www.societymusictheory.org/mto/issues/mto.01.7.1/mto.01.7.1.horlacher.html> (Accessed 5 June, 2014).
- Howat**, Roy 1997. Debussy's piano music: sources and performance. – *Debussy Studies*. Ed. Richard Langham Smith, Cambridge: Cambridge University Press, pp. 78–107.
- Kinderman**, William 2009. *Beethoven*. 2nd ed., Oxford / New York: Oxford University Press.
- London**, Justin 2004. *Hearing in Time: Psychological Aspects of Musical Meter*. Oxford / New York: Oxford University Press.
- Parks**, Richard 1999. Structure and Performance: Metric and Phrase Ambiguities in the Three Chamber Sonatas. – *Debussy in Performance*. Ed. James R. Briscoe, New Haven: Yale University Press, pp. 193–224.
- Pomeroy**, Boyd 2003. Debussy's tonality: a formal perspective. – *The Cambridge Companion to Debussy*. Ed. Simon Trezise, Cambridge: Cambridge University Press, pp. 155–178.
- Roberts**, Paul 1996. *Images: The Piano Music of Claude Debussy*. Portland, OR: Amadeus Press.
- Schoenberg**, Arnold 1967. *Fundamentals of Musical Composition*. London: Faber and Faber.
- Smith**, Peter 2005. *Expressive Forms in Brahms's Instrumental Music: Structure and Meaning in His Werther Quartet*. Bloomington, IN: Indiana University Press.
- Somer** [Sömer], Avo 2005. Musical Syntax in the Sonatas of Debussy: Phrase Structure and Formal Function. – *Music Theory Spectrum* 27/1, pp. 67–95.
- Trezise**, Simon 2003. Debussy's "Rhythmicised Time." – *The Cambridge Companion to Debussy*. Ed. Simon Trezise, Cambridge: Cambridge University Press, pp. 232–255.
- Vallas**, Léon 1933. *Claude Debussy: His Life and Works*. Trans. Maire and Grace O'Brien, London: Oxford University Press.

## Meetrum vormilise piiritlejana Debussy kahes prelüüdis

Michael Oravitz

(tõlkinud Kerri Kotta)

Debussy muusika meetriline ja hüpermeetriline struktuur võib raamida, ühendada ja seega ka kuulde- liselt piiritleda muusika vormilisi üksusi. Kõnealuses uurimuses kirjeldatakse, kuidas meetrilised sünd- mused osalevad Debussy I vihiku kahe prelüüdi, „Danseuses de Delphes” („Delfi tantsijatarid”) ja „Le vent dans la plaine” („Tuul lagendikul”) vormistruktuuri moodustumises. Debussy muusikale omase muutliku meetrumi kontekstis võivad meetrilised sündmused omada spetsiifiliselt kompositsioonilist tähendust. Mainitud kompositsiooniliselt spetsiifiliste sündmuste taasilmnemine teose mõnes teises ko- has vaid kinnistab nende vormiga seonduvat rolli. See kehtib eriti siis, kui nende sündmustega hõlmatud ajavahemikku kuuldatakse vormiliselt tervikliku üksusena nii esmasel kui ka järgnevatel ilmnmistel. Juhul kui meetriliste sündmuste järgnevus loob eelkirjeldatud tingimustele vastava ajavahemiku, mõistetakse ajavahemikku meetriliselt identifitseerivaid jooni „meetrilise profiilina”. Sellised profiilid võivad tekkida nii meetrilise, hüpermeetrilise kui ka mõlema kombineeritud toime tulemusena. Mainitud profile võib osalt kasutada ka meetrumi laiema rolli illustreerimiseks, mida see pealkirjas viidatud muusikaväliste narratiivide edastamisel mängib.

Prelüüdis „Danseuses de Delphes” portreteeritakse arhailist teemat, pöimides sellesse barokliku sa- rabandi siiruse, viimasele omaselt aeglase ja staatiliselt kolmeosalise meetrumi, saabumise dominandi- le esimese lausegrupi lõpus ja mainitud lausegrupi väljakirjutatud korduse, milles peegelduvad kahe- osalise tantsu esimesele osale omased vormilised konventsioonid. Prelüüdi rõhutatult akordilist algust võib ühtlasi kuulda viitena lüürale. Samas häirib selle algset, esimeses kahes taktis selgelt artikuleeritud kolmeosalist meetrumit üsna peatselt järgnev muusikalõik, mida raamistavad neli korrapärast impuls- si on retrospektiivselt tajutavad neljaosalise meetrumi avaldusena. Kirjeldatud neljaosalisel meetrumil põhinev lõik on ühtlasi seostatud toonika rõhutatud saabumisega. Sellest hetkest edasi liigub muusika leebelt juba mainitud dominandi poole, põhinedes meetriliselt defineerimatul ja identselt artikuleeri- tud kvartharmoniate järgnevusel, millele paralleelne häältejuhtimine annab spetsiifilise värvi. See kõik toimub taktides 1–5. Nagu öeldud, kordub kogu lõik väljakirjutatud kordusena taktides 6–10 ning on sisuliselt identne selles, mis puudutab fraseerimist, ja pisut erinev mõnevõrra laiendatud dominandile saabumise poolest (vrd. takte 5 ja 10). On huvitav, et Debussy kasutab mainitud vormilõigu meetrilist profiili – mis hõlmas teatavasti kahte stabiilsel kolmeosalisel, kahte neljaosalisel meetrumil põhinevat ja kahte dominantu suubuvat meetriliselt määratlematut lõiku – uuesti taktides 11–20. Muusika, mis kõne- alustele taktidele omakorda järgneb, muutub järk-järgult nii meetriliselt kui ka hüpermeetriliselt püsiva- maks, võimaldades teost alustaval kolmeosalisel meetrumil viimaks ühemõtteliselt juurduda.

„Le vent dans la plaine” kujutab tormi, mis algab vaikselt, kasvab marulise kulminatsioonini ning vai- bub siis taas. Teost alustav saatepartii *ostinato*, mis moodustub kahest oktavi kaugusel olevast pool- toonist *b-cis* ja mida vaikselt, kiiresti ja vahelduvalt esitatakse, jäljendab omalaadset valget müra, mida tajutakse tuule kohinana kõrvus. Kasutades ABCBA vormi, õnnestub Debussyl siin oskuslikult ühendada rangelt sümmeetriline vormiline struktuur teose aluseks oleva efemeerse programmilise ideega. Pea- miselt hüpertasandil avalduv meetriline aktiivsus on mainitud sümmeetrilise vormi teenistuses, lastes defineerimatu meetrumi „udul” aeg-ajalt iseloomulikul viisil hajuda. Helitööd raamivad A-osad seostu- vad nii püsiva früügia laadiga sarnase helirea ja selle toonikaheli *b* kui ka kahe- ja neljataktiliste üksuste vaheldumise leebe artikuleerimise, või meetrilisele struktuurile viidates, sarnaste kuetaktiiliste üksuste poolest. Teose mõlemad B-osad on nii faktuuri kui ka muusikalise retoorika poolest A-osadega väga sarnased. Siiski võib neid viimastest kergelt eristada, lähtudes teose peamotiivi lõpufiguurist, mis siin pigem ülespoole liikudes vormib ümberpööratud kaare, ning võrdlemisi tugevalt artikuleeritud nelja- osalisest hüpermeetrumist, mis A-osa hüpermeetrilisele mudelile kaks-pluss-neli selgelt vastandub. A- osast eristuvad B-osad ka helistikulise ebapüsivuse tõttu. Huvipakkuv on ka see, kuidas B-osas (taktid 15–22) viidatakse kaks korda neljataktilise hüpertakti moodustumise võimalusele, mis aga viimase takti



„ärakaotamise” teel tühistatakse. Kirjeldatud pinge lahendatakse teises B-osas (taktid 36–43), milles eelnevalt viidatud neljaosalised hüpertaktid lõpuks ka tegelikult realiseeruvad. Teose C-osa hõlmab sisuliselt kahte retoorilises plaanis erinevat alaosa. Mainitud kaks alaosa ühendab tervikuks kolmeosalise hüpermeetrumi pidev kasutamine, suurem sisemine kontrastsus alaosadega A ja B võrreldes ning sirgjoonelisem liikumine kulminatsiooni, tormi haripunkti poole, mis on tulvil piksekärgatustena tõlgendatavaid muusikalisi figuure (taktid 28–34). Piksekärgatusi on kujutatud plahvatuslike, takte 28, 30, 31 ja 33 alustavate ja pea kogu klaveriregistrit haaravate žestidena, millele alati järgneb summutatud kaja. Kolmeosaline hüpermeetrum, mis valitseb nii tormi haripunktile liikumist kui ka viimase saabumist (piksekärgatused), aitab kuulajal tajuda mõlemat löiku laiema üksuse (C-osa) alaosadena ning tunnetada kogu teose sümmeetrilist ülesehitust.

# Function and Deformation in Sergei Rachmaninoff's Etudes-Tableaux op. 39, Nos. 5 and 6

Ildar D. Khannanov

The categories of formal function and deformation have become a staple of today's understanding of musical form in the West. Russian theoretical thought has had a number of achievements along the same lines and in its present condition it is ready to welcome North American ideas. The theory of formal function has been thoroughly discussed in Russian theoretical tradition in the course of the 20th century<sup>1</sup> and, therefore, the application of its postulates fits well with music of Sergei Rachmaninoff. This article emphasizes the North American version of this theory, namely, the conceptual framework suggested by William Caplin (1998). The idea of deformation of compositional designs, offered by Warren Darcy and James Hepokoski (2006), will also resonate with many Russian views on both music and art in general. After all, one of the premises of this new magnificent theory of sonata form is the Russian idea of "estrangement."<sup>2</sup> In addition, the allowance of variability of compositional choices against the default version<sup>3</sup> is the result of profound reading of the ideas of dialogic conscience, the one that also originated, among many other sources, in Russian tradition. The major assumption of the author of this article is that the understanding of music of Rachmaninoff can benefit from application of these two most advanced approaches to musical form.

It is especially interesting to apply these major analytical methods to the Etudes-Tableaux

op. 39. For many reasons, during the late 1910s, the compositional language of Rachmaninoff becomes very complex and analysis of these etudes requires application of a number of equally advanced analytical approaches. For example, the formal-functional design of a theme in op. 39, No. 5<sup>4</sup> presents a heterogeneous set of ideas, ranging from the techniques of ancient Russian chants to some 20th-century strategies. Yet, classical forms remain the core characteristic of Rachmaninoff's melodicism. Needless to say, classical paradigms experience serious deformations in these poetic canvases, the precursors of the dramatic events of the 20th-century.

Therefore, the question this paper is set to clarify is: "What causes deformations in music of Rachmaninoff?"

## The influence of Russian Orthodox chant

Rachmaninoff received a formidable training in Russian church music and deeply impressed his contemporaries with two masterworks in this genre, the *Liturgy of St. John Chrysostom* (1910) and the *Vespers* (1915). However, the kinship of his music with the church monody lies deeper than these two incidental compositions; it permeates the very fabric of Rachmaninoff's music. Melodic shapes, harmonic ambiguity, and formal strategies bear the imprint of his genuine aesthetics. Rachmaninoff's melodies rarely display distinct directionality and often present smaller segments

<sup>1</sup> For example, Boris Vladimirovich Asaf'yev in his *Musical Form as a Process* (1930), suggested three main functional stages of musical form that he called *initium*, *motus*, and *terminus*. Igor Vladimirovich Sposobin introduced his theory of six formal functions and five types of their presentation in his *Musical Form*, published in 1947. Viktor Petrovich Bobrovsky's book *Functional Foundation of Musical Form* (1978) provided further development of the ideas of Sposobin and Asaf'yev and presents musical form as a functional phenomenon on a number of levels.

<sup>2</sup> The term introduced by Viktor Shklovsky in his *Theory of Prose* (1925), which is quoted by Darcy and Hepokoski in their *Elements of Sonata Theory: Norms, Types and Deformations in Late Eighteenth-Century Sonata* (Hepokoski, Darcy 2006).

<sup>3</sup> In Russian theoretical tradition, the variability of definitions of form has been thoroughly studied. Viktor Tsukkerman uses the term "the form of the second plan," which means that in many cases in Classical style (and, wider, in all three styles of common practice) a single definition of form is insufficient and secondary definitions are needed. Most famous case in Tsukkerman's analyses is his dual definition of form of Mikhail Glinka's "Kamarinskaya," presented in his book *Glinka's Kamarinskaya and Russian Traditions* (1957). A more detailed discussion of these sources is available in my Ph.D. dissertation *Russian Methodology of Musical Form and Analysis* (2003).

<sup>4</sup> From here and on Etude-Tableau op. 39, No. 5 will be called Etude No. 5, and op. 39, No. 6 will be called Etude No. 6.

**Example 1.** Znamenny neume *pauk* and its use in Etude No. 5.

Etude No. 5 Neume Spider (*pauk*)

Spiders from four *glasy*, 1, 3, 8, and 6

that frequently change direction. Melody reaches the limits of a fourth and turns in the opposite direction; this happens many times within a single melodic-thematic statement. In comparison with, say, Viennese Classical melody, Rachmaninoff's does not arpeggiate triads and does not prolong fifth-based structures. One possible explanation can be drawn from the differences between major Western and Russian scale structures: Greek systema (and many its Western derivatives) rely upon tetrachords that complete quintal transpositional limits, while Russian *obikhod* scale (g3, a3, b3, // c4, d4, e4 // f4, g4, a4 // b4, c5, d5) is built upon trichords and the interval of maximum transposition is the fourth.<sup>5</sup> In the opening melody of Etude No. 5 Rachmaninoff uses either the trichords from the *obikhod* scale, or their modified and extended versions. The arpeggiation (f4-d4-b3) in the beginning of the melody is a compromise, modification of the stepwise trichord in order to fit into harmonic accompaniment. How-

ever, if it is reversed to a trichord (f4-e4-d4) it will sound as one of the most common melodic pattern of Znamenny chant, the neume *pauk*.<sup>6</sup>

Further in the melody, this neume undergoes intensive variation. Its relaxed and uncanny variability is quite characteristic of usage of neumes (*krjuks* and *znamena*) in the Russian chant tradition. After all, a single neume (such as Spider) receives various realizations in different *glasy* (collections of patterns) of the *oktoich* or *os'moglasiye*.<sup>7</sup>

Rachmaninoff's melody is also distinct from the Western common-practice prototypes in its multiple climaxes. This is the mark of the prosaic prototype (chant), as opposed to rhymed verse prototype of Viennese Classical forms. There are simply more climaxes in a prose than in a rhymed verse. The climax is rendered in the melody of the Etude No. 5 in a very specific wave-and-hook shape. It is very similar to a Byzantine neume<sup>8</sup> *climacus*. Both express ecstatic emotional condition, realized in an exclamatory gesture.

<sup>5</sup> Within the Western system the quintal limit has been replaced by octaval and, in major and minor tonality the ultimate interval of transposition is an octave. It may look and sound very strange for a contemporary ear that such outer limit of the system in Russian chant was a fourth. The consequences of this distinction are far-reaching: Russian melodies of this tradition do not seem so "see" the goal, the point of arrival set outside of the local level, as do Classical-Romantic systems of harmony. Instead, Russian melody quietly meanders along the collections of patterns. A good example of such non-teleological musical thinking is the theme of the Concerto No. 3.

<sup>6</sup> Russ. "spider."

<sup>7</sup> There is a system of eight modes (*echoi*) in Byzantine chant tradition that is called *octoechos*. By analogy, modal system of Russian Znamenny chant is often labeled also as *echoi*. However, its principal difference from the Byzantine system is that it is not based upon eight pitch collections; rather it distributes the wealth of melodic patterns of the chant into eight groups that are called *glasy*. Therefore, it is not adequate to translate *glas* as *echos*.

<sup>8</sup> More precisely, the neumes with this name existed in both Western and Eastern chant traditions. Egon Wellesz (1961) suggests that *climacus* has been used in Byzantine chant.

**Example 2.** Byzantine neume *climacus* and its use in Etude No. 5.

Etude No. 5, melodic climax

Byzantine neume *climacus*

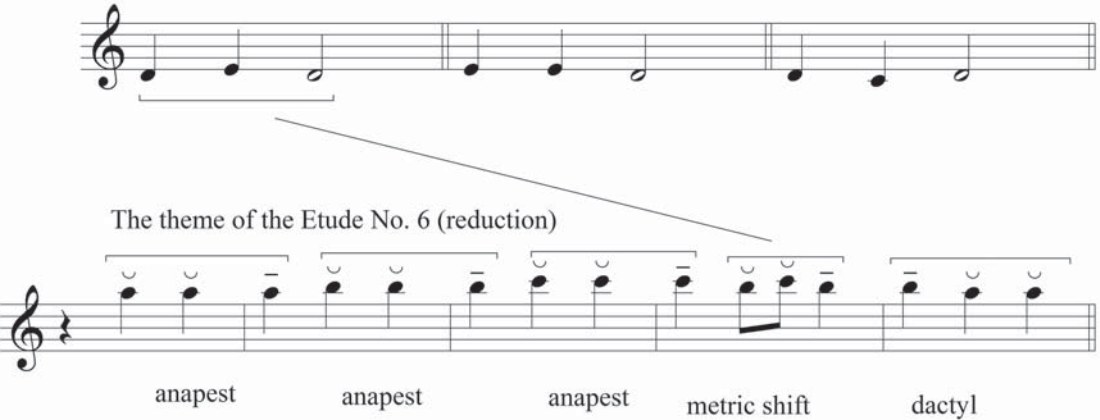


The image shows a single staff of music in G major (one sharp). The first part, labeled 'Etude No. 5, melodic climax', shows a melodic line with a series of eighth and sixteenth notes ascending and then descending. The second part, labeled 'Byzantine neume climacus', shows a similar melodic pattern, which is a characteristic feature of this neume.

**Example 3.** Znamenny neume *khamila* and its use in Etude No. 6.

Znamenny neume *khamila* in various *glasy*


The theme of the Etude No. 6 (reduction)



The image shows two staves of music. The first staff, labeled 'Znamenny neume khamila in various glasy', shows a melodic line with a series of eighth and sixteenth notes. The second staff, labeled 'The theme of the Etude No. 6 (reduction)', shows a melodic line with a series of eighth and sixteenth notes. A line connects the first staff to the second staff, indicating the relationship between the two. Below the second staff, the following labels are present: anapest, anapest, anapest, metric shift, dactyl.

anapest      anapest      anapest      metric shift      dactyl

Kulisma of different *glasy*



The image shows a single staff of music in G major (one sharp). The staff is labeled 'Kulisma of different glasy'. It shows a melodic line with a series of eighth and sixteenth notes, with a '9' written above the first note.

Another distinct feature of Rachmaninoff's melodicism is the frequent and sudden metric shifts at the beat level. These abrupt displacements add heat and energy to melodic development. Compare them to the Russian neume *khamila* and the elaborate combination of neumes called *kulisma*.<sup>9</sup> Small-link chain structure of Rachmaninoff's melody, generated by the trichordal limits of the *obikhod* scale is reflected in many other aspects of his music and on larger levels. Thus, the basic structure of quartal harmony creates a disagree-

ment with the Western quintal functional foundation. For example, in the opening movement of the *Vespers*, the declared D minor sounds only at the anacrusis and reappears for several brief moments while the whole composition is firmly rooted in the dominant, creating a hiatus in aural perception. Add to this the sudden digression into C major closer to the end of this magnificent harmonic progression and it may very well be perceived as something written in A major with the minor subdominant (D minor). In another

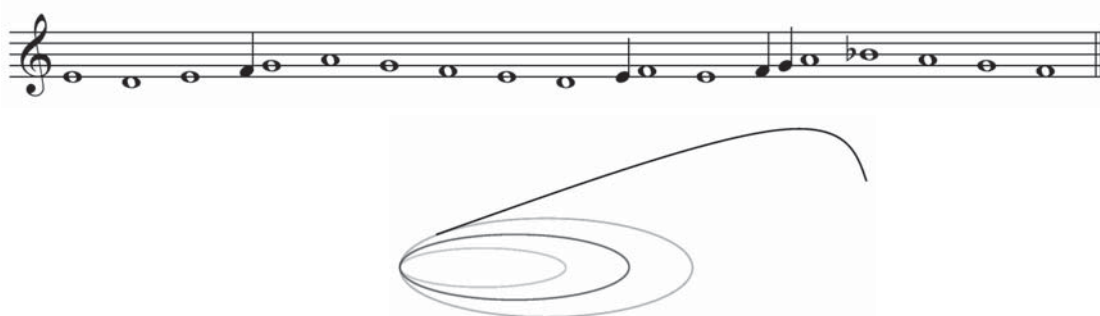
<sup>9</sup> Russ. "crankshaft."

**Figure 1.** Spinning-out the spiral in the melody of Etude No. 5.

Spinning a spiral spring in Etude No. 5



Metaphor of spinning-out a spiral spring in Znamenny chant (example from M. Brazhnikov (1972: 288))



example, in the first movement of Concerto No. 1, Rachmaninoff creates numerous climaxes and all of them fall on subdominant harmony (more precisely, on supertonic half-diminished six-five chord). After hearing these climaxes so many times, a listener may come to a conclusion that the concerto is written in B minor with the accidental prolongations of its minor dominant triad. Even the modulatory path of Transition reveals the same adherence to quartal structure: its first gesture is pivot chord modulation to the key of subdominant<sup>10</sup> – rather rare case in classical form and a sign of serious deformation of the structure of classical sonata exposition in Rachmaninoff's interpretation.

### Aesthetic ideas and dramaturgy

The simplicity and traditionalism of Rachmaninoff's music is deceiving. Under its conventional surface one can find significant innovations in many vital areas. Although melody has been undeniably his greatest achievement, the treatment of traditional disposition of "voice and accompaniment" established in early 16th century, is constantly challenged by Rachmaninoff. A "voice" often loses its dominance and splits into a multiplicity of arabesque. Melody, as shown earlier on example of Etude No. 5, leaves the domain of imitation of linguistic periodic structure, and enters the realm of pure figuration. Melodic motion types are so clearly expressed that their percep-

<sup>10</sup> According to calculation of frequency of modulations by Gottfried Weber, the modulation to subdominant has been the least frequent in music of his time.

**Figure 2.** Flight motive in music of Scriabin and Rachmaninoff.

Rachmaninoff, Etude No. 5



Scriabin, *Poem of Ecstasy*

Allegro volando



tion leads to direct motoric association, such as a spiral and a swing (Fig. 1), flight (with some similarities<sup>11</sup> to Alexander Scriabin's theme of flight (*le vol*) in *Poem of Ecstasy*, Fig. 2), or bouncing along ballistic trajectories. The latter can often cause a performer to forget the complex rhetoric and symbolic systems, as well as the technical-compositional exigencies, and simply flow with the flow. It is a pure corporeal joy to play this segment in Etude No. 5, the epitome of kinesthesia (Fig. 3).

These factors – turning voice into arabesque,<sup>12</sup> melodic quasi-linguistic syntax into geometry and physics of immediate corporeal experiences –

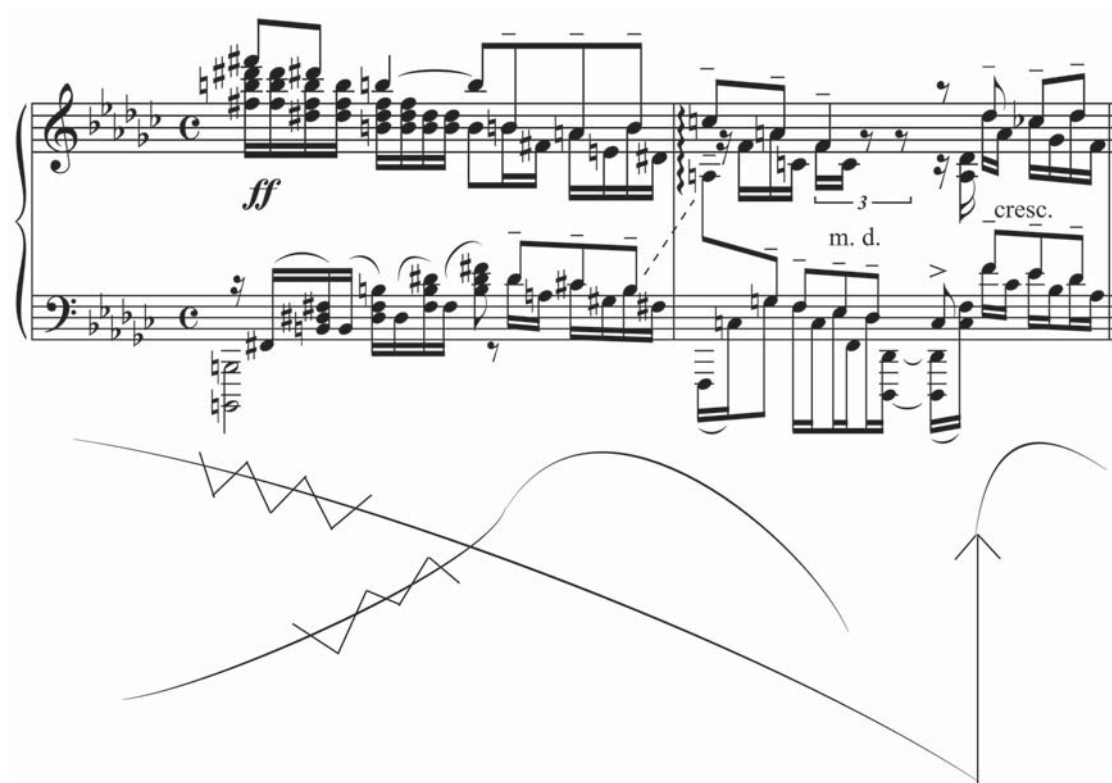
can be called deformations in the same sense as this term is used by Darcy and Hepokoski (2006) in relation to Classical forms. Of course, the degree of deformation and its sources here, in late Romantic and early-20th-century Russian music, are quite distinct from those of Classical style.

Aesthetic ideas, presented on the local level as a geometry of gestures and breathing, are, on the larger scale, a turn into what Russian theorists call “dramaturgic profile” of a musical work. This idea – that a purely instrumental composition may manifest the aspects of large-scale scenic drama – has been brewing in the Russian tradition

<sup>11</sup> This similarity between Rachmaninoff's climactic figure and Scriabin's “flight motive” is not as thorough as other analogies. The author admits that resemblance of these two note patterns is partial and there is great deal of dissimilarity in aesthetics of Rachmaninoff and Scriabin. Yet, nobody can deny some kinship, considering the fact that they both grew up in the same environment.

<sup>12</sup> Arabesque is the term commonly used in Russian musicology. The deeper meaning of this term is philosophical; it is the means of expression that lacks subjective character. Historically, arabesque comes from the Arabic visual arts, in which the depiction of a human face was prohibited. The creative energy of an artist was therefore channeled into composition of pure figuration, running lines.



**Figure 3.** Ballistic trajectories in Etude No. 5.

for decades. Probably the first attempt to harness the dramaturgic forces of a symphonic work was made by Victor Tsukkerman in his analysis of Glinka's *Kamarinskaya* (*Glinka's Kamarinskaya and the Russian Traditions*, 1957). He provides a graph of dramaturgic events in this famous composition. Graphic representation of dramaturgy and narrative is elaborated on in Viktor Bobrovsky seminal text *Functional Foundations of Musical Form* (1978). Valentina Kholopova in her lectures at Moscow Conservatory in 1983–84 provided numerous graphs of dramaturgy, including the analyses of music of Chopin, Schnittke and other composers. For example, her analysis of Chopin's Second Ballade presents a struggle of two agencies, which she calls alpha and beta forces, on the way of their collision.

This way of analysis may seem not formal enough. However, upon closer examination, the

representation of the "dramaturgic profile" appears to be synonymous with the idea of "trajectory" of sonata form, suggested by Darcy and Hepokoski. Indeed, just as the trajectory is the result of interaction of formal and rhetorical devices (the latter includes rotations, deformations and medial caesura), the path through which a Romantic instrumental composition leads its listener cannot be reduced to formal structures alone and necessarily includes the aspects of rhetoric, dramaturgy and semantics. In general, in all well-developed genres of artworks, the grammar is superimposed on rhetoric and both create an indissoluble conglomerate. At least, such is the view of Gérard Genette<sup>13</sup> and Paul De Man,<sup>14</sup> who studied masterpieces of literature, film and theatre.

This inevitably leads to the interpretation of musical form a multi-dimensional phenomenon that requires an interdisciplinary approach. In this

<sup>13</sup> Cf. Genette's *Narrative Discourse: An Essay in Method* (Genette 1983).

<sup>14</sup> "Interaction of syntagmatic (metonymic) and paradigmatic (metaphoric) sides in literature: metaphor is not a substitution, but a particular type of combination" (De Man 1979: 6).

Figure 4. Kholopova's dramaturgic profile of Chopin's Second Ballade.

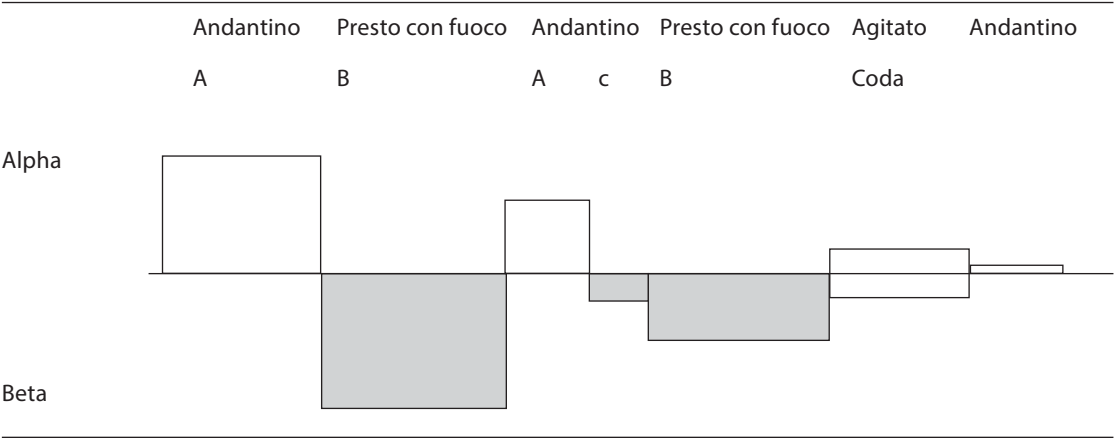
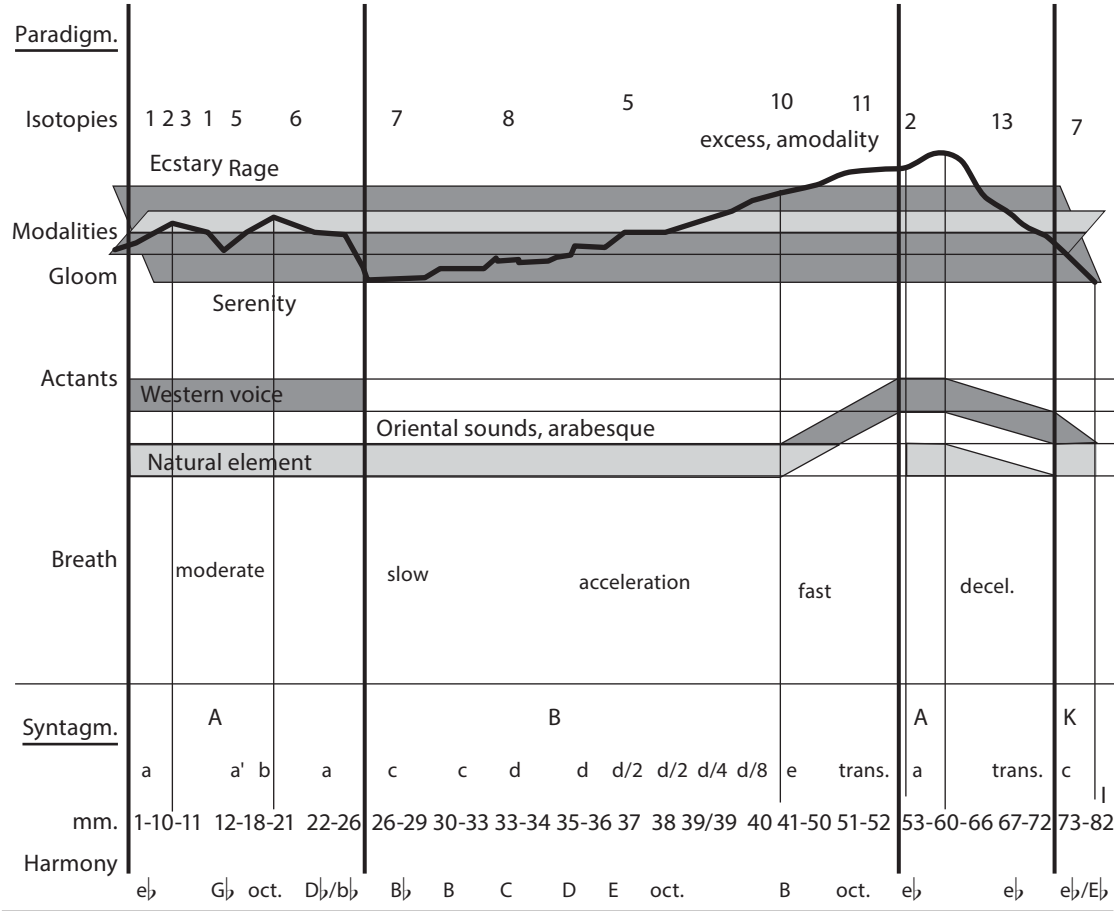
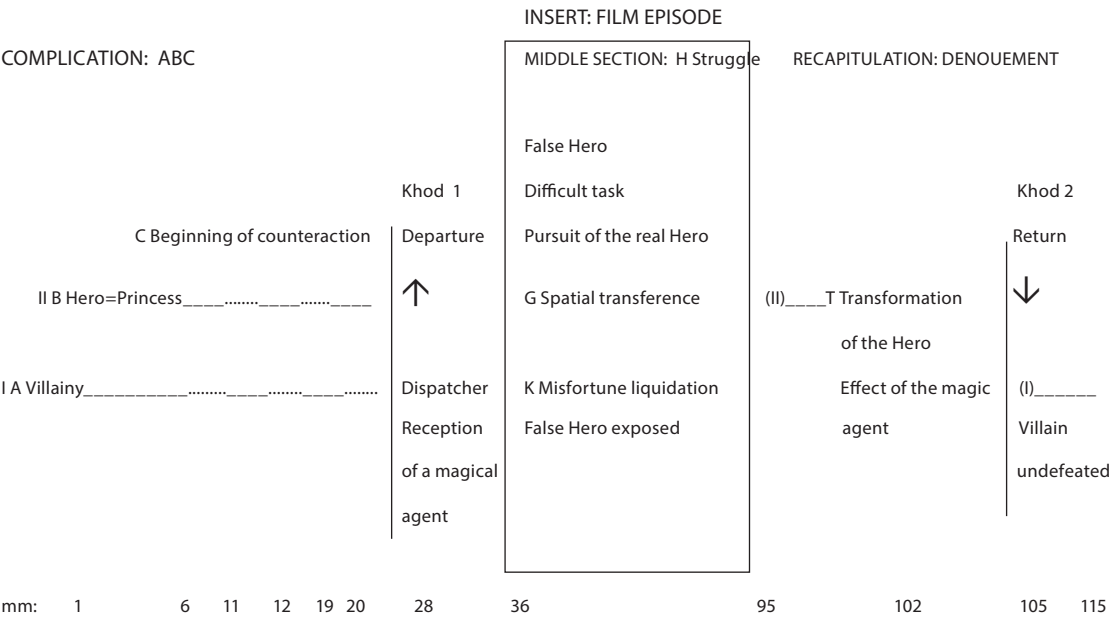


Figure 5. Combined formal and semiotic graph of Etude No. 5.



