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Dan Viggers

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The Evolution of Modern Music: Tradition and Innovation in Bartók, Schoenberg, and
Stravinsky

by

Dan Viggers

A dissertation presented to
The Graduate School
of Washington University in
partial fulfillment of the
requirements for the degree
of Doctor of Philosophy

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St. Louis, Missouri

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Dan Viggers
Washington University in St. Louis
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ABSTRACT OF THE DISSERTATION

The Evolution of Modern Music: Tradition and Innovation in Bartók, Schoenberg, and

Stravinsky

by

Dan Viggers

Doctor of Philosophy in Music

Washington University in St. Louis, 2019

Professor Ben Duane, Chair

Despite their reputations as musical revolutionaries, Béla Bartók, Arnold Schoenberg, and Igor Stravinsky continually asserted that their styles were not revolutionary, but evolutionary. For each composer, stylistic evolution implied a continuation of the musical traditions and techniques they inherited from their predecessors. While much has been written about the innovative—or revolutionary—aspects of these three composers, less has been written about how their styles connected to the classical tradition. This dissertation attempts to capture the evolutionary aspects of the styles of Bartók, Schoenberg, and Stravinsky. In each chapter, I analyze the interaction of innovative and traditional musical structures. Chapter one discusses the interaction of tonal rhythm and hypermeter with atonal triadic structures in the music of Béla Bartók. Chapter two discusses the interaction of tonal textures and forms with atonal pitch structures in Arnold Schoenberg's music. Chapter three discusses the interaction of tonal musical patterns from the galant era and modern approaches to texture and harmonization in the music of Igor Stravinsky. In addition to the analyses, I also explore the cultural and aesthetic reasons behind the mixture of modern and traditional musical structures.

Introduction: Revolution/Evolution

During the last twenty-five years a great change has come over the whole art of music. The history of music tells us that it has always been subject to changes of style such as have occurred continuously in the history of every art; but most people are probably under the impression that the change which we have witnessed recently, and are indeed still witnessing, represents a revolution to which no parallel can be found since the days of Monteverdi.¹

Edward J. Dent, Introduction to *The Problems of Modern Music*, 1925

Traditionalism closes a chapter, revolt attempts to tear out the pages of the book. A wiser and more progressive art recognises the value of what has been written and begins its new chapter at the point where the last concluded.²

W. H. Hadow, "Some Aspects of Modern Music," 1915

On September 3, 1912, attendees of the eighteenth season of the Promenade Concerts in London filed into Queen's Hall, "promised a sensation."³ The program opened with Humperdinck's Overture to *Hansel und Gretel* (1893), followed by popular selections from Bizet's *Carmen* (1875), an aria from Saint-Saens's *Samson et Dalila* (1877), and Gounod's *Hymne à Sainte Cécile* (1865). The first half of the concert then concluded with the world premiere of Schoenberg's *Five Pieces for Orchestra*. After the intermission, the audience heard Mendelsohn's Piano Concerto no. 1 in G minor (1830-31).⁴ Reviews recount that the audience hissed and booed at Schoenberg's new work, and critics emphasized Schoenberg's break with tradition, suggesting the modern composer "revels in the bizarre."⁵ Percy Grainger said of the

¹ Edward J. Dent, introduction to *The Problems of Modern Music*, by Adolf Weissmann, trans. M. M. Boozman (New York: E.P. Dutton and Co, 1925), v.

² W. H. Hadow, "Some Aspects of Modern Music," *The Musical Quarterly* 1, no. 1 (1915): 64.

³ David Lambourn, "Henry Wood and Schoenberg," *The Musical Times* 128, no. 1734 (1987): 422.

⁴ "Proms 1912 Prom 15," <https://www.bbc.co.uk/events/egpmxj>

⁵ Nicolas Slonimsky, *Music Since 1900*, (New York: Schirmer, 2001), 91.

premiere: “The day before yesterday we heard 5 orchestral pieces by *Arnold Schönberg* the Viennese composer . . . He is the greatest revolution I have witnessed.”⁶

The *Five Pieces*’ premiere—emblematic of concert programming at the time—illustrates the unique role of history in twentieth-century music: music of the past was more present than at any prior time in history.⁷ Had Beethoven’s first symphony premiered alongside music of the late sixteenth and early seventeenth centuries—that of, say, Telemann, Bach, and Pergolesi—it too may have seemed a revolutionary work that “reveled in the bizarre.”⁸

The concert scene of the early 1900s was dominated by music of the past, leading *Vogue* to declare: “We are under a veritable tyranny of the antique.”⁹ In 1910, over 80 percent of the music heard in Vienna, Leipzig, London, and Paris was the music of dead composers.¹⁰ In such an environment, it is not surprising that the words “revolution” or “revolutionary” were so often applied to new music. With music of the past dominating public taste, new music became relegated to interest groups and exclusively new-music concerts. This separation between new and old music created an enmity between living composers and the general musical public.¹¹

Although styles had always undergone transformations and changes, the new presence of historical music created an acute sense of such change among writers from 1900 to 1920. With

⁶ Percy Grainger, “Letter to Karen Holten, September 5th 1912,” in *The Farthest North of Humanness: Letters of Percy Grainger 1901-1914*, ed. Kay Dreyfus (Saint Louis: MMB Music, 1985), 465.

⁷ Schoenberg himself seemed to blame his perception as a revolutionary partly on the concert programming at the time, claiming the musical public needed more familiarity with new music to understand it: “But this will remain impossible, so long as the programmes of established concert-promoters continue to include the occasional new work merely as a kind of curiosity or monstrosity.” Willi Reich, *Schoenberg: A Critical Biography*, trans. Leo Black (London: Longman, 1971), 18.

⁸ Scholars believe Beethoven’s Symphony no. 1 was premiered alongside his own Septet, one of his own piano concertos, excerpts from Haydn’s then two-year-old *Creation*, and a Mozart Symphony. See: Edmund Morris, *Beethoven The Universal Composer* (New York: Harper Collins, 2005), 77-78.

⁹ K. M. Hiram, “Makers of Music,” *Vogue* (1917, Dec 15): 53.

¹⁰ William Weber, *The Great Transformation of Musical Taste: Concert Programming from Haydn to Brahms* (New York: Cambridge University Press, 2008), 171-172.