**Figure 6.** Morphology of the exposition of Etude No. 6.

Morphology of the Etude No. 6 analyzed as a fairy tale



respect, the intuitions of Darcy and Hepokoski appear to be in sync with those of Russian and Soviet theorists.

Rachmaninoff's musical thinking presents an exciting object of research in this sense. He retained traditional formal-compositional structures and compensated their relative simplicity with the advancements of semiotic and rhetorical aspects. His *Etudes-Tableaux* reminds us of Baroque language in its enhanced multi-layered allegoric mode of expression.

Figure 5 that represents the results of analysis of Etude No. 5 falls into two sections: the lower section depicts the major structural events in harmony, form and thematic-motivic dimensions; these events are coordinated with the analysis of the Etude from standpoint of dramaturgy of emotions and interaction of *actants* (in semiotic terms, suggested by Algirdas Greimas (1970) and applies to music by Eero Tarasti (1994) and Robert Hatten (2004)). It is interesting to observe how the emotional content and narrative react to the events on formal-compositional level.

Etude No. 6 can be analyzed in terms of Vladimir Propp's *Morphology of a Fairy Tale* (Propp

1928): There are three phrases in the beginning (as mentioned earlier, a trinity in the traditional tale narrative). They are introduced intermittently with inserts of the negative *actant* (Grey Wolf), just as Propp suggests on his scheme of protagonist – antagonist interaction. There are segments in music that correspond to the role of Dispatcher, to the chase. In the recapitulation, the harmony of “melting” chromaticism suggests analogies with the effects of the magic potion – another part of the morphology of a fairy tale.

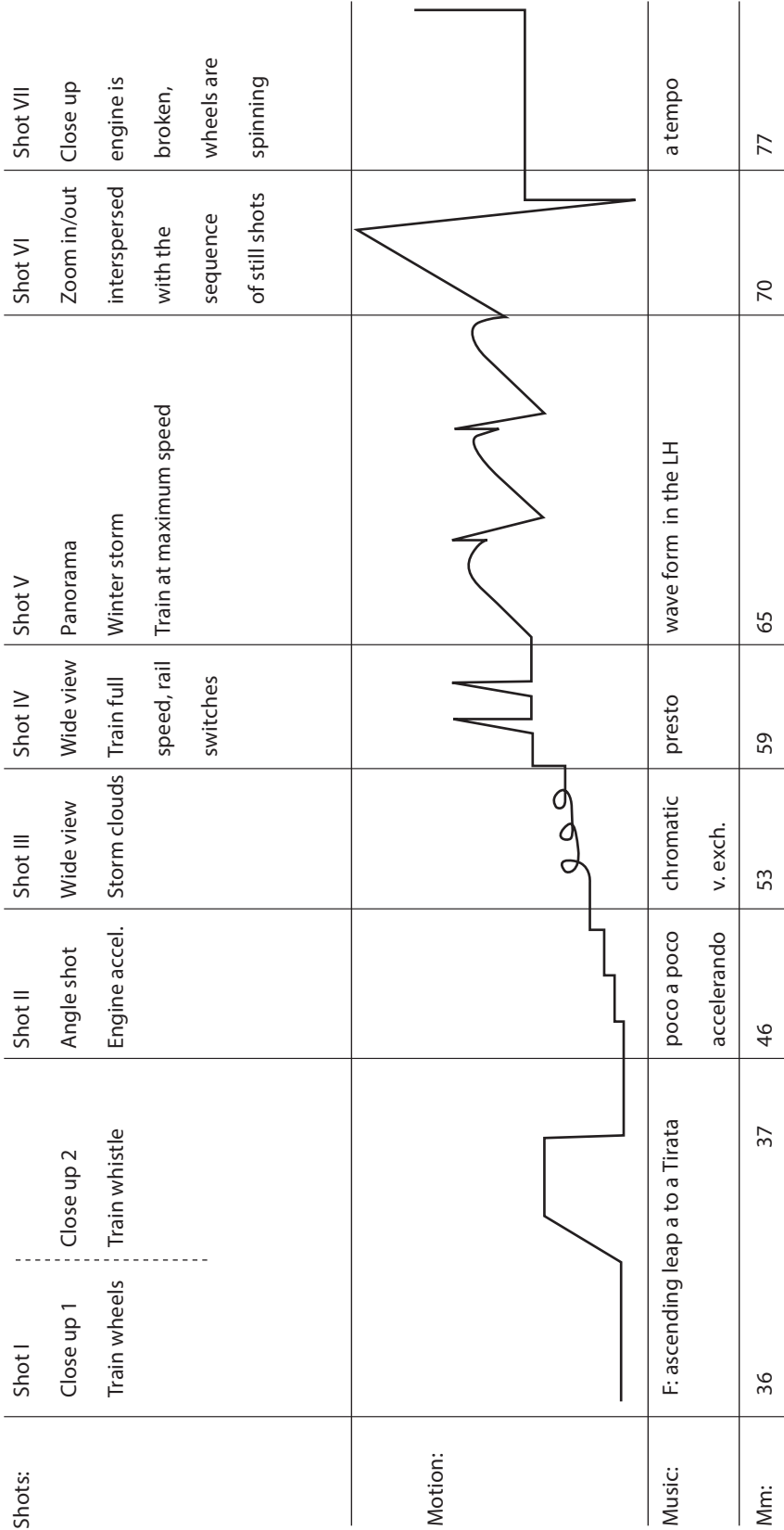
The middle section of its large ternary form seems to shift gears. It is rendered as a single harmonic progression with no structural divisions, appropriate for classical form. Instead, the patches of texture are linked together in the manner reminding of film montage. Sergei Eisenstein's analysis of his film *Alexander Nevsky* (with Sergei Prokofiev's music) comes to mind (Eisenstein 1949). The semantics of this music is easily decipherable for anyone who knows the history of the Soviet Union. There are many similar examples in early Soviet film of the same type of the soundtrack: the vehemently spinning wheels of the steam engine “that will bring us to the future”

**Figure 7.** The middle section of Etude No. 6 analyzed as a film montage.

The B section as a film episode (montage and motion diagram of mm. 36–93)

“Music to a non-existent film” (Ennio Morricone)

A diagram in a style of Sergei Eisenstein



is difficult to disregard when listening to this masterpiece.

Of course, the most exciting twist is seen in the way Rachmaninoff collides the fairy tale with the film montage. The fairy tale loses its customary normative aesthetics and receives a powerful transformative jolt from the menacing film scene in the middle section. And, by the way, in Propp's analyses all fairy tales end either with the victory of a Hero over the Villain or with the wedding. Neither is the case in the Etude No. 6. The Hero, in contrast with tradition, is a female character, and her fate is locked in tragedy.<sup>15</sup> A Grey Wolf – the ultimate negative *actant* – prevails.

### Harmonic aspect

The harmonic language of the Etudes-Tableaux op. 39 presents a special case within Rachmaninoff's style. The methods, suggested by transformational and neo-Riemannian theories, seem to work well for certain segments of otherwise traditional harmonic progressions. Following a rich and continuous Russian tradition, Rachmaninoff employs the sections of his scores in a very contrasting harmonic style which suspends the effect of functional differentiation (according to Tatiana Bershadskaya (1985)). These sections appear unprepared and disappear the same way. Since Mikhail Glinka, the aesthetics of an insert in one of the artificial modes into a tonal progression served special dramaturgic function. It represented the sphere of the fantastic, the realm of a fairy tale. Music of such an insert is, by default, different from the surrounding material. Its otherness is often expressed in a symmetric equal division of an octave. Such an octatonic insert in the theme of Etude No. 5 functions as an agent of deformation (see Ex. 4).

Noticeable is the polyphonic linear chromaticism that smashes the tonal skeleton and disorients the directional tendencies of tonal centers. The characteristic of linear chromaticism was pondered by Ernst Kurth, in his analysis of the opening progression of *Tristan and Isolde* (Kurth 1920). Kurth tried to switch the attention of an analyst from the structure of notated sound to the psychology of non-verbal logic that underlines many

harmonic progressions. More precisely, linear chromaticism violates the order of discourse and leads to temporary eclipse of teleological control. Non-directional and non-regulated, these inserts generate pure intensity and, in Deleuzian terms (Deleuze, Guattari 1986), non-orthopedic linearity. If the material before and after such an insert presents harmonic progression, then the insert itself can be labeled as "harmonic transgression."

Cases of harmonic transgressions are numerous in music of Rachmaninoff. Robust and mechanistic, these deformations create a rich field of references. For examples, in the recapitulation of Etude No. 6, dubbed by Rachmaninoff "Little Red Riding Hood," harmony is distorted in such a way that it creates an image of melting. This effect is reached by resolutions of the dominant seventh chord to sonorities a half-step lower than expected (Ex. 5).

This image is a staple of Russian Romanticism; melting of a female protagonist started in Nikolay Rimsky-Korsakov's *Snowmaiden* and passed through a chain of female characters in both opera and instrumental compositions.

### Form and deformations

As for the forms, Rachmaninoff does not hesitate to start with the most common classical outlines. It has been noted by Russian theorist Boris Gnilov (2015) that Rachmaninoff's forms are taken from Adolf Bernhard Marx's textbook. This, however, does not mean that he had limited view of forms and their possibilities. Moreover, standard schemes were revised and deformed in such a way that in most of the Etudes and later works, it is impossible to adhere to traditional analysis. The first section of a large ternary form in Etude 5 occupies two pages of piano score. Its rich chromatic harmony and extended melodic material leaves it clear, though, that the segment is written in a rounded binary form. This is, of course, a very general estimate. An analyst cannot simply disregard the fact that the melodic-motivic filling of the antecedent phrase comes not from succinct Haydn-esque Q&A type, but from mediaeval Russian chant (as discussed earlier). If there is a basic idea, it lasts for 8 measures and contains six

<sup>15</sup> This vivid interpretation belongs, of course, to the author of this article. However, it is based upon cultural experience that is quite similar to that of the composer. Rachmaninoff dropped a hint at it in naming the Etude "Little Red Riding Hood."

**Example 4.** Octatonic insert in the antecedent phrase of the Etude No. 5.

The image displays three systems of musical notation for Sergei Rachmaninoff's Etude No. 5, Op. 39, No. 5. Each system consists of a grand staff (treble and bass clefs) with complex chordal textures and melodic lines. Below each system, harmonic analysis labels are provided for specific measures.

**System 1:**

- Measure 1: Db: I<sup>7</sup>
- Measure 2: V<sup>3</sup>/vi
- Measure 3: i<sup>vi</sup>°
- Measure 4: A: V/V<sup>1</sup>5
- Measure 5: V<sup>7</sup>

**System 2:**

- Measure 6: C: V/V<sup>1</sup>5
- Measure 7: V<sup>7</sup>
- Measure 8: B: V/V<sup>1</sup>5
- Measure 9: V<sup>7</sup>

**System 3:**

- Measure 10: Db: I
- Measure 11: ct<sup>07</sup>
- Measure 12: iv<sup>4</sup><sub>2</sub>
- Measure 13: b: vi<sup>4</sup><sub>2</sub>
- Measure 14: V ♯

The final measure of the third system features a fortissimo (*ff*) dynamic marking and a triplet of eighth notes in the right hand.



**Example 5.** “Melting” chromaticism in the recapitulation of Etude No. 6.

submotives. The consequent phrase begins with the digression into D $\flat$  major and, according to the perception of the tempo and rhythm of the form (hypermetric sense) a listener expects a cadence that would complete a parallel period. However, quite unexpectedly, an octatonic insert enters without warning. Even more abrupt is its end, in which the resolution of the dominant is completely deformed and the recapitulation of the rounded binary form sounds “in the wrong key.”

The basic idea of the Etude No. 6 is even more peculiar. Its metric and harmonic structure is so ambiguous that it makes sense to speak of an equivalent of the intentional tongue-tie in Russian literature, specifically found in the prose of Fyodor Dostoyevsky, Andrei Platonov and Daniil Harms. It defies the basic even-odd pattern recognition that predetermines the perceptibility of musical logic as well as speech. Three beats distribute harmonic function in such a way that the anacrusis is expressed in a strange substitute sonority (the one that the author of this article calls a “Rachmaninoff’s dominant”);<sup>16</sup> on the strong beat there is tonic function, but it is expressed in the form of the second inversion; and on the

weak beat there is a tonic triad with the root in the bass. So, the two tonic harmonies are present, one is weaker (inverted and thus temporarily “root-less” or offset) but on the strong beat; another is stronger (with the root in the bass) but is given on a weak beat of the measure. This is clumsy and awkward, yet it represents a special perception of beauty by Nordic people, hidden, non-glamorous, internal perfection (see Ex. 6).

The exposition of the Large Ternary in Etude No. 6 is also very unusual. It consists of three phrases, but there are many factors that preclude defining it as a period. Instead, it can be interpreted as a form of a fairy tale. Its three phrases related to famous metro-rhythmic disposition in so many examples of this genre: three times came an old man to the sea shore; three times he called out a Golden Fish, etc. Its tonal plan is, again, subdominant-oriented. First phrase is in A minor, second phrase reaches D minor, and the third ends in G minor. Such a walk-away tendency is uncharacteristic for classical presentation section.

The cadence in the first phrase is rendered as a prolongation of tonic by means of subdominant chords (see Ex. 7a and b).

<sup>16</sup> It calls for the reference to “dominant” because of plethora of leading tones to the tones of white-key diatonic (D $\sharp$ , B). However, the very leading tone of A minor – the G sharp – is missing in this sonority!

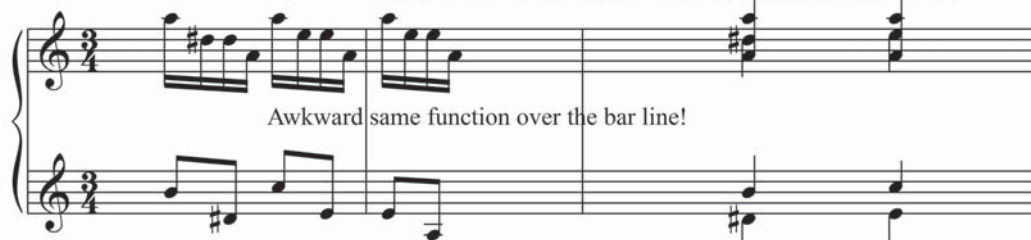
**Example 6.** Basic idea of the Etude No. 6.

B.i. of the Etude No. 6

Tonic on the weak beat in 6/4 position

Another tonic on the adjacent strong beat; missing a third!

Awkward same function over the bar line!



a:  $\text{II}^{\flat}_5$  functioning as a dominant, with the unresolved seventh;  
another interpretation is the six-five of the V of V that resolves directly into tonic, bypassing the dominant!

a:  $\text{II}^{\flat}_5$  –  $\text{I}^{\flat}_4$

Enhanced  
“leading-tonness” but  
absent leading tone proper!

Compare it to so-called Prokofiev’s dominant:



C: VII I

The second phrase presents elaboration on the first by means of motivic extensions and a sudden break in harmonic logic. The methods of development here are more characteristic of folk music and, in general, monadic tradition, than to classical *motivische Arbeit* (see Ex. 8).

The third phrase is further elongated by an insert (extrapolation), and motivic extension. A strongly anticipated formal event – a cadence that would close the development of all three phrases – is missing here. This license taken by Rachmaninoff, is much more serious than one can imagine. It simply destroys the very basics of classical form and harmony and switches the interpretation of form to that of a narrative semiotic utterance (énoncé) accompanied by musical context (Ex. 9).

An even more drastic intervention into common-practice harmonic language and form is seen at the end of the exposition of this etude. In place of a cadence, there is an insert of contrasting material with six chords leading to the dominant. They substitute for the more common dominant preparation (either tonic or predominant). Using the analogy of applied dominants, one can say that this segment contains six applied predominant functions. Indeed, each seems to “resolve” into another. Proximity and adjacency are evident. However, any attempt of functional (or scale-step) reading of these sonorities will bring an analyst to a jarring disconnect of chords in the left and the right hand. This mysterious sequence of sonorities is another example of *harmonic transgression*, discussed earlier. In the Kurthian sense, a spiraling down the cone trajectory overrides both functional and triadic prolongational readings, transforming the traditional musical form into semiotics of emotional changes (Ex. 10).

Another aspect of deformation in Rachmaninoff’s form is its well-known surpassing the normative length of breath. Marietta Shaginyan, Russian journalist and a friend of Rachmaninoff, noticed it in her essays of 1910s (Shaginyan 1975). This way of affecting listeners was known to many composers before Rachmaninoff. Thus, J. S. Bach extends his melodic statements beyond the expected point of a cadence. The effect is felt imme-

**Example 7a and b.** First phrase of the exposition of Etude No. 6.

a:  $\text{DII}_3^6$   $\text{i}_4^6$   $\text{i}-3$   $\text{V}^{94}/\text{iv}$   $\text{ii}_4^{06}$   $\text{ii}_2^{04}$   $\text{iv}_3^6$   $\text{vii}^{07}/\text{VII}$   $\text{i}^7$

a:  $\text{i}$  -  $\text{iv}$  -  $\text{i}$

diately as dizzying breathlessness. Many of Rachmaninoff's expository periods are elongated. For example, the opening period in Prelude op. 23, No. 1 is such that listeners tend to forget the basic idea in the course of attending to endless figuration in the left hand. The effect of a lullaby, or, using a different analogy from Karlheinz Stockhausen, a *Momentform* phenomenon, acts as the agency that cancels real time and leads listener into an atemporal meditation. Intentionally over-extended segments are ubiquitous in music of Rachmaninoff. The basic idea of the first movement of Concerto No. 3 is 27 measures long. The same is happening in the basic idea of the first movement of Concerto No. 2. In this case, the Transition is lumped together with the Primary and that doubles the length of a single-breath gesture (Ex. 11).

Among many brilliant examples of deformations, the Vocalise stands as the highest peak. Its first four measures present what I call "formal-functional conundrum" (see Ex. 12).

The musical form – a structure that appears within the interaction of harmonic function, metric-rhythmic oscillation and motivic-thematic quasi-linguistic patterns – is seriously undermined. As already mentioned, a Nordic tongue-tie of beauty is amplified by the complexity of interaction of three components that has no match in music of the 20th century. Since Greek music theory, and perhaps even earlier, the arsis-thesis model has been established as a minimum requirement for legibility of musical information. If anything, one has to know, is this moment in music a strong beat, or it is a weak beat. If iamb and chorée are confused and conflated, music normally brings about a comic effect, if not a complete rejection. Ambiguity and complexity are allowed once they are crowned in the context of clarity in simplicity. Yet, while enjoying the beauty of music, without seeing the score, no listener can identify the first three notes of the Vocalise as a single prosodic structure.

Form in the music of Rachmaninoff can be summarized as a combination of transversal tendencies. On the one hand, his forms display substantial classical principles, such as functional distinction of tight-knit and loose (*fest und locker*) and masterful motivic work. Rachmaninoff seems to have done his chores. However, the creative and individual work with the older forms in the direction of their enhancement with new dimensions (rhetorical, semiotic, dramaturgic, corporeal, etc.) is, perhaps, the place where one should search for original Rachmaninoff's contributions.

**Example 8.** Second phrase of the exposition of Etude No. 6.

motive a      motive b with an extension

break in the functional syntax      varied sequence

a:  $ii_4^6$      $iii_4^6$      $liii_4^6$

a:  $iv$      $vii^{o7}$      $V+6$      $iii$      $vii^{o7}/VII$      $iv+6$      $DII_2^{\sharp}$      $i$

**Example 9.** The third phrase of the exposition of Etude No. 6.

motive a      insert      motive a

*p*      *sf*      *p*      *sf*

break in functional syntax      no cadence!

*cresc.*      *f*

**Example 10.** The ending insert of the exposition of Etude No. 6 with six applied chords.

Chromatic applied functions

a: D/D/D/D/D      D/D/D/D/D      D/D/D/D

dim.      p

D/D      D/D      D      T

a: N<sup>6</sup>      vii<sup>°5</sup>/V      i<sup>4</sup>+6      VI<sup>7</sup>      V<sup>6</sup>/V      V<sup>7</sup>/5      i

(Non-chord tones are in brackets)



**Example 11.** The Primary theme of Concerto No. 3 as “basic idea.”

First 27 measures present no contrasting material

*Allegro ma non troppo* *commodo*

*p*

*Piu mosso* First appearance of truly contrasting material, contrasting idea on a large-scale

*t.27* *t.82*

*Moderato*

*mf*

**Shklovsky's estrangement and Bakhtinian dialogic form**

Transformation of major components of musical composition, such as voice into arabesque, harmonic function into linear gesture, classical form into fairy tale or film narrative, are inscribed into major trends in art theory in Russia. Victor Shklovsky's idea of estrangement and of working with the material and approach (Russ. *material i priem*) (Shklovsky 1925) explain Rachmaninoff's strategy of deformations. Mikhail Bakhtin's dialogic consciousness provides a conceptual frame-

work for breaking a single voice into multiplicity of "voicelets," a single prolongational structure into a number of twists and turns in the style of old chants, resistant to the depiction of a single subject in the overall dialogic mode of presentation (see Ex. 13).

In this sense, one can see a strong relationship between Darcy and Hepokoski's innovative approach to Classical sonata (in which both Shklovsky and Bakhtin are mentioned) and Rachmaninoff's approach to formal function and deformation.



**Example 12.** Analysis of opening measures of Vocalise.

Four possible interpretations of the prosodic structure of the first motive

1)  $\cup$  —  
2) —  $\cup$   
3)  $\cup$   $\cup$   
4) —  $\cup$   $\cup$

c: i il+6 il+7 |D/v v|+7 |D/vi vi|+6

4

c: i<sup>6</sup> ii<sup>ø7</sup> ii<sup>4+6</sup>/iv V<sup>7</sup>/vi vi<sup>7</sup> S/S<sup>7</sup> i vi V<sup>6=7</sup> i

Brackets mark the versions of phrasing depending on the choice of prosodic structure.  
Vertical lines represent the strong harmonic beats.

**Conclusion**

Both methods under discussion in this article were originally applied to Classical style. The music of Rachmaninoff, quite obviously progresses from that style quite substantially, which may force many teachers of form to reject the application of Schoenberg-Ratz-Caplin's and Darcy-Hepokoski's terminology in this case. However, Rachmani-

noff's music did not completely break away from Classical style. In comparison with post-tonal compositional techniques, Rachmaninoff's harmony and form remain closely related to Classical tradition. This makes this analysis revealing in both interpretation of his music's inner meaning and in further development of the analytical techniques, offered by Caplin, Darcy and Hepokoski.

**Example 13.** Voice and dialogic voicelets in Bakhtin's sense.

The voice (melodic voice in Schenker's terms), which is supposed to be primary here, is not such in this music.

Voicelets are more active here; they overwhelm the “main voice” and represent other voices, the voices of the Other, in an irregular doubling (a suspension figure is doubled and resolved non-simultaneously). These voices challenge the integrity of the main voice and argue with its position. They represent Dostoyevsky's the Double, the realm of Alyosha and Ivan from *Brothers Karamazov*, or inner world of Raskol'nikov.

## References

- Bakhtin**, Mikhail 2002. *Problemy poetiki Dostoyevskogo* [Problems of Dostoyevsky's Poetics]. Collection of Works, Vol. 6, Moscow: Russian Dictionaries and Languages of Slavic Cultures. [Бахтин, Михаил 2002. Проблемы поэтики Достоевского. Работы, т. 6, Москва: Русские словари / Языки славянских культур.]
- Bershadskaya**, Tatiana 1985. *Leksii po garmonii* [Lectures in Harmony]. 2nd ed., Leningrad: Kompozitor. [Бершадская, Татьяна 1985. Лекции по гармонии. 2-е изд., расшир. и доп., Ленинград: Композитор.]
- Bobrovsky**, Victor 1978. *Funktsional'nye Osnovy Muzykal'noi Formy* [Functional Foundations of Musical Form]. Moscow: Muzyka. [Бобровский, Виктор 1978. Функциональные основы музыкальной формы. Москва: Музыка.]
- Brazhnikov**, Maxim 1972. *Drevnerusskaia teoria muzyki* [Old-Russian music theory]. Leningrad: Muzyka. [Бражников, Максим 1972. Древнерусская теория музыки. Ленинград: Музыка.]
- Caplin**, William 1998. *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*. New York / Oxford: Oxford University Press.
- Deleuze**, Gilles, Félix Guattari 1986. *Kafka: Toward a Minor Literature*. Minneapolis/London: University of Minnesota Press.
- De Man**, Paul 1979. *Allegories of Reading: Figural Language in Rousseau, Nietzsche, Rilke, and Proust*. New Haven: Yale University Press.
- Eisenstein**, Sergei 1949. *Film Form. Essays in Film Theory*. New York: Harcourt, Brace & Co.
- Genette**, Gérard 1983. *Narrative Discourse: An Essay in Method*. Ithaca, NY: Cornell University Press.
- Gnilov**, Boris 2015. Sergei Rachmaninoff's personal stylized rhythmic formula. – *Philharmonica. International Music Journal* 1, pp. 34–40.
- Greimas**, Algirdas J. 1970. *Du sens: Essais sémiotiques*. 2ème éd., Paris: Éditions du Seuil.
- Hatten**, Robert S. 2004. *Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert*. Bloomington: Indiana University Press.
- Hepokoski**, James, Warren Darcy 2006. *Elements of Sonata Theory. Norms, Types and Deformations in Late 18th-Century Sonata*. New York: Oxford University Press.
- Khannanov**, Ildar 2003. *Russian Methodology of Musical Form and Analysis*. Ph.D. Dissertation, University of California, Santa Barbara.
- Kurth**, Ernst 1920. *Romantische Harmonik und ihre Krise in Wagners "Tristan"*. Berlin: Max Hesses Verlag.
- Propp**, Vladimir 1928. *Morfologiya skazki* [Morphology of a fairy tale]. Leningrad: Academia. [Пропп, Владимир 1928. Морфология сказки. Ленинград: Academia.]
- Shaginyan**, Marietta 1975. *Vospominaniya o Rachmaninove* [Recollections on Rachmaninoff]. – *Collection of Works in 9 Volumes*. Vol. 9, *Works about Music*, Moscow: Khudozhestvennaya Literatura, pp. 363–436. [Шагинян, Мариэтта 1975. Воспоминания о Рахманинове. – Собрание сочинений в 9 т., т. 9, Работы о музыке, Москва: Художественная литература, стр. 363–436.]
- Shklovsky**, Viktor Borisovich 1925. *O Teorii Prozy* [On Theory of Prose]. Moscow: Krug. [Шкловский, Виктор Борисович 1925. О теории прозы. Москва: Круг.]
- Tarasti**, Eero 1994. *A Theory of Musical Semiotics*. Bloomington, Indiana: Indiana University Press.
- Tsukkerman**, Viktor 1957. *"Kamarinskaya" Glinki i yeyo Traditsii v Russkoi Muzyke* [Glinka's Kamarinskaya and Its Traditions in Russian Music]. Moscow: State Publisher Muzyka. [Цуккерман, Виктор 1957. "Камаринская" Глинки и ее традиции в русской музыке. Москва: Гос. музыкальное изд-во.]
- Welesz**, Egon 1961. *A History of Byzantine Music and Hymnography*. Oxford: Clarendon Press.

## Vormifunktsioonid ja vormiline deformatsioon Sergei Rahmaninovi etüüd-piltides op. 39, nr. 5 ja 6

Ildar D. Khannanov  
(tõlkinud Kerri Kotta)

Kuigi Rahmaninovi muusika kuulub aega, mis on klassikalisest stiilist üsna kaugel, näivad vormifunktsiooni ja vormilise deformatsiooni mõisted kirjeldavat tema teoste mõningaid löike päris hästi. Eriti huvipakkuv on nende analüütiliste kategooriate rakendamine etüüd-piltidele op. 39. Mitmel põhjusel muutus Rahmaninovi stiil 20. sajandi teise aastakümne lõpus üsna keerukaks, mistõttu on nimetatud etüüdide analüüsimisel vajalik kasutada erinevaid lähenemisviise. Etüüd-piltide op. 39 teemade ülesehituses peegeldub rida heterogeenseid ideid, mille allikad varieeruvad vanavene kirikulaulust 20. sajandi moodsate tehnikateni. Sellest hoolimata põhineb Rahmaninovi meloodiate ülesehitus klassikalistel vormidel. On ilmselt üleliigne mainida, et neil poeetilistel lõuenditel avalduvad klassikalised vormid tugevalt deformeerituna, peegeldades 20. sajandi dramaatilisi sündmusi.

Vormifunktsiooni ja vormilise deformatsiooni mõisted on tänapäeval saanud keskseteks vormi analüüsimise kategooriateks. Vene teoreetilises traditsioonis on analoogilisi nähtusi uuritud samuti edukalt ning traditsiooni hetkeseis võimaldab sellel hästi haakuda Põhja-Ameerika vastava mõtteviisiga. Funktsionaalne vormiteooria on vene teoreetilises traditsioonis leidnud põhjalikku käsitlemist kogu 20. sajandi jooksul ning selle postulaatide rakendamine Sergei Rahmaninovi muusikale on igati sobiv. Siin artiklis lähtutakse eelkõige just selle teooria Põhja-Ameerika variandist, täpsemalt, William Caplini loodud teoreetilisest raamistikust. Warren Darcy ja James Hepokoski vormilise deformatsiooni idee peegeldub samuti paljudes vene vaadetes nii muusika kui ka kunsti kohta üldisemalt. Pealegi on üks selle uue ja mõjuka teooria nurgakive just vene mõtlemises laialt käsitletud „võõrdumise“ idee. Lisaks sellele on erinevate kompositsiooniliste valikute võimalikkuse möönmine mingi kindla ja ootuspärase vormiskeemi raames olemuselt dialoogiline, millel mõtteviisina on teiste allikate kõrval koht ka vene traditsioonis. Käesoleva artikli autor eeldab, et mainitud kahe lähenemisviisi rakendamine aitab kaasa Rahmaninovi muusika mõistmisele.

Mõlemad kõnealused meetodid on algselt mõeldud Viini klassikute muusika analüüsimiseks. Nagu öeldud, erineb Rahmaninovi stiil sellest üsna suurel määral, mille tõttu võib analüüsija siin Schönbergi-Ratzi-Caplini ja Darcy-Hepokoski terminoloogiat vältida. Samas ei ole Rahmaninovi kompositsioonitehnika klassikalisest tehnikast ka täiesti lahus. Helilooja näib klassikalise vormi postulaatidega mängides nende struktuuriliseid ja protsessuaalseid aspekte transformeerivat ja deformeerivat. Deformatsiooni esimene tasand avaldub siin vene ühehäälese ortodokse kirikulaulu (знаменное пение) mõju tulemusena. Selle modaalne üksus, rakuke, mille ulatus ei ületa puhast kvarti, mõjutab Rahmaninovi meloodiaulatust, kulminatsioonide ebatavalist sagedust ja lõppkokkuvõttes ka subdominandi kui harmoonilise funktsiooni valitsemist. Teine deformatsioonitasand väljendub Rahmaninovi muusikas hilisromantismile iseloomuliku poeetilise stiilina. Vaadeldaval ajal võimaldas pianistliku võimekuse ja harmoonilise kompetentsuse kõrge arengutase kasutada heliloojatel kompositsioonilisi vahendeid enneolematu kergusega. Tehnika lihtsalt lakkas olemast probleem; heliloojad hakkasid Kofi Agawu sõnul nägema muusikas pigem mängu selle semantiliste aspektidega. Semiootika, retoorika, metafoori ja kehalise liikumise mõju klassikalistele vormistruktuuridele on ilmne nii Rahmaninovi etüüdides kui ka tema teistes helitöödes. Paljudel juhtudel asendusi klassikalised vormistrateegiad, nagu näiteks repriisilisuse põhimõte (ABA printsiip), I-V lahtikomponeerimine, astmesuhted, motiiviline arendus ja teemasisene funktsionaalne loogika teatraalse dramaturgia, muinasjutule omaste vormide, kinematograafilise montaaži ja kirjanduslike võtetega kaasneva dialoogilise teadvusega, mille Mihhail Bahtin kontseptualiseeris Dostojevski teoseid analüüsid. Mainitud aspektidele osutamine võimaldab paremini mõista nii Rahmaninovi muusika sisemist tähendust kui ka arendada edasi Caplini, Darcy ja Hepokoski analüüsitehnikaid.

# The Role of Secondary Parameters in Musical Shaping: Examining Formal Boundaries in Mendelssohn's C minor Piano Trio from the Performer's Point of View

Cecilia Oinas

Formal boundaries, at least when they are marked with an unequivocal cadence and followed by new thematic material, are something that most performing musicians intuitively recognize while playing a work. Indeed, if a musical work does not have a particularly exceptional formal layout, the form is not usually problematized among performers *per se*. Rather, practical issues such as choosing the tempo, trying out the balance between players, finding the right characters, agogics, or intonation are more likely at the center of performers' attention during a typical rehearsal.

The situation becomes more complicated, however, when a formal boundary is somehow smoothed between two successive units, so that the motion from one unit to the next unfolds without a noticeable change in dynamics, texture, articulation, register or timbre, for example. These parameters have traditionally been called 'secondary' in the analytical literature in contrast to the 'primary': melody, harmony, rhythm. While most present-day theorists acknowledge the importance of their role in the musical drama, secondary parameters' role in shaping formal events have not been excessively studied.

This paper aspires to open up the discussion by exploring ways in which secondary parameters affect and shape formal boundaries in the opening sonata-form movement of Felix Mendelssohn's Piano Trio in C minor (Op. 66). I will present how my piano trio (myself at the piano) approached the boundaries during rehearsals that took place in the spring of 2013. The analytical discussion includes some general considerations on sonata form, phrase structure and meter, together with dramatic aspects as explained for example by Kofi Agawu and John Rink.<sup>1</sup> Throughout the study the analytical examination is reconsidered by the performers' insights; aspiring to incorporate the performer-based approach into a more theoretical context.

## Background

The analytical discussion of primary and secondary musical parameters are mostly emblemized by the assumption that while secondary parameters are non-hierarchic, they are, on the other hand, more easily perceivable. Indeed, Leonard B. Meyer argues that secondary parameters

seem able to shape experience with minimal dependence on learned rules and conventions. (Meyer 1989: 209)

Furthermore,

gradually rising pitches, increasingly loud dynamics, faster rates of motion, and the growth in the number of textural strands heighten excitement and intensity; while descending pitches, softer dynamics, slower rates of motion, and so on, lean towards relaxation, repose, and cessation. (ibid.)

For the present study, I would like to elaborate on a few issues in the above citation: firstly, while perceiving secondary parameters may need no theoretical experience, to control these parameters in performance requires a delicate ear and technical ability to adjust the finest nuances. Secondly, the heightening intensity Meyer describes often leads to various types of climaxes or high points in music. Occasional attempts have been made to incorporate this phenomenon – so familiar to every performing musician – into music analysis in the past few decades: for example, Kofi Agawu describes them as “the most decisive turning point in the piece” (Agawu 1984: 160). Moreover, Agawu remarks that high points are usually situated near the end of a formal unit rather than at the end, especially in works of the Romantic era<sup>2</sup> (Agawu 2009: 62).

Example 1 presents three hypothetical formal units with high points at various places.<sup>3</sup> The first two examples, 1a and 1b are more typically

<sup>1</sup> See Agawu 1984 and 2009, and Rink 1999 and 2002.

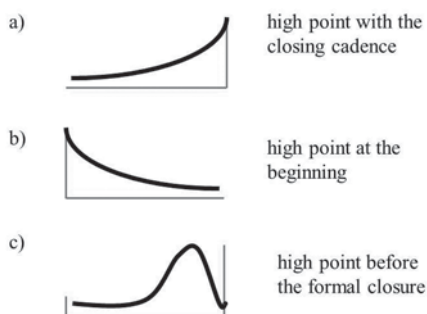
<sup>2</sup> John Rink likewise argues that the structure of nineteenth-century music is generally end-weighted, and often includes an “apotheosis-like conclusion” (Rink 1999: 113–114).

<sup>3</sup> High points are often graphically depicted by simply drawing a contour, called in the analytical literature as ‘dynamic curve’, ‘dramatic contour’, ‘intensity curve’ to name few.



### Example 1.

The position of high point in a formal unit



found in Classical works where the dramatically culminating moments are either at the beginning or at the end, thus articulating the boundaries.<sup>4</sup> In the third example (1c) however, the dramatic and formal goals are dispersed. When this happens, it may affect the working out of the actual formal ending so that the boundary becomes less observable – often with the help of secondary parameters. Thus, whenever a formal boundary is obscured, it may be valuable to take a closer look at the dramatic unfolding of the whole unit as well.

### The subtle boundary play between the first two phrases of the C minor Trio

The first movement of Mendelssohn's C minor Trio begins with two large phrases that both end with a perfect authentic cadence in the home key: the first phrase (mm. 1–22) introduces a forward-going, *quasi* Bach-style primary theme, while the second phrase (mm. 23–42) begins with a beautifully arched lyrical melody first introduced by the violin (Ex. 2 provides the score of these two phrases

with analytical considerations). For the sake of clarity, I shall call these two phrases P<sup>1</sup> and P<sup>2</sup> in the following text.

How did our trio initially approach these opening phrases, and what issues caught our attention in the musical score? Here are some remarks.<sup>5</sup>

First, both the violinist and cellist commented that there are lots of repetitions (for example, the sequence between mm. 15–19 where strings and piano alternate between the eight-note stream, and mm. 29–36 which include no more and no less than four deceptive cadences, twice to G minor, then to E flat major and finally to C minor. The problem is, from the performers' point of view, how to maintain the intensity and yet not over-emphasize each repetition.

Second, quite soon we noticed that the dynamic instructions do not always begin (or end) simultaneously on the three instruments. For example, at the end of P<sup>1</sup> the piano has a *diminuendo* mark half a bar earlier than the strings.<sup>6</sup> Similarly, at the end of P<sup>2</sup> (mm. 38–42) the violin begins both the *diminuendo* and the *pianissimo* later than the other instruments. While most of the time this is probably explained by the fact that Mendelssohn wants to create flexible polyphonic motion between the melodic lines, there may also be other reasons, as I shall argue later on.

Third, all of us agreed that mm. 38–40 is a culminating moment and should be brought out in a different way than the material before. To use our cellist's words, these measures, with the single Neapolitan chord harmony is the "magic point" where everything stops for a moment before the closing cadence.

### Dynamic layer

As one notices, the rehearsal discussion is mostly concentrated on individual observations taken from the score and parts rather than any broader,

<sup>4</sup> To give some familiar examples, the dramatic contour of 1a is found in Mozart's C major Piano Sonata K 545 (I mvt, mm. 1–8). An example of 1b would be the opening phrase of Haydn's F sharp minor "Farewell" Symphony No. 45 (I mvt, mm. 1–16).

<sup>5</sup> The remarks are taken from the author's informal rehearsal diary on preparing Mendelssohn's C minor Trio for performance in 2013.

<sup>6</sup> That the markings do not coincide is, of course, not uncommon in chamber music works. Still, it created some initial communication problems with our trio during the first rehearsals when the string players who, seeing only their own part, noticed that not everyone played in the same dynamic. In this particular example, Mendelssohn originally wrote the *diminuendo* at the same place for all instruments, the second half of m. 20 in the initial handwritten manuscript (Mendelssohn 1845, Ms. 537). In the published versions, however, the dynamics do not correspond anymore but we do not know whether this is an engraver's error or that Mendelssohn actually decided to change the location of the *diminuendo* marks.



**Example 2.** First movement of the C minor Trio, first two phrases.

**Piano Trio Op. 66**  
I Allegro energico e con fuoco

Felix Mendelssohn

Allegro energico e con fuoco  $\text{♩} = 92$

Violino

Violoncello

hypermetre: 1 2 3 4,  
(compound 1 2 3 4, 1 2 3 4, )  
syncopated:

1 2 3 4, 1

2 3 4, 1 2

Example 2. Cont.

The image displays a musical score for Mendelssohn's C minor Piano Trio, specifically measures 15 through 24. The score is written for three staves: Violin I, Violin II, and Piano. The key signature is C minor (three flats). The time signature is 3/4. The score includes various musical notations such as dynamics (f, sf, p, dim.), articulation (accents), and phrasing slurs. A harmonic analysis is provided below the piano part, indicating a V<sup>7</sup> chord resolving to the I chord (PAC) at measure 23. The score is divided into three systems: measures 15-19, 20-23, and 24. The first system shows the beginning of a phrase with a forte (f) dynamic. The second system shows a decrescendo (dim.) leading to a piano (p) dynamic. The third system shows the continuation of the phrase, ending with a piano (p) dynamic.

15

15

20

23

24

$V^7 \longrightarrow I$   
(PAC)

## Example 2. Cont.

27

*cresc.*

27

*cresc.*

30

*sf* *f* *dim.*

*sf* *f* *dim.*

30

*sf* *f* *dim.*

33

*sf* *dim.*

*sf* *dim.*

33

*sf* *dim.*

V  $\begin{matrix} 8 & 7 \\ 6 & 5 \\ 5_b & 4 \end{matrix}$  3

Example 2. Cont.

36

dim. cresc.

36

dim. cresc.

36

dim. cresc.

39

dim. pp

39

dim. p pp

Tr - zone →

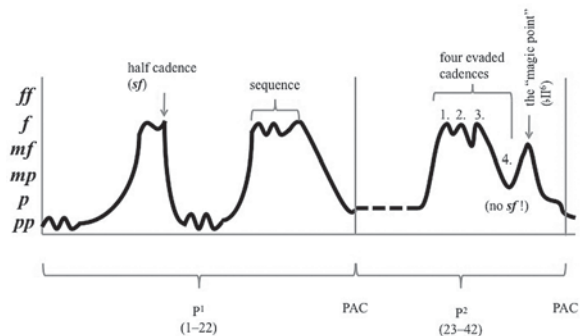
VI

V  $\begin{matrix} 8 & 7 \\ 6 & 5 \\ 4 & 3 \end{matrix}$

I (PAC)

Example 3. First movement of the C minor Trio.

The dynamic layer of P-zone



overarching issues such as formal outline. Yet, I believe that the above insights may be incorporated into formal analysis as well. Example 3 presents the dynamic layer of P<sup>1</sup> and P<sup>2</sup>. It shows that both phrases begin and end with a relatively low dynamic, which enables an elegant, smooth motion from one phrase to the next. On the other hand, there are four dynamic peaks located in between the phrase boundaries, which serve as dramatic highpoints from a local perspective.

The first peak is the most straightforward, especially when viewed as a local event.<sup>7</sup> As such, it reminds us of the previously presented example 1a with a dramatically culminating moment at the end of the antecedent. The second peak at first seems to build the crescendo the same way as the previous one. This time, however, the *forte*-area lasts five measures instead of two and includes a sequence with *sforzatos* in every other measure. The third dynamic peak is the most turbulent with its numerous *sforzatos*, *forte* accents, *diminuendos* and *crescendos*. As such, they emphasize the harmonic uncertainty of this passage since at this point P<sup>2</sup> has the potential of becoming a transitional area that leads to the secondary key by destabilizing the initial tonic key and adding fragmentation. Instead, Mendelssohn presents two self-standing phrases in the home key, creating a *grandioso* atmosphere for the movement right from the beginning.

Finally, just before the final closure of the primary-theme zone, there is brief, yet a very balanced *crescendo-diminuendo* peak. This is the “magic point,” discussed earlier by our cellist. Notice, however, that the last peak does not attain a *forte* dynamic since there is only a brief *crescendo* followed by a *diminuendo*.

### Meter

The above example explains the broad dynamic layout of the first two phrases and their relation to the formal issues, which gives a fairly good overview on the dramatic events of the primary-key area.<sup>8</sup> Another noteworthy issue raised by the

performers was the question of dynamic markings that differed among the instruments, especially at the phrase boundaries. This detail becomes even more influential when we take a closer look at the metrical structure of the two opening phrases, especially at their boundaries (see again Ex. 2).

While the antecedent of P<sup>1</sup> (mm. 1–8) has a fairly unproblematic hypermeter in four, the second half is already more complicated and includes a metrical reinterpretation (3=1) in measure 15 where the sequence begins. More importantly, when the concluding tonic of the first phrase is reached in measure 22, it may, at first, be interpreted as a metrically weak bar where the piano’s new sixteenth-note figuration is a lead-in to the following, metrically strong measure. However, if we look at measures 20–22, the piano and string parts emphasize the music in a slightly different manner. For example, at the beginning of measure 20, the piano has a diminuendo mark together with a change of melodic direction and a constant stream of eight notes, while the strings begin the diminuendo half a bar later and continue the melody a measure earlier (m. 19). This may seem a small detail, yet I believe it affects the internal shaping in such a way that the piano part already shifts its meter from odd to even measures at the beginning of measure 20 – thus creating a phrase overlap – while the strings do not.

Interestingly, metrical issues were also among the genuinely analytically oriented discussions our trio had over the primary-theme zone. For example, to maintain the musical flow we decided not to emphasize the piano’s eight-note rest in measure 22, which would create a too obvious gap between the two phrases. Instead, we agreed that the pianist should rush slightly towards the syncopated note (the second beat of measure 22), thus emphasizing a metrical downbeat in measure 22 while the violin and the cello maintain the odd-accented metrical structure and lean on to measure 23.<sup>9</sup>

In his article “Strange dimensions: regularity and irregularity in deep levels of rhythmic reduc-

<sup>7</sup> Thus the lower-level subphrases of P<sup>1</sup> (the antecedent in mm. 1–8 and the considerably elaborated consequent in mm. 9–22) are not smoothed, while the boundary between P<sup>1</sup> and P<sup>2</sup> is.

<sup>8</sup> As Rink notes, “the [dynamic] graph provides an excellent overview of the dynamic terrain as well as the opportunity to sense it as it passes by” (Rink 2002: 48).

<sup>9</sup> Eventually, the even-accented meter suggested by the piano at the beginning “wins” only at the final phase (mm. 36–41) of P<sup>2</sup> and continues the even-accented structure almost throughout the entire transitional zone.



tion" Frank Samarotto presents a term, "shadow" meter, where one hears another meter that is not together with the main meter (Samarotto 1999: 235). The shadow meter can prevail until the phrase (or some other) unit dissolves, usually in the final measures (ibid.). Seen in this light, the boundary of P<sup>1</sup> and P<sup>2</sup> might be such an instance.<sup>10</sup> Therefore, I propose that the piano and strings carry a metrically different structure at the boundary between mm. 20–23, which is one of the many beautiful examples how Mendelssohn elegantly smoothes phrase boundaries in his music.

Even in cases with no extreme boundary blurring, such as the above example, a more detailed investigation may endorse how secondary parameters succeed – this time especially the dynamics and the slightly ambiguous meter – in causing delicate tension against the otherwise articulated boundary. However, the c minor Trio also has a more extreme case where the secondary parameters' essential role comes into formal play.

### An unusual dramatic contour? The new contrasting theme as a global high point of the exposition

In measure 42, a new phrase begins with the primary theme material.<sup>11</sup> Soon it becomes clear that the transitional phrase towards the secondary key area (mediant) is on its way with transitional signs such as the growing increase in tension, fragmentation in harmony and rhythm and, finally, a dominant pedal (dominant lock) from measure 56 onwards. Indeed, in measures 61–62 the fragmentation leads to three so-called "hammer-blows," which is a particularly classical gesture in a work written in the middle of the nineteenth century.<sup>12</sup>

Surprisingly, the increasingly energetic motion over the dominant pedal, together with *forte* dynamics and sixteenth note accompaniment does not, however, end nor culminate in a powerful half cadence (of III) but *continues beyond it* dynamically, rhythmically and even texturally. More

importantly, in the midst of the turmoil, a new victorious theme introduces itself in E flat major, although it begins *in medias res* with the intermediate supertonic harmony.

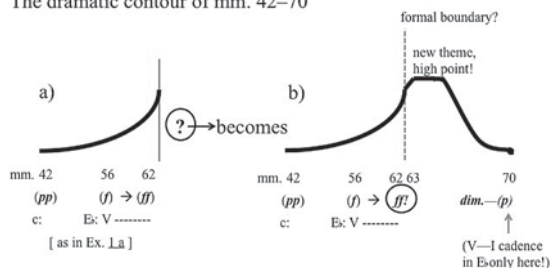
From a dramatic point of view, measure 63 is indeed "the turning point" of the exposition. It begins as a prolonged high point area – lasting eight measures – where Mendelssohn uses the *fortissimo* dynamic together with the instruction *marcato e con forza* for the first time. But what is the status of this theme – is it the contrasting secondary theme, which opens a new formal unit, or does it still belong to the transitional area? Rather than further problematizing the passage from the analytical point of view, I shall first present how our trio approached and shaped measures 42–70 during the rehearsals and then proceed to draw some analytical conclusions.

Firstly, the balance during the dominant pedal in mm. 56–60 was considered problematic: the cellist complained that the piano sounded "too loud," especially since the cello has important material to play. Our solution was that I used almost no pedal at all (or very light), and tried to maintain the dynamic in *f* (not yet *ff* which in any case only begins in m. 62).

Secondly, since the new theme is dramatically such a heavy event, we felt an urge to play the beginning measures a little slower compared to the regular tempo (the violin took a little more time towards the high a flat, like the way a singer pre-

### Example 4. First movement of the C minor Trio.

The dramatic contour of mm. 42–70



<sup>10</sup> Moreover, the even-accented meter suggested by the piano at the beginning "wins" only at the final phase (mm. 36–41) of P<sup>2</sup> and continues the even-accented structure almost the entire transitional zone.

<sup>11</sup> The score is easily found from the internet, such as the IMSLP score library ([imslp.org](http://imslp.org)).

<sup>12</sup> See for example James Hepokoski and Warren Darcy's discussion on the dominant-chord 'hammer-blows', which typically emphasize the arrival of the "medial caesura" that ends the transitional area in a Classical sonata-form movement (Hepokoski, Darcy 2006: 34).



**Example 5.** First movement of the C minor Trio, mm. 56–64.

pares for a high note). This is naturally something that should not be exaggerated; yet if one plays this moment in a strict metronome tempo, our trio agreed that Mendelssohn's gradual preparation would perhaps not reach its fullest height. (However, at the beginning of m. 70 the string players were insistent that we must restore the initial tempo; they noted that the following piano solo tended to slow down too much.)

As is obvious from the above rehearsal marks, these measures were far from being considered easy and unproblematic, although the question of "secondary theme or not" was not directly disputed. The remarks point out, however, that the dynamic and dramatic issues needed more active shaping than the opening phrases.

Example 1a presented at the beginning of this paper illustrates fairly well the dramatic contour of mm. 42–62. However, since there is more to come and that the new theme must be played with an even more increased dynamic, the cellist's caution on not playing too loud at the beginning of the dominant pedal is justifiable. Thus the dramatic contour of mm. 42–70 is instead something like Ex. 4.

Indeed, these measures are a wonderful example in how formal ambiguity is created with secondary parameters, which refuses to change

when the new theme enters.<sup>13</sup> In addition, despite the broad motion from the beginning of the transitional zone until the imperfect authentic cadence in E flat major in measure 70, Mendelssohn delicately articulates measure 63, now from a registral point of view (Ex. 5).

At the beginning of the dominant pedal, the cello plays the eight-note motive in the lowest register, whereas the piano's left hand is positioned one octave higher. Now, during the hammer-blows in mm. 61–62 the piano's left hand and the cello are in the same register for a brief moment. Finally, when the new theme enters the cello plays in an unusually high register, whereas the piano plays low bass notes in octaves. Thus the piano's register descends from a fairly high register back to "normal," whereas the cello's register moves from normal cello register to unusually high.<sup>14</sup>

As a result, if we accept that measure 63 is the beginning of a new unit, introducing the secondary theme (no matter that it will be re-evaluated later on because of the turn to G minor and the E flat major's inability to produce a successful cadential closure<sup>15</sup> we have the opposite case of smoothing the boundary: one that moves from one unit to the next *during the dramatic high point*, calming down later on.<sup>16</sup>

<sup>13</sup> From a harmonic perspective, Mendelssohn also smoothes this boundary by evading the dominant chord (V of III) to a dominant four-two chord in m. 62.

<sup>14</sup> The violin is, not surprisingly, registrally the most flexible instrument by first staying in the piano's right hand register, then moving even higher during mm. 59–61, suddenly dropping two octaves lower in the middle of m. 61 until returning to high register.

<sup>15</sup> In Hepokoski and Darcy's *Sonata Theory*, this is called as "an essential expositional closure," i.e. the EEC (see for example Hepokoski, Darcy 2006: 24–25).

<sup>16</sup> Indeed, the subsequent events are equally problematic, since the E flat major key does not succeed in creating a perfect authentic cadence and closing the exposition in major, since during mm. 91–94 the expected dominant chord in E flat major does not occur and the music turns to G minor instead. However, it only reintroduces the primary theme in varied form, which means that m. 63 begins the only contrasting non-tonic theme for the whole movement, which is why I do not see any other option than to call it the "secondary theme."

## Concluding remarks

This paper aspires to show that capturing the ways performers discuss a piece can bring fresh and new ideas towards the analysis and performance studies that have, until recently, been dominated by the analysis-to-performance discussion.<sup>17</sup> Moreover, the motion from one formal unit to the next – even in unambiguous cases – is often an event that gets attention among performers when they are rehearsing a work together. To quote Susan Tomes, pianist of the celebrated Florestan Trio:

I'm reminded of yesterday [...] what it was that identified a composer as himself when you hear the music. [...] [V]ery often it's the manner of transition that identifies a composer. Not even one idea, or another, but the way

of arriving at an idea, or leaving one. Transitions have always fascinated me and I believe they fascinate all of us in Domus. Certainly we find ourselves discussing them in a rehearsal a great deal. (Tomes 2004: 35)

Indeed, the way in how Mendelssohn smoothly leads the previous unit to the following one seems to be an important hallmark of his compositional style. To conclude, written in the middle of the 19th century, it is no wonder that Mendelssohn's C minor trio has come far from the classical sonata form practice with its many daring, unexpected deviations. Yet the 'romantization' of the work does not only come from formal anomalies. Rather, it is in the textural, metrical, dynamic and dramatic layers that we find Mendelssohn's most original solutions in this work.

## References

- Agawu**, Kofi V. 1984. Structural 'Highpoints' in Schumann's 'Dichterliebe'. – *Music Analysis* 3/2, pp. 159–180.
- Agawu**, Kofi 2009. *Music as Discourse: Semiotic Adventures in Romantic Music*. Oxford Studies in Music Theory, Oxford: Oxford University Press.
- Hepokoski**, James, Warren Darcy 2006. *Elements of Sonata Theory. Norms, Types, and Deformations in the Late Eighteenth-Century Sonata*. New York [et al.]: Oxford University Press.
- Lester**, Joel 1995. Performance and analysis: interaction and interpretation. – *The Practice of Performance: Studies in Musical Interpretation*. Ed. John Rink, Cambridge: Cambridge University Press, pp. 197–216.
- Mendelssohn**, Felix 1845. *Second Grand Trio*. MS, Musik-Lesesaal, Staatsbibliothek zu Berlin, Germany, D-B, N. Mus. Ms. 537.
- Meyer**, Leonard B. 1989. *Style and Music: Theory, History, and Ideology*. Philadelphia: University of Pennsylvania Press.
- Rink**, John 1999. 'Structural momentum' and closure in Chopin's Nocturne Op. 9, No. 2. – *Schenker Studies* 2. Eds. Carl Schachter and Hedi Siegel, Cambridge: Cambridge University Press, pp. 109–126.
- Rink**, John 2002. Analysis and (or?) performance. – *Musical performance. A Guide to Understanding*. Ed. John Rink, Cambridge: Cambridge University Press, pp. 35–58.
- Samarotto**, Frank 1999. Strange dimensions: regularity and irregularity in deep levels of rhythmic reduction. – *Schenker Studies* 2. Eds. Carl Schachter and Hedi Siegel, Cambridge: Cambridge University Press, pp. 222–238.
- Tomes**, Susan 2004. *Beyond the Notes: Journeys with Chamber Music*. Woodbridge: The Boydell Press.
- Informal rehearsal discussion** documented in the author's rehearsal diary during 9.01.2013–4.05.2013 (co-members: Elisa Rusi-Matero, violin, and Csilla Szilvay, cello).

<sup>17</sup> The reason for this partly comes from the tradition of analytical writing, where the potential influence of performance has usually remained tacit. For further discussion on performance having an impact on analysis, see for example Joel Lester (Lester 1995).

## Sekundaarsete parameetrite roll muusika kujundamisel: Mendelssohni klaveritrio c-moll vormiliste liigenduskohtade esitajaperspektiivist teostatud vaatlus

Cecilia Oinas

(tõlkinud Kerri Kotta)

Vormilised liigenduskohad, eriti kui need on markeeritud ühemõtteliste kadentsidega, millele järgneb uus temaatiline materjal, on midagi, mida enamik interpreete tajub teost esitades intuiitiivselt. Kui teose ülesehitus pole just väga erandlik, pole vorm kui selline interpreedile üldjuhul eraldi väljatoomist nõudev probleem. Teose ettevalmistamisega kaasnevad praktilised küsimused, nagu näiteks tempovalik, kõlaline tasakaal, õige karakteri leidmine, agoogika või intonatsioon, hõlmavad interpreedi tähelepanust ilmselt hoopis suurema osa.

Situatsioon muutub keerukamaks, kui vormiline liigenduskoht kahe teineteisele järgneva üksuse vahel ähmastub nii, et liikumine ühelt üksuselt järgmisele toimub näiteks ilma märgatavate muutusteta dünaamikas, faktuuris, artikulatsioonis, materjali registrilises paigutuses või tämbris. Kõnealuseid parameetreid on analüütilises kirjanduses nimetatud traditsiooniliselt ka sekundaarseks neid esmastele ehk primaarsetele – meloodiale, harmooniale ja rütmile – vastandades. Kuigi enamik tänapäeva teoreetikuid tunnistab sekundaarsete parameetrite olulisust muusikalise draama ülesehituses, pole nende vormiloovat rolli eriti analüüsitud.

Käesolevas artiklis püütakse selleteemalist mõttevahetust avada, uurides erinevaid võimalusi, kuidas sekundaarsed parameetrid mõjutavad ja kujundavad Felix Mendelssohni klaveritrio c-moll *op.* 66 sona-divormis I osa vormilisi liigenduskohti. Ma näitan, kuidas ansambel, milles ma esitasin klaveripartiid, jõudis vormiliste liigenduskohtade teadvustamiseni proovide käigus, mis toimusid 2013. aasta kevadel. Töö analüütilises osas puudutatakse sona-divormi, muusikalise lauserütmi ja meetrumi ning dramaatiliste aspektidega seonduvat temaatikat viisil, nagu seda on käsitlenud näiteks Kofi Agawu (1984, 2009) ja John Rink (1999, 2002). Siinses uurimuses testitakse kõiki analüüsi tulemusi omakorda lähtuvalt interpreedi intuitsioonist, et asetada interpreedikeskne lähenemine piiritletud teoreetilisse taustsüsteemi.

Esimeses näites uuritakse teose kahte esimest muusikalist fraasi ning tuuakse välja võtted – mis on antud juhul seotud eelkõige dünaamika ja kergelt ambivalentse meetrumiga –, mille kaudu muidu võrdlemisi traditsiooniline vormiline liigenduskoht pingestatakse. Teises näites tutvustab töö autor äärmuslikumat juhtu, kus sekundaarsed parameetrid võtavad üle vormilise struktuuri artikuleerimise. See juhtub sidepartii üleminekul kõrvalpartiiks, kus Mendelssohn loob vormilise ambivalentsuse just sekundaarsete parameetrite kasutades – viimastes ei kaasne uue teema sissetulekuga oodatud muutust. Uue teema saabumine on ühtlasi kogu ekspositsiooni üks kõige olulisemaid kulminatsioonihetki.

Käesolevas uurimuses püütakse näidata, et viis, kuidas interpreedid teost enda jaoks tõlgendavad, võib anda värskeid ideid nii muusika analüüsile kui ka esitusuuringutele, milles on kuni viimase ajani domineerinud analüüsijalt esitajale suunatud lähenemine. Ühtlasi väidetakse, et see, kuidas Mendelssohn sulatab kokku kaks vormiüksust, näib olevat tema heliloojastiili üks iseärasusi. Et Mendelssohn kirjutas trio c-moll aastal 1845, siis pole ilmselt midagi imestamisväärset selles, et see sisaldab palju ootamatuid lahknevusi klassikalise sona-divormiga võrreldes. Siiski ei usu selle artikli autor, et teose vormilistes „anomaaliates“ oleks süüdi vaid ajastu „romantiseeriv“ mõju. Pigem seisneb mõju teose faktuurilistes, meetrilistes, dünaamilistes ja dramaturgilistes kihistustes, milles Mendelssohni kompositsioonilised ideed avalduvad kõige originaalsemalt.

# Marpurg's Galant Cadence in Mozart: Theoretical Perspectives, Formal Implications and Voice Leading<sup>1</sup>

David Lodewyckx

## Introduction

When the English composer and organist Thomas Attwood (1765–1838) arrived in Vienna in August 1785, he had already received two years of musical education in Naples with Felipe Cinque (n.d.) and the opera composer Gaetano Latilla (1711–1788) (Sainsbury 1824: 40–41). During his first lessons with Wolfgang Amadeus Mozart, however, Attwood apparently had some serious difficulties, even though Mozart started with what could be considered the very basics of compositional training.<sup>2</sup> One of the major stumbling blocks for Attwood was a particular kind of cadential voice-leading pattern in the top voice, namely  $\hat{1}\text{--}\hat{2}\text{--}\hat{1}$  above V-I in the bass. Not only was Mozart fond of this cadential scheme in his compositional output, but he seems to have favored it in his exercises for free composition as well. In one of the first minuets that Mozart assigned to Attwood, these are the endings of the two parts (see Ex. 1).

More than with other cadential schemata, Attwood struggled with the voice leading of the inner parts.<sup>3</sup> The young composer cannot be blamed for this, because he seems not to have encountered this cadence during his musical training in Naples. In fact, to the best of my knowledge, Latilla did not use it in his vocal works, nor in his ped-

agogical exercises.<sup>4</sup> This is rather surprising, since most of his contemporaries in Naples (e.g., Hasse, Leo) indeed integrated this cadential scheme into their compositions as well as their solfeggi.<sup>5</sup> This led the Berlin-based composer and theorist Wilhelm Friedrich Marpurg (1718–1795) to categorize it as a specifically galant cadence that composers began to use in ca. 1730 (Marpurg 1763: 7). Because Marpurg seems to have been the first theorist to explicitly devote attention to this cadential scheme, I refer to it as 'Marpurg's galant cadence'. Later, it developed into one of the hallmarks of the classical style, as Attwood's studies with Mozart indicate. It is therefore unsurprising that David Beach calls this cadential pattern a "typical Mozartian cadence" (Beach 1990: 90).

In this article, I will discuss three aspects of Marpurg's galant cadence. First, I focus on Marpurg's particular theoretical explanation of this cadential scheme within its music-historical context. Subsequently, I turn to its distinctive formal implications in the galant and classical repertoires, with an analysis of Mozart's complete repertoire for string quartet as a case study. Finally, I return to Attwood's difficulties with regard to voice leading in the middle voices by discussing Mozart's handling of Marpurg's galant cadence.

<sup>1</sup> Portions of this article have been presented at the Seventh International Conference on Music Theory in Tallinn, Estonia (January 9, 2014) and at the Studentage Improvisation at the Schola Cantorum in Basel, Switzerland (March 17, 2014). The titles of these papers were (respectively) "Marpurg's Galant Cadence: Theoretical and Formal Perspectives on a Specific Cadential Scheme" and "'... eine besondere Art von ganzer Cadenz ...' – ein galantes Schema und seine spezifische Beschreibung bei Marpurg." – I would like to thank Felix Diergarten, Pieter Bergé, and Gesine Schröder for their critical comments and inspiring discussions during the preparation of this article.

<sup>2</sup> Unfortunately, we scarcely know anything about Attwood's musical training in Naples. Both Cecil Oldman and Daniel Hertz express surprise about the complete mismatch between Attwood's Neapolitan training and his insufficient output during his first lessons with Mozart (Oldman 1925: 231; Hertz 1973: 176). – Robert Gjerdingen, in contrast, emphasizes the positive influence of Attwood's education in Naples on his lessons with Mozart (Gjerdingen 2007: 131).

<sup>3</sup> See Mozart 1965. This cadential schema can be found on the following pages, with page numbers of Mozart's corrections in parentheses: 168 (168), 170 (174), 172 (172), 173 (173), 185, 186 (186), 187, 192, 200 (200), 204 (224), 206, 215, 216, 220, 221, 223, 230, 233, 234, 243 (253), 244, 245, 249, 250 (254) and 251. I will discuss Attwood's voice-leading problems in the last section of this article.

<sup>4</sup> See, e.g., his opera *L'Amore Artigiano* (ca. 1760), in which this cadential scheme is nowhere to be found. Similarly, in one of Latilla's few surviving solfeggi, published in the *Solfèges d'Italie*, the scheme is not employed at all (see *Solfèges* ca. 1790: 217). – Because few realizations of partimenti have survived, solfeggi are the ideal means to study the relationship between voice leading in the upper voice(s) and the bass in the pedagogically oriented repertoire. In Gjerdingen's words, this concerns a "musical pas de deux of solfeggio melody and partimento bass" (Gjerdingen 2007: 115).

<sup>5</sup> For examples from works by Johann Adolph Hasse and Carl Heinrich Graun, see below. For examples from the solfeggio repertoire, see, e.g., the *Solfèges d'Italie*. These solfeggi, written by Hasse, Francesco Durante, Leonardo Leo, and Davide Perez, among others, display Marpurg's galant cadence quite regularly. See *Solfèges* ca. 1790: 39, 55, 59, 61, 73, 85, etc.