¹¹ William Weber, “Consequences of Canon: The Institutionalization of Enmity between Contemporary and Classical Music,” *Common Knowledge* 9 (2003): 89-98.

the past stuck in time, traditionalists found any change to established style to be part of a cultural “revolution.” Articles with titles such as “Are the Classics Doomed?” appeared in music periodicals that accused modern composers of attempting to change public tastes and destroy the classics.¹² There is no shortage of articles reinforcing the dichotomy between the new and old, with titles like “Extremists vs. the Rest” or “Progress and Pedantry.”¹³

Much as their predecessors, many modern artists felt a compulsion to connect their art to tradition while making that tradition their own. In his 1923 article “The Evolution of Modern Music in Paris and Vienna,” Darius Milhaud defended modern composers’ right to embrace and build on tradition:

Music develops, continues, and transforms itself with such speed that some listeners and critics cry out that a revolution has come, and halt in the middle of the road. . . . But it is quite natural that those who experience a revolution and only are catching a glimpse of what is being done, cannot at once appreciate the essential and continuous line which binds all the different means of musical expression. . . . I may assert that there is no modern manifestation of musical thought, free as it may be, which is not the outcome of a solid tradition and which does not also open a new and logical path to the future. . . . One cannot invent tradition. One can only accept and bear it, and work on it.¹⁴

In a 1922 article titled “Evolution and Tradition,” French composer Charles Koechlin defended Schoenberg’s *Pierrot lunaire* from accusations of “revolution” and attacked the false traditionalist/revolutionist dichotomy:

These extremes cannot be reconciled if one takes on the one side the reactionaries who are obstinately and hopelessly behind the times and on the other the “iconoclastic, anarchist, futurist amateurs” who wish to burn all the museums; for whom the past does not exist. But is there not truth lying between these extremes? Can there not be evolution without neglect of tradition?¹⁵

¹² D.C. Parker, “Are the Classics Doomed?”, *The Musical Quarterly* 7, no. 1 (1921): 39-44.

¹³ Ernest Newman, “Extremists Versus the Rest,” *The Musical Times* 61, no. 933 (November 1920): 731; “Progress and Pedantry,” *The Musical Times* 55, no. 854 (April 1914): 247.

¹⁴ Darius Milhaud, “The Evolution of Modern Music in Paris and In Vienna,” *Pro-Musica Quarterly* 1, no. 1 (1923): 8-16.

¹⁵ “Evolution and Tradition,” *The New Music Review and Church Music Review* 21, no. 246 (May 1922): 177-81.

For Koechlin, as for Milhaud, innovation would only add to tradition through evolution and not destroy it in revolution, saying that “the beauty of the past” can add to that of today and tomorrow. Rather than revolution, Koechlin asserted that in music “evolution is the law.”¹⁶

Many writers of the time were sympathetic to the fact that perceptions of “revolution” and “evolution” in culture were matters of perspective. In 1922, Mrs. Frank Liebich reminded the readers of the *Musical Times* that:

To the fageydom of their time, Schumann, Chopin, Berlioz, Liszt, and even the reputable Brahms, were lawless revolutionaries. It is conceivable that the work of the most ultra-modern composers of to-day and to-morrow may appear as temperate and mellifluous to the plain man of the 21st century as the 19th century romantics seem now to us.¹⁷

Although Stravinsky, Bartók, and Schoenberg were thought of as revolutionaries, Futurists, Ultramoderns, and “anarchs of art,” in 1914 James Huneker supposed that even they would eventually be viewed as part of a tradition:

Probably Stravinsky will be called a Futurist, whatever that portentous title may mean. However, the music of Tschaikevsky, Rimsky-Korsakof, Rachmaninof, and the others is no longer revolutionary, but may be considered as evolutionary. . . Remember the monstrous fuss made over the methods of Richard Strauss and Claude Debussy. I shouldn't be surprised if ten years hence Arnold Schoenberg would prove quite as conventional a member of musical society as those other two “anarchs of art.”¹⁸

While “revolutionary” was a term of derision in the first half of the twentieth century, it was embraced by the high modernists of the middle twentieth century as a point of pride. Huneker's prescient view that Schoenberg would someday be viewed as “conventional” was in some way confirmed in Boulez's essay “Schoenberg is Dead.” Although Boulez considered Schoenberg's twelve-tone technique as “one of the most important revolutions that has ever

¹⁶ Charles Koechlin, “Évolution et Tradition,” *Le Ménestrel: journal de musique* (March 17, 1922): 117-118.

¹⁷ Mrs. Frank Liebich, “Rebel Romantics,” *The Musical Times* 63 No. 952, (Jun 1, 1922): 392-393.

¹⁸ James Huneker, “Music of To-Day and Music of To-morrow,” *Century Illustrated Monthly Magazine* 88, no. 1 (May 1914): 36-37.

affected the musical language,” he found Schoenberg’s attempts to connect his music to tradition through the use of “disgraceful leftovers” as a “contradiction” to that revolution.¹⁹ For Boulez in the middle of the century, Schoenberg was not quite revolutionary enough: “Ought one not to have pressed forward to a new methodology of the musical language instead of trying to reconstitute the old one?”²⁰

In the midst of the high modernism of the middle of the twentieth century, the new progressivists sought to establish and reify a lineage of revolutionary tendencies in music.²¹ Milton Babbitt summarized the early twentieth century as a time of revolution in his famous 1951 article, “The Composer as Specialist”:

The unprecedented divergence between contemporary serious music and its listeners, on the one hand, and traditional music and its following on the other, is not accidental and—most probably—not transitory. Rather, it is a result of a half century of revolution in musical thought, a revolution whose nature and consequences can be compared only with, and in many respects are closely analogous to, those of the mid-nineteenth century revolution in mathematics and the twentieth century revolution in theoretical physics.²²

The perception of the early twentieth century as a time of artistic revolution is perennially present in the scholarship of the period. Textbooks introducing the music of Bartók, Schoenberg, and Stravinsky frequently couch the composers’ efforts in terms of revolution.²³ In musical analysis of these composers, theorists rely heavily on analytical technologies—such as pitch-

¹⁹ Pierre Boulez, “Schoenberg is Dead,” in *Notes of an Apprenticeship*, trans. Herbert Weinstock (New York: Alfred. A Knopf, 1968), 272-275.

²⁰ *Ibid.*, 273.

²¹ Milton Babbitt, in an article titled “Since Schoenberg,” proclaims such a lineage: “But those who are the legitimate, if abandoned, children of the Schoenbergian revolution, who do not measure their success by their successes, in flight from persecution under Gresham’s law, gladly would accept musical asylum in any Society where the air condition provided a sephyr touch by the sweet smell of such alter Duft.” Milton Babbitt, “Since Schoenberg,” *Perspectives of New Music* 12, no. 1/2 (1973-74):28.