**Example 1.** Ending of the first (bars 6–8) and second parts (bars 14–16) of Mozart’s minuet in F.

**Example 2.** Marpurg’s cadential voice-leading patterns in the top voice.

**Example 3.** Marpurg’s galant cadence (Marpurg 1763: 9).

### Marpurg’s description in music-historical context

In his two volumes of *Kritische Briefe* (Marpurg 1760, 1763), Marpurg addresses a number of music-theoretical issues, including the harmonic systems of Rameau and Sorge, meter, temperament, fugue, recitative, etc.<sup>6</sup> One of these issues, cadence theory, is discussed extensively.<sup>7</sup> In the last section of his letter No. 65, Marpurg writes about the perfect cadence. For Marpurg, “[a] perfect cadence not only closes every piece as a whole, but closes its constituent parts as well. Its nature is four-voice, and with respect to its last two notes, [the perfect cadence] involves [...] the discant from the second below or above the tonic to the tonic itself [...]”.<sup>8</sup> The resulting voice-leading pat-

terns in the top voice are thus  $\hat{7}-\hat{8}$  or  $\hat{2}-\hat{1}$ , as clearly illustrated by a single-voice example (see Ex. 2).

In his next letter, referring to the second option (with  $\hat{2}-\hat{1}$  in the top voice), Marpurg presents a specific cadential schema that he exclusively links to the galant style:

In the last thirty-some years, the galant style has invented a special kind of perfect cadence, which, it’s true, agrees with the last of the two previous cadences with respect to the final two notes in the upper voice, but differs from it in this way: in the six-four chord that prepares the cadence, the fourth on the antepenult in the upper voice must precede, as [in Example 3].<sup>9</sup>

<sup>6</sup> Not all the articles were written by Marpurg himself; see Jerold 2012.

<sup>7</sup> See Marpurg 1763: Letters No. 65, pp. 6–8; No. 66, pp. 9–16; No. 67, pp. 17–22; No. 68, pp. 28–32; No. 69, pp. 33–40; and No. 70, pp. 41–46. Cadences in recitatives are discussed in Letters No. 109, pp. 349–356; No. 110, pp. 357–364; and No. 111, pp. 365–372.

<sup>8</sup> “Eine ganze Cadenz ist, womit nicht allein jedes Tonstück gänzlich geendigt werden muß, sondern auch zum Theil geendigt werden kann. Ihr Wesen vierstimmig und in Absicht auf die beyden letzten Noten betrachtet, besteht darinnen, [...] daß der Diskant entweder durch die Secunde unter oder über dem Schlußton, in diesen Schlußton geht [...]” (Marpurg 1763: 6–7). – Here and elsewhere, the translations from the original German into English are mine.

<sup>9</sup> “Der galante Styl hat indeßen seit dreyßig und etlichen Jahren, sich noch eine besondere Art von ganzer Cadenz erfunden, die zwar in Ansehung der beyden letzten Noten der Oberstimme, mit der letzten der beyden vorigen Cadenzen übereinkömmt; aber darinnen von ihr unterschieden ist, daß aus dem die Cadenz vorbereitenden Sextquartenaccorde, die Quarte in antepenultima in der Oberstimme vorhergehen muß, als [...]” (Marpurg 1763: 9).

The result is a  $\hat{1}\text{-}\hat{2}\text{-}\hat{1}$  voice-leading pattern in the top voice above V-I in the bass. However, the idiosyncrasy of this cadential schema concerns not only the melodic motion, but also the fixed juxtaposition of the cadential six-four chord with the first scale degree (which is a fourth against the bass) in the top voice. The merging of these two elementary ingredients in Marpurg's galant cadence is clear from both his words and the accompanying illustrations. This is the distinctive keystone of this specific cadential pattern.

From a conventional eighteenth-century music-theoretical point of view, this motion from  $\hat{1}$  to  $\hat{2}$  above a cadential 6/4 cannot be considered a common compositional device. The usual resolution of the fourth in a cadential 6/4 chord ( $\hat{1}$  or  $\hat{8}$ ) was to proceed downwards to the third in the next dominant chord ( $\hat{7}$ ).<sup>10</sup> In the cadential scheme at hand, however, the fourth in the cadential 6/4 does not resolve as would conventionally be expected. Instead, it moves up to the fifth, or  $\hat{2}$ . In the first of Marpurg's examples (Ex. 3, the 5-voice setting) this contrapuntally unusual progression ( $\hat{1}\text{-}\hat{2}$  above scale degree  $\hat{5}$  in the bass) is supported by  $\hat{8}\text{-}\hat{7}$  in the 'tenor' voice. This is a logical and even necessary consequence of the doubled c in the 6/4 chord: moving in the same direction would result in parallel octaves. The stepwise contrary mo-

tion from  $\hat{1}$  to both  $\hat{2}$  and  $\hat{7}$  thus seems to be a typical contrapuntal technique for fuller textures, in which doublings are frequent and unavoidable.<sup>11</sup> Although this procedure could be considered a valuable explanation for the  $\hat{1}\text{-}\hat{2}\text{-}\hat{1}$  pattern in the top voice above scale degree 5, it is by no means the only one. In Marpurg's second example (Ex. 3, the 4-voice setting), the c in the soprano part is not doubled. This single fourth, scale degree  $\hat{1}$ , could apparently ascend freely to scale degree  $\hat{2}$  as well.<sup>12</sup> Especially in the context of the second example, this specific cadential voice-leading pattern burdened Marpurg with certain serious theoretical problems – namely, how can one theoretically or contrapuntally clarify it?

In his critical edition of Georg Andreas Sorge's *Anleitung zum Generalbaß und zur Composition*, Marpurg extensively addresses this issue. First of all, he calls the fourth in a 6/4 chord an "imperfect dissonance."<sup>13</sup>

The six-four chord consists of the fourth, the sixth and the octave. It originates from the second inversion of the perfect or imperfect chord. The second inversion is when the fifth of the root triad is given to the bass. [...] The fourth in a six-four chord is an imperfect dissonance and requires a resolution.<sup>14</sup>

<sup>10</sup> This view is exemplified by two well-known theorists from Marpurg's Berlin circle (see Bach 1753: 66–67; Kirnberger 1771: 26–27, 50–51). – Obviously, this treatment of the cadential six-four was widespread in other eighteenth-century sources as well (e.g., Gasparini 1708: 29–35; Mattheson 1713: 128; Scheibe after 1728: 23). At least in this respect, these authors all follow the traditional contrapuntal rules, which stipulate that a fourth is a dissonant interval and must thus be prepared (by syncopation) as well as resolved (by a stepwise descent).

<sup>11</sup> In the first volume of his *Handbuch bey dem Generalbasse und der Composition* (2nd ed. 1762), Marpurg refers to precisely this situation: "In einem vielstimmigen galanten Satze kann die Quarte verdoppelt werden. Alsdenn geht das obere Ende der Quarte in einer Stimme einen Grad über sich, und in der andern einen Grad unter sich" (Marpurg 1762: 35). Translation: "In a galant piece for many voices, the fourth can be doubled. The upper part of the fourth then ascends by step in one voice, while the other voice descends by step." –

To be sure, this doubled fourth in a cadential 6/4 was common in thinner textures as well. Especially in early examples of this scheme (for instance, those from the 1730s), the  $\hat{1}\text{-}\hat{2}$  motion was regularly supported by a simultaneous  $\hat{8}\text{-}\hat{7}$ . This 'auxiliary' motion could appear in the same register – thus starting from a unison – or be assigned to one of the accompanying middle voices, or it could also be entrusted to the continuo player. Some examples from the repertoire include Hasse, *Cleofide* (1731), "Vedrai con tuo periglio" and "Vil trofeo d'un alma belle," and C. H. Graun, *Cesare e Cleopatra* (1742), "Tra le procelle assorto."

<sup>12</sup> Possibly the most audacious example is a two-voice setting in which only the basic skeleton survives:  $\hat{1}\text{-}\hat{2}\text{-}\hat{1}$  in the upper part above V-I in the bass. Fitting examples can be found in the Andante of C. P. E. Bach's Sonata Wq 55/2 (mm. 20–21 and 68–69) and in the Allegretto of Mozart's String quartet K. 499 (e.g., mm. 15–16 and 19–20).

<sup>13</sup> Throughout his theoretical output, Marpurg evaluated the fourth in various ways, but almost without exception he stressed its ambiguous dissonant/consonant character. In his *Handbuch*, he describes the fourth as a "pseudo-dissonance" (Marpurg 1757: 187). Elsewhere, Marpurg asks his readers to replace his previous term "pseudo-consonance" [sic] with "imperfect dissonance," a category to which he assigns the fourth (Sorge/Marpurg 1760: 104, 106).

<sup>14</sup> "Der Sextquartenaccord besteht aus der Quarte, Sexte und Octave, und entspringt aus der zweyten Versetzung eines Haupt- oder Nebenhauptaccords. Die zweyte Versetzung findet Statt, wenn die Quinte des Grundaccords zum Basse gesetzt wird. [...] Die Quarte im Sextquartenaccord ist eine unvollkommene Dissonanz, und hat eine Auflösung vonnöthen" (Sorge/Marpurg 1760: 126).



Somewhat later, Marpurg becomes much more specific, noting

that the fourth in a six-four chord is treated as a dissonance, but with this distinction: whereas the dissonances of the seventh, second, and so on, have their peculiar progression, [the fourth] has, although only in the galant style and with a sustained note in the bass, two ways to resolve: either descending or ascending.<sup>15</sup>

Marpurg had discussed this same issue earlier, in the second volume of his *Handbuch bey dem Generalbasse und der Composition*: “When [the fourth] stands against the bass in a six-four chord, [...] it must always resolve by a descending or ascending second.”<sup>16</sup> These particular descriptions are highly innovative in comparison to other eighteenth-century views on the 6/4 chord and the resolution of its fourth.<sup>17</sup> There are two crucial elements in Marpurg’s analysis that deserve our attention: first, he clearly interprets the ascending second as a real and undeniable resolution of the fourth in a cadential 6/4, and second, Marpurg connects this specific resolution to the galant style.<sup>18</sup>

### Formal implications of Marpurg’s galant cadence

In the introduction, I hinted at Mozart’s fondness for the cadential scheme in question. But

according to Marpurg, this cadence pattern had emerged much earlier, specifically in galant music from around 1730 (Marpurg 1763: 9). At that time, Italian opera was one of the most significant repertoires to eagerly adopt the galant style.<sup>19</sup> It is therefore appropriate to examine Italian operas from the Berlin circle to obtain a better idea of the formal implications of Marpurg’s galant cadence. Two composers may serve as representative examples: Johann Adolph Hasse (1699–1783) and Carl Heinrich Graun (1704–1759), both of whom were involved in musical life at the court of Frederick the Great for decades (Heartz 2003: 334, 360–363). Upon studying their opera arias, it quickly becomes clear that Marpurg’s galant cadence only occurs at formally and tonally decisive locations. Its structural weight is therefore much greater and much more explicit than that of other idiomatic cadential patterns.<sup>20</sup> One of the main reasons why this specific cadential voice-leading pattern is employed as such a structurally important device could be its undeniable link to the ‘cadenza’ practice. Both versions of this  $\hat{1}-\hat{2}-\hat{1}$  schema in the vocal part – i.e., either with a fermata, clearly intended to introduce an improvised cadenza, or without a fermata, and thus in measured time – were in widespread use and are sometimes even found in the same aria.<sup>21</sup> Most of Marpurg’s galant cadences are reserved for the aria’s solo voice, although at times the instrumental upper parts bring it to the fore as well. The formal scheme be-

<sup>15</sup> “[d]aß die Quarte im Sextquartenaccord als eine Dissonanz tractirt wird; doch mit dem Unterscheid, daß, da die Dissonanzen der Septime, Secunde, u.s.w. ihre gemessenste Fortschreitung haben, sie, obwohl nur in der galanten Schreibart, und auch bey liegenbleibendem Basse, zweyerley Wege zu ihrer Auflösung vor sich hat, einen unter, und den andern über sich” (Sorge/Marpurg 1760: 131).

<sup>16</sup> “Wenn sie [die Quarte, DL] in dem Sextquartenaccord gegen den Baß stehet, [...] muß sie allezeit entweder eine Stufe unter oder über sich gehen, um sich aufzulösen [...]” (Marpurg 1757: 79).

<sup>17</sup> To be sure, the looser treatment of dissonances in general was already an issue in earlier treatises dealing with the *seconda prattica* or the free style (e.g., Bernhard ca. 1650, Heinichen 1728). Marpurg’s innovation explicitly lies in his highly individual approach to the fourth in this specific chordal context.

<sup>18</sup> The common notion of not preparing dissonances in the galant style is much more accepted in eighteenth-century treatises. See, e.g., Bach 1762: 25–31, Kirnberger 1771: 80–90 and Türk 1791: 44–45.

<sup>19</sup> See, e.g., Marshall 1976: 329. As Marshall describes, “this [galant] style [...] began to become prominent in Italian opera in the 1720s and to prevail not only in Italy but throughout much of Europe in the 1730s and ‘40s [...]” – See also Heartz 2003: 18, 23, 999.

<sup>20</sup> Another cadential voice-leading pattern that seems to have comparable structural implications in this repertoire is  $\hat{5}-\hat{2}-\hat{1}$ , supported by a cadential 6/4 chord moving to the dominant (7th) chord. The top voice usually leaps from scale degree  $\hat{5}$  to  $\hat{2}$ . However, this scheme seems to not be as popular as Marpurg’s galant cadence. In the classical style, the  $\hat{5}-\hat{2}-\hat{1}$  pattern increasingly attained a signaling function in concerto movements and other pieces that rhetorically referred to the concerto-topos. See, e.g., Mirka 2005: 303–305.

<sup>21</sup> A historically grounded study to support this hypothesis goes beyond the scope of this article and will be discussed on a later occasion. However, one can point to a highly interesting passage in Bach’s *Versuch* in which he describes the possibility of utilizing a  $\hat{1}-\hat{2}-\hat{1}$  cadenza pattern (with a fermata) in measured time, thus resulting in Marpurg’s galant cadential scheme. See Bach 1762: 255–256, 260.

Figure 1. Formal positions of Marpurg's galant cadence in da capo arias.

Form	A					B
	<i>ritornello</i>	<i>solo</i>	<i>ritornello</i> <sup>22</sup>	<i>solo</i>	<i>ritornello</i>	<i>solo</i> :
Key	I	I ---> V	V	V ---> I	I	other
	1.	2.	(1.)	3.	(1.)	4.

low (see Fig. 1) shows the essential structure of a typical Italian baroque da capo aria, based on the operas of Hasse and Graun. The four formal positions where Marpurg's galant cadence appears (either with or without a fermata) are indicated, each of them confirming a previous modulation:

1. the last cadence at the end of the opening ritornello (stabilizing or re-confirming the home key),<sup>23</sup>
2. the last cadence for the solo voice at the end of its first section (confirming the dominant key),
3. the final cadence at the end of the last solo in the first part (returning to the home key),<sup>24</sup> and
4. the last solo cadence at the end of the second part (confirming another key).

In the next table (Fig. 2), I have listed da capo arias from randomly selected Hasse and Graun operas. To indicate the locations of Marpurg's galant cadences in the arias, I have marked the cadences' key in the corresponding column. This overview clarifies how this specific cadence is almost exclusively reserved for the abovementioned formal possibilities. Of course, this in no way means that the close relationship is reciprocal: other cadential voice-leading patterns can appear at these points as well. But unlike Marpurg's galant cadence, their link to structurally important spots is far more ambiguous.

Case study: Mozart's repertoire for string quartet

Let us now investigate how Mozart employs Marpurg's galant cadence. To examine his treatment, I have studied the composer's works for string quartet as a clearly defined corpus: the complete quartets and some early divertimenti (K. 136–138). In the table below, I demonstrate the exact correlation between Marpurg's galant cadence and formal structural positions in this repertoire.<sup>25</sup> Obviously, these locations differ considerably from those in baroque arias. This is a result of both the differences in overall formal plans and the distinct organizational principles in music in the classical style. The formal scheme of a baroque aria can be represented by cadential interpunction and the alternation between solos and instrumental passages as intertwining structural parameters. The architectural plans of classical string quartet and divertimento movements, however, are best described in terms of tonal spans in relation to thematically based formal units. Because of this undeniable link between structural positions, keys and cadences, I have consistently included key areas in the table. In addition, further methodological choices were necessary. First, I only considered cadences that end on a clear tonic. Deceiving or interrupting cadential strategies applied to the cadential scheme at hand thus are omitted.<sup>26</sup> Fur-

<sup>22</sup> The modulation back to the home key can also be accomplished in this instrumental section, after which the next solo starts in the home key again.

<sup>23</sup> When the opening of the aria is recapitulated, the first ritornello and its concluding cadence serve to reaffirm the home key, which is a completely different function than the tonally stabilizing role of the same unit as a pure initiation, hence the 'double function' of the opening section's cadence. See also below. – Because the ritornello is repeated after each of the subsequent solos, its concluding cadence is often literally repeated as well, either in the home key or in the dominant key; see (1) in the scheme. In both cases, however, this cadence largely loses its function as a confirmation of a previous modulation.

<sup>24</sup> The modulation from the secondary key area back to the home key does not always take place in this solo section. At times, the solo starts in the home key from the start. When this is the case, however, there are many more internal key changes than in conventional solo sections that modulate from dominant to tonic.

<sup>25</sup> Only divertimenti or string quartets that employ one or more of Marpurg's galant cadences are included in the overview.

**Figure 2.** Marpurg's galant cadence in a selection of da capo arias.

Composer	Opera	Aria	Key	1.	2.	3.	4.
Hasse	<i>Cleofide</i> (1731)	"Vedrai con tuo periglio"	D				G
		"Vil trofeo d'un alma imbellè"	G	G	D	G	
		"Perder l'amato bene"	f	f	A <sub>b</sub>	f	
Hasse	<i>Siroe re di Persia</i> (1733)	"Se tu mi vuoi felice"	G	G		G	C
		"Spesso tra vaghe rose"	B <sub>b</sub>		F	B <sub>b</sub>	
Graun	<i>Rodelinda</i> (1741)	"L'empio rigor del fato"	A		E	A	
		"Cadra l'iniquo essangue"	D		A	D	G
Graun	<i>Cesare e Cleopatra</i> (1742)	"Tra le procelle assorto"	E		B	E	B
Hasse	<i>Il Demofonte</i> (1748)	"Tu sai chi son"	F		C	F	
		"Non dura una sventura"	A			A	

thermore, I also excluded those cadences that are exact repetitions, either directly or at the same spot in corresponding formal segments (e.g., A and A' or exposition and recapitulation).

The structurally most important spots where Mozart utilizes Marpurg's galant cadences are as follows:

1. the end of the first theme of a sonata form or the first part (A) of a large ternary form (stabilizing or re-affirming the home key),
2. the first structural cadence at the end of the second theme of a sonata form or the middle part (B) of a large ternary form (confirming a secondary key),
3. the (rhetorically) strongest cadence in the coda (final confirmation of the home key), and
4. other formal positions, as specified in the footnotes.

This overview also indicates some noteworthy tendencies concerning Mozart's use of Marpurg's galant cadence. First of all, Mozart almost exclusively reserves it for decisive structural moments. In this respect, he continues and only slightly alters (see the category 'other') the way in which galant opera composers such as Hasse and Graun applied this cadential scheme. Second, Mozart

seems to increasingly favor Marpurg's galant cadence in his later quartets. Third, its use does not depend on the movement's general tempo or form.<sup>27</sup> Finally, Mozart seems to have no specific preference for any of the structurally important positions: Marpurg's galant cadence is fairly equally distributed among the formal options.

#### Middle-voice realization of Marpurg's galant cadence: Attwood and Mozart

In galant Italian opera arias, the realization of the  $\hat{1}-\hat{2}-\hat{1}$  scheme above a V-I in the bass causes no great difficulties. Although the top voice's specific voice-leading pattern is sometimes doubled by the first violin, both the other instrumental parts and the figured bass execute a conventional cadence realization based on the then-common clausulae, largely independent of the top voice's melodic line. In most cases, the two instrumental upper parts play  $\hat{3}-\hat{2}-\hat{1}$  and  $\hat{8}-\hat{7}-\hat{6}$ , similar to the usual cadence in a trio sonata, as brilliantly exemplified by Arcangelo Corelli. One of the middle voices regularly adds a  $\hat{5}-\hat{4}-\hat{3}$  pattern in order to include the dominant seventh. It is likely that the figured bass largely took over the realization of this cadence, potentially including a sustained 5

<sup>26</sup> See divertimento K. 138, ii (3); string quartets K. 158, iii (60–61); K. 387, i (7–8), (114–115); K. 464, i (257–258); K. 465, ii (83–84), (96–97); K. 575, i (54–55), (170–171); K. 589, ii (84–85), (86–87); K. 589, iii (27–28), (30–31), (34–35), iv (25–26), (124–125).

<sup>27</sup> This is a crucial difference in comparison to later repertoires. At the beginning of the nineteenth century, Marpurg's galant cadence was increasingly being used in slower, galant-inspired music. This unambiguous connection between the cadential scheme at hand and a certain mood or tempo is, amongst many other examples, beautifully exemplified in the Andante con moto from Schubert's Symphony No. 5.

**Figure 3.** Marpurg's galant cadence in Mozart's string quartets and divertimenti (K. 136–138).

SQ	Movement	Form	Key	Mm. <sup>28</sup>	1st theme or A	2nd theme or B	coda	other
					1.	2.	3.	4.
K. 136	iii – Presto	Sonata form	D	53–55		A <sup>29</sup>		
K. 156	ii – Adagio	Sonata form	e	18–19		G		
	Beilage – Adagio	Sonata form	E	9–10		G		
K. 158	i – Allegro	Sonata form	F	9–10	F			
				40–41		C		
				126–127			F	
	ii – Andante un poco Allegretto	Sonata form	a	43–44			a	
	iii – Tempo di Menuetto	Minuet form	F	20–21		C		
K. 171	i – Adagio – Allegro assai – Adagio	Sonata form	E <sub>b</sub>	150			E <sub>b</sub>	
K. 173	i – (Allegro moderato)	Sonata form <sup>30</sup>	d	21–22				a
K. 387	i – Allegro vivace	Sonata form	G	9–10	G			
	iii – Andante cantabile	Sonata form without dev.	C	7	C <sup>31</sup>			
K. 428	ii – Andante con moto	Sonata form	A <sub>b</sub>	30–31		E <sub>b</sub>		
K. 458	i – Allegro vivace assai	Sonata form	B <sub>b</sub>	76–77		F		
				272–273			B <sub>b</sub>	
	ii – Minuetto – Moderato	Minuet form	B <sub>b</sub>	57–58				B <sub>b</sub> <sup>32</sup>
K. 464	i – Allegro	Sonata form	A	15–16	A			
	ii – Minuetto	Minuet form	A	87–88				B <sup>33</sup>
	iii – Andante	Variations	D	7–8				A <sup>34</sup>
K. 465	ii – Andante cantabile	Sonata form	F	108–109			F	
	iv – Allegro	Sonata form	C	33–34	C			
				124–125		G		
				380–381			C	
K. 499	i – Allegretto	Sonata form	D	15–16	D			
	iv – Allegro	Sonata form	D	112–113		A		
K. 575	ii – Andante	Large ternary	A	18–19	A			
				40–41		E		
				64–65			A	
	iv – Allegretto	Sonata form	D	18–19	D			
				199–200			D	
K. 589	ii – Larghetto	Sonata form	E <sub>b</sub>	7–8	E <sub>b</sub> <sup>35</sup>			
				82–83			E <sub>b</sub>	

in the middle to obtain a full harmony in the final tonic chord. This cadence from the aria “Vedrai con tuo periglio” (first act of Hasse’s *Cleofide*, 1731) can serve as a typical example (see Ex. 4).

When Attwood studied free composition with Mozart, he was unable to rely on the continuo player to fill in the middle voices. He was thus forced to fully write them out for a standard four-voice string quartet texture. At this early stage in Attwood’s musical education, Mozart provided the two outer voices and the figures for the minuets he gave his pupil as exercises. He then asked Attwood to complete the middle voices and to compose the minuet’s second part. But apparently even the first requirement was a bridge too far for Attwood.<sup>36</sup> In addition to his more general shortcomings, this failure is especially evident in his realizations of Marpurgh’s galant cadence. In the first minuet Mozart assigned to Attwood (Mozart 1965: 169), the end of the first part exhibits such a cadence.

In both versions, Attwood fails to realize a satisfactory voice leading in the inner parts. Probably due to the initial parallel fifths (albeit in contrary motion) between the bass and viola in mm. 7–8 (Ex. 5a), he crossed out the viola’s d’ and replaced it with a g (Ex. 5b). It is clear that Attwood was aiming for a full sonority in the final tonic chord, but he was unable to reconcile this intention with a proper dominant chord: none of his attempts contains a leading tone (!), despite Mozart’s clear 7/3<sup>a</sup> figuring. As Hertz notes, “[Attwood] got into far more serious trouble when attempting to continue the minuet. This perhaps explains why Mozart

**Example 4.** Hasse, *Cleofide* (1731), “Vedrai con tuo periglio,” cadence at the end of the second part.

The musical score for Example 4 shows a cadence at the end of the second part. The score is for Vln. I, Vln. II, Vla., Alto, and B.C. (Bass Continuo). The key signature is one sharp (F#). The Alto part has lyrics: 'mà sa-ra tur - di al-lor'. The score shows a cadence with a G major chord (G-B-D) in the final measure.

neglected to emend the inner voices of the first strain (he may have done so, of course, by verbal suggestion)” (Hertz 1973: 179). Therefore, we do not know how Mozart would have corrected this awkward setting of Marpurgh’s galant cadence. Fortunately, Attwood provided a similar cadential ending to close his own second part of the minuet (Mozart 1965: 168). He organized his middle voices somewhat differently, this time with a full dominant triad and a tonic chord without a fifth. However, Mozart proposed yet another realization, inserting a quick subdominant by harmonizing the d’ in m. 15, doubling the bass note in the cadential 6/4 and introducing a dominant seventh

<sup>28</sup> Only the measure(s) with the specific  $\hat{1}-\hat{2}-\hat{1}$  voice-leading pattern and its typically accompanying cadential 6/4 and dominant chord are listed.

<sup>29</sup> This is the second strong cadence at the end of the second theme. Because the musical material leading to the first strong cadence is repeated (in a slightly varied version) directly afterwards, this Marpurgh’s galant cadence definitely closes the second theme. In Hepokoski and Darcy’s terms, this cadence would be an example of the so-called EEC.

<sup>30</sup> Hepokoski points to the “flamboyant deformation of expository norms” in this astonishing sonata form. See Hepokoski 31: 147.

<sup>31</sup> There are a few reasons why the concluding power of this cadential gesture is considerably weakened. First, it lacks a predominant preparation, as required by some contemporary theorists. Second, the  $\hat{1}-\hat{2}-\hat{1}$  voice-leading pattern has already been foreshadowed by  $\hat{5}-\hat{6}-\hat{5}$  and  $\hat{3}-\hat{4}-\hat{3}$  movements (above IV-I and 6/4-V-I, respectively). The decreasing dynamic markings further contribute to an echo-like effect. Third, this cadence occurs at the end of the first theme’s first part. Retrospectively, it functions on a lower level from a structural point of view. Because of its literal resemblance to Marpurgh’s galant cadence, however, I have decided to include it in the table.

<sup>32</sup> This Marpurgh’s galant cadence appears at the end of the Minuet’s Trio.

<sup>33</sup> This Marpurgh’s galant cadence appears in the middle of the B-section of the Minuet’s Trio.

<sup>34</sup> The theme of this variation form is a small binary. Mozart utilizes Marpurgh’s galant cadence at the end of both the first (mm. 7–8, dominant key A) and the second part (mm. 17–18, home key D). The same cadential scheme occurs in the second (mm. 43–44, 54–55) and third variations (mm. 63–64, 73–74), as well as in the coda (mm. 175–176).

<sup>35</sup> The 8-bar first theme, together with its concluding Marpurgh’s galant cadence, is repeated in mm. 9–18.

<sup>36</sup> See also Hertz 1973: 178.

**Examples 5a and 5b.** Attwood's first and second versions of the ending to the first part.

Examples 5a and 5b show musical notation for two versions of the ending to the first part. The notation is in 3/4 time, key of C major. Each example consists of a four-staff system (treble, alto, tenor, and bass clefs). Example 5a (left) shows a first version with specific fingerings and articulations. Example 5b (right) shows a second version with slight variations in the melodic lines. Both examples include figured bass notation below the bass staff.

**Examples 6a and 6b.** Attwood's and Mozart's versions of the ending to the second part.

Examples 6a and 6b show musical notation for two versions of the ending to the second part. The notation is in 3/4 time, key of F major. Each example consists of a four-staff system (treble, alto, tenor, and bass clefs). Example 6a (left) is Attwood's version, and Example 6b (right) is Mozart's version. Both examples include figured bass notation below the bass staff.

**Example 7.** Mozart's three voice-leading options for Marpurg's galant cadence.

Example 7 shows musical notation for three voice-leading options for Marpurg's galant cadence. The notation is in 3/4 time, key of C major. It consists of a four-staff system (treble, alto, tenor, and bass clefs). The notation shows three measures of the cadence with different voice-leading options for the voices.



in the final dominant chord (Ex. 6). As we will see in Ex. 7, this realization is definitely Mozart's most commonly employed option.

It is not surprising that Attwood struggled with this  $\hat{1}\text{-}\hat{2}\text{-}\hat{1}$  pattern in the top voice: by far the most common options in the top voice at the time were  $\hat{8}\text{-}\hat{7}\text{-}\hat{8}$  and  $\hat{3}\text{-}\hat{2}\text{-}\hat{1}$ . To a certain degree, the middle voices were standardized as well. Of course, there were many possibilities: they could be adapted rather freely, depending on the given context, but always with a harmonically full sound and contrapuntally smooth voice leading in mind. Marpurg himself stressed this unrestrained character of the middle voices in a cadence:

Because the middle voices not only exchange their own endings but often, with or without ornamentation, close in more ways than discussed here, even repeatedly borrowing from one of the two discant endings, it is better to designate all the kinds of endings that do not resemble either the bass's or the discant's close and that can progress in either way with the general term "middle endings."<sup>37</sup>

In his effort to find appropriate "middle voices" to accompany the  $\hat{1}\text{-}\hat{2}\text{-}\hat{1}$  pattern in the first violin, Attwood was obliged to search for possibilities other than the ones with which he was probably familiar.

Because Mozart frequently integrated Marpurg's galant cadence into both his compositional and his pedagogical output, we are able to identify his own standardized middle voices in this specific cadential context. An exhaustive study of both Mozart's string quartets and his corrections of Attwood's realizations reveals that he favors three voice-leading options. All together, these three possibilities account for approximately 85% (string quartets) and 90% (Attwood studies) of all untainted Marpurg's galant cadences (i.e., those ending on a clear tonic). Presented in score notation, the three options are as in Ex. 7.<sup>38</sup>

Mozart uses the first standardized voice-leading option for Marpurg's galant cadence most frequently, almost half of the time. The second and third options account for roughly one-fourth of instances each. Option 2 uses the same notes – and thus an exactly analogous harmonic foundation – and even the same middle endings ( $\hat{7}\text{-}\hat{8}$  and  $\hat{4}\text{-}\hat{3}$ ) as option 1. The only difference between them concerns the connection between these two middle endings and the previous notes, the antepenultimates, which in both cases can be  $\hat{5}$  or  $\hat{3}$ . In option 3, Mozart is evidently aiming for a denser texture, doubling the bass' sustained scale degree  $\hat{5}$  in one of the middle voices. In the final tonic chord, however, Mozart leaves out this sustained tone.<sup>39</sup> In comparison to the other two options, the final tonic chord without a fifth clearly represents a stylistic choice. In such cases, Mozart apparently does not want to disrupt the essential voice leading towards the expected (contrapuntal) goal with an overloaded final chord.

## Conclusion

In February 1787, Attwood left Vienna to return to England. The then-22-year-old musician was now well prepared for a long career in royal service, especially thanks to his lessons with Mozart. According to one of Attwood's friends at the time, Michael Kelly, Mozart even praised Attwood as one of his best pupils, despite the latter's catastrophic first lessons:

Attwood is a young man for whom I have a sincere affection and esteem; he conducts himself with great propriety, and I feel much great pleasure [sic] in telling you, that he partakes more of my style than any scholar I ever had; and I predict, that he will prove a sound musician. (Kelly 1826: 225)

One of the stylistically typical elements Attwood learned from Mozart was undoubtedly the galant cadence that was first described and

<sup>37</sup> "Da aber die Mittelstimmen nicht allein ihre Schlüsse zu verwechseln, sondern öfters, mit und ohne Auszierung, auf mehrere Arten, als die itzt besagten, zu schließen, ja sogar öfters eine von den beyden Diskantclauseln zu entlehnen pflegen: so ist es beßer, alle Arten von Schlußclauseln, die weder der baßirenden noch den diskantisirenden ähnlich sind, sie mögen sonst geschehen, aus was für eine Art sie wollen, mit dem allgemeinen Nahmen **Mittelclauseln** [Marpurg's emphasis, DL] zu bezeichnen" (Marpurg 1763: 7–8).

<sup>38</sup> The middle parts could be exchanged.

<sup>39</sup> In the applied format of harmonic reduction, this looks rather odd. In the actual score, however, the two-voice part is written out as alternating eighth notes that move at a faster pace than the cadence's harmonic rhythm. See, e.g., K. 458, ii (56–58); K. 464, i (14–16).

theoretically explained by Marpurg in his highly individual manner.<sup>40</sup>

The example of Marpurg's galant cadence demonstrates how important a historically informed approach to a compositional device can be for our understanding of early repertoires. We could undoubtedly benefit from additional historically grounded analytical tools to improve our grasp on the subtleties of musical styles. After all, the oversimplification of harmonic and voice-

leading progressions often goes hand-in-hand with insufficient awareness of critical details. The way in which galant Italian opera composers and Mozart reserved Marpurg's galant cadence for decisive structural moments clearly demonstrates how they consciously dealt with cadential schemata, and not only from a purely harmonic point of view. This concise study thus proves why it is so crucial to take specific phenomena like Marpurg's galant cadence into account.