²² Milton Babbitt, “Who Cares if You Listen,” in *Contemporary Composers on Contemporary Music* (New York: Da Capo Press, 1998), 244-250.

²³ Robert P. Morgan, *Twentieth Century Music: A History of Musical Style in Modern Europe and America* (New York: W.W. Norton & Company, 1991), xii-xvi.

class set theory— developed to analyze the most progressive and post-tonal structures, distancing the early modernist composers from the musical past.

It may come as some surprise, then, that each of the composers discussed in this dissertation continually rejected the notion that their artistic pursuits were in any way revolutionary. Instead, Bartók, Schoenberg, and Stravinsky each—with remarkably similar language—described their music not in terms of revolution, but of evolution. As we will see, each composer used the dichotomy of revolution and evolution in similar ways. For the three composers, revolution implied a complete break with the techniques of their predecessors. Evolution, on the other hand, connected their music to the classical tradition through a continued use and development of techniques from the musical past.

Bartók’s discussion of revolution and evolution in art is the most detailed of the three composers. In 1928–1929, Bartók derided the “revolutionary” tendency to create a “sudden break with the music of yesterday,” and juxtaposed it with the evolutionary tendency to “rescue” all the elements available up to “now.”²⁴ Bartók’s 1943 Harvard Lectures contain his most extended discussion of revolution and evolution in art. Bartók opens the lectures with definitions of what both revolution and evolution would imply in music:

Revolution . . . is often misused in connection with contemporary music. Every composer who writes some kind of new music is called a revolutionary musician by many people. Let us now examine the exact meaning of revolution. According to dictionaries, the term denotes reversal of conditions; fundamental change. In other words, it is a destruction of all that existed before and a beginning anew, a start from nothing.²⁵

Like Schoenberg and Stravinsky, Bartók was skeptical of both the existence and integrity of so-called revolution in art, and found it needlessly destructive:

²⁴ David E. Schneider, “Bartok and Stravinsky: Respect, Competition, Influence, and the Hungarian Reaction to Modernism in the 1920s,” in *Bartok and His World* (Princeton: Princeton University Press, 1995), 183.

²⁵ Bela Bartók, “Harvard Lectures,” in *Bela Bartok Essays* (New York: St. Martin’s Press, 1976), 354.

Let me say in advance that revolution in art (for instance, in music) in its strict sense would signify the destruction of every previously-used mean and a new start from almost nothing—a set-back of several thousand years. Complete revolution in art, therefore, is impossible or, at least, is not a desirable means to an end. Applied to music, it would require the invention of some kind of different material as a substitute. We can hardly imagine what this new kind of material could be, for any material not consisting of musical sounds would impair the essentials of music; music must be based on musical sounds or else it would cease to be music. Such kind of revolution, carried ad absurdum, is sheer nonsense.²⁶

Bartók critically evaluated attempts by modern composers, poets, and painters to create true artistic revolutions, citing Alois Haba's use of quarter tones and non-repetition and I.

Weisshaus's oversimplification and repetition without variation as attempts resulting in "no success at all."²⁷

Evolution in art, for Bartók, was starkly opposed to "revolution" in art: "Evolution, on the other hand . . . means development by natural process from something that existed before; that is, a change by degrees."²⁸ While revolution's destructive tendencies were unsuccessful if not untenable, evolution's adoption and adaptation of musical elements from the past were necessary for successful composition. Bartók categorized the two most successful composers of the early twentieth century, Schoenberg and Stravinsky, as evolutionary composers, citing specific examples of their evolutionary practices:

In the succession of their compositions, there is no abrupt turning away from previous devices and no abolition of almost all the means used by preceding composers. What we will see is a gradual change, leading from the patterns and means of their predecessors, to a style and means of expression of their own.²⁹

²⁶ Ibid., 354-55.

²⁷ Ibid., 355-258.

²⁸ Ibid., 354.

²⁹ Ibid., 358-359.

As for his own music, Bartók stated that “in a similar fashion, evolution was the basic principle in the creation of the new Hungarian art music,” one informed “by a thorough knowledge of the devices of old and contemporary Western art music.”³⁰

Like Bartók, Schoenberg also rejected the notion that his music was revolutionary, and distanced his “ordered” music from the chaos of a fictional musical revolution:

I personally hate to be called a revolutionist, which I am not. What I did was neither revolution nor anarchy. I possessed from the very start a thoroughly developed sense of form and a strong aversion for exaggeration. There is no falling into order, because there was never disorder. There is no falling at all, but on the contrary, there is an ascending to higher and better order.³¹

Rather than revolutionary, Schoenberg saw his music as evolutionary in that it connected to the techniques of his musical predecessors. In reference to even his early atonal works, Schoenberg wrote:

Most critics of this new style failed to investigate how far the ancient “eternal” laws of musical aesthetics were observed, spurned, or merely adjusted to changed circumstances. Such superficiality brought about accusations of anarchy and revolution, whereas, on the contrary, this music was distinctly a production of evolution, and no more revolutionary than any other development in the history of music.³²

Like Bartók, Schoenberg viewed revolution as implying a wholesale abandonment of musical tradition, threatening “what took years to grow.”³³ Schoenberg blamed the enthusiasm for the term revolution on a failure to recognize modern music’s connection to the past:

New sounds were produced, a new kind of melody appeared, a new approach to expression of moods and characters was discovered. In fact, it called into existence a change of such an extent that many people, instead of realizing its evolutionary element, called it revolution.³⁴

³⁰ Ibid., 361-363.

³¹ Slonimsky, *Music Since 1900*, 920-21.

³² Arnold Schoenberg, “My Evolution,” in *Style and Idea* (New York: St. Martins Press, 1975), 86.

³³ Arnold Schoenberg, “New Music,” in *Style and Idea* (New York: St. Martins Press, 1975), 137.

³⁴ Arnold Schoenberg, “How One Becomes Lonely,” in *Style and Idea* (New York: St. Martins Press, 1975), 50.