## References

- Bach**, Carl Philipp Emanuel 1753. *Versuch über die wahre Art das Clavier zu spielen*. Bd. 1, Berlin: Christian Friedrich Henning.
- Bach**, Carl Philipp Emanuel 1762. *Versuch über die wahre Art das Clavier zu spielen*. Bd. 2, Berlin: George Ludewig Winter.
- Beach**, David 1990. The Cadential Six-Four as Support for Scale-Degree Three of the Fundamental Line. – *Journal of Music Theory* 34/1, pp. 81–99.
- Bernhard**, Christoph ca. 1650 [1926]. *Die Kompositionslehre Heinrich Schützens in der Fassung seines Schülers Christoph Bernhard*. Hrsg. Joseph Müller-Blattau, Leipzig: Breitkopf & Härtel.
- Gasparini**, Francesco 1708 [1722]. *L'Armonico Pratico al Cimbalo*. Bologna: Giuseppe Antonio Silvani.
- Gjerdigen**, Robert O. 2007. Partimento, que me veux-tu? – *Journal of Music Theory* 51/1, pp. 85–135.
- Heartz**, Daniel 1973. Thomas Attwood's Lessons in Composition with Mozart. – *Proceedings of the Royal Musical Association* 100/1, pp. 175–183.
- Heartz**, Daniel 2003. *Music in European Capitals. The Galant Style, 1720–1780*. New York / London: W. W. Norton & Company.
- Heinichen**, Johann David 1728. *Der Generalbaß in der Composition*. Dresden: the author.
- Hepokoski**, James 2001/2002. Back and Forth from Egmont: Beethoven, Mozart, and the Nonresolving Recapitulation. – *19th-Century Music* 25/2–3, pp. 127–154.
- Jerold**, Beverly 2012. Johann Philipp Kirnberger versus Friedrich Wilhelm Marpurg: A Reappraisal. – *Dutch Journal of Music Theory* 17/2, pp. 91–108.
- Kelly**, Michael 1826. *Reminiscences*. Second edition, vol. 1, London: Henry Colburn.
- Kirnberger**, Johann Philipp 1771 [2004]. *Die Kunst des reinen Satzes in der Musik*. Reprint der Ausgabe Berlin: Voß, Kassel u.a.: Bärenreiter.
- Marpurg**, Wilhelm Friedrich 1757. *Handbuch bey dem Generalbasse und der Composition*. Bd. 2, Berlin: Gottlieb August Lange.
- Marpurg**, Wilhelm Friedrich 1760. *Kritische Briefe über die Tonkunst, mit kleinen Clavierstücken und Singoden*. Bd. 1, Berlin: Friedrich Wilhelm Birnstiel.
- Marpurg**, Wilhelm Friedrich 1762. *Handbuch bey dem Generalbasse und der Composition*. Bd. 1, 2. Aufl., Berlin: Gottlieb August Lange.
- Marpurg**, Wilhelm Friedrich 1763. *Kritische Briefe über die Tonkunst, mit kleinen Clavierstücken und Singoden*. Bd. 2, Berlin: Friedrich Wilhelm Birnstiel.
- Marshall**, Robert L. 1976. Bach the Progressive: Observations on His Later Works. – *The Musical Quarterly* 62/3, pp. 313–357.
- Mattheson**, Johann 1713. *Das neu-eröffnete Orchestre*. Hamburg: Benjamin Schiller.
- Mirka**, Danuta 2005. The Cadence of Mozart's Cadenzas. – *The Journal of Musicology* 22/2, pp. 292–325.
- Mozart**, Wolfgang Amadeus 1965. *Thomas Attwoods Theorie- und Kompositionsstudien bei Mozart*. Erich Hertzmann u.a. (Hrsg.), Neue Ausgabe sämtlicher Werke, Serie X: Supplement, Werkgruppe 30, Bd. 1, Kassel: Bärenreiter.
- Oldman**, Cecil Bernard 1925. Thomas Attwood's Studies with Mozart. – *Gedenkboek aangeboden aan Dr. D. F. Scheurleer op zijn 70sten verjaardag*. 's Gravenhage: Martinus Nijhoff, pp. 227–240.
- Sainsbury**, John S. (ed.) 1824 [1827]. *A Dictionary of Musicians*. Vol. 1, London: Printed for Sainsbury & Co.
- Scheibe**, Johann Adolf after 1728. *Compendium musices theoretico-practicum*. – Peter Benary 1960. *Die deutsche Kompositionslehre des 18. Jahrhunderts*. Jenaer Beiträge zur Musikforschung 3, Leipzig: Breitkopf & Härtel, Anhang.
- Solfèges d'Italie** ca. 1790. *5me édition*, Paris: Sieber.
- Sorge**, Georg Andreas, Wilhelm Friedrich Marpurg (Hrsg.) 1760. *Herrn Georg Andreas Sorgens Anleitung zum Generalbaß und zur Composition. Mit Anmerkungen von Friedrich Wilhelm Marpurg*. Berlin: Gottlieb August Lange.
- Türk**, Daniel Gottlob 1791. *Kurze Anweisung zum Generalbaßspielen*. Halle, Leipzig: Schwickert, Hemmerde und Schwetschke.

<sup>40</sup> Attwood's mastering of Marpurg's galant cadence is clear from his exercises and compositions he wrote for Mozart. The list provided in footnote 3 proves that this cadential scheme increasingly shows up in the course of Attwood's studies. Moreover, Mozart less and less felt the need to correct Attwood's realizations.

## Mozart ja Marpurgi galantsed kadentsid: teoreetilised perspektiivid, vormiline mõju ja häältejuhtimine

David Lodewyckx  
(tõlkinud Kerri Kotta)

Oma „Kriitiliste kirjade“ („Kritische Briefe“; Berlin 1763, vt. Marpurg 1763) teises osas viitab Wilhelm Friedrich Marpurg (1718–1795) iseloomulikule kadentsitüübile, mis on tema arvates omane just nn. galantsele stiilile. Selle juurde kuulub omane ülahääle liikumine  $\hat{1}\text{--}\hat{2}\text{--}\hat{1}$ , mida bassis toetab V-I. Harmooniliselt moodustub see kadentsikvartsektakordist ( $K_4^6$ ), mis laheneb põhikujus dominant (V) ning lõpuks ootuspäraselt toonikasse (I).

Konventsionaalsest 18. sajandi vaatepunktist pole kadentsikvartsektakordi poolt toetatud tõusev astmeline liikumine  $\hat{1}\text{--}\hat{2}$  kindlasti tüüpiline kontrapunktiline võte. Vastupidi,  $\hat{1}$ , mis moodustas seoses basiga kvardi, pidi lahenema alla, dominantharmoonia tertsi, mille tulemuseks oluks tavapärane kvardipide 4-3. Kuid Marpurg näeb täisväärtusliku variandina ka kvardi tõusvasuunalist lahendamist. Ta kirjeldab kadentsikvartsektakordi kui toonikakolmkõla pööret ( $I_4^6$ ). Kvart säilitab sellisel juhul endiselt oma dissonantsuse, kuid seotuna toonikakolmkõlaga on see Marpurgi jaoks nüüd „mittetäielik dissonants“. Selline kvart võib aga laheneda kahel viisil ja seda eriti galantses stiilis: nii tõusvalt kui ka laskuvalt. Selle uudse arusaama osas lahknesid Marpurgi vaated enamiku tema kaasaegsete teoreetikute, näiteks Heinicheni või Sorge omast.

Alates 18. sajandi neljandast kümnendist mõisteti Marpurgi galantset kadentsi aina enam konventsionaalse nähtusena. 18. sajandi teisel poolel sai see isegi üheks kõige iseloomulikumaks stiili väljendavaks elemendiks ning eriti sageli näib seda oma teostes kasutavat Mozart. Marpurgi galantse kadentsi üksikasjalik uurimine Mozarti keelpillikvartettides näitab, kuidas helilooja eelistab seda kasutada just formaalselt ja tonaalselt oluliste sündmuste artikuleerimiseks. Mõned tuntud galantse stiili heliloojad enne Mozartit, nagu Johann Adolph Hasse või Carl Heinrich Graun, kasutavad seda kadentsi struktuuralselt sarnases kontekstis oma aariates. Sellist otsest seost on võimalik selgitada 18. sajandi esimesel poolel levinud improviseerimispraktikaga, mis lähtus üsna sageli Marpurgi galantsele kadentsile omasest kontrapunktilisest raamistikust.

Mozart ei kasutanud Marpurgi galantset kadentsi ainult oma teostes, vaid ka pedagoogilises tegevuses. Kadentsi erilise kontrapunktilise struktuuri tõttu tekitas kvardi tõusev lahendus probleeme isegi Mozarti ühele andekamale õpilasele Thomas Attwoodile (1765–1838). Mozart tavatses vaba stiili kontrapunkti õpetades alustada keelpillikvarteti kahe äärmise hääle üleskirjutamisega, mis 18. sajandi alguses võinukski olla teose konventsionaalne kirjaneku viis, s.o. ülahääl ja sellega kaasnev nummerdatud bass. (Keskmised hääled improviseeriti teatavasti alles teose esitamisel.) Kuid Attwoodil paluti keskmised hääled teise viiuli ja vioolapartiina üles kirjutada. Püüdes alati lõppakordi täielikul kujul anda, ei suutnud Attwood aga Marpurgi galantsele kadentsile sobivaid keskmisi hääli rahuldavalt komponeerida. Mozarti parandused näitavad, et ta ise eelistas hääle sujuvat ja kontrapunktiliselt põhjendatud liikumist lõppharmoonia (toonika) täielikule kujule. Mozarti keelpillikvartettides saab välja tuua Marpurgi galantse kadentsi kolm erinevat häältejuhtimise varianti, mida käesolevas artiklis üksikasjalikult analüüsitakse.

Marpurgi galantset kadentsi ajaloolis-teoreetilises kontekstis vaadeldes ning seda ühtlasi tol ajal komponeeritud teostega seostades saab näidata, kuidas ajalooliselt informeeritud lähenemisviis kompositsioonipraktikatele võimaldab mõista mõningaid stilistilisi peensusi. Vähemalt käib harmooniliste järgnevuste ja häältejuhtimismudelite ülelihtsustamine sageli käsikäes ebapiisava teadlikkusega eespool kirjeldatud kriitilistest detailidest. Attwoodi Mozarti-õppetund näitab selgelt, et 18. sajandi heliloojad kasutasid kadentsi erinevaid kujusid ning olid nende struktuurasetest iseärasustest vägagi teadlikud.

# Sequences in Mozart's Piano Sonata, K. 280/I

Stephen Slottow

Heinrich Schenker held that both the concept and the term "sequence" were not only incorrect, but indefensible. For instance, in *The Masterwork in Music*, Vol. 2, he writes (in reference to J.S. Bach's C minor Prelude, *Well-Tempered Clavier* I, mm. 5–18):

The word 'sequence', which is used so frequently and loosely when one is unable to explain certain passing notes, has no validity. The mere fact of its existence as a theoretical term does not lend it any credibility as a concept. (Schenker 1996: 48)

And, in *Free Composition*:

Great composers trust their long-range vision. For this reason they do not base their compositions upon some 'melody,' 'motive,' or 'idea.' Rather, the content is rooted in the voice-leading transformations and linear progressions whose unity allows no segmentation or names of segments [...] One cannot speak of 'melody' and 'idea' in the work of the masters; it makes even less sense to speak of 'passage,' 'sequence,' 'padding,' or 'cement' as if they were terms that one could possibly apply to art. (Schenker 1979: 26–27)

Certainly it would appear that, as Schenker says, sequences are linear progressions composed of passing notes moving between beginning and ending points. The common sequence types – falling fifths, rising fifths, rising 5-6, chain suspensions – are composed of descending or ascending stepwise motion between repeating transposed units. Even the falling thirds sequence (also called falling 5-6) can be reduced to descending stepwise tenths that alternate  $\frac{5}{3}$  and 6 positions.

But sequences are not only linear progressions; they are a particular type of linear progression – i.e., sequences – since they are constituted of regularly transposed imitative units. That is, to use Schenker's language, they are linear progressions whose unity *does* allow "segmentation and names of segments." There is no need to deny sequences their own identity because they function as linear progressions. Rather, they function as linear progressions *because* they are sequences.

Moreover, because sequences are always elaborated, they not only operate as linear progressions within the large voice-leading/harmonic structure; they have their own internal subsidiary harmonic/voice-leading structures. They are patterned repetitive whorls within the larger energy flow. They are flexible patterns or templates that can be realized and elaborated in many different ways, and that tend to appear as middleground elaboratory structures that either prolong a single sonority or the motion between two sonorities.

Schenker's refusal to reify sequences, and his concomitant contempt for them, have not been continued by Schenkerians, who have been, in this as well as in some other matters, less severe than the founder. The term *Linear Intervallic Patterns* (LIPs) was first introduced in Allen Forte's and Steven Gilbert's *Introduction to Schenkerian Analysis* (1982), where it is defined as "a voice-leading design made up of successive recurrent pairs of intervals formed between the descant and bass (outer voices)" (Forte, Gilbert 1982: 83). But – perhaps mindful of Schenker's attitude – they are cautious about associating LIPs too closely with sequences.

The term sequence is sometimes used, incorrectly, to designate what we call the linear intervallic pattern. Properly speaking, the sequence is a *melodic* pattern in a single voice, which is repeated at different transpositions and in immediate succession, over the span of a passage. Such sequences may occur in connection with a linear intervallic pattern [...] However, the melodic sequence is not a necessary condition for the linear intervallic pattern. There are many instances in which a melodic sequence within a linear intervallic pattern may be terminated, while the linear intervallic pattern itself continues. (Forte, Gilbert 1982: 85)

Allen Cadwallader's and David Gagné's *Analysis of Tonal Music: A Schenkerian Approach*, first published in 1998, downplays Forte and Gilbert's qualifications on the difference between LIPs and sequences. The very first sentence of the section

**Example 1.** Sequence 1, mm. 17–22.

on LIPs in Chapter 4 is “Harmonic sequences often involve a repeated interval pattern between a pair of voices; these are known as *linear intervallic patterns*.” (Cadwallader, Gagné 2011: 86) The paragraph continues:

Sequences and associated linear intervallic patterns produce harmonic prolongations and larger structural connections. And, like linear progressions, linear intervallic patterns prolong a single harmonic class or expand the space *between* classes in T-Int-D-T frameworks. (*ibid.*)

Here, sequences have been explicitly recognized in their own right and under their own names as full participants in the “voice-leading transformations and linear progressions” that comprise the process of composing out. No conflict between sequences as things and sequences as voice-leading processes remains.

The remainder of this paper focuses on how sequences operate within a single sonata movement, Mozart’s F major Piano Sonata, K. 280/I.

I have taught this movement several times, and each time have been struck by how it seems to be stitched together by a tissue of sequences, each rather different from the others in type and design. The movement was a teaching piece of Ernst Oster, and has been similarly used by at least three of Oster’s students: Charles Burkhart, Edward Laufer, and David Beach.<sup>1</sup> I studied this piece with Charles Burkhart. My reading is certainly influenced by his; but I have also, over the years, changed my mind about some things and focused more on certain aspects, particularly on the sequences.

For convenience I will identify the sequences by number.

### Sequence 1, Exposition

Sequence 1 (see Example 1) occurs in mm. 17–22, and forms part of the transition from the first to the second group. By m. 17 the *Urlinie* has descended from  $\hat{5}$  (C) to  $\hat{3}$  (A) within a prolongation of initial tonic harmony. The sequence further extends the tonic, retaining *Urlinie*  $\hat{3}$ . In the measure after the

<sup>1</sup> Charles Burkhart has not published on the piece; my comments on his reading are based on my notes and his private sketches. Edward Laufer, so far as I know, has likewise not published on the movement, but I have copies of three pages of notes on the first subject and transition from his Fall 1989 Schenkerian analysis course at the University of Toronto; these were given to me by Mark Anson-Cartwright. David Beach has published extensively on the piece in Beach 1983, 1990, 1994, and 2012; his analyses have much in common with Charles Burkhart’s.



**Example 2.** Arpeggiation motive, mm. 1–2.

sequence ends, m. 23, the *Urlinie* descends to  $\hat{2}$  (G) over a  $ii^6$ -V half cadence which completes the transition from tonic to dominant key areas. This sequence expands the tonic sonority with *Urlinie*  $\hat{3}$  in the treble. The arpeggiated texture in the right hand is related to the arpeggiation in the very first measures of the piece – actually, all of the sequences (and much of the rest of the movement) utilize the initial arpeggiation motive to one degree or another (see Example 2).

Example 3 builds up the sequence from background to foreground. Example 3a simply shows the F major triad with the outer-voice tenth A/F.<sup>2</sup> Example 3b pulls apart the A/F tenth into an A/F voice exchange. Example 3c inverts the lower-voice F-A from a third up to a sixth down, opening up registral space which is then filled in with a column of descending tenths that march into the depths *underneath* the F upper right pole of the voice exchange. In Example 3d, the diatonic descending tenths become chromatic descending tenths. In Example 3e, starting with the second tenth, every other tenth becomes an applied  $VII^{\#4}_3$  of the following tenth (a 6/3 triad).

Except for the first and last full measures of the sequence (see Example 1, mm. 17 and 22), the events shown in Example 3e occur on only the first two beats of the intervening measures (mm. 18–21). So what happens on the third beats? For one, descending passing tones: B $\flat$  in m. 18, G in m. 20, and F in m. 21. But there is also something else, something that creates a little dissonant tang. In m. 18, the right-hand E $\flat$  on beat 3 (coming

from E $\flat$  on beat 2) anticipates the left-hand E $\flat$ 's in the next measure. It also creates a noticeable and rather harsh cross relation with the bass E $\flat$  on the previous beat. The same thing happens with C $\flat$  in m. 20, and with B $\flat$  in m. 21. Mozart could have composed the passage without these chromatic anticipations and cross relations – it would sound pleasant enough, if a little bland. But composing it as he did introduces a little sense of distortion, a little *frisson*, a mild harshness that renders the flavor of the passage a bit sharper. My sketch of the final version is shown in Example 3f.

Example 3g extends the passage to the half cadence in m. 26, showing that the function of the sequence is to expand the motion from I (A/F) via the voice exchange to I $^6$  (F/A) to II $^6$  (G/B $\flat$ ), which then proceeds to V (G/C).

Note that Example 3c, which shows diatonic descending tenths, is embellished with chromatic passing tenths to form Example 3d. But the treble and bass chromatic passing tones don't always match up. For instance, chromatic bass C $\sharp$  underlies diatonic treble E, and chromatic treble E $\flat$  overlies diatonic bass C $\flat$ . This non-coincidence isn't taken account of in my slurring, but it is in Example 3h, Edward Laufer's sketch of the sequence (Laufer 1989). In the top system, Laufer stems top and bottom diatonic notes – whether coinciding or not – and leaves chromatic passing notes unstemmed, clearly and elegantly distinguishing the levels of structure in the foreground sketch. He also divides the treble and bass descending sixths (doubled at the tenth) midway, at F in the treble and D in the bass, thus delineating an A-F-C arpeggiation in the treble against F-D-A in the bass. Since treble A-F-C matches the F major *stuf*e of the passage, it is the leading line; the bass foregoes a matching arpeggiation of F major in order to preserve the parallel tenths, so it is the following line.<sup>3</sup>

### Sequence 1, Recapitulation

As shown in Example 4, Sequence 1 returns in mm. 99–104 of the recapitulation, but strangely altered. Example 5a reproduces my sketch of the exposition version of the sequence (Example 3f). Example 5b (which resembles a ball of tangled

<sup>2</sup> X/Y stands for "X above Y."

<sup>3</sup> Laufer's sketch also explores rhythmic and motivic features that I will not go into here.



**Example 3, a–f.** Sequence 1, buildup.

yarn) is a sketch of the recapitulation version. It still prolongs the tonic sonority via (mostly) descending tenths within an F/A voice exchange, but in Example 5b some of the tenths in Example 5a have been inverted to sixths, because in parts of the sequence the voices have been registrally displaced and scewed.<sup>4</sup> The voice-leading lines,

which in the exposition had kept to their proper registers and descended by step, are now tangled, boomeranging up and down as the voices crisscross, bouncing up to higher registers and back down again. Example 5c is my de-screwed version of Example 5b, that is, how it would appear without the registral displacements – much

<sup>4</sup> *Skew* refers to the voice-crossing that results from multiple simultaneous registral displacements.

## Example 3g.

g)

I 6 II 6 V<sup>6-5</sup>

like Example 5a, as one would expect, but not exactly the same.

In the recapitulation version, the third-beat dissonant anticipations have disappeared, some of the chords have changed, and the bass – or what would be the bass were the passage registrally disentangled (see Example 5c) – has changed from a chromatic to a basically diatonic descending line – F-E-D-C-B<sub>♭</sub>-A. One reason for this last is that during the registral displacements the (disentangled) main bass notes – soprano notes in the actual music – are not preceded by applied VII<sup>4</sup><sub>3</sub> diminished seventh chords built on a step above (as in the exposition version), but from a step below. The two approaches alternate: from above (F-E), from below (C<sub>♯</sub>-D), from above (D-C), from below (A-B<sub>♭</sub>), and from above (B<sub>♭</sub>-A). A diminished 7th chord built on a bass note a semitone below the chord of resolution is different from one a semitone above, so the relevant applied diminished 7th chords in the recapitulation version – the ones that swoop up to the higher registers – differ from their cognate chords in the exposition version. See the chords after the double bars in Examples 5a, b, and c. In 5a, the exposition version, the relevant applied diminished <sup>4</sup>/<sub>3</sub> chords resolve to B<sub>♭</sub><sup>6</sup> and G<sup>6</sup> chords. In 5b, the recapitulation version, they resolve to D<sup>6</sup> and B<sub>♭</sub><sup>6</sup> chords.

## Sequence 2

See Example 6. Sequence 2, from the second group of the exposition, starts in m. 35 and ends in m. 43, where it dovetails with the beginning of the coda. Strictly speaking, only mm. 35 to 40:1 is sequential.<sup>5</sup> By the end of the transition the *Urlinie* has descended from the Kopfon <sup>5</sup>/<sub>2</sub> (C) in the tonic to <sup>2</sup>/<sub>2</sub> (G) in the dominant. In the second group, and especially in Sequence 2 (see Example 7g), *Urlinie* <sup>2</sup>/<sub>2</sub> (G) creates its own offshoot subsidiary fifth-descent (G-F-E-D-C) in an expanded auxiliary cadence C: I<sup>6</sup>-ii<sup>6</sup>-V-I with E-F-G-C in the bass. I<sup>6</sup> begins in m. 35 and, after the sequential expansion, proceeds to ii<sup>6</sup> in m. 42.

There are points of resemblance between Sequence 2 and Sequence 1 (especially the exposition version). Sequence 1 descends in stepwise parallel tenths; Sequence 2 ascends in stepwise parallel tenths. Both fill out the diatonic tenth line with chromatic passing tones and secondary dominants; and both utilize the ubiquitous arpeggiation motive from the first measure of the piece, although Sequence 2 does so more directly. There is also some registral transference in the right hand that resonates a bit with the recapitulation version of the first sequence. However, there are differences in the functions of the two sequences: the first expands a single harmony, F major; this

<sup>5</sup> The notation "m. 40:1" means measure 40, beat 1.

**Example 3h.** Sequence 1, Edward Laufer sketch.

Handwritten musical score for "The Sound of Silence" by Simon & Garfunkel. The score is written on ten staves, showing the vocal melody, piano accompaniment, and guitar parts. It includes various musical notations such as notes, rests, and chords, along with handwritten annotations like "rhythmic shift", "bass: cf bars 3-4", "exchange", "2nd subj.", and "2-note fig. becomes Mh-fig."

**Example 4.** Sequence 1, recapitulation, mm. 99–104.

93

legato

99

L.H.

L.H.

104

p

one expands the motion between two harmonies: for the sequence proper, in the key of the dominant,  $I^6$  to  $VI$ ; for the whole sequential passage,  $I^6$ - $II^6$ .

Example 7 builds up the sequence in progressive stages: (a) shows an ascending fourth progression in parallel tenths. In (b), the second and fourth soprano notes are displaced to the lower octave, creating back-and-forth registral transfers that “break up” the ascending fourth progression. In (c), the registral soprano “holes” created by the displaced notes are filled in by substitute notes a step down from the preceding ones, creating 10-8’s in a reaching-over pattern that takes place over the broken-up ascending fourth progression, but introducing an awkward  $F$ - $B_b$  tritone leap in the soprano. In (d) the succession of reaching-over motions is more developed. Now the ascending registral transfers form a partial coupling ( $A4$ - $A5$ ,  $B4$ - $B5$ ) that creates a stepwise sequential ascent in the treble, eliminating the  $F$ - $B$  tritone leap and bringing out a kind of counterpoint between the 10-10’s and the 10-8’s. In (e) the diatonic bass is filled in with chromatic passing tones that create applied dominant  $\frac{6}{3}$  chords, approached by chromaticized 5-6 exchanges. And in (f), inner-voice descending passing tones strengthen the applied dominants by transforming them from  $\frac{6}{3}$ s to  $\frac{6}{2}$ s.

Example 7g shows the sequence in more detail and includes the rest of the passage. Notice that the soprano  $A5$  in m. 40 – which would have appeared at the end of the measure had the sequence continued – is only implied. The sequence carries the passage (in dominant Roman numerals) from  $I^6$  to  $VI$  (transformed to  $IV$  via another 5-6), followed by a triple voice exchange in which the previously implied soprano  $A$  appears in actuality, functioning as an upper-level incomplete neighbor from *Umlinie*  $\hat{2}$  ( $G$ ), followed by the subsidiary fifth-descent from  $\hat{2}$  –  $G$ - $F$ - $E$ - $D$ - $C$ . The sequence helps to expand the motion from  $I^6$  to  $II^6$  ( $G/E$  to  $F/F$ ).

**Sequence 3**

Sequence 3 is located in the development (see Example 8, which shows the entire development) and runs from mm. 67 to 78. Unlike the first sequence, which descended in tenths, or the second sequence, which ascended in tenths, this one is a straightforward falling-fifth sequence. Its surface presentation is divided into staggered segments in low, middle, and high voices – as if the body of the sequence was sliced up into registral layers and strewn about. However, there is a pattern (see my markings on Example 8): low/high, low/middle, low/high, low/middle. The left-hand artic-



**Example 5a.** Sequence 1, exposition.

10 10 10 10 10 10 10 10

I 6

VII<sup>°4</sup>/B $\flat$ 6 VII<sup>°4</sup>/G6

**Example 5b.** Sequence 1, recapitulation.

10 10 10 A4 6 10 10 A4 6 10 10

I 6

VII<sup>°4</sup>/D6 VII<sup>°4</sup>/B $\flat$ 6

**Example 5c.** Sequence 1, recapitulation (descewed).

10 10 10 d5 10 10 10 10 d5 10 10 10

I 6

VII<sup>°7</sup>/D VII<sup>°7</sup>/B $\flat$

**Example 6.** Sequence 2, mm. 35–43.

ulations are aligned with the chord changes, but the right-hand groupings overlap chord changes. The rising arpeggiation motive in the left hand is answered by descending third-progression (doubled in thirds) in the right hand. As in many classical sonatas, this sequence takes up almost the entire second half of the development.

As to how the sequence fits into the larger context, see Example 9, a sketch of the entire development. The development begins in the dominant with *Urlinie*  $\hat{2}$  (G) retained from the end of the exposition. As the bass moves from C through  $C_{\sharp}$  to D in a 5-6-5 progression, the treble G moves to an implied F as the harmony moves to VI (Dm) and the sequence begins in m. 67. The registral partitioning in the sequence (just discussed) can be clearly seen in the graph. Of course, since the sequential unit consists of two chords, the interval of transposition between units is a falling step, and the bass moves D-(through G to)-C-(through F to)- $B_{\flat}$ . Although the treble for the literal strict sequence would be A/(D)- $B_{\flat}$ /(G)-G/(C)-A/(F)-F/( $B_{\flat}$ ) – a 5-10 LIP, in the freer realm of the imaginary continuo, A/D moves to  $B_{\flat}$ /G (m. 69), but  $B_{\flat}$ /G doesn't

move to G/C. Instead,  $B_{\flat}$  holds on (becoming a seventh above bass C) and descends to A (over bass F). A doesn't continue the new pattern and become the seventh above bass  $B_{\flat}$ , but moves instead to  $G_{\sharp}$ , which abruptly throws a wrench into the clockwork of the sequence and brings it to an abrupt close. The expected chord in m. 75 would be  $B_{\flat}$  major, and indeed all of the notes of the  $B_{\flat}$  triad are present, but the addition of  $G_{\sharp}$  converts it to a German augmented 6th, which is charged to, and soon does, resolve to an A major chord in m. 76 – locally V/Dm but, in a larger context, III $_{\sharp}$ .<sup>6</sup> III $_{\sharp}$  then slithers its way down the muddy slope in mm. 82–84, through  $V_3^4$  (and upper neighbor  $B_{\flat}$  in the treble), past the interruption, to I, the start of the recapitulation, where *Kopftön*  $\hat{5}$  (C) is reestablished.

There are two important expanded motives in Sequence 3.<sup>7</sup> The first is that the repeated treble A- $B_{\flat}$ - $G_{\sharp}$ -A in mm. 78 and 79 echo, in miniature, the much larger treble A- $B_{\flat}$ -(A)- $G_{\sharp}$ -A in the sequence as a whole. The second is that the main bass notes of the entire development form a large-scale version of the melody from the first two measures of

<sup>6</sup> The use of III $_{\sharp}$  in some Mozart sonatas as a divider between V at the end of the exposition and I at the beginning of the recapitulation is discussed in Beach 1983 – as regards K. 280/I in particular, pp. 2–7.

<sup>7</sup> I first heard about these from Charles Burkhart.



**Example 7.** Sequence 2, mm. 35–43.

a)  10—10—10—10

b)  10—10—10—10

c)  10—10—10—10  
8 8

d)  10—10—10—10  
8 8 8

e)  10—10—10—10  
8 8 8  
6 5—6 5—6 5

f)  10—10—10—10  
8 8 8  
6 5—6 5—6 5

g)  35 40  
2̂ (5̂) 4̂ 3̂ 2̂ 1̂  
10—10—8 10—10—8 10—(8) 10  
10 10 10 10  
16 5-6 5-6 VI5-6 (IV) (5-6) II6 V  $\frac{6}{2} \frac{2}{3}$  I

Example 8. Sequence 3, mm. 67–78 (development).

The musical score for Example 8, Sequence 3, mm. 67–78 (development), is presented in six systems. The notation is in G major (one sharp) and 4/4 time. The score includes dynamic markings (*p*, *f*), articulation (accents, slurs), and fingerings. The sequence is characterized by a descending chromatic line in the right hand, often accompanied by a rhythmic pattern of eighth notes. The left hand provides harmonic support with chords and bass lines. The sequence concludes with a trill in the right hand.

57 *p* *f*

62 *p*

67 High Middle *f*Dm/Low Gm/Low C/Low

72 High Middle *f* *p* *f* *p* Bb/Ger<sup>3</sup> F major/Low

77 *f* *p* *f* *p*

83 *f* *p* *tr*

UT 50 226

**Example 9.** Development (Sequence 3, mm. 67–78).

57 61 67 71 75

2

A B $\flat$  (A) G $\sharp$

5

V VI C Ger $\sharp$   
(C) D B $\flat$

75 78

Recapitulation

5

G $\sharp$  A A B $\flat$  G $\sharp$  A

III $\sharp$  (V $\frac{1}{2}$ ) I  
B $\flat$  A G F

the movement: C-D-C-B $\flat$ -A-G-F, which in turn are an embellished version of the bass (F)-C-A-F descending arpeggio that begins the piece.<sup>8</sup>

**Sequence 4**

The last sequence I will discuss, Sequence 4, is located in the recapitulation, second group, mm. 117–123. It has no counterpart in the exposition at all, but is inserted in the second group, right before the recapitulation version of Sequence 2.<sup>9</sup> Example 10 juxtaposes the cognate passages. Example 10a (top system), from the exposition, shows the beginning of the second group, in the dominant, starting at m. 27 and ending at the start of Sequence 2. Example 10b (bottom system), from the recapitulation, shows the parallel

measures, this time in the tonic, starting at m. 109 and also ending at the start of Sequence 2. But this time there is a new sequence (mm. 117–123) tucked in right before Sequence 2. It is a falling-fifths sequence, like the one in the development. Here the arpeggiation motive is in both hands, in contrary motion, with the material swapping between hands at every measure. When one voice has the “straight” ascending arpeggio, the other hand has the descending arpeggio embellished with passing and escape tones. Why is this “extra” sequence inserted here at all? One reason is probably simply to provide variety and an increased richness of material in the recapitulation; but perhaps a more practical reason is to lead out of the high register into the lower and more normative

<sup>8</sup> Beach makes a similar point in Beach 2012: 218.

<sup>9</sup> Another example of Mozart inserting a sequence in the recapitulation that has no counterpart in the exposition is his A minor Piano Sonata, K. 310/I.



**Example 10a.** Beginning of 2nd group, exposition.

Example 10a shows the beginning of the 2nd group in the exposition of Mozart's Piano Sonata, K. 280/I. The score is in G major and 4/4 time. It consists of two systems of music. The first system starts at measure 26, with a treble clef and a bass clef. The treble staff begins with a half note G4, followed by a quarter rest, then a half note A4, and a quarter rest. The bass staff begins with a half note G3, followed by a quarter rest, then a half note A3, and a quarter rest. The first system ends at measure 30. The second system starts at measure 31, with a treble clef and a bass clef. The treble staff begins with a half note G4, followed by a quarter rest, then a half note A4, and a quarter rest. The bass staff begins with a half note G3, followed by a quarter rest, then a half note A3, and a quarter rest. The second system ends at measure 34.