Schoenberg continuously asserted his connection to his musical predecessors and insisted that his music “preserved” the techniques of the past. In 1931, well into the twelve-tone style,

Schoenberg wrote in a diary entry titled “Revolution-Evolution”:

It is remarkable that my most revolutionary steps (I always thought them evolutionary) have never had a destructive effect. What could be preserved (and what was important could always be preserved; what had to go was only the incidental, the fashionable) I always preserved.³⁵

Stravinsky, whose polemics against modernism are well known, was the most vocal “anti-modernist” of the three composers. In the press, Stravinsky rejected the term “revolutionary” on numerous occasions over multiple decades. As one of many examples from the 1920s to the 1950s, consider Stravinsky’s response in 1949 to the question “Do you consider yourself a musical revolutionary?”:

Art is never revolutionary. Revolution implies a provisional chaos, and art is the opposite of chaos. The Middle Ages were correct in referring to art as a craft. It was the Renaissance that invented the word artist. Why burden art with the resounding and ominous flavor of the term revolution . . .? As to my preferences, I think the mere fact of creating is enough.³⁶

In his 1941 *Poetics of Music*, Stravinsky most extensively discusses the differences between revolution and evolution in art. While *Poetics* was written with the help of two other writers, Stravinsky’s own manuscript for the essays contains the most straightforward representation of his view of the subject: “I am not modernist. People have always taken me for what I am not. I am not revolutionary. I am not conservative. . . I situate myself in the element of evolution.”³⁷

³⁵ Arnold Schoenberg, “Revolution-Evolution, Notation (Accidentals),” in *Style and Idea* (New York: St. Martins Press, 1975), 353

³⁶ Santiago Del Campo, “Stravinsky Judges Today’s Musical Movement,” in *Stravinsky and His World* (Princeton: Princeton University Press, 2013), 213.

³⁷ Valeria Dufour, “The Poétique Musicale: A Counterpoint in Three Voices,” in *Stravinsky and His World* (Princeton: Princeton University Press, 2013), 241.

Like Bartók and Schoenberg, Stravinsky believed true artistic merit came from those artists who embraced and evolved the language of the past, and that revolution was a “bastardization” of evolutionary efforts:

The great beacon-fires which shine out at widely separated distances upon the historical field of art promote the continuity that gives the true and only legitimate meaning to a much abused word, to that evolution which has been revered as a goddess—a goddess who turned out to be somewhat of a tramp, let it be said in passing, even to having given birth to a little bastard myth that looks very much like her and that has been named Progress, with a capital P.³⁸

Stravinsky, like Bartók and Schoenberg, believed the natural “evolution” of tradition and musical technique had been bastardized in modern times into a cult of “progress,” a cult that worshipped progress for progress’s sake. All three composers believed progress was necessary, but also that progress must connect to tradition, changing by degrees instead of in a revolutionary overthrow of ideas.

Thesis

The goal of this dissertation is to illustrate the interplay of tradition and innovation—or evolution and revolution—in the music of Bartók, Schoenberg, and Stravinsky from the 1910s to the early 1930s. I attempt to capture the “evolutionary” aspects of these composers’ works against both the perceived revolutions of the early traditionalists and the willful revolutions of the midcentury high-modernists. In each chapter, I examine the composer’s writings, works, concert programs, and reception history to illuminate the role of musical tradition in the composition and perception of these early modernist works.

³⁸ Igor Stravinsky, *Poetics of Music in the Form of Six Lessons* (Cambridge: Harvard University Press, 1947), 71-72.

In this dissertation, I do not aim to minimize the efforts of these composers to innovate or experiment with musical language. The term “evolution” can be used to connect modernist composers to the past in a reactionary sense—as a movement against the truly “revolutionary” composers of the early twentieth century, including the Italian Futurists, American Ultra-modernists, and others explicitly abandoning tradition to create an entirely progressive art. But evolution also connects Bartók, Schoenberg, and Stravinsky to their immediate predecessors in the late Romantic era, representing a change by degrees, as Bartók put it, and not a wholesale revolution of musical ideas. In this sense, each of these composers represents an evolutionary step from the innovations and experiments of Richard Strauss, Claude Debussy, Richard Wagner, and other composers who themselves created evolutionary steps from their predecessors.

The thesis of the dissertation could be summarized thusly: Bartók, Schoenberg, and Stravinsky could have totally innovated musical language, but did not due to their desires to connect their music to prior musical traditions. I am interested in how traditional musical systems manifested in their music, what role those established systems played, and why they chose to employ them. By answering these questions, I hope to shed light on the early culture of twentieth-century modernism, with the intention to better understand that time as unique from the longer twentieth-century culture of musical modernism.

For each of the composers under examination, musical tradition played a different role, but each composer used learned patterns from the past to aid in the perception of their music. Bartók used the sounds and musical structures of the past to create new effects, playing off the expectations they implied to lead to novel and surprising realizations. Schoenberg used tradition to solve problems created by his innovations in pitch, primarily to aid in the intelligibility and

comprehensibility of his music. Stravinsky turned to the language and pitch patterns of musical tradition to establish a communal musical language.

Literature Review

For scholars of early modernism, the presence of the past and how modern composers interact with it is a defining characteristic of the time period. Peter J. Burkholder defines “modern music” by its relationship to the past:

I wish to define “modern music” as music written by composers obsessed with the musical past and with their place in music history, who seek to emulate the music of those we call the “classical masters,” measuring the value of their own music by the standards of the past.³⁹

This awareness of history gave rise to the perception of “revolution” in the early twentieth century, and it is responsible for the still persistent moniker of “modern” when discussing this now hundred-year-old music.⁴⁰ A historical awareness of tradition and the presence of past composers in public concerts began in the eighteenth century and grew throughout the nineteenth century, but reached a new height in the twentieth century. As Herman Danuser has written in the *Cambridge History of Twentieth Century Music*:

In earlier periods in the history of music the past was either forgotten or else was present as a living, unconsciously handed-down tradition that was not specially thought about. It was only the increasing historical awareness in the eighteenth century, and particularly in the nineteenth, that enabled composers for the first time to forge links with the styles and practices of works that had been forgotten, while at the same time creating contemporary music with a historical subtext.⁴¹

³⁹ Peter J. Burkholder, “Brahms and Twentieth-Century Classical Music,” *19th-Century Music* 8, no. 1 (1984): 76

⁴⁰ Erling Guldbrandsen, and Julian Johnson, “Introduction,” in *Transformations of Musical Modernism* (Cambridge: Cambridge University Press, 2015), 2.

⁴¹ Herman Danuser, “Rewriting the Past: Classicisms of the Inter-War Period,” in *The Cambridge History of Twentieth-Century Music* (New York: Cambridge University Press, 2004), 260.

The past was more “present” in the twentieth century than in previous eras for a number of reasons. One reason, introduced above, was that the nineteenth century witnessed an increase in the performance of music from dead composers in concert settings. As outlined extensively by William Weber in *The Great Transformation in Musical Tastes*, the music of past composers in concert programs went from a rarity in the late eighteenth century to ubiquity in the early twentieth century.⁴² Beginning in the late nineteenth and early twentieth century, new musicological institutions and performance groups dedicated to historical performance practices, such as the *Schola Cantorum* in Paris, emerged, contributing to the presence of the past.⁴³ The practice of musicology transformed from a discipline focusing on composition and performance to its modern practice focusing on the study of music history.⁴⁴ Complete published editions of Couperin, Rameau, Monteverdi, and others appeared during the time.⁴⁵ Although an interest in neglected pre-classical music is often discussed by modern scholars, the complete works of Romantic composers like Berlioz were begun and the complete works of Bach completed in 1900.⁴⁶ Scott Messing has written that, following World War I, interest in the past intensified as artists wished to reestablish tradition in the 1920s—what Milhaud referred to as the *School d’Après Guerre*.⁴⁷

To a greater extent than their predecessors, modern composers wrote for an audience educated in the music of the past, with constant exposure to the languages and musical systems

⁴²William Weber, *The Great Transformation of Musical Taste* (New York: Cambridge University Press, 2008).

⁴³Scott Messing, *Neoclassicism in Music* (Ann Arbor: UMI Research Press, 1988), 19-23; Glenn Watkins, *Soundings: Music in the Twentieth Century* (New York: Schirmer Books, 1988), 309.

⁴⁴Vincent Duckles and Jann Pasler, “Musicology,” *Grove Music Online*, Oxford University Press, accessed April 30, 2019,

<http://www.oxfordmusiconline.com.libproxy.wustl.edu/grovemusic/view/10.1093/gmo/9781561592630.001.0001/0-mo-9781561592630-e-0000046710>.

⁴⁵ Watkins, *Soundings*, 309.

⁴⁶ Slonimsky, *Music Since 1900*, 3-4.

⁴⁷ Scott Messing, “Polemic as History: The Case of Neoclassicism,” *The Journal of Musicology* 9, no. 4 (1991): 489.

of previous eras.⁴⁸ Therefore, composers of the time could opportunistically draw from this exposure to past styles and use their audiences' knowledge of musical tradition in their own works. Burkholder has written of this opportunistic use of the past by modernist composers:

The mainstream of the past one hundred years consists of music written for an audience familiar with the art music of the 18th and 19th centuries, by composers who were or are themselves highly informed members of that audience, who wrote or write music with a concern both for continuing the tradition of European art music, particularly its aesthetic assumptions and its understanding of the relationship between artist and audience, and for distinguishing their own work stylistically from other composers, both predecessors and contemporaries.⁴⁹

For the field of music theory and analysis, this period presents many difficulties. The music of these “evolutionary” composers—by definition—mixes traditional and modern musical systems. At times, such a mixture results in contradictions, as when both tonal and non-tonal structures are simultaneously present. Music analysis focusing on the period is not only tasked with analyzing the various musical structures, but also often attempts to interpret the cultural reasons behind the interaction of traditional and modern musical structures.

The past study that most closely resembles this dissertation is Joseph Straus's 1990 book, *Remaking the Past*. Straus writes that because musical life of the early twentieth century “was dominated to an unprecedented degree by the music of the past, . . . musical compositions in that period were remarkably rich in allusions, both overt and concealed, to older music.”⁵⁰ In the book, Straus provides a framework for analyzing the interaction of tonal and post-tonal musical elements in the works of Stravinsky, Schoenberg, Bartók, Webern, and Berg, focusing on a range of influences from the past including modern composers' recomposition of older works, their use

⁴⁸ Similarly, 19th-century composers opportunistically used their listeners' knowledge of tradition in their own compositions. See Marie Sumner Lott, “At the Intersection of Public and Private Musical Life: Brahms's Op. 51 String Quartets,” *Journal of the Royal Musical Association* 137, no. 2 (2012): 245-254.

⁴⁹ Peter J. Burkholder, “Museum Pieces: The Historicist Mainstream in Music of the Last Hundred Years,” *The Journal of Musicology* 2, no. 2 (1983): 116.

⁵⁰ Joseph Straus, *Remaking the Past: Musical Modernism and the Influence of Tonal Tradition* (Cambridge, Mass: Harvard University Press, 1990), vii.

of traditional triads and forms, and how they rework borrowed motives to express a more modernistic style.

Drawing from past studies in both music and literary theory, Straus outlines three types of influence in *Remaking the Past*. Straus's book focuses on the third type of influence, "influence as anxiety," adapted from literary theorist Harold Bloom's famous *The Anxiety of Influence*. With an "influence as anxiety" reading of the past, Straus aims to highlight the "deep ambivalence felt by artists contemplating the past."⁵¹ This ambivalence arose from a feeling of "Bélatedness": a belief that the masterworks had already been composed, creating a burden for any artist that followed the Classical and Romantic eras.⁵² For Straus, modern composers had a thoroughly antagonistic view of their predecessors, and their use of the past was an attempt to revise and rewrite the art that came before them to ultimately "clear space" in a canon "overcrowded" by the works of the past.⁵³

With regard to music, Straus writes that the mixing of tonal and post-tonal elements creates musical tension: "Artistic ambivalence is often worked out compositionally through a conflict between old and new elements, and through an attempt by the new elements to subsume and revise the old ones."⁵⁴ Straus's study demonstrates this perspective—of the new overcoming the old—using an analytical technology developed to analyze music (specifically, twelve-tone music) of the twentieth century: pitch-class set theory.⁵⁵ Straus writes: "Pitch-class set theory provides consistent ways of discussing and relating sonorities of any size or structure in any musical context."⁵⁶

⁵¹ Ibid., 11.

⁵² Ibid., 15-16.

⁵³ Ibid., 11-20.

⁵⁴ Ibid., 11-12.

⁵⁵ Richard Taruskin, "Review," *Journal of the American Musicological Society* 46, no. 1 (1993): 129-130.

⁵⁶ Straus, *Remaking the Past*, 3.