**Example 10b.** Beginning of 2nd group, recapitulation, Sequence 4 (mm. 117–123).

Example 10b shows the beginning of the 2nd group in the recapitulation of Mozart's Piano Sonata, K. 280/I, Sequence 4 (mm. 117–123). The score is in G major and 4/4 time. It consists of three systems of music. The first system starts at measure 110, with a treble clef and a bass clef. The treble staff begins with a half note G4, followed by a quarter rest, then a half note A4, and a quarter rest. The bass staff begins with a half note G3, followed by a quarter rest, then a half note A3, and a quarter rest. The first system ends at measure 114. The second system starts at measure 115, with a treble clef and a bass clef. The treble staff begins with a half note G4, followed by a quarter rest, then a half note A4, and a quarter rest. The bass staff begins with a half note G3, followed by a quarter rest, then a half note A3, and a quarter rest. The second system ends at measure 119. The third system starts at measure 120, with a treble clef and a bass clef. The treble staff begins with a half note G4, followed by a quarter rest, then a half note A4, and a quarter rest. The bass staff begins with a half note G3, followed by a quarter rest, then a half note A3, and a quarter rest. The third system ends at measure 123.

**Example 11.** Sequence 4.

The image displays two systems of musical notation for Example 11, Sequence 4, spanning measures 117 to 121. Each system consists of a treble and a bass staff. The top system shows measures 117-121 with a treble and bass staff. The bottom system shows measures 117-121 with a treble and bass staff. Both systems include chord symbols (I, F, B $\flat$ , E $^o$ , Am, Dm, Gm, C, F) and fingering numbers (5, 8, 5, 8, 5, 6). The notation includes various musical symbols such as notes, rests, and slurs, indicating a complex harmonic and melodic structure.

(obligatory, if you will) register for the recapitulation version of Sequence 2, which begins in m. 123.

See Example 11. Like Sequence 1, Sequence 4 prolongs tonic harmony, moving from  $I_3^2$  to  $I^6$ . From mm. 117 to the beginning of m. 121 it is quite regular, with the two chords of the sequential unit in  $\frac{5}{3}$  and  $\frac{6}{3}$  positions respectively, and an LIP of 5-8, registrally displaced in both voices, changing chords evenly on the downbeat of each measure: F-B $\flat$ , E $^o$ -Am Dm. In a larger sense (see the bottom graph), both voices move in parallel third-descents – C-B $\flat$ -A (treble) and F-E-D (bass).

With the arrival of the D minor chord in m. 121, the sequence falls apart, dissolving into stepwise-filled descending thirds (vertically doubled in tenths) that run until the next sequence (Sequence 2) starts in m. 123. However, even though the melodic sequence has disintegrated, it is still possible to trace the continuation of the harmonic sequence Dm-Gm C-F.

Through the swiftly falling detritus at the end of Sequence 1 (m. 121) I read an ascending line of A-B $\flat$ -C which rejoins the retained *Kopfton* (C) of the second branch of the divided structure; so the treble line of the sequence is C-B $\flat$ -A-B $\flat$ -C.

One objection to my reading might be that my treble B<sub>5</sub> (the 7th of a V<sup>7</sup> chord) moves up instead of resolving down. But, since the bass B<sub>5</sub> resolves down to A, I think that the treble B<sub>5</sub> is free to move up to C.

In conclusion: Schenker (although not Schenkerians) viewed the phenomena or devices commonly called sequences as expanded linear progressions or passing notes, and rejected the validity of reifying them under their own name, thus denying them any existence in their own right. His main reason is that their "content is rooted in the voice-leading transformations and linear progressions whose unity allows no segmentation or names of segments." I agree that sequences are linear progressions, but they are a particular type of linear progressions that are indeed characterized by "segments and names of segments." Earlier I wrote that sequences prolong either a single sonority or the motion between

sonorities. Thus they represent an elaboration, the "long way around," as it were. Of course, in Schenkerian methodology everything is, in a sense, the long way around because everything is considered a multi-leveled improvisation upon simpler structures. But there is something quite distinctive about the sequential route. Sequences are so venerable, so established, and so instantly recognizable through their internal segmental transposed repetition that we feel quite comfortable with them and can simply appreciate both the familiar sequential process and, simultaneously, its role in composing out the larger-scale harmony and voice leading. The sequences in the first movement of Mozart's Piano Sonata, K. 280, are actual things in their own right, each quite distinctive and individual, yet each furthering larger aims. Unlike Schenker, I see no conflict between these two perspectives.

## References

**Beach**, David 1983. A Recurring Pattern in Mozart's Music. – *Journal of Music Theory* 27/1 (Spring), pp. 1–29.

**Beach**, David 1990. The Cadential Six-Four as Support for Scale-Degree Three of the Fundamental Line. – *Journal of Music Theory* 34/1 (Spring), pp. 81–99.

**Beach**, David 1994. The Initial Movements of Mozart's Piano Sonatas K. 280 and K. 332: Some Striking Similarities. – *Intégral* 8, pp. 126–146.

**Beach**, David 2012. *Advanced Schenkerian Analysis: Perspectives on Phrase Rhythm, Motive, and Form*. New York / London: Routledge.

**Cadwallader**, Allen, David Gagné 2011. *Analysis of Tonal Music: A Schenkerian Approach*. 3rd ed., New York / Oxford: Oxford University Press.

**Forte**, Allen, Steven E. Gilbert 1982. *Introduction to Schenkerian Analysis*. New York: Norton.

**Lauffer**, Edward 1989. Sketch of Mozart Piano Sonata, K. 280, I, mm. 17–25. Class handout from Schenkerian analysis class at the University of Toronto. Copy obtained from Mark Anson-Cartwright.

**Schenker**, Heinrich 1979. *Free Composition*. Trans. and ed. by Ernst Oster, New York: Longman.

**Schenker**, Heinrich 1996. The Organic Nature of Fugue as Demonstrated in the C Minor Fugue from Bach's *Well-Tempered Clavier*, Book I. Trans. Hedi Siegel. – *The Masterwork in Music*. Volume 2, ed. William Drabkin, Cambridge Studies in Music Theory and Analysis 8, Cambridge, UK: Cambridge University Press, pp. 31–54.



## Harmoonilised sekventsid Mozarti klaverisonaadi F-duur KV 280 I osas

Stephen Slottow  
(tõlkinud Kerri Kotta)

Oma teostes „Vaba stiil” ja „Muusikalised meistriteosed” väidab Heinrich Schenker üsna jõuliselt, et sekventse pole muusikas olemas ja et seda sõna ei saa „ilmselt kunstile rakendada” ning lõpuks, et „pelgalt selle olemasolu teoreetilise terminina ei garanteeri veel tema usaldusväärsust mõistena”. Tema väitel peitub muusika sisu hoopis „häältejuhtimisteisendustes ja lineaarsetes järgnevustes, mille ühtsus ei võimalda neist rääkida liigendamise või liigendamisele viitavate mõistete keeles” (Schenker 1979: 26–27, 1996: 48). Seetõttu välistas ta sekventsismõiste oma teoreetilises süsteemis põhimõtteliselt.

Artikli autor ei eita, et sekvents on sisuliselt lineaarsed järgnevused, kuid sellisena on need ühtlasi järgnevused, mis põhinevad regulaarselt transponeeritaval ja üksteist imiteeritaval üksustel. Seetõttu on „liigendamise või liigendamisele viitavate mõistete” kasutamine nende eksistentsi olemuslik osa. Pole ka mingit vajadust eitada sekventsi kui iseseisva nähtuse olemasolu põhjusel, et samal ajal funktsioneerib see ka lineaarse järgnevusena. Pigem funktsioneerivadki sekvents lineaarsete nähtusena just oma spetsiifilise struktuuri tõttu. Kuna sekvents on ilmnevad sageli arendatud ja kaunistatud kujul, ei opereeri need ainult vormi sügavama tasandi häältejuhtimis- või harmooniliste üksustena, vaid omavad ka iseloomulikku alusstruktuuri. Need on kindlakujulised korduvad keerised laiemas energiavoolus ning näivad tekkivat kesktasandi arendatud struktuuridena, mis võivad prolongeerida nii üksiksündmust kui ka liikumist kahe sündmuse vahel. Samuti pole schenkeriaanid Schenkeri enda arusaamale sekventsidest kui põlastusväärsetest mitte-entiteetidest üldreeglina truiks jäänud.

Selles artiklis uuritakse, kuidas sekvents on leitud kasutamist Mozarti klaverisonaadi F-duur, KV 280, I osas, lähtudes nii artikli autori (Slottow 2013) kui ka David Beach (1983, 1990, 1994, 2012), Charles Burkharti ja Edward Lauferi (1989) analüüsist. Toon välja neli sekventsi, millest enamik ilmneb nii ekspositsioonis kui ka repriis. Kõik sekvents on sisaldavad teataval määral ka registrivahetust.

Sekvents nr. 1 (taktid 17–22), mis tekib sidepartii liikumisel kõrvalpartii, põhineb laskuvatel paralleelsetel deetsimil ja n.-õ. täidab häältevahetuse, mis sügavamal tasandil prolongeerib toonikat. Sekvents on omakorda kaunistatud kromaatiliste läbiminevate helidega, mille tulemusena tekib rida juhtseptakordikujulisi kõrvaldominante. Repriis kolab mainitud sekvents (taktid 99–104) muudetud kujul, viimane on põhjustatud arvukatest ja samaaegsetest registrimuutustest kolmes hääles.

Sekvents nr. 2 (taktid 35–43) kõrvalpartii lõpus liigub eelnevaga võrreldes vastupidi, tõusvasuunaliste paralleelsete deetsimitena, olles samas kaunistatud esimese käsitletud sekventsiga üsna sarnaselt (ka siin tekitab kromaatilisel liikuv bass rea kõrvaldominante). Samuti sisaldab see korduvat registrivahetust parema käe partii ning lõpeb kadentsidominandile liikudes kolmekordse häältevahetusega.

Sekvents nr. 3 (taktid 67–78), mis hõlmab suure osa töötluse teisest poolest, on üsna sirgjooneline laskuv kvintsuhteline sekvents, mida moodustavad lülid ilmnevad registriliselt kolme rühma, madalate, keskmiste ja kõrgete häältena. Sekvents lõpeb suurendatud sekstiga akordiga, mis laheneb omakorda A-duur kolmkõlasse. Mainitud kolmkõla funktsioneerib lokaalselt kõrvaldominandina VI astmele, laiemas plaanis aga mažoorse III astme harmooniana sügavamal tasandil järgnevuses V-III-I tagasi repriisi toonikasse (peegeldades ühtlasi motiivi *c-a-f*, mis kolab teose alguses).

Sekvents nr. 4 (taktid 117–123) ilmub repriisi kõrvalteemas ning ekspositsioonis puudub sellele vaste. Analooiliselt sekventsiga nr. 3 on see laskuv kvintsuhteline sekvents ning analooiliselt sekventsiga nr. 1 avaldub see toonikaharmoonia prolongatsioonilise laiendusena. Kordus ei avaldu siin ainult sekventsilülid vahelise nähtusena, vaid ka sekventsilülid sees. Samuti võib äärmiste häälte vahel rääkida mõlemat kätt temaatiliselt ühendavast korduvast registrivahetusest. Sekvents nr. 4 niivõrd ei lõpe, vaid pigem lihtsalt laguneb.

Lõpetuseks tuleb tõdeda, et vana ja väärikat sekventsitehnikat ei saa vaadelda Schenkerile omaselt arusaamatuse ega pettekujutusena, vaid pigem lineaarse järgnevuse spetsiifilise alaliigina, mida iseloomustab tõesti „liigendamine või liigendamisele viitavate mõistete” kasutamine. Sekvents Mozarti klaverisonaadi F-duur, KV 280, I osas on autonoomsed struktuurikomponendid, mis eristuva ja individuaalsena aitavad siiski laiemas plaanis kaasa tervikstruktuuri loogilisele moodustumisele. Erinevalt Schenkerist ei näe artikli autor konflikti kahe eelkirjeldatud perspektiivi vahel.

**Igal linnul oma laul: Eesti Apostlik-Õigeusu Kiriku laulud muutumistes**  
**Jeffers Engelhardt. *Singing the Right Way. Orthodox Christians and Secular***  
***Enchantment in Estonia*. Oxford: Oxford University Press, 2015, 268 lk.**

—  
Andreas Kalkun

Oxfordi ülikooli kirjastus ütleb Ameerika muusikateadlase Jeffers Engelhardti monograafia reklaamiks, et see on „esimene ingliskeelne etnomusikoloogia-alane monograafia Eesti muusikast; vaade sotsialismijärgse maailma seni dokumenteerimata muusika- ja usuellu ning interdistsiplinaarne uurimus, mis avab uusi teoreetilisi horisonte religioosse ja ilmaliku uurimiseks”. Kui esimene väide kaldub ilmselt liialdusse (meenutagem nt. Urve Lippuse või Ilse Lehist ja Jaan Rossi monograafiaid),<sup>1</sup> siis teised on küllaltki tabavad. Nii õigeusk kui õigeusu kirikumuusika on Eestis selgelt alauuritud ja marginaalne valdkond. Vaatamata sellele et õigeusu ajalugu pole siin sugugi lühike ning 2011. aasta rahvaloenduse kohaselt oli just õigeusk levinuim usk Eestis (15-aastasest või vanemast elanikkonnast oli õigeusklikke 16%, luterlasi ligi 10% ja teisi uskkondi veelgi vähem), pole õigeusklike ega nende religioossete tavade uurimine Eestis kuulunud teadusliku uurimise peavooluteemade hulka. Engelhardti uurimus on tõesti interdistsiplinaarne – (etno)musikoloogia, mis nagunii on olnud hübriidne ja teiste teadusharude teooriaid jaganud, on siin sõbralikult koos etnograafilise ja antropoloogilise, aga ka teoloogilise ja usundiloolise vaateviisiga.

Teos on suunatud eelkõige ingliskeelsele, s.t. võõrale lugejale, mis on toonud kaasa vajaduse anda nii Eesti ajaloost kui õigeusu kohast siin põhjalik ülevaade. Vaatamata neile historiograafilistele vahepaladele, mis eesti lugeja jaoks on mõneti liiased, kuid samas siiski huvitavate rõhuasetuste ja tõlgendustega, on monograafia stiil ladus ning üldiselt kergesti jälgitav. Jeffers Engelhardti reflektiivsus oma uurimisküsimuste, välitööde ja teoreetilistele probleemide üle mõtisklemisel on kindlasti üks tema uurimuse trumpe. Autori otsinguid uurimis- ja kirjutamisprotsessi jooksul

ning tema intiimseid ning kohati väga aistilisi ja kehalisi kogemusi on lugejaga jagatud nii etnograafilistes kirjeldustes kui ka peatükkide sissejuhatuses. Monograafia autor ei ürita luua illusiooni etnograafiliste kirjelduste objektiivsusest ega kehtastada kõhurääkijat, kelle abil uuritavad Eesti õigeusklikud hääle saavad, vaid peegeldab oma uurimuse erinevaid kujunemisjärke ning isiklikke kogemusi ja ilmutuslikke kohtumisi. Väga isiklikud kirjeldused näiteks mõnel jumalateenistusel toimunud või mõnest autori jaoks silmi avanud kohtumisest saavad sageli ka mingi allegoorilise lisatähenduse. Mingi rituaali, laulu või teksti tähendus avatakse, lisades etnograafiliselt kirjeldatavale hetkele sümboolse (mõnikord ka teoloogilise) ja sageli ka historiograafilise perspektiivi.

Reflektiivsus tähendab ka seda, et uurija valustab oma suhet uuritavaga, paigutub eksplitsiitselt uuritava suhtes. Engelhardt ei tee näiteks saladust, kuidas ta eesti õigeusu kirikulaulu teemani jõudis – kuidas välisuurija jaoks küllaltki oodatava peavoolu teema uurimine muutus eestlaste endagi poolt uurimata marginaalse valdkonnaks uurimiseks. Seoses huviga Arvo Pärdi muusika vastu jõudis Engelhardt Eestisse ning esialgne laulva revolutsiooni uurimise plaan muutus pärast mõningaid transformatsioone eesti õigeusu kirikulaulu uurimiseks. Kuna Eesti õigeusk pole vaatamata oma näilisele väiksusele kaugeltki monoliitne, siis läks siiski kujundlikult öeldes veel tükk aega, enne kui Jeffers Engelhardt jõudis Toompea Aleksander Nevski katedraali laule ja teenistusi kuulamast Eesti Apostlik-Õigeusu Kirikuni (EAÕK) ning Siimeoni ja Hanna kiriku kooris laulmiseni.

Uurimisel on kolm virtuoosselt komponeeritud osa, millest esimene nimega „Stiilidiskursus” toimib justkui sissejuhatus eesti õigeusku, autori välitöödesse ja EAÕK kirikutes lauldavasse muusi-

<sup>1</sup> Lippus, Urve 1995. *Linear Musical Thinking: A Theory of Musical Thinking and the Runic Song Tradition of Baltic Finnish Peoples*. Studia Musicologica Universitatis Helsinkiensis 7, Helsinki: University of Helsinki; Ross, Jaan, Ilse Lehist 2001. *The Temporal Structure of Estonian Runic Songs*. Phonetics and Phonology 1, Berlin / New York: De Gruyter.

kasse. 2003. aastal Tallinna Issanda Muutmise kirikus toimunud pidulikud teenistused ja õigeusu laulupäev, millega tähistati EAÕK autonoomia 18. aastapäeva, on otsekui lava, kuhu näitlejad üksteise järel saabuvad, ning uurimuse esimene osa seega kui allegooriline proloog järgnevale teosele. Eesti õigeusu kiriku muusika oma mitmekeesisuses ja väga erinevate ja ainulaadsete tõlgendustega õigest laulmisest esitleb selles peatükis oma stiilide kirjusus: vene, kreeka, seto, erinevad eesti stiilid, Bütsantsi-maigulised ja muud uus-traditsioonid jne. Ühtlasi annab peatükk ülevaate ka õigeusu muusikaga seotud teoloogiast – autor kontekstualiseerib lugeja jaoks nii siin kui edaspidi mõne liturgilise muusikalise hetke sügavamaid teoloogilisi tähendusi.

Raamatu teine osa kannab pealkirjaga „Rahvus žanris“ ning tutvustab väga spetsiifilist eesti õigeusu nähtust *riimilaulu* ning ajab eesti rahvusliku õigeusu jälgi, uurides laulude tähenduses ja rollis toimunud nihkeid. Riimilaulud kasvasid välja vajadusest anda 19. sajandi lõpus õigeusku pöördunud eestlastele õigeusklik muusika, mis poleks liiga kaugel luterlikust koraaliestetikast. Sestap värsistati teenistuste osaks olevaid laule ning võeti kasutusse ka hulgaliselt mitteliturgilist lauluvara. Jeffers Engelhardt on tänuväärselt koonandanud teabe riimilaulude sünniperioodi kohta (palju vähetuntud fakte, nt. preester Christofor Vinki soov tuua õigeusukirikutesse harmooniumid!) ning vaatleb selle Eesti rahvusliku/rahvaliku õigeusu juurde kuuluva nähtusega seotud tavade ja tähenduste muutumist nõukogude ajal ja 2000. aastail. Uurimuse teist osa läbib punase niidina Dmitri Bortnjanski patriootilise laulu „Kol' slaven“ transformeerumise lugu, mis demonstreerib, kuidas üks ja sama muusika võib aegade jooksul kanda erisuguseid ideoloogiaid ning funktsioneerida korraga erinevate tähenduste kandjana.

Uurimuse kolmas osa „Praktikad muutuses“ põhineb eelmise osaga võrreldes enam autori välitöödel ning annab kaks sissevaadet väga erinevatesse õigeusukogudustesse ning nende laulupraktikasse. Esmalt vaatleb Jeffers Engelhardt Siimeoni ja Hanna kogudust ja seal levivaid arusaamu õigest laulmisest ja õigeusu lauluteoloogiast. Selle kogudusega oli autor oma välitööde ajal kõige lähemalt ja pikemalt seotud. Intervjuukatked viitavad lähedasele kontaktile, paljudele ühistele kogemustele ning autori empaatialle – samas demonstreerib uurija vahedat pilku tema

käsitlus linnakoguduste ja hiljutipöördunute Bütsantsi-ihalusest. Selle osa teises peatükis viib autor lugeja palverännakule (või turismiretkele) Eesti poole Setomaa tähtsatele kirikupühadele Saatse, Värska ja Obinitsa kirikutesse (põgusalt ka Petseri Varvara kirikusse). Jeffers Engelhardt kirjeldab taas suure empaatiaga kohalike lauljate arusaamu õigest laulmisest ning kuuldelisi kogemusi sealsest laulust, vaatamata sellele et siinsed välitööd on olnud selgelt teistsugused ja põgusamad kui linnakoguduses. Jeffers Engelhardtil on igal juhul olnud häid konsultante ning ta on põhjalikult tutvunud seto kultuuriga, millest annab võõrale lugejale üksikasjalikke ja asjakohaseid sissevaateid (mõni vääritimõistmine siiski esineb, nt. Ristija Johannes kui eksklusiivselt katoliku pühak (lk. 200); eksiarvamus, nagu setod oleksid oma nimede eestistamisel kasutanud rahvapärasteid mugandusi õigeusu nimedest (lk. 201)).

Võõra perspektiivi tõttu on Engelhardt märganud nii mõndagi huvitavat, millele kohalik silm ja kõrv ilmselt tähelepanu ei pööraks. Samas on sellest võõrusest ja ehk ka keelelisest barjäärist tingituna raamatus märgata ka mõningaid väiksemaid vääritimõistmisi. Näiteks on raamatus Tartu Pühade Aleksandrite kirikut nimetatud peaaegu läbivalt Church of All Saints *Alekander*. Samamoodi on kahetsusväärselt juhtunud, et Maria Kõllamägi, kes oli Jeffers Engelhardti üks võtmeinformante Setomaal, on saanud raamatus nimeks *Anna* Kõllamäe. Seoses isikunimede läbisegi nimetamise ja nimetamata jätmisega (nt. Siimeoni ja Hanna lauljatele viidatakse ainult eesnime ja vanusega, Kihnu naistele eesnimega, seto naistele täisnimega) tekib lugejal põhjendatud küsimus, miks on isikuid erinevalt koheldud. Samas on selge, et küsimus informantide kaitsest ongi keeruline. Kuna uuritavad kogudused ja kirikukoorid on piisavalt väikesed, pole isegi juhul, kui varjatakse informandi nime, aga öeldakse näiteks tema sugu ning umbmäärane amet ja vanus, kuigi raske seda pooleldi anonümiseeritud isikut tuvastada.

Igaüks, kes on põhjalikumalt tegelenud eesti regilaulu muusikaga, peaks kahtlaseks väidet Kihnu regilaulu ja õigeusu kirikulaulu (riimilaulu) stiililistest sarnasustest (lk. 129) – on ju üks neist kitsa helireaga, hüpeteta ja „väheemotsionaalne“ ning teine meloodiline, suurte hüpetega ja „ilmekas“. Ilmselt on märganud võõras kõrv siin siis mingeid muid sarnasusi (tämbes, esitusviis). Julgeksin ka helda ka selles, kas näiteks Kuressaare ja Pärnu õi-

geusukirikutes salvestatud laul on ikka „tavaline” koorilaul (lk. 51). Võib-olla oli selline laulmine kunagi üldine, aga ajal, mil Jeffers Engelhardt seda salvestas, oli kahtlemata tegemist keskmisest eesti koorilaulu esteetikast vägagi erineva lauluga. Need klassikalisema häälekooli ja iseloomuliku vibraatoga lauldud laulud tunduvad praegu sama eksootilised ja ohustatud nagu seto või Kihnu kirikulaulgi. Lisaks uurimusele ongi raamatu tähtis osa ka selle juurde kuuluvad Jeffers Engelhardti helisalvestised tema välitöödelt, mida võib õigeusukogudustes toimuvate muudatuste tõttu juba praegu suurepäraseks ja nostalgiliseks harulduste kollektsiooniks pidada.

Jeffers Engelhardt on ülima põhjalikkuse ja sisseelamisega uurinud eesti õigeusu kirikulaulu,

ja sealjuures mitte vähem tähtsana õigeusklike elatud usku, s.t. neid igapäevaseid kombetalitusi, mida õigeusklikud Eestis harrastavad. Eesti Apostlik-Õigeusu Kiriku kogudused ja laulud muutumistes saavad Engelhardti teose lugejale justkui imelisel kombel nähtavaks ja kuuldavaks. Nagu mikroskoobi läätse all avanevad erinevad maailmad ja ideoloogiad, mida üks vähemus endas sisaldab. Sama huvitav oleks ilmselt uurimus Moskva Patriarhaadi Eesti Õigeusu Kiriku muusikast ja vagadusest (aga miks mitte ka Püha Platoni ja Püha Issidori Õigeusu Vennaskonna kui marginaalse õigeuskliku sekti pärimuse ja muusika uurimine!) või käsitlus Eesti venelaste õigeusust. Jääb vaid loota, et Jeffers Engelhardt jätkab Eesti muusikakultuuride uurimist.

**Mart Jaanson. *Nikaia-Konstantinoopoli usutunnistuse ladinakeelse normteksti grammatiline, teoloogiline ja muusikaline liigendamine.***

Dissertationes theologiae universitatis Tartuensis 30. Tartu: Tartu Ülikooli Kirjastus, 2014, 371 lk.

—  
Toomas Siitan

Mullu 18. detsembril kaitses Mart Jaanson Tartu ülikoolis filosoofiadoktori kraadi usuteaduse alal julgelt interdistsiplinaarse väitekirjaga ühest kristliku kultuuri tüvitekstist, Nikaia-Konstantinoopoli usutunnistusest, täpsemalt, selle ladinakeelsest versioonist (*Credo in unum Deum* ...). Väitekirja soolidselt mahukas tekst haarab väga erinevaid lingvistilisi ja muusikateaduslikke aspekte, mõlemad seoses sisutõlgendusega süstemaatilise ja praktilise teoloogia aspektist, ning sisaldab suurel hulgal äärmiselt üksikasjalisi analüüse, mis näitavad autori asjatundlikkust väga erinevates valdkondades ning panevad tõsisele proovile lugeja võime neis valdkondades ligilähedaseltki samal määral orienteeruda.

Väitekirja peafookuses on ladinakeelse *Credo* tekst ning seega on töö ülesehituses põhjendatult esikohal selle äärmiselt põhjalik lingvistiline (foneetiline, morfoloogiline, süntaktiline ja stilistiline) analüüs. Autor ei varja aga, et tööd alustades oli tema esmaseks motiiviks avada Arvo Pärdi kolme ladinakeelse usutunnistuse kanoonilisest tekstist lähtuva *tintinnabuli*-stiilis heliteose sügavamaid kontekste. Neist kahe – „Summa” ja „Missa syllabica” *Credo*-osa – algversioonid pärinevad helilooja ainulaadse kompositsioonitehnika algusajast, aastast 1977, ning kolmas on sama teksti oluliselt hilisem muusikaline käsitus tema „Berliini missas” aastast 1990/2002. Vastavalt on mahukas ja sisuliselt väga oluline osa väitekirjast muusikaanalüütiline.

Autor on seadnud endale ambitsioonika sihi käsitleda nii suure sisulise ja ajaloolise kaaluga teksti omamoodi totaalselt – sedavõrd paljudest aspektidest. Lähenemise põhimõte vastab tänapäevase humanitaaria põhitaotlusele, milleks on erinevate uurimisvaldkondade lõimimine. Tõeline interdistsiplinaarsus (rääkimata transdistsiplinaarsusest) jääb töös aga siiski saavutamata: erinevate uurimisvaldkondade väga erinevatest lähtekohta-

dest ja lähenemisviisidest sündinud sedastused jäävad pigem omaette ja tulemuseks on kolm pilku samale tekstile – lingvistiline, teoloogiline ja muusikaanalüütiline –, mis moodustavad huvitava, aga mitte päris orgaanilise terviku. Erinevate analüüside detailirohkus, mis võiks olla väitekirja tugevaks küljeks, saab praegusel kujul pigem selle nõrkuseks, uputades enda alla eesmärgiks seatud sünteesiva tervikpildi.

Eesmärgi ambitsioonikuse tõttu on mõneti problemaatiline ka väitekirja ülesehitus. Töö lähtekoht on sissejuhatuse sõnul suurel määral muusikaline: „Elkõige on see abivahend mõeldud muusika loojaile, tõlgendajaile, kuulajaile ja mõtestajaile ...” (lk. 20). Kuna autor aga tööpoolest ei saa lugejalt eeldada piisavat orienteerumist kõigis väitekirjas käsitletavates valdkondades, nõuavad väga spetsiifilised lähenemisviisid arusaadavalt mahukaid tutvustavaid sissejuhatusi, meetodite paljususe hakkab sel viisil aga töö eesmärki pigem hägustama.

Töö fookus on riskantselt mitmetahuline juba lähteülesandest alates. Kuigi dissertandi esmaseks motiiviks oli Arvo Pärdi teoste käsitlemine, on töö lõppfaasis põhiteemaks muutunud usutunnistuse tekst. Oleks lähteülesanne kujunenud vastupidises järjekorras, poleks muusikaliste näidete valik pruukinud Arvo Pärdi kasuks langeda: mitte ainult helikeel pole tema loomingus äärmiselt individuaalne, vaid lääne muusikakaanonile ebatüüpiline on seal ka sõna ja muusika suhe. Just väitekirja võtmeaspektides, milleks on sõna ja muusika suhe üldiselt ning eriti muusikalise struktuuri seotus tekstistruktuuriga, puuduvad Pärdi komponeerimismeetodil tegelikult eeskujud. Seetõttu mõjuvad töös tõmmatud põgusad paralleelid nii keskaegse liturgilise laulu repertuaariga kui ka klassikalise mitmehäälse kunstmuusikaga otsituna. Piisavalt ei tule väitekirjas esile ka Pärdi loodud muusikaliste struktuuride ainulaadsus,



mistõttu nad ei allu päriselt varasema lääne muusikarepertuaari pinnal tekkinud analüüsimeetoditele.

Meetodite paljususest oleks kindlasti väärinud põhjalikumalt käsitleda töö sisese juhatuses, kus autor jääb hätta väitekirja üldmeetodi määratlemisega: „Minu töö pealkirjas esineb sõna „liigendamine“ ja see annab otsese viite ka töös rakendatud meetodile. „Liigendamine“ tähendab mingi terviku liikmeteks, üksikosadeks lahutamist ja see pole muud kui eestikeelne vaste sõnale „analüüs“” (lk. 21). Niisiis võiks selle väite taandada kaugelt liiga üldiseks lausungiks „töö meetodiks on analüüs“, mis jätab määratlemata analüüsi laadi, täpsemad meetodid, eesmärgi jms. Meetodikirjelduse järgnevasse lõiku, sisuliselt tööprotsessi kirjeldusse, libiseb ootamatult väide, et tegemist on hermeneutilise meetodiga, piisavat katet sellele tekstist aga leida ei õnnestunud.

Suur osa tööst jätab mulje, nagu oleks *Credo* teksti erinevate liigendamisevõimaluste fikseerimine olnud autorile omaette eesmärgiks. Väitekirja sisaldab tohutult hulgal analüütilisi tabeleid, mis sedastavad usutunnistuse teksti erisugust liigendust eri allikais, kaugelt vähem aga järeldusi nendest sedastustest. Näiteks on alajaotuses 3.2.10 (lk. 174 jj) võetud ette kuue gregoriaani *Credo* tänapäevase väljaande liigenduse analüüs ja saadud tulemuseks seitse mahukat tabelit (lisad 6–12, lk. 303–312). Tegemist on väga detailse ja töömahuka analüüsiga, millest pole aga tehtud selgeid järeldusi.

Pärsti muusika kohta pole pädevaid analüüse üleliia palju ja üldiselt tunneb autor uurimiseisu piisavalt hästi. On siiski kahju, et tal on silmist läinud Saale Kareda suurepärane struktuurianalüüs Pärsti „Summast“.<sup>1</sup> Muusikalise analüüsi jaoks toob autor alapeatükis 4.1 esmalt sisse muusikalise parameetri mõiste, mis tundub aga ülearusena. Pärsti tintinnabuli-tehnika aluseks on pigem just muusikaliste parameetrite radikaalne taandatus: tihti ei fikseeri helilooja peale heli kõrguse ja välituse ühtki teist parameetrit ning sageli on isegi vältus fikseeritud suhtelisena, mitte absoluutsena, nagu näiteks teoses „Missa syllabica“. Muusikalise parameetri mõiste asetab Pärsti helikeele

ka ebakohaselt lääne avangardmuusika konteksti: selleteemalises lõigus (lk. 182) mainib autor selliseid nähtusi nagu totaalne serialism, isikuid nagu Pierre Boulez, viitab Reginald Smith Brindle'i tuntud käsitlusele avangardmuusikast ning lubab edaspidi käsitleda Pärsti muusikat parameetrite kaupa. See lubadus jääb aga kohaste parameetrite vähesuse tõttu suuresti katteta.

Jaotuses 4.2.1 antud konspektiivne sissejuhatus *tintinnabuli*-tehnikasse (lk. 183–185) on samas väga asjakohane ja järgneva mõistmiseks oluline. Jaanson toetub siin põhiliselt Paul Hillieri ja Leopold Brauneissi käsitlusviisile, omalt poolt lisab autor aga Schenkeri graafidest tuntud „katusega“ numbrid helistiku astmete märkimiseks, jättes selle uuenduse vajaduse põhjendamata. Kuivõrd tähistatavate helide hulk on minimaalne ja piirdub enam-vähem helistiku põhikolmkõla kolme heliga, siis näib see laen põhjendamatu. Seesuguseid meetodikaalaseid laene leidub töös teisi ja need näitavad küll autori head orienteerumist tänapäevastes muusikaanalüüsi meetodides, kuid mõneti jääb küsitavaks nende kohasus Pärsti stiili ja konkreetsete teoste puhul. Näiteks analüüsitakse alapeatükis 4.2.2.1.4 (lk. 190–193) „Missa syllabica“ *Credo*-osa kooskõla-vertikaale ning määratletakse sealjuures nende konsonantsust või dissonantsust Allen Forte hulgateoreetilisest meetodist laenatud hulgaklasside tabeli abil. Kooskõla dissonantsus on sealjuures aga määratletud euroopaliku tonaalse-atonaalse muusika kontekstis, viidates eriti just atonaalse muusika analüütilistele käsitlustele (Reginald Smith Brindle, Ernst Křenek). Sel puhul vaadatakse aga mööda Pärsti helikeele põhiomadustest – püüdest „lepitada“ kooskõla dissonantsust ja konsonantsust. Samuti pole selles stiilis võimalik vaadelda vertikaalset kooskõla omaette, lahus meloodiahääle ja tintinnabuli-hääle teljestikust. Heliklassiteooria puhul kasutatakse olulise põhimõttena ka okta-viekvivalentsi (s.t. taandatakse kõik pooltoonid samasse oktavisse), Pärsti muusika puhul näib see protseduur aga ebakohane, kuna üksikheli oktavipositsioon on tema kooskõlastruktuuris väga oluline tähtsusega. Kuigi viidatud analüüsi ei saa süüdistada süsteemsuse puudumises, jääb vägisi

<sup>1</sup> Kareda, Saale 2012. Pärsti teosesse „Summa“ kodeeritud informatsiooni uurides. – *Teater. Muusika. Kino* 8–9, lk. 98–109; ingliskeelne algversioon: Kareda, Saale 2012. *The Summa* by Arvo Pärt: the Square and the Circle in One. – *Music & Literature* 1, pp. 61–72.

mulje, et süsteemsus on siin eesmärgiks omaette ja see pole adekvaatses seoses analüüsitava muusikaga.

Mart Jaanson ei varja väitekirjas oma kirge protsesside formaliseerimise vastu, võinuks aga kirjutades endale sagedamini esitada kriitilist küsimust, kas see või teine protseduur aitab kaasa töö peamisele eesmärgile. Selles mõttes küsitava funktsiooniga on näiteks „Summa” meloodiahääle liikumist formaliseeriv skeem ja matemaatilised rotatsioonivalemid (lk. 206–207) ning needsamad „Berliini missa” *Credo* meloodiahääle kohta (lk. 232–237). Siinkohal ei sea ma kahtluse alla mitte kõnealuste analüüside õigsust, küll aga nende otstarbekuse töö eesmärkide saavutamisel. Ma pole pädev hindama rohkeid süntaktilise analüüsi tabeleid väitekirja 2. peatükis, ent ei saa ka üle kahtlusest, et sarnane liiasus kummitab nendeski. Töö vormistus on üldiselt väga korrektne, siiski on autor liialdanud peatükkide ülemäärase liigendamisega: kuni viieastmelised alajaotused on sageli ülinapid ning tekst seeläbi üle struktureeritud, mis suuresti raskendab tervikmõtte haaramist.

Esiletoodud probleemid on küllap tuttavad enamikule dissertantidele: materjal on põnev ja selle analüüsimine paneb oskused proovile. Arvo Pärdi muusika juhtmõte *less is more* oleks sel puhul aga hädatarvilik – see hoiaks tervikteksti käestkaduvat fookust. Juhendajad (Urmas Petti ja Mart Humal) võinuks dissertandile meenutada ka nn. Ockhami habemenuga – keskaegsest skolastikast pärit ökonoomsusprintsipi, mis hoiatab uurijat hüpoteeside ja analüüsimeetodite paljususe ning seletuskäikude põhjendamatu kompleksuse eest, kui see pole materjali käsitlemise seisukohalt hädavajalik.

Vaatamata paljudele kriitilistele märkustele tuleb hinnata Mart Jaanson väitekirja äärmist põhjalikkust ja mitmekülsust. Küllap on sellel oluline koht eestikeelses usuteaduslikus kirjasõnas, Arvo Pärdi muusika teaduslikus retseptsioonis avab see aga väga olulisi perspektiive, mis leidmata selles konkreetset tekstis veel päris küpset väljaarendust, valmistavad ette pinnast tulevastele käsitlustele.

## Luubi all muusikakriitika

**Maris Kirme (koost., toim.). *Peatükke eesti muusikakriitikast enne 1944. aastat*.** Acta Universitatis Tallinnensis Artes, Tallinn: Tallinna Ülikooli Kirjastus, 2014, 389 lk.

Ave Mattheus

Ehkki ajakirjandusväljaannetes jääb ruumi kunstiteoste arvustustele aasta-aastalt vähemaks ja selle vähesegi pärast peavad kunstialad üksteisega konkureerima, on huvi kriitikaküsimuste vastu viimasel ajal kasvanud. 2014. aasta augustis arutlesid eri kunstialade aktiivsed kriitikud Vormsi nn. kriitikakoolis kunstikriitika ühiskondliku funktsiooni ja staatuse ning erinevate kunstialade kriitika sisuliste ja vormiliste eripärade üle.<sup>1</sup> 2013. aastal algas kirjanike liidu eestvedamisel seminaride sari „Kriitika olukorrast“, mille algne eesmärk oli selgitada kirjanduskriitika hetkeolukorda, tähendust ja perspektiive, kuid juba on tegeldud ka teiste kunstialade (nt. klassikalise muusika, (muusika)teatri ja kujutava kunsti) kriitika eripärade, kunstikriitiku ilmavaatelise platvormiga ja kultuuriajakirjaniku rolliga.<sup>2</sup> On tekkinud mitmed peamiselt kriitikale keskendunud internetifoorumid, nagu näiteks Luubi All, või meediaplatvormid, nagu näiteks Artishok. Aeg-ajalt võetakse kriitika küsimus mõne kultuuriväljaande veergudel teravamalt fookusesse, nagu tegi seda Sirp 2015. aasta esimesel poolel, või jagatakse ajalehe kaudu sõna otseses mõttes näpunäiteid (algavatele) kriitikutele.<sup>3</sup>

Kuna kriitika kuulub ajaloo, teooria ja didaktika kõrval lahutamatu iga kunstiteaduse struktuuri, tegeldakse sellega ka akadeemilistes ringkondades. Uuritakse kunstiteose metakriitikat ehk kriitika kriitikat või mõnevõrra laiemat nähtust retseptsiooni, üliõpilastele korraldatakse kriitika-seminare, kus omandatakse esmaseid teadmisi ja

oskusi päevakriitika viljelemiseks. Samuti peetakse aeg-ajalt kriitikateemalisi teaduskonverentse, mille tulemused ilmuvad artiklikogumikes.<sup>4</sup>

Ka siin arvustatav artiklikogu „Peatükke eesti muusikakriitikast enne 1944. aastat“, mis ilmus 2014. aastal Tallinna Ülikooli kirjastuse sarjas Artes, on metakriitikateemaline akadeemiline uurimus. See koondab kolme muusikateadlase, Tallinna Ülikooli emeriitdotsendi Maris Kirme, pikka aega Tartu Ülikooli Viljandi kultuuriakadeemias lektorina tegutsenud Maret Tomsoni ja Tallinna Ülikooli viistlase ja praeguse vabakutselise muusikaõpetaja Reelike Tüki mahukaid artikleid muusikakriitikast Eestis enne Nõukogude okupatsiooni. Lisaks on veel Reelike Tüki ja Maris Kirme sissejuhatav artikkel muusikakriitika olemusest, funktsioonidest, liigitusest jms. Kogumiku on koostanud ja toimetanud Maris Kirme ja see on valminud ETF grandri nr. 5391 „Eesti muusikakriitika aastatel 1918–1944“, 2003–2006 raames.

Nagu kogumiku pealkiri ütleb, ei pakuta selles ammendavat ülevaadet kõikidest muusikakriitika aspektidest Eestis enne 1944. aastat, vaid üksnes peatükke sellest. Ajalises mõttes on tähelepanu keskmes 1930. aastad, millega tegelevad nii Maret Tomson kui ka Reelike Tükk oma artiklites. 1930. aastatele keskendumist on põhjendatud sellega, et selleks ajaks oli Eesti muusikaelu märkimisväärselt elavnenud ja muusikakriitika jõudnud institutsionaliseeruda ehk oli tekkinud kindel rühm muusikalise eriharidusega ajakirjanikke (ca. 15 eestikeelset ja sama palju või rohkemgi saksakeel-

<sup>1</sup> Vt. Grigor, Indrek 2014. Kutselised harrastuskriitikud Vormsil. – *Sirp*, 5. september, <http://www.sirp.ee/s1-artiklid/c6-kunst/kutselised-harrastuskriitikud-vormsil/>.

<sup>2</sup> Vt. selle sarja kohta Pilv, Aare 2014. Kaasaloova kriitika hüpotees. – *Sirp*, 21. november, <http://www.sirp.ee/s1-artiklid/c7-kirjandus/kaasaloova-kriitika-hupotees/>.

<sup>3</sup> Väljataga, Märt 2005. Paar palvet retsensendile. – *Sirp*, 28. oktoober.

<sup>4</sup> Viimane teaduskonverents, mis keskendus kriitikale kui sellisele ja oli ka veel distsipliinideulene, toimus minu andmetel Tallinna Ülikoolis 2006. aastal ja sellest ilmus ka artiklikogu. Vt. Veidemann, Rein, Maris Kirme (toim.) 2008. *Kriitika diskursus: minevik ja tänapäev*. Acta Universitatis Tallinnensis / Tallinna Ülikooli toimetised A 28 Humaniora, Tallinn: Tallinna Ülikooli Kirjastus.

set muusikakriitikut), kes töötasid kas lepingulisena suuremate päeva- ja nädalalehtede juures, kus oli sisse seatud oma regulaarne muusikaelu kajastav rubriik, või spetsiaalsete muusikaväljannete juures. Eesti muusikakriitika varasemaid perioode – Maris Kirme sõnul (lk. 9) saavutas eestikeelne muusikakriitika arvestatava taseme 20. sajandi alguseks, millest järelتان, et see oli olemas ka juba varem, 19. sajandil – ei ole käsitletud. Siiski on Maris Kirme oma artiklis, mis tegeleb eri põlvkondade muusikakriitikute maitseotsustega ja publiku muusikalise maitse kujundamisega, tutvustanud 20. sajandi esimestel kümnenditel tegutsenud muusikakriitikute Leonhard Neumani ja Rudolf Tobiase töid. Mulle kui muusikat nautivale, kuid mitte süvitsi tundvale inimesele oleks olnud huvitav teada, millised olid need kõige esimesed teadaolevad eestikeelse muusikakriitika ilmingud. Kes olid esimesed eesti keeles muusikast kirjutanud inimesed, mis teemadel ja kus nad sõna võtsid? Kas Karl August Hermann, kellest Kirme lühidalt juttu teeb, oli esimene ja ainus 19. sajandi eesti muusikakriitik või oli ajal teisi muusikast kirjutajaid? Oletan, et need võisid olla baltisakslased või saksastunud eesti rahvusest inimesed, kes eesti keeles mõne kontserdi või heliteose kohta sõna võtsid, sest ka eesti kirjanduse ja kujutava kunsti kriitilise mõtestamise alguses seisavad baltisakslased. Eesti muusikakriitika kõige varasemate (baltisaksa mõjutustega?) arengute skitseerimine oleks loonud hea silla Reelike Tüki artiklile.

Siit jõuan ühe olulise teemani, mille kogumik tõstatab. Nimelt ei räägita selles muusikakriitikast mitte ainult kui eesti keeles ja eestlaste kirjanatud tekstikorpusest, vaid ka kui Eesti territooriumil loodud võõrkeelsest diskursusest. Ehk keele- ja veresideme kõrval tähtsustatakse ka kultuuri maiskondlikku dimensiooni. Reelike Tüki artikkel keskendub nimelt saksakeelsele muusikakriitikale 1930. aastate Eestis baltisakslaste olulisima ajalehe *Revalsche Zeitung* näitel. Sarnast uudset lähenemist eesti kultuurile, kus selle varasemaid arenguid vaadeldakse baltisaksa kultuuri mõjuväljas, sellega paralleelselt kulgeva ja/või läbi-põimununa, võib viimastel aastatel täheldada ka kirjanduse ja kujutava kunsti uurimises. Minu meelest on selline vaatepunkt igati tervitatav, sest eesti kultuur ei eksisteeri ju vaakumis, vaid on/oli intensiivses suhtluses paljude erinevate kultuuridega, sealhulgas ka nendega, millega jagatakse

või on varasematel aegadel jagatud ühist territooriumi. Samas on selge, et kultuuri uurimine maiskondlikust põhimõttest lähtuvalt toob kaasa palju uut materjali ja põnevaid uurimisküsimusi, kuid nõuab ka mõnevõrra teistsuguseid uurimismetodeid kui seni käibel. Vaadeldav kogumik astub sel uudsel uurimisväljal küll julgeid samme, kuid võib-olla tasuks veel kord läbi mõelda, kas valitud viis, kuidas eesti ja baltisaksa (ja laiemalt euroopa) muusikakriitika koosseksisteerimist või üleüldse muusikakriitilise mõtte kujunemist Eestis uurida, on kõige optimaalsem. Praegusel juhul väidetakse eessõnas, et saksakeelne muusikakriitika oli „paljudes joontes eeskujuks eestikeelsele kriitikale” (lk. 9), kuid artikleid lugedes jääb selgusetuks, milles see eeskuju ikkagi seisnes. Ma ei märganud, et kusagil oleks räägitud sellest, kuidas ühe või teise (balti)saksa kriitiku seisukohad või stiil võiks olla eesti kriitikut mõjutanud. Samas oleks ju vägagi põnev teada saada, kust eesti kriitikud ikkagi oma ideid ammutasid, millistest mõttekäikudest, teooriatest, ideoloogiatest omal ajal vaimustusid ja milliseid transformatsioone nende seisukohad enne Eesti publikuni jõudmist läbi tegid. See aitaks meil paremini mõista nii eesti muusikakriitika kujunemist kui ka selle toonaseid ja praegusi suhteid teiste kultuuride sarnaste traditsioonidega. Siinses kogumikus rakendatud kvalitatiivse uurimismeetodi asemel aitaks seda minu hinnangul paremini saavutada diskursuseanalüüs. Kui kvalitatiivne uurimismeetod kujutab endast uuritava tekstikorpuse kirjeldamist, sellest oluliste mõttekäikude väljanappimist ja nende süstematiseerimist ning tõlgendamist, siis diskursuseanalüüs tegeleb nii teksti mikroanalüüsiga (sõnavara, metafoorid, lausungid, teema, stiil jne.), pöörab tähelepanu tekstile ja selle kontekstile kui uurib laiemalt ka ühiskondlikke võimusuhteid, s.t. ühelt poolt protsesse, mis teksti mõjutavad, ja teiselt poolt protsesse, mida tekstid omakorda ise käivitavad. Läheks liiga pikale selgitada, kuidas diskursuseanalüüs konkreetse materjali peal välja näha võiks, kuid olen veendunud, et just see meetod annaks kõnekaid tulemusi samas kultuuriruumis eksisteerivate erikeelsete tekstitraditsioonide paralleelsuste ja põimumiste uurimisel ning pakuks tõeliselt uusi ja huvitavaid teadmisi eesti muusikakriitilise mõtte kujunemisest.

Kui ajalisel plaanis on kogumiku fookuses 1930. aastad, siis sisulisel plaanis on rõhk kontserdikriitikal, millele keskenduvad nii Maret Tom-

son kui ka Reelike Tükk oma artiklites. Minu kui mitte erialaspetsialisti jaoks oli silmiavav kontserdikriitika liigendamine esitus-, teose- ja organisatsioonikriitikaks, millest on kirjutatud suure asjatundlikkusega. Kirjandusnimesena nautisin väga arvustuste kujundikeele, stiili ja ülesehituse analüüsi, mis mängivad muu hulgas olulist rolli ka diskursuseanalüüsis.

Kui nüüd lõpetuseks peatuda lühidalt ka artiklil ja lähtuda sellest, et mistahes kriitika tegeleb laias laastus kritiseeritava kirjeldamise, tõlgendamise ja hindamisega ning selle eesmärk on publiku harimine, tema maitse parandamine, siis võib öelda, et Maris Kirme keskendub oma artiklis kriitikale kui publiku maitseotsuste suunajale (hindav aspekt). Tema artikkel pealkirjaga „Eesti muusikakriitikute põlvkondlikud maitseotsused ja maitse normeerimine“ vaatlleb, kuidas 20. sajandi esimese poole eesti muusikakriitikud (Rudolf Tobias, Leonhard Neuman, Karl Leichter) on oma kirjutistes propageerinud teatud muusikalisi vorme (nt. koorilaul, orkestrimuusika, ooper jt.) ja arutlenud nende sobivuse üle Eesti oludesse. Selle artikli esimese osa moodustab pikk refereering muusikalise maitse kujunemisest läänemaailmas, mis põhineb peamiselt William Weberi uurimusel (2008)<sup>5</sup> ja mõjub tegelikku teemat silmas pidades mõnevõrra kunstlikuna. Kui aga arvestada seda, et antud kogumikul on sissejuhatava teooriaosa tõttu potentsiaali saada muusikakriitika-alaseks õppematerjaliks, siis on selline ülevaade muusikalise maitse kujunemisest igati asjakohane. Kahju ainult, et Immanuel Kantile, kes on üks esimesi esteetilise maitse kontseptsiooni väljatöötajaid, ja Georg Friedrich Wilhelm Hegelile, kes pani aluse tänapäevalgi kehtivale arusaamale kunstiteosest kui ideede ja ideaalide kehastajast, on viidatud kaude.

Maret Tomsoni ja Reelike Tüki uurimused vaatlevad kriitikat selle kõigis kolmes aspektis, nimelt kui kirjeldavat, tõlgendavat ja hindavat tegevust. Kui Maret Tomsoni artikkel „Eestikeelse kontserdikriitika põhijooni 1930. aastail“ esitab eesku-

juliku kvalitatiivse analüüsi mainitud perioodi eestikeelsete ajalehtede baasil, siis Reelike Tükk pakub oma artiklis „Saksakeelse muusikakriitika institutsioonist, ideedest ja väärtusorientatsioonidest Eestis aastatel 1930–1944 ajalehe Revalsche (Revaler) Zeitung näitel“ samasugust analüüsi ühe saksakeelse ajalehe näitel. Valitud meetodi piires ei ole neile uurimustele midagi ette heita – analüüs on asjatundlik ja põhjalik, joonealused viited, kus on toodud info kas mõne isiku, väljaande või heliteose kohta ning esitatud tsiteeritud tekstilõikude saksakeelsed originaalid, on igati abistavad –, kuid nagu öeldud, leian, et selline lähenemine on oma aja ära elanud ja tänapäeval on olemas uurimismeetodeid, mis võimaldavad sellistele fenomenidele nagu siin uuritav läheneda mitmekülgsemalt. Diskursuseanalüüs ei pruugi olla ainus sobiv lahendus, kuid seda on eesti kultuuri uurimisel juba mõnevõrra rakendatud ja see töötab hästi.<sup>6</sup> Praegusel juhul mõjuvad eri keeles muusikakriitika tekstikorpused justkui üksikute eraldatud saarekestena, mille puhul ei tea, kust nad pärit on, kuidas nad teineteise suhtes asetsevad ja kuidas ümbritsevat mõjutavad või mõjutasid.

Lõpetuseks võib siiski öelda, et kui Maris Kirme sõnusi ei ole muusikakriitikale eesti muusikateaduses veel piisavalt tähelepanu pööratud ja ilmunud on vaid mõned üksikud käsitlused sel teemal (saatesõna, lk. 11), siis on kõnealune kogumik ju tegelikult mitmes mõttes uuenduslik. Kõigepealt seetõttu, et avapeatükis on visandatud teoreetilised lähtekohad muusikakriitika käsitlemiseks. See on tänuväärne sissevaade muusikakriitika mitmekülgsele fenomenile, selle alaliikidesse ja funktsioonidesse, mis võib olla toeks ka teiste kunstialade kriitilise diskursusega tegelemisel ja sobib kahtlemata väga hästi õppematerjaliks ülikoolide muusikakriitika kursustel. Võib-olla oleks soovinud kogumiku artiklites näha rohkem paralleelitõmbamisi teoreetilise peatüki seisukohadega, kasvõi näiteks arutlustes muusikakriitika funktsiooni ja selle olemuse üle (poetiline, ana-

<sup>5</sup> Weber, William 2008. *The Great Transformation of Musical Taste: Concert Programming from Haydn to Brahms*. New York: Cambridge University Press.

<sup>6</sup> Vt. nt. Hinrikus, Mirjam 2011. *Dekadentlik modernsuskogemus A. H. Tammsaare ja nooreestlaste loomingus*. Dissertationes litterarum et contemplationis comparativae Universitatis Tartuens 10, Tartu: Tartu Ülikooli Kirjastus. Hinrikus uurib Tammsaare ja nooreestlaste loomingut modernsuse diskursuse taustal, kasutades põhiliselt Michel Foucault' seisukohti.



löötiline, ideoloogiline, sünteetiline, subjektiivne, objektiivne jne. kriitika) konkreetsetel juhtudel, kuid samas oli artiklites kasutatud sõnavara ühtne ja kõik kolm autorit püsisid avapeatüki teooriarahastikus. Teiseks võib kogumikku uuenduslikuks pidada katse pärast vaadelda eesti muusikakriitikat rahvusülesest vaatepunktist, mis toob eesti muusikateaduse jaoks laiemalt kaasa uued vaatenurgad, võrdlus- ja kontekstualiseerimisvõi-

malused. Kolmandaks on nüüd üsna põhjalikult läbi kirjutatud ühe kümnendi kontserdikriitika. Kui keegi võtaks ette sama mahuka töö ka teiste 20. sajandi alguse kümnendite kohta ja kui selle uurimuse saaks asetada aja- ja asjakohasemale teoreetilis-metoodilisele vundamendile, saaksime teadmised, mis ei ole kõnekad mitte üksnes Eesti muusikaelu, vaid kogu kultuuri kujunemise seisukohalt.

## *In memoriam*

URVE LIPPUS

5.03.1950–13.05.2015

13. mail 2015 lahkus meie hulgast Eesti Muusikateaduse Seltsi alusepanija, Eesti Muusika- ja Teatriakadeemia muusikateaduse osakonna kauaaegne juhataja professor Urve Lippus. Ta pärines tunnustatud muusikute perekonnast: isa oli viiuldaja Endel Lippus, ema pianist Virve Lippus. 1975. aastal lõpetas Urve Lippus Tallinna Riikliku Konservatooriumi muusikateaduse erialal ning asus seejärel tööle Keele ja Kirjanduse Instituuti. Selline töökoha valik oli võimalik tänu mõjukale keeleteadlasele Mart Rimmelile, kes oli huvitatud muusikateaduse arendamisest Eestis ning suutis luua selleks ka mõned töökohad. 1985. aastal kaitses Urve Lippus Moskva Riiklikus Konservatooriumis kandidaativäitekirja, töötas 1992–1993 uurijana Pennsylvania Ülikoolis ning kaitses 1995. aastal Helsingi Ülikoolis doktoriväitekirja, mida Eesti Kultuurkapital tõstis esile preemiaga. Praeguses Eesti teaduskorralduses on need küll sama taseme teaduslikud tööd, ent toona vaatasid mõnedki Moskvast kaitsstud väitekirjale viltu ning Helsingis kaitsstud doktoritöö aitas uurija akadeemilist positsiooni märgatavalt tugevdada.

Tasapisi nihkus Urve Lippuse professionaalne tegevus Eesti Muusika- ja Teatriakadeemia (EMTA) suunas. 1990. aastast kuni kõige viimase ajani tegutses ta EMTA muusikateaduse osakonna (algselt muusikaajaloo kateedri) juhatajana. Organisatoorses töös ongi Urve kõige tähtsamaks saavutuseks kaasaegse muusikateaduse eriala ülesehitamine nii bakalaureuse-, magistri- kui ka doktorioppes. Selle eest pälvis ta 2010. aastal Eesti Kultuurkapitali preemia.

Teaduslikus uurimistöös iseloomustas Urve Lippust mitmekülgsus ja lai haare. Eriti köitis teda

Veljo Tormise looming ja selle seosed läänemeresoome rahvalauluga. 1990. aastate lõpus, kui Tormis oli pidanud aasta jooksul Tartu Ülikoolis vabade kunstide professorina seeria loenguid, koostas Urve koostöös heliloojaga raamatu „Lauldud sõna“, mis ilmus 2000. aastal ja pälvis Eesti Kultuurkapitali aastapreemia. Tegemist on seni kõige põhjalikuma käsitlusega Tormise loomingust. Silmapaistvaks teaduslikuks saavutuseks tuleb pida 1939. aastast pärit eesti muusika helisalvestiste väljaandmise ettevalmistamist ja 12 CD avaldamist koos mahuka artiklikogumikuga 2009. aastal, mis samuti pälvis Kultuurkapitali aastapreemia.

Palju energiat kulutas Urve Lippus eesti muusika ajaloo koostamise ettevalmistustele, millest annab tunnistust sarja „Eesti muusikaloo toimetised“ üheksa köite toimetamine ja kaasautorlus. Tema juhendamisel on valminud hulk bakalaureuse-, magistri- ja doktoritöid mitmes valdkonnas. Osakonnajuhatajana oli Urve Lippus väga tolerantne ning võimaldas osakonna liikmetel tegutseda vastavalt nende teaduslikele huvidele. Tema panus EMTA muusikateaduse osakonna arengusse on hindamatu ja püsiv, tema toimetatuna on ilmunud ka suurem osa muusikaakadeemia teadusväljaannetest. 2009. aastal asutas ta muusikateaduse aastaraamatu Res Musica ja oli selle kuue aastakäigu peatoimetajaks.

Urvet jäävad mäletama poeg perega, õde ja vend perekondadega, tema paljud töökaaslased ja suur hulk tänulikke õpilasi.

Eesti Muusikateaduse Selts  
Eesti Muusika- ja Teatriakadeemia

## *In memoriam*

URVE LIPPUS

5 March 1950 – 13 May 2015

On 13 May 2015 we lost a main figure behind the foundation of the Estonian Musicological Society and a long-time Head of the Department of Musicology at the Estonian Academy of Music and Theatre – Professor Urve Lippus. She came from a family of well-known musicians: her father, Endel Lippus, was a violinist, her mother, Virve Lippus, a pianist. In 1975, she graduated from the Tallinn State Conservatory (now Estonian Academy of Music and Theatre) as a musicologist and started work at the Institute of Estonian Language and Literature. She was offered employment at the Institute by influential linguist Mart Rimmel who was interested in developing musicology in Estonia. She defended her candidate dissertation at the Moscow State Conservatory in 1985, worked 1992–1993 as researcher at the University of Pennsylvania, and defended her PhD in 1995 at the University of Helsinki. Her doctoral thesis received an award from the Cultural Endowment Foundation of Estonia. In today's structure of research organization in Estonia, the candidate and PhD are doctorate degrees of academic equivalence, but in those times, a thesis defended in Moscow was implicitly considered inferior to the one defended elsewhere, preferably in the West. Thus the PhD from Helsinki considerably helped Urve to strengthen her academic position as a researcher in Estonia.

Gradually Urve Lippus's professional activities shifted towards the Estonian Academy of Music and Theatre (EAMT). From 1990 until recently she was Head of its Musicology Department (originally: Chair of Music History). Urve Lippus's greatest organizational achievement was the establishment and development of a contemporary musicology curriculum at the levels of bachelor, master and doctoral studies at the EAMT. For that she was awarded a prize from the Cultural Endowment Foundation of Estonia in 2010.

Urve Lippus's research interests were wide-ranging. She was particularly fascinated by Veljo Tormis's oeuvre and its relations with the runic song tradition of Baltic Finnish people. In the late

1990s, Tormis delivered a course of lectures as Professor of Liberal Arts at the University of Tartu. On the basis of those lectures and in cooperation with the composer, Urve compiled and edited a book entitled "Sung Word" ("Lauldud sõna") that was published in 2000. That book received the annual award from the Cultural Endowment Foundation of Estonia. It is to date the most meticulous and thorough study of Tormis's oeuvre. Among her most distinguished academic accomplishments is her work with the historical Estonian sound recordings from 1939 and the publication of this material in 2009 on 12 CDs accompanied by a substantial collection of articles. This major contribution received another annual award from the Cultural Endowment Foundation of Estonia.

Urve Lippus was devoted to preparing the publication of a new, comprehensive, co-authored treatise on Estonian music history. The nine volumes of the *Publications in Estonian Music History* that she compiled and edited, not to mention the articles she herself contributed, bear witness to this major undertaking. Numerous BA, MA and PhD theses in various musicological fields and on a wide variety of topics have been successfully completed under her supervision. As Head of the Department, Urve Lippus was tolerant and broad-minded in letting staff members operate in accordance with their own specific research interests. Her contribution to the development of the Department of Musicology at the EAMT is invaluable and enduring as was her work as an editor of most of the EAMT's academic publications. Additionally, in 2009 she founded the musicology yearbook *Res Musica* and served as the editor in chief for its first six volumes.

Urve will be sadly missed and fondly remembered. She leaves behind a devoted son with his family, as well as her sister and brother with their families, not to mention her many appreciative colleagues and her numerous grateful students.

Estonian Musicological Society  
Estonian Academy of Music and Theatre

## Muusikateadusliku elu kroonikat 2014/2015

Koostanud Anu Veenre, EMTSi sekretär

### Eesti Muusikateaduse Selts

Hooaeg 2014/2015 oli EMTSile 23. tegevusaasta. Majandusaasta aruande lõpul, 30. septembri 2015 seisuga on seltsil 87 liiget.

Seltsi üldkoosolekul 24. novembril toimusid juhatuse ja revisjonikomisjoni korralised valimised. Juhatuse senisest koosseisust soovis end tagandada Maarja Kindel, kelle asemele valiti uueks juhatuse liikmeks Saale Konsap. Juhatuse volitus kestab kolm aastat ning koos Konsapiga jätkavad selles nüüd Kerri Kotta (seltsi esimees), Allan Vurma (aseesimees), Kristina Kõrver ja Anu Schaper. Revisjonikomisjoni moodustasid eelolevaks hooajaks Eerik Jõks (esimees), Aleksandra Dolgoplova ja Marju Raju.

Üldkoosolekuga samal päeval toimunud **Leichter'i päeva** ettekande pidas seekord Göttingeni ülikooli muusikateaduse professor Andreas Waczkat teemal „An Irishman and an Italian Piano Maker in Russia: Mobilities as a Concept of Musical Historiography”. Leichter'i päeva ettekanded on olnud alati avatud kõigile asjahuvilistele ja ka seekord oli kuulajate hulgas palju huvilisi, kes polnud otseselt seotud seltsi tegevusega.

Rahvusvaheliselt haardelt oli seltsile möödunud hooaja suurimaks ettevõtmiseks muusikaloo konverentsi korraldamine Eesti Muusika- ja Teatriakadeemias (5.–7. veebruarini 2015). Kahasse muusikaakadeemiaga korraldatud üritus toimus ühtlasi 44. Balti muusikateaduse konverentsi egiidi all ning keskendus seekord linnade muusikaelule Euroopa põhjapoolsemas osas, mida vaadeldi ühtse kultuuriruumina („**Urban Musical Life in Northern European Common Cultural Space**” // „**Städtisches Musikleben im gemeinsamen Kulturraum des nördlichen Europa**”). Tulenevalt uurimisteemadest, allikatest ja esinejaist olid konverentsi ametlikeks keelteks inglise ja saksa keel. Kavas oli 22 ettekannet Saksa, Rootsi, USA, Läti, Leedu, Vene ja Eesti uurijatelt (meilt Aleksandra Dolgoplova, Heidi Heinmaa, Urve Lippus, Kristel Pappel ja Toomas Siitan). Ettekannetes käsitleti peamiselt 17.–19. sajandi muusikalugu, sh. puudutati mitmel juhul muusikaloo uurimise metodoloogilisi küsimusi. Konverentsi peaesinejaks oli üks tänapäeva väljapaistvamaid muusikaloo-

lasi Hermann Danuser Berliini Humboldti ülikoolist, kelle ettekanne oli teemal „*Datum – Factum – Fictum: Perspectives in Music Historiography*”. Konverentsi kokkuvõtete vihikuga saab tutvuda seltsi kodulehel (<http://www.muusikateadus.ee/en/rubriik/conference2015>).

Seltsi traditsiooniline ühepäevane kevadkonverents ehk **Tartu päev** toimus 18. aprillil Vane-muise kontserdimaja „Salva” saalis. Seekord koonduisid kõik ettekannete teemad klaveriteemaliste küsimuste ümber. Konverentsi avaettekande pidas Urve Lippus, teemaks klaver kui kodumuusika pill enne muusikamasinate ajastut, ning sellele järgnes Elisabeth Hõbesalu käsitus Ernst Hiisi tegevusest 1930. aastate klaveriäris. Tänapäevast klaveritööstust, sh. pillide kõlaga seotud küsimusi tutvustas Estonia klaverivabriku omanik Indrek Laul ning Jorma Tootsi ettekanne keskendus orkestriteoste klaveritranskriptsioonidele. Eesti ajalooliste klaverite uutest leidudest kõneles Alo Põldmäe, kes ühtlasi tutvustas kuulajatele Vane-muise kontserdimajas parasjagu toimunud tahvel- ja haamerklaverite näitust.

Lisaks osales selts ka taas interdistsiplinaarse teadusürituse „**Kotzebue-kõnelused**” IV korraldustöös (4.–5. september 2015, EMTA orelisaal ja Kõue mõis). Ettekannetega esinesid Eesti ja Saksa kirjandus-, kunsti- ja muusikateadlased. Eesti muusikateadlastest pidas ettekande Kristel Pappel.