Straus's reliance on set theory has two profound implications for his study. First, the segmentation and abstraction implicit in a set-theoretical approach leads most of Straus's analyses to be "motivic" in nature. The motivic approach is by no means limited to "surface" relations, as Straus's analyses are thorough and often reveal deep structural relationships in the music in question. It does, however, shape Straus's readings of the interaction of past and modern music. For example, the motivic and abstracted bias of set theory forms the basis of many of Straus's musical revisionary ratios—a Bloomian term Straus adopts to provide a list of techniques composers use to revise, rewrite, and control music of the past. Straus's revisionary ratios all describe a modern composer altering the motivic content (either horizontally or vertically) of past composers to reshape the past into a modern context: one in which the functions, progressions, and tensions of tonality are denatured into a more post-tonal context.⁵⁷ Although Straus devotes chapters to traditional forms, sonorities, and even textural treatments, Straus's entire study is thus solely concerned with pitch.

The second major implication of Straus's use of set theory is self-evident from his "influence as anxiety" reading: it highlights the modernistic aspects of the music by using an analytical technology developed for twentieth-century analysis. Although Straus discusses the two-way dialogue between the "past" and "modern" implicit in the "influence as anxiety" reading, Straus's use of set theory—and not theories developed to analyze music of the tonal tradition—gives a modernistic perspective to the analyses. In short, Straus is concerned with revealing the progressive nature of modernist composers' seemingly anachronistic use of motives, harmonies, and forms.

⁵⁷ Ibid., 17.

In many ways, this dissertation uses Straus's *Remaking the Past* as its model, discussing many of the same topics, composers, and works. With no intentions of contradicting either Straus's approach or conclusions, it takes the opposite perspective to show the second current of the dialogue: how a knowledge of traditional, tonal musical structures can shape a listener's interpretation of works employing both tonal and post-tonal musical elements. While Straus analyzes these musical passages using analytical techniques developed for post-tonal analysis, I use theories developed to analyze the works' tonal models. In addition, my analyses often focus on elements other than pitch, including rhythm, phrase construction, form, and texture. My hope is that this dissertation then acts as a companion to Straus's *Remaking the Past*.

A brief example will demonstrate the differences in perspective taken by Straus and myself and the analytical implications these perspectives have on shaping analysis. In Example 0.1 I have reproduced Straus's analysis of a bassline from the Serenata of Stravinsky's 1920 ballet *Pulcinella*. Stravinsky's *Pulcinella* is based on works at the time believed to be composed by the eighteenth-century composer Pergolesi. In this case, the Serenata is, in fact, based on a work by Pergolesi, and the bassline under question opens the movement. Straus's analysis does not ultimately focus on the bassline, but on how Stravinsky derives sets from the Pergolesi bassline to compose the vertical sonorities of the opening and final measures of the movement, illustrated in Examples 3.8 and 3.9 on pages 61–62 of the Straus. To show the derivation of the vertical sonorities, Straus uses set theory to segment the bassline into Stravinsky's preferred musical sets. Straus's analysis of Stravinsky's possible compositional procedures is unquestionably convincing. From the perspective of a modernist listener, who perhaps has recently listened to Stravinsky's more modernistic works, Straus's interpretation might even describe the listener's experience.

Example 0.1. *Pulcinella*, Serenata, m. 1-3. Reproduction of Straus 1990, Example 3.10. Straus segments Pergolesi’s bassline using Forte designations. Hyphenated annotations represent the Forte name; parenetical annotations designate the pitch-class set.

Of course, it is entirely possible that a listener coming from a tonal perspective would segment Pergolesi’s bassline quite differently. A tonal perspective is not entirely hypothetical, either. Listeners at the premiere of *Pulcinella* first heard a series of tonal works by Chopin, faithfully orchestrated by a number of composers, Stravinsky included.⁵⁸ Those in attendance at the London Chamber Orchestra’s English premiere of the *Pulcinella Suite*, a 1925 concert called “Music Intime,” heard Stravinsky’s work alongside Bach’s Third Brandenburg Concerto and Mozart’s A major Piano Concerto.⁵⁹ Nearer to the time I am writing this, attendees at the Philadelphia Orchestra’s June 24, 2018 concert heard the music of Handel, Locatelli, and Rossini before hearing Stravinsky’s *Pulcinella Suite*.⁶⁰

When hearing *Pulcinella* in isolation, a listener will form a tonal perspective shaped by the experience of hearing the opening Overture of the ballet, in which Stravinsky nearly exactly reproduces an eighteenth-century work of Domenico Gallo (attributed to Pergolesi at the time of the Overture’s composition).⁶¹ Both Gallo and Pergolesi composed in what is called the Galant

⁵⁸ Sarah Iker, “An Experience-Oriented Approach to Analyzing Stravinsky’s Neoclassicism” (PhD diss., University of Chicago, 2017): 50-52.

⁵⁹ “London Chamber Orchestra: New Work from Stravinsky,” *Times*, July 21 1925: 12.

⁶⁰ Gregg Whitside, “The Philadelphia Orchestra Goes Baroque,” June 18, 2018, <https://www.wrti.org/post/philadelphia-orchestra-goes-baroque-sunday-june-24th-1-pm-wrti-901>

⁶¹ Maureen A. Carr, “Eighteenth-Century Sources and Stravinsky’s Use of These Models,” in *Stravinsky’s Pulcinella: A Facsimile of the Sources and Sketches*, ed. Maureen Carr (Middleton, Wis.: A-R Editions, 2010), 9-10.

Style—an eighteenth-century Italian style defined by the use of conventional stock contrapuntal patterns often called schemata.⁶² As evidence of just how ubiquitous these conventional stock patterns were, both *Pulcinella*'s Overture (composed by Gallo) and the immediately succeeding Serenata (composed by Pergolesi) employ similar patterns to create similar basslines, represented in Examples 0.2 and 0.3.

While I discuss Stravinsky's indebtedness to galant practices in detail in this dissertation's third chapter, for now I briefly introduce galant theory to offer an alternative interpretation of how a listener using a tonal perspective might motivically segment Pergolesi's bassline quite differently from Straus's modernistic suggestion. The bassline is composed of a string of conventional patterns. Pergolesi's bassline combines two patterns: the first, termed a "Romanesca," is defined by a stepwise descent from $\hat{1}-\hat{7}-\hat{6}$; the second, a cadential pattern termed a "Clausulae," is defined by a stepwise ascent from $\hat{3}-\hat{4}-\hat{5}$, here ending with a deceptive ascent to $\hat{6}$.⁶³ Recognizing this ubiquitous combination of patterns results in a drastically different segmentation of the Pergolesi bassline when compared to Straus's suggested segmentation. Straus's segmentation suggests groupings that obscure, bisect, and bridge the groupings a tonal listener might find.