Seltsi 2015. aasta **kultuurilooline sügismatk** toimus 12.–13. septembril Põhja-Lätisse ja kulges mööda ajaloolise Liivimaa kauneid radu. Esimesel päeval külastati Gaujiena rahvusparki (sh. Jāzeps Vītolsi majamuuseumi), tutvuti Jānis Cimze seminariga seotud Rauna linna ja selle ajaloolise kindlusega ning külastati Cēsise uut, 2014. aastal avatud kontserdimaja. Matka teise päeva peamiseks vaatamisväärsusteks kujunesid Ungurmuiža mõisakompleks ning Sietinieze rahvuspark maaliliste liivakivipaljanditega.

### Aastaraamatu Res Musica 6. number

EMTSi asutajaliikme Urve Lippuse surm 2015. aasta kevadel puudutas valusalt ka Res Musica toimetust. Lippus oli selle väljaande peamisi init-

siaatoreid ning peatoimetaja alates aastaraamatu asutamisest 2009. Käesolevast aastast jätkab samal ametikohal Toomas Siitan.

Res Musica 2014. aasta ehk 6. numbrit esitleti traditsiooniliselt Leichtereri päeval. Nagu numbrit seekordne koostaja Toomas Siitan väljaande saatel märgib, jõudis aastaraamat oma kuuenda numbriga muusikateaduse erinevate uurimisvaldkondade rotatsioonis taas muusikaloo juurde, millest ta 2009. aastal alustas. Kogumiku eestikeelsetele ja muusikaloolistele artiklitele loob metoodilise konteksti sissejuhatav intervjuu Hermann Danuseriga, milles muu hulgas arutletakse Theodor Adorno ja Carl Dahlhausi ideede saatuse üle tänapäeva muusikateaduses. Sellele järgneb tõlketekstina avaldatud Folke Bohlini käsitus Johann Valentin Mederi ooperist „Kindlameelne Argenia”. Anu Schaperi artikkel muusikute mobiilsusest Läänemere ruumi idaosas Rootsi aja teisel poolel keskendub kultuuriülekande teooria sobivusele regionaalse muusikaloo konstrueerimisel. Kaasaegse historiograafia uusimaid suundi, sh. nn. mikroajalugude uurimist, peegeldavad kogumikus ka Aleksandra Dolgoplova käsitus perekondlike talituste muusikast hilise Rootsi aja Narvas ning Heidi Heinmaa 18. sajandi varaloenditele tuginev analüüs kujutamaks tolleaegsete linnamuusikute ja kantorite eluolu ja töötingimusi. Samasse mikroajalugude rühma kuuluvad veel Anu Kõlari uurimus Oleviste koguduse muusikaelust varasemal nõukogude perioodil ning Kristel Pappeli ja Toomas Siitani ühisartikkel Bachi ja Wagneri kaalukamate teoste retseptsioonist 19. sajandi lõpu Vene keisririigis. Kogumiku kaks viimast uurimust avavad Euroopa muusikaloo klassikalisi teemasid uuest vaatevinklist: Kesken- duses muusika rollile Boethiuse teoses „Filosoofia lohutusest”, tutvustab Ave Teesalu oma artiklis Euroopa keskaja muusikakäsitlust ka üldisemalt. Eerik Jõks aga süüvib keskaegse liturgilise laulu ja eelkõige selle tänapäevase retseptsiooni valdkonda, uurides esituse ja noodistuse probleeme väga komplekselt ning võttes sealjuures abiks ka mahukad tajukatsed.

Kogumiku arvustuste rubriik sisaldab kolme 2013. aastal kaitsitud doktoritöö retsensioone: Maris Saagpakk kirjutab Tiit Ernitsa uurimusest „Muusikaõppekirjandus ja laulmisõpetus saksa õppekeele koolides Eestis aastatel 1860–1914”,

Urve Lippus tutvustab Helena Tyrväneni väitekirja Uuno Klami muusikast ning Allan Vurma analüüsib Vaike Kiik-Salupere dissertatsiooni „Esinemiseks valmistumine ja esinemisärevusega toimetulek klassikaliste lauljate vokaalpedagoogikas”. Kogumikus leidub ka Anneli Kont-Rahtola arvustus Krista Sildoja 2014. aastal koostatud raamatule „Äratismäng uinuvale rahvamuusikale: August Pulsti mälestusi”.

Aastaraamatu kõigi varasemate numbritega on võimalik tutvuda seltsi kodulehel [www.muusikateadus.ee/resmusica](http://www.muusikateadus.ee/resmusica). Väljaanded on müügil ka EMTA välissuhete osakonnas ning samuti saab neid tellida, saates meili aadressil [anu.schaper@gmail.com](mailto:anu.schaper@gmail.com).

Kõrvuti uue Res Musica numbriga esitleti Leichtereri päeval veel teistki eestikeelse muusikateadusliku diskursuse seisukohast väga olulist publikatsiooni. Selleks oli kogumik „Peatükke eesti muusikakriitikast enne 1944. aastat”, mis ilmus Maris Kirme koostatuna Tallinna Ülikooli kirjastuse kunstide sarjas 2014. aasta sügisel ning mille retsensiooni saab lugeda ka siinsest aastaraamatust.

Kogumik sisaldab kolm ulatuslikku uurimust, millest esimene, Maris Kirme artikkel käsitleb Eesti muusikakriitike põlvkondlikke maitseotsustusi ja maitse normeerimisega seonduvat. Sellele järgnevad Maret Tomsoni käsitus eestikeelse kontserdikriitika põhijoontest 1930. aastail ning Reelike Tükki põhjalik analüüs saksakeelse muusikakriitika institutsioonist, ideedest ja väärtusorientatsioonidest Eestis aastatel 1930–1944 ajalehe *Revalsche (Revaler) Zeitung* näitel. Väärtusliku lugemismaterjalina sisaldab kogumik ka ulatusliku peatüki teoreetilistest lähtekohtadest muusikakriitika käsitlemisel (autorid Reelike Tükk ja Maris Kirme).

\* \* \*

Loetelu EMTA muusikateaduse osakonna varasematest publikatsioonidest on koos tutvustustega üleval ka kooli kodulehel ([www.ema.edu.ee](http://www.ema.edu.ee)) rubriigis „Publikatsioonid”. Nende muusikateadlaste publikatsioonid, kes osalevad Eesti ametlikes teadusprojektides ja/või töötavad õppejõudude-na kõrgkoolides, saab internetist kergesti kätte kas ETISest või vastavate kõrgkoolide aastaaruan- netest.

## AUTORID/AUTHORS

**ILDAR D. KHANNANOV** (1963) on Johns Hopkinsi Ülikooli Peabody instituudi muusikateooria professor. Ta on Vene Muusikateooria Seltsi (OTM) teadusnõukogu aseesimees, EUROMACi teaduskomitee liige. Doktorikraadi omandas ta California Ülikoolis Santa Barbaras muusikateooria alal väitekirjaga „Russian Methodology of Musical Form and Analysis” (2003, juh. Pieter C. van den Toorn). Ta on õppinud muusikateooriat Moskva Konservatooriumis (1982–1988) ja seelses aspirantuuris (1990–1993) Juri Holopovi ja Valentina Holopova juures ning filosoofiat California Ülikoolis Irvine’is (1997–2000) Jacques Derrida juures. Tema uurimisvaldkondade hulka kuuluvad muusikaline vorm ja analüüs, harmoonia, muusikateooria ajalugu, vene muusikateooria, semiootika ja postmodernne muusikateooria.

**ILDAR D. KHANNANOV** (1963) is Professor of Music Theory at Peabody Conservatory, Johns Hopkins University. Khannanov is Vice-Chair of the Scientific Council of the Russian Society for Theory of Music (OTM) and a member of Scientific Committee of EUROMAC. Has earned Ph.D. in music theory from UCSB (2003) with the dissertation *Russian Methodology of Musical Form and Analysis* (under the supervision of Pieter C. van den Toorn). Dr. Khannanov studied music theory at the Moscow Conservatory (1982–1988) and its *aspirantura* (1990–1993) with Yuri Kholopov and Valentina Kholopova and philosophy at UC Irvine (1997–2000) with Jacques Derrida. The scope of Dr. Khannanov’s interests covers musical form and analysis, harmony, history of music theory, Russian theory, semiotics and post-modern theory of music.

*E-mail: solfeggio7@yahoo.com, ikhanna1@jhmi.edu*

**DAVID LODEWYCKX** (1978) on lõpetanud Lemmensinstituut’i (Leuven, Belgia) muusikateooria alal (2003) ja Leuveni Ülikooli muusikateaduse alal (2007). 2007–2011 töötas ta Leuveni Ülikooli muusikateaduse osakonnas prof. dr. Pieter Bergé assistendina. Alates 2012. a. märtsist kirjutab ta väitekirja Marpurgi galantsest kadentsist. 2013–2014 resideerus ta teadurina Baselis (Šveits) Schola Cantorum juures. Praegu õpetab ta Maastrichti Muusikaakadeemias (Holland) muusikateooriat ja muusikaajalugu. Tema uurimisvaldkonnad on muusikateooria ja -analüüsi pedagoogika, 18. sajandi esitustraditsioonid, kadentsiskeemid, harmooniline analüüs.

**DAVID LODEWYCKX** (1978) studied music theory at the Lemmensinstituut, Leuven (2003) and musicology at the University of Leuven (2007), Belgium. Between 2007 and 2011, he served as a research assistant for Prof. Dr. Pieter Bergé at the musicology department of the Leuven University. Since March 2012, he is working on his Ph.D. about Marpurg’s galant cadence. In 2013–2014, Lodewyckx was in residence at the Schola Cantorum Basiliensis, Switzerland, as a research fellow. Mr. Lodewyckx currently teaches music theory and music history at the Maastricht Academy of Music, the Netherlands. His research interests follow the pedagogy of music theory and analysis, partimenti and solfeggi, cadential schemata, and harmonic analysis.

*E-mail: david.lodewyckx@arts.kuleuven.be*

**CHARITY LOFTHOUSE** (1976) omandas doktorikraadi muusikateoorias CUNYs (City University of New York, Graduate Center) väitekirjaga sonaaditeooriast ja Dmitri Šostakoviši varaste sümfooniade hübriidsest vormist. Ta on pidanud ettekandeid ja andnud loenguid seotuna järgmiste institutsioonidega: Society for Music Theory, Music Theory Midwest, Music Theory Society of New York State, the Eastman School of Music; samuti konverentsidel Austrias, Eestis ja Venemaal. Enne Hobart ja William Smithi Kolledžis dotsendina tööle asumist õpetas Lofthouse Baruchi ja Hunteri kolledžites ja Oberlini Konservatooriumis. Tema peamine uurimisvaldkond on vormiprotsessid, eriti sonaaditeooria 20. sajandi muusikas ja vorm filmimuusikas.

**CHARITY LOFTHOUSE** (1976) received her Ph.D. in music theory from the Graduate Center of the City University of New York, where her dissertation focused on Sonata Theory and formal hybridity in Dmitri Shostakovich’s early symphonies. She has presented papers and lectures at the Society for Music Theory, Music Theory Midwest, Music Theory Society of New York State, the Eastman School of Music, and at conferences in Austria, Estonia, and Russia. Before joining the faculty of Hobart and William



Smith Colleges in 2011 as assistant professor of music, Lofthouse taught at Baruch and Hunter Colleges and at Oberlin Conservatory. Her main research focus is formal processes, specifically Sonata Theory in twentieth-century music and form in film music.

E-mail: [lofthouse@hws.edu](mailto:lofthouse@hws.edu)

**STEVEN VANDE MOORTELE** (1979) on Toronto Ülikooli muusikateooria dotsent. Ta on raamatu „Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky” (Leuven, 2009) autor ja kogumiku „Formal Functions in Perspective: Essays on Musical Form from Haydn to Adorno” (Rochester, 2015) kaastoi metaja. Peagi on Cambridge'i Ülikooli kirjastuselt ilmumas teine monograafia, „*The Romantic Overture and Large-Scale Musical Form: From Rossini to Wagner*”. Vande Moortele on ka ajakirja *Music Theory & Analysis* kaastoi metaja.

**STEVEN VANDE MOORTELE** (1979) is Assistant Professor of Music Theory at the University of Toronto. He is the author of *Two-Dimensional Sonata Form: Form and Cycle in Single-Movement Instrumental Works by Liszt, Strauss, Schoenberg, and Zemlinsky* (Leuven, 2009) and co-editor of the collection *Formal Functions in Perspective: Essays on Musical Form from Haydn to Adorno* (Rochester, 2015). A second monograph, *The Romantic Overture and Large-Scale Musical Form: From Rossini to Wagner*, is forthcoming from Cambridge University Press. Vande Moortele is also a co-editor of the journal *Music Theory & Analysis*.

E-mail: [steven.vandemoortele@utoronto.ca](mailto:steven.vandemoortele@utoronto.ca)

**CECILIA OINAS** (1979) on Sibeliuse Akadeemia / Helsingi Kunstide Ülikooli (Taideyliopisto) doktorant ning ühtlasi muusikateooria ja -analüüsi õpetaja. Tema teadustöö keskmes on analüüs ja esitusuuringud, klaveriga kammermuusika, Felix Mendelssohn ja Robert Schumann, sonaadivorm, Schenkeri analüüs; hetkel Mendelssohni ja Schumanni klaveritriod, kusjuures eesmärgiks on kombineerida analüüsi ja esituse aspekte kahedimensioonilisel viisil: analüüsist mõjutatud esitus ja analüüs esituse kaudu. Oinas oli 2008–2009 külalisõppejõud CUNYs (City University of New York, Graduate Center) ja 2011 külalisteadur Orpheuse Instituudis Gentis (Belgia). Pianistina on ta spetsialiseerunud kammermuusikale ja koostööle klassikaliste lauljatega.

**CECILIA OINAS** (1979) is currently a doctoral student and teacher in music theory and analysis at the Sibelius Academy/University of the Arts in Helsinki, Finland. Her research focuses on analysis and performance studies and the chamber music with piano, Felix Mendelssohn and Robert Schumann, sonata form, Schenkerian analysis. She is currently researching the piano trios of Mendelssohn and Schumann with a special aim to combine aspects of analysis and performance in a two-dimensional way: performance influenced by analysis and analysis by performance. She has been a visiting scholar at the Graduate Center of the City University of New York (2008–2009), and a visiting researcher at the Orpheus Institute in Ghent, Belgium (2011). As a pianist, she specializes in chamber music and vocal collaboration.

E-mail: [cecilia.oinas@gmail.com](mailto:cecilia.oinas@gmail.com)

**MICHAEL ORAVITZ** (1964) on dotsent Põhja-Colorado Ülikoolis. Magistri- ja doktorikraadi muusikateoorias omandas ta Indiana Ülikoolis Bloomingtonis. Oravitzi uurimisvaldkonnad on Debussy muusika, vormiuuringud, rütm- ja meetrumiküsimused ning muusikateooria pedagoogika. Ta on avaldanud artikleid Debussyst ajakirjas *Les Cahiers de la Société québécoise de recherche en musique*, pidanud Debussy-teemalisi ettekandeid arvukatel rahvusvahelistel konverentsidel ning avaldanud ka artikleid ajakirjas *Journal of Music Theory Pedagogy*.

**MICHAEL ORAVITZ** (1964) is Assistant Professor of Music at the University of Northern Colorado. Oravitz received his MM and Ph.D., in Music Theory, at Indiana University in Bloomington, Indiana. Oravitz maintains research interests in the music of Debussy, form studies, issues of rhythm and meter, and music theory pedagogy. He has published on Debussy in *Les Cahiers de la Société québécoise de recherche en*

*musique*. Oravitz has presented Debussy-oriented research at numerous international conferences, and has also published in the *Journal of Music Theory Pedagogy*.

*E-mail: michael.oravitz@unco.edu*

**STEPHEN SLOTTOW** (1952) on Põhja-Texase Ülikooli muusikateooria dotsent. Ta omandas bakalaureusekraadi Cleveland State University's, magistrikraadi Queens College'is ja doktorikraadi CUNYs (City University of New York, Graduate Center), kus ta kirjutas dissertatsiooni Carl Ruggersi muusika helikõrguslikust struktuurist. Endise viiuldaja ja bändžomängijana kuuluvad tema teaduslike huvide hulka Ameerika traditsiooniline muusika, Ameerika ultramodernistid ja Schenkeri analüüsi protsess.

**STEPHEN SLOTTOW** (1952) is an Associate Professor of Music Theory at the University of North Texas. He received a Bachelor's degree from Cleveland State University, a Master's from Queens College, and a Ph.D. from the Graduate Center of the City University of New York, where he wrote a dissertation on pitch organization in the music of Carl Ruggles. A former professional fiddler and banjo player, his interests include American traditional music, the American ultramodernists, and Schenkerian analytic process.

*E-mail: Stephen.Slottow@unt.edu*

**AARE TOOL** (1986) on Eesti Muusika- ja Teatriakadeemia doktorant ja ühtlasi muusikateooria lektor. Tema uurimisvaldkondade hulka kuulub 20. sajandi esimese poole Eesti muusika (eriti Eduard Oja) ning vormi ja harmoonia analüüsi teooriad.

**AARE TOOL** (1986) is a doctoral student and lecturer of music theory at the Estonian Academy of Music and Theatre (Estonia). His research interests include Estonian music in the first half of the 20th century (especially Eduard Oja), and theories of form and harmony.

*E-mail: aaretool@gmail.com*

## Teksti saatmine

Res Musica võtab tekste vastu e-posti teel aadressil resmusica@ema.edu.ee. Soovime saada tekste MS Wordi formaadis .doc- või .rtf-failina. Artiklile tuleb lisada resümee ja autori andmed. Resümee ei tohi sisaldada defineerimata lühendeid või täpsustamata viiteid. Me eeldame, et publitseerimiseks esitatud tekste ei ole varem avaldatud ega esitatud avaldamiseks mujal. Artiklile tuleb lisada kõik pildid, noodinäited jne.

## Retsenseerimine

Res Musica laseb kõik artiklid anonüümselt läbi vaadata kahel retsensendil. Seetõttu palume autoritel paigutada oma nimi ja kontaktandmed eraldi lehele ning vältida tekstis või jätta esimesest tekstiversioonist välja formuleeringud ning viited, mis üheselt osutavad teksti autorile. Need on võimalik lisada peale retsenseerimisprotseduuri läbimist.

## Teksti vormistus

Soovime saada tekste järgmises vormistuses:

- reavahe 1,5
- mitte poolitada
- kasutada lühendite puhul punkti.

Kursiivi palume teksti sees panna ainult eestistamata sõnad. Palume eristada mõttekriipsu sidekriipsust ja kasutada mõttekriipsu ka tähenduses 'kuni', näiteks 1999–2003, lk. 2–5. Nimede esmamainimisel palume eesnimi välja kirjutada, samuti tuleb esmakordsel kasutamisel defineerida ebatavalised lühendid. Pikemad tsitaadid palume selgelt omaette lõiguna eristada, soovitavalt ka väiksema kirjaga. Palume leheküljed läbivalt nummerdada. Palume kasutada ainult joonealuseid märkuseid.

## Fotod, noodinäited, joonised, tabelid

Noodinäited, fotod, joonised, tabelid ja muud illustratsioonid tuleb läbivalt nummerdada ja allkirjastada. Kõik allkirjad tuleb tuua ära töö lõpul. Illustreeriv materjal peab olema lisatud eraldi failidena, mille nimed vastavad nimekirjas toodud numbritele (nt. Joonis 1, Näide 1). Fotodel peab olema piisav kvaliteet trükkimiseks. Trükiõigused palume vajaduse korral välja selgitada autoritel endil.

## Viited

Res Musica kasutab tekstisisest viitamist, s.t. teksti sees palume tuua lühiviited, mis sisaldavad tsiteeritava autori nime või teose pealkirja (pealkirja osa või lühendit), nt. (Arro 1933: 24), (EMBL 2007: 45), (Bericht ... 1884). Mitme autori puhul tuleb autorite nimed eraldada komaga, nt. (Hughes, Abraham 1960: 33), kolme või enama autori puhul tuua ära ainult üks nimi, nt. (Tamm jt. 2003: 24). Viited erinevatele teostele palume sulus eraldada semikooloniga, nt. (Dahlhaus 1980: 164; Rink 2002: 72).

Täisviited tuleb ära tuua teksti lõpus kirjanduse loetelus, mitte joonealustes märkustes. Palume viidetes ja kirjanduse loetelus kasutada originaali keelt (nt. eestikeelse väljaande puhul toim., lk.; ingliskeelsel ed., pp. jne.) ja kirjanduse loetelus originaali kohanimekujusid.

- Kirjanduse loetelus palume ära tuua viidatud teose/artikli täielikud andmed: autori nimi, ilmunisaasta ja teose pealkiri (kursiivis), samuti ilmuniskoht ja kirjastus (v. a. perioodika puhul), nt.

Aavik, Juhan 1965–1969. *Eesti muusika ajalugu*. I–IV osa, Stockholm: Eesti Lauljaskond Rootsist.

Arro, Elmar 1933. *Geschichte der estnischen Musik*. Bd. 1, Tartu: Akadeemiline Kooperatiiv.

- Perioodikale palume viidata järgmiselt: artikli ja teose pealkirjad eraldada punkti ja mõttekriipsuga, ära tuua aastakäigu/köite number ja leheküljenumbriid, nt.  
 Arujärv, Evi 2006. Arvo Pärt peeglis. – *Teater. Muusika. Kino* 2, lk. 63–70.  
 Humal, Mart 2011. Counterpoint of Lines or Voices. – *Res Musica* 3, lk. 69–91.
- Kogumikule viidates tuleb ära tuua koostaja/väljaandja/toimetaja nimi, nt.  
 Leichter, Karl 1982. Tallinna muusikaelu XIX sajandil. – *Valik artikleid*. Koost. Johannes Jürisson, Tallinn: Eesti Raamat, lk. 157–199.  
 Rink, John 2002. The profession of music. – *The Cambridge History of Nineteenth-Century Music*. Ed. Jim Samson, Cambridge: Cambridge University Press, pp. 55–86.  
 Ross, Jaan (toim.) 2012. *Encapsulated Voices: Estonian Sound Recordings from the German Prisoner-of-War Camps in 1916–1918*. Köln/Weimar/Wien: Böhlau.
- Jätkväljaannete puhul palume ära tuua aastakäigu/köite number, seeria puhul ka seeria nimetus, nt.  
 Dahlhaus, Carl 1980. *Die Musik des 19. Jahrhunderts*. Neues Handbuch der Musikwissenschaft 6, Laaber: Laaber.  
 Siitan, Toomas 2007. Eesti kooriliikumise lätetest ja selle kiriklikest seostest 19. sajandi esimesel poolel. – *Meeskoor ja meestelaul*. Eesti Muusikaloo Toimetised 8, koost. Urve Lippus, Tallinn: EMTA, lk. 10–22.
- Palume ära tuua ka täpsustused nagu 2. väljaanne, Supplement vmt.
- Viited tuntumate leksikonide artiklitele palume vormistada järgmiselt:  
 Bent, Ian D., Anthony Pople 2001. Analysis. – *The New Grove Dictionary of Music and Musicians*. Vol. 1, ed. Stanley Sadie, London: Macmillan Publishers, pp. 526–589.  
 Deutsch, Diana, John A. Sloboda et al. 2007. Psychology of music. – *The New Grove Dictionary of Music Online*, ed. Laura Macy, <<http://www.grovemusic.com>> (28.12.2009).  
 Danuser, Hermann 1996. Interpretation. – *Musik in Geschichte und Gegenwart*. Sachteil Bd. 4, hrsg. von Ludwig Finscher, Kassel u. a.: Bärenreiter/Metzler, Sp. 1053–1069.  
 Pappel, Kristel 1997. Tubin: Barbara von Tisenhusen. – *Pipers Enzyklopädie des Musiktheaters*. Bd. 6, hrsg. von Carl Dahlhaus u. Sieghart Döhring, München/Zürich: Piper, S. 352–354.  
 Roots, Olav. – *Eesti muusika biograafiline leksikon*. 2. kd., Tallinn: Eesti Entsüklopeediakirjastus, 2008, lk. 213–214.  
 Hiimäe, Mall 2002. Rahvakalender. – *Eesti Entsüklopeedia*. 11. kd., Tallinn: Eesti Entsüklopeedia-kirjastus, lk. 757.  
 Eesti NSV Riiklikud Kunstiansamlid. – *Eesti Nõukogude Entsüklopeedia*. 2. kd., Tallinn: [Valgus], 1970, lk. 45.
- Kui leksikoniartikli autorit pole leksikonis eraldi ära toodud, palume tekstisiseselt viidates kasutada pealkirja lühendit, nt. (EMBL 2008: 44), (ENE 1970: 45). Tervele leksikonile viidates palume samuti kasutada pealkirja lühendit ning lisada aastaarv/väljaanne: Grove 2001, MGG2.
- Viited internetis paiknevatele tekstidele peavad sisaldama aadressi ja vaatamise kuupäeva, nt.  
 Rosen, Charles 2002. Should we adore Adorno? – *New York Review of Books*, October 24, <<http://www.nybooks.com/articles/15769>> (9.02.2009).

- Kui viidatakse veebilehele ilma autorita, palume viide tuua ära joonealuses märkuses, mitte teksti sees.
- Mitme autori puhul palume esimese autori puhul kirjutada kõigepealt perekonnanimi, siis eesnimi, teiste autorite puhul eesnimi, perekonnanimi, nt.  
Hughes, Dom Anselm, Gerald Abraham (ed.) 1960. *The New Oxford History of Music. Vol. III: Ars Nova and the Renaissance (1300–1540)*. London: Oxford Univ. Press.
- Viite lühend või transkriptsioon palume kirjutada kirjanduse loetelus lahti võrdusmärgi abil, nt.  
Album ... 1889 = *Album Academicum der kaiserlichen Universität Dorpat*. Bearbeitet von A[rnold] Hasselblatt und Dr. G[ustav] Otto, Dorpat: C. Mattiesen, 1889.  
Petuhhov 1902 = Петухов, Евгений Вячеславович 1902. *Императорский Юрьевский, бывший Дерптский университет за сто летъ его существования (1802–1902)*. Том 1, Юрьев: [Б.и.].
- Arhiiviviidete puhul palume tekstis kasutada arhiivi lühendit, nt. (TMM M159-1-553), ja tuua arhiivi täisnimi teksti lõpus allikate (mitte kirjanduse) loetelus, nt.  
Teatri- ja Muusikamuuseum, Karl Leichter fondi M159, n. 1, s. 553.
- Kui viidatakse sama autori mitmele ühel aastal ilmunud teosele, siis eristatakse neid järgmiselt: (Tamm 1996a: 42; Tamm 1996b: 255).

# ARTICLE SUBMISSION FOR RES MUSICA

## Submission of text

Articles submitted to *Res Musica* should be emailed to resmusica@ema.edu.ee. A doc- or rtf-file is preferred. A summary of the article as well as information on the author should be included. All abbreviations must be defined, and all references substantiated in the summary. No parts of submitted texts should have been published before or submitted elsewhere. All figures and score examples should be added to the article.

## Peer review

All articles submitted to *Res Musica* will be peer-reviewed anonymously by two reviewers. Therefore, authors' names and contact information should be given on a separate page. Also, direct references to the author's own formulations and previous texts should be avoided in the first version of the submission. These may be added after the reviewing process.

## Formats for text

In your submission please follow the following formats for text:

- Line spacing 1.5
- No hyphenation
- Use of a dot at the end of abbreviations.

Only foreign words in English should be italicised. Please differentiate an en dash (–) from a hyphen (-) and use the former to mean 'until', e.g. 1999–2003, pp. 2–5. The name of every person should be given in full on first mention in the article. Any unusual abbreviations should be defined on first mention. Longer quotations should be given in a separate paragraph, preferably in a smaller font. Pages should be numbered sequentially throughout. For additional information and/or explanatory remarks please use footnotes.

## Figures, score examples, schemes, tables

All score examples, figures, schemes, tables and other types of illustration should be numbered and titled throughout the article. Legends should be given at the end of the article. Please attach all illustrative materials in separate files and title them according to the numbers given in the article's text (e.g. Example 1, Table 1). Be sure that the quality of figures is print-proof. If necessary, copyright issues should be checked by authors themselves.

## References

*Res Musica* uses in-text references, e.g. short references should be given within the text. A short reference consists of the author's surname or the abbreviated title of the book, date of publication, and, if necessary, the cited page number or numbers, e.g. (Williams 2001: 56–57), (Bericht ... 1884). If there are two authors, please separate them with a comma, e.g. (Hughes, Abraham 1960: 33). In the case of three or more authors, please give only one name, e.g. (Deutsch et al. 2007). Short references to several works should be differentiated by a semi-colon, e.g. (Dahlhaus 1980: 164; Rink 2002: 72).

A reference list with full references should be given at the end of the article; please do not use footnotes for this purpose. All information should be given in the original language, e.g. use abbreviations for page numbers of references in English as 'pp.' and as 'S.' or 'Sp.' for page numbers of references in German; references to the editor(s) should be given accordingly as 'Ed.' or 'Hrsg.'. Place names should be given in their original spellings.



- Details in the reference list should include authorship, year of publication, title of the book (italicised), publisher and place of publication (excl. journals):  
Williams, Alastair 2001. *Constructing Musicology*. Aldershot: Ashgate.  
Arro, Elmar 1933. *Geschichte der estnischen Musik*. Bd. 1, Tartu: Akadeemiline Kooperatiiv.
- In references to periodicals please use a dot and en dash to separate the title of the article and work. Please include volume and page numbers:  
Benjamin, William E. 1981. Schenker's Theory and the Future of Music (review of Schenker's *Free Composition*). – *Journal of Music Theory* 25/1, pp. 155–173.  
Humal, Mart 2011. Counterpoint of Lines or Voices. – *Res Musica* 3, lk. 69–91.
- References to the collection of articles should include the name of the editor/compiler:  
Rink, John 2002. The profession of music. – *The Cambridge History of Nineteenth-Century Music*. Ed. Jim Samson, Cambridge: Cambridge University Press, pp. 55–86.  
Ross, Jaan (ed.) 2012. *Encapsulated Voices: Estonian Sound Recordings from the German Prisoner-of-War Camps in 1916–1918*. Köln/Weimar/Wien: Böhlau.
- In the case of publications belonging to a series, please include the series name and its number:  
Dahlhaus, Carl 1980. *Die Musik des 19. Jahrhunderts*. Neues Handbuch der Musikwissenschaft 6, Laaber: Laaber.  
Bergeron Katherine 1998. *Decadent Enchantments: The Revival of Gregorian Chant at Solesmes*. Californian Studies in 19th Century Music 10, Berkeley/London: University of California Press.  
Siitan, Toomas 2007. Eesti kooriliikumise lätetest ja selle kiriklikest seostest 19. sajandi esimesel poolel. – *Meeskoor ja meestelaul*. Eesti Muusikaloo Toimetised 8, koost. Urve Lippus, Tallinn: EMTA, lk. 10–22.
- The edition number should be also given in the reference, unless it is a first edition:  
Straus, Joseph N. 2005. *Introduction to Post-Tonal Theory*, third edition. Upper Saddle River: Pearson / Prentice Hall.
- References to articles from the more common reference books should be given as follows:  
Bent, Ian D., Anthony Pople 2001. Analysis. – *The New Grove Dictionary of Music and Musicians*. Vol. 1, ed. Stanley Sadie, London: Macmillan Publishers, pp. 526–589.  
Deutsch, Diana, John A. Sloboda et al. 2007. Psychology of music. – *The New Grove Dictionary of Music Online*, ed. Laura Macy, <<http://www.grovemusic.com>> (28 December 2009).  
Danuser, Hermann 1996. Interpretation. – *Musik in Geschichte und Gegenwart*. Sachteil Bd. 4, hrsg. von Ludwig Finscher, Kassel u. a.: Bärenreiter/Metzler, Sp. 1053–1069.  
Pappel, Kristel 1997. Tübingen: Barbara von Tisenhusen. – *Pipers Enzyklopädie des Musiktheaters*. Bd. 6, hrsg. von Carl Dahlhaus u. Sieghart Döhring, München/Zürich: Piper, S. 352–354.
- If there is no authorship given in the article or if the whole reference book is meant, please use an in-text reference for the book's abbreviated title and include the year/edition (and, if necessary, page numbers), e.g. MGG2, Grove 2001.
- References to internet materials should include the website address and the date accessed:  
Rosen, Charles 2002. Should we adore Adorno? – *New York Review of Books*, October 24, <<http://www.nybooks.com/articles/15769>> (9 February 2009).

- If the authorship of a cited website is unknown, please give the reference as a footnote rather than using an in-text reference.
- For books with multiple authors, please give the name of the first author as used to (i.e. Surname, First name). Subsequent names of authors should be given in reverse order – the first name followed by surname, without a comma:  
Hughes, Dom Anselm, Gerald Abraham (ed.) 1960. *The New Oxford History of Music. Vol. III: Ars Nova and the Renaissance (1300–1540)*. London: Oxford Univ. Press.
- Abbreviated references or their English transcription should be indicated in the reference list with an 'equals' (=) sign:  
Album ... 1889 = *Album Academicum der kaiserlichen Universität Dorpat*. Bearbeitet von A[rnold] Hasselblatt und Dr. G[ustav] Otto, Dorpat: C. Mattiesen, 1889.  
Petuhhov 1902 = Петухов, Евгений Вячеславович 1902. *Императорский Юрьевский, бывший Дерптский университет за сто лет его существования (1802–1902)*. Том 1, Юрьев: [Б.и.].
- In-text references to archive material should include the abbreviation of the archive's name, its fond number and document number, e.g. (TMM M159-1-553), (SBB Berlin Mus. Ms. autogr. Mozart, W. A. 620). Full reference should be given in reference list as follows:  
Teatri- ja Muusikamuuseum, Karl Leichteri fond M159, n. 1, s. 553.  
Staatsbibliothek zu Berlin Preußischer Kulturbesitz, Musikhandschriften, Mus. Ms. autogr. Mozart, W. A. 620.
- Several works published by the same author in the same year should be differentiated with lower case letter as follows:  
(Tamm 1996a: 42; Tamm 1996b: 255).