Example 0.2. *Pulcinella*, Serenata, mm. 1- 3. Analysis of Pergolesi's bassline use galant schema theory. Circled notes represent bassline scale-degrees.

The musical notation shows a bassline in G minor (one flat) with a key signature of one flat. The notes are: G4, F4, E4, D4, C4, B3, A3, G3, F3, E3, D3, C3. Below the notes, scale degrees are circled: 1, 7, 6, 3, 4, 5, 6, 3, 4, 5, 1. Brackets below the notes group them into three patterns: Romanesca (1-7-6), Clausulae...Evaded (3-4-5-6), and Clausulae (3-4-5-1).

⁶² Robert Gjerdingen, *Music in the Galant Style* (New York: Oxford University Press, 2007), 3-24.

⁶³ Gjerdingen, *Music in the Galant Style*, 25-43, 139-176.

In the context of *Pulcinella* as a whole, Straus's segmentation is even less likely. *Pulcinella*'s opening Overture contains a similar bassline to Pergolesi's, constructed of a Romanesca pattern which is heard six times during the course of the Overture, priming the listener to hear the Serenata's Romanesca in a similar way. Stravinsky's doubling of the bass descent $\hat{1}-\hat{7}-\hat{6}$ strengthens its parallel to the Serenata movement, as does his texturally and registrally highlighted Clausulae ($\hat{4}-\hat{5}-\hat{1}$).

Example 0.3. *Pulcinella*, Overture, mm. 1-2. Stravinsky's bassline, based on Gallo's Trio Sonata no. 1, i. This analysis is influenced by Stravinsky's treatment of instrumentation, texture, and register.

Straus's analysis of the Serenata reveals convincing insight into how Stravinsky might have derived his vertical sonorities from the work's eighteenth-century model. After reading his chapter on this work and listening to the piece, his insights are perceptible. Conversely, after reading an analysis based on tonal theories of the eighteenth century, Straus's segmentation becomes difficult to hear. The presence of the past overwhelms Stravinsky's supposed attempts to revise it. This two-way dialogue of the past and present can be demonstrated in many of Straus's analyses, and this dissertation attempts to reveal the past's influence on the modern.

Finally, my study is distinct from Straus's in that I do not interpret the modern composers' use of past styles as antagonistic or ambivalent. As discussed by the composers themselves, I argue that instead of inheriting a burden, the modern composers in this study inherited tradition: a musical language rich with semantic powers and musical effects which they

employed and evolved much as their predecessors did. Rather than rewrite or remold the musical elements, they reused them for no other reason than to solve particular compositional problems present in their works.⁶⁴

Martha Hyde's "Neoclassic and Anachronistic Impulses in Twentieth-Century Music" is another extensive study of modern composers' engagement with the past. Hyde uses the term "neoclassical" in a less conventional sense, defining it more broadly as an effort by a composer to "revive and restore an earlier style that is separated from the present by some intervening period."⁶⁵ Beyond simply recreating the past, the "neoclassic impulse" of the composer creates a modern work "without sacrificing its own integrity in the chronology of styles."⁶⁶ In contrast to Straus's work, Hyde offers a "less antagonistic" and "more accommodative" view of modern composers' engagement with the past, one in which the past is invoked to "restore an earlier, more authentic, still relevant—and therefore classic—style."⁶⁷ Although Hyde still refers to a "historical distance" between the modern works and their past models, by referring to the past as "still relevant," Hyde collapses some of the historical distance that is important to Straus's readings.

The core effort of Hyde's article is to create a "taxonomy" of musical imitation borrowed from the discipline of literary theory, most notably from Thomas Greene's *The Light of Troy*. Hyde broadly surveys the phenomenon of artistic borrowing but focuses her analyses on what she calls "metaphoric anachronism," in which an artist "deliberately" dramatizes a historical

⁶⁴ I do not, however, wish to suggest that the composers felt no sense of belatedness or anxiety about the past, as I find Straus's interpretations quite convincing. I merely offer another view for why the past might be present in the works of modern composers.

⁶⁵ Martha M. Hyde, "Neoclassic and Anachronistic Impulses in Twentieth-Century Music," *Music Theory Spectrum* 18, no. 2 (1996): 204.

⁶⁶ *Ibid.*, 206.

⁶⁷ *Ibid.*, 204.

passage, “bringing the present into relation with a specific past and making the distance between them meaningful.”⁶⁸

Hyde discusses five types of musical anachronism. The first, which she puts in opposition to the remaining four, is parody or satire. With parody, the artist utilizes a timeless text—or *classic*—from the past and attempts to make it dated, in a negative sense. The artist does not “restore or renew” the past, but mocks it. Hyde argues this is incompatible with neoclassicism as defined above.⁶⁹ The remaining four forms of anachronistic imitation are neoclassical. The first, “reverential imitation,” is a thorough and unified repetition or recreation of a model from the past, defined by a “religious fidelity” and “fastidiousness” to its model, reviving not only surface allusions but structural details as well, all while modernizing the borrowed material.⁷⁰ The second type is a less unified type of borrowing that Hyde terms “eclectic imitation”: an “eclectic mingling” and compilation of past and modern styles, in which “allusions, echoes, phrases, techniques, structures, and forms” jostle each other “indifferently.” Here, the past is an “undifferentiated stockpile to be drawn on at will,” resulting in a looser form of bonding between stylistic periods.⁷¹ The third type is “heuristic imitation”: a deeper engagement in which the composer “accentuates rather than conceals” the modern work’s link to the past. In heuristic imitation, the composer “dramatizes musical history and relies on the datedness of musical style for aesthetic affect,” providing composers with “a means to position themselves within a culture and tradition.”⁷² The final form of imitation is “dialectical imitation”: a more critically aggressive type in which the composer creates a dialogue between the past and present,

⁶⁸ Ibid., 205.

⁶⁹ Ibid., 206.

⁷⁰ Ibid., 207-211.

⁷¹ Ibid., 211-214.

⁷² Ibid., 214-220.

examining the truths and opinions of the stylistic periods. While critically debating the past, this form of imitation opens the modern work to criticism as well.⁷³ This form of borrowing most closely resembles Straus's "influence as anxiety" reading.⁷⁴

In this dissertation, my own analysis of imitation most closely resembles Hyde's heuristic imitation in that I claim the composers attempted to "position themselves within a culture and tradition." I make one exception to this: I do not believe the composers inferred any sort of "distance" between themselves and the traditions from which they borrowed. The composers under discussion did not view these styles as existing at a distance, but instead as part of an unbroken tradition. Renewal does occur, as many of the composers likely saw themselves as "renewing" the techniques at times, but they also saw themselves as "inheritors," as part of an ongoing evolution—much as nineteenth-century composers inherited sonata form from the eighteenth century and evolved it to suit their own needs.

In addition to broad surveys of how early twentieth-century modernists employed the techniques of the classical tradition, a number of studies focusing on single composers and techniques parallel the approach of my individual chapters. Scott Schumann's 2015 dissertation, "Making the Past Present: Topics in Stravinsky's Neoclassical Works," analyzes Stravinsky's neoclassical works using Topic Theory, a theory primarily developed to analyze works of the eighteenth and nineteenth centuries. In the dissertation, Schumann demonstrates Stravinsky's use of melodic, rhythmic, and textural gestures common to the classical tradition in many works of the 1920s and 1930s, including *Apollon musagète*, the *Serenade in A*, *Concerto for Piano* and

⁷³ Ibid., 220-235.

⁷⁴ Although Hyde explains the presence of the past in dialectical imitation as a "less suffocating presence" than in Straus's readings. Hyde directly compares her own analysis of Schoenberg's *A minor quartet* with Straus's, explaining that with her reading Schoenberg desired to "connect his own ample creative space to the German classical tradition." Ibid., 232.

Winds, and others.⁷⁵ Jessica Narum’s 2013 dissertation, “Sound and Semantics: Topics in the Music of Arnold Schoenberg,” takes a similar approach to demonstrate Schoenberg’s use of historical topics in his atonal works.⁷⁶ Much as I do in this dissertation’s chapter on Stravinsky, Sarah Iker has used galant schema theory—developed to analyze music of the eighteenth century—to demonstrate Stravinsky’s invocation of the past in her 2017 dissertation, “An Experience-Oriented Approach to Analyzing Stravinsky’s Neoclassicism.” Iker uses schema theory to analyze movements of Stravinsky’s *Pulcinella*, Concerto for Piano and Winds, *Apollo*, *Danses Concertantes*, and *The Rake’s Progress*.⁷⁷

Dissertation Plan

Each of the composers examined in this dissertation used the music of the past in a different way and for different purposes, but each maintained that his reasons for doing so were evolutionary in principle. Although there is a degree of overlap between the three composers’ style, I will discuss a single topic with each composer: tonal rhythm and atonal harmony in Bartók, “tonal” textures and atonal pitch structure in Schoenberg, and tonal pitch structure and modern textures in Stravinsky. Because each chapter explores a different musical topic and different motivations by each composer, each chapter requires a different analytical methodology. What relates each chapter is the combination of a traditional, common-practice technique with an innovative, modernistic technique.

⁷⁵Scott C. Schumann, “Making the Past Present: Topics in Stravinsky’s Neoclassical Works” (PhD diss., The University of Texas at Austin, 2015).

⁷⁶Jessica Narum, “Sound and Semantics: Topics in the Music of Arnold Schoenberg” (PhD diss., University of Minnesota, 2013).

⁷⁷Sarah Iker, “An Experience-Oriented Approach to Analyzing Stravinsky’s Neoclassicism” (PhD diss., University of Chicago, 2017).

In the first chapter I explore the mixture of past and modern styles in the phrase structures of Béla Bartók. Specifically, I analyze the interaction of tonal rhythmic structures and non-tonal pitch structures. Using tonal theories of rhythm and hypermeter, and drawing from perceptual studies on rhythm and meter, I contend that Bartók's use of tonal rhythmic structures imbues his non-tonal pitch structures with a sense of tonality. Essentially, I argue that hierarchical rhythmic structures impose a hierarchy on the non-hierarchical pitch structures, allowing listeners to interpret which chords are superordinate and which are subordinate. Using theories of music analogy, I argue that certain hierarchically superordinate chords can be interpreted as having a function like a "tonic," while hierarchically subordinate chords can function analogically like "dominants." Finally, I explore how Bartók heightens the analogical function of chords through allusions to traditional formal procedures.

In the second chapter, I examine Arnold Schoenberg's use of modernistic twelve-tone pitch structures and "tonal" textures of the classical era. This chapter explores Schoenberg's concerns for intelligibility and comprehensibility during his development of the twelve-tone method. Although Schoenberg's twelve-tone method represented a revolutionary approach to pitch organization, his use of classical textures and formal-textural signals created an evolutionary bridge to the classical era that aided listeners in the comprehension of his forms. Recognizing the complexity of his serial approach to pitch, Schoenberg utilized simple homophonic textures to aid in the intelligibility of these works. Using theories of the perception of texture, I demonstrate Schoenberg's shift in style from the complex, modernistic polyphony of the 1910s to the simple, classical homophony of the twenties and thirties. Then, I use modern theories of texture and form to demonstrate how Schoenberg restored textural/formal signals

from the eighteenth and nineteenth centuries, aiding listener perception of formal locations such as “primary theme zone,” “transition sections,” and “retransition sections.”

In the third and final chapter, I examine Igor Stravinsky’s use of diatonic, galant-era contrapuntal patterns in combination with modernistic approaches to harmonization and texture. Using Robert Gjerdingen’s galant schema theory, I analyze Stravinsky’s neoclassical works from *Pulcinella* to *Apollo*, demonstrating the composer’s indebtedness to pre-classical music and revealing a continuity in style not yet demonstrated during this era. While past analyses have attempted to emphasize non-diatonic pitch structures in this music, I demonstrate how Stravinsky reshapes the diatonic patterns of the past by superimposing various diatonic lines to create his modern textures. Using this diatonic approach to analysis, I shed light on the dramatic shift in aesthetics that shaped Stravinsky’s neoclassicism—an aesthetic that emphasized objective musical construction and ensured intelligibility by restoring a communal, classical language.

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Chapter 1: Bartók's Jabberwocky Phrases: A Synthesis of Tonal and Atonal Phrase Structures

1.1 Introduction

Béla Bartók has one of the most eclectic compositional styles of the 20th century, often employing two or more musical styles or systems in a single movement, formal section, phrase, or even measure of music. At times, as in the mixture of tonal and atonal styles, the expectations of these two styles can directly conflict with one another. This chapter examines the sources of Bartók's stylistic multiplicity and the challenges it poses for music theory, especially with regard to the ideals of unity and coherence. First, I will outline the history of what many music theorists have called the "Bartók problem." Then, I will outline the sources of stylistic conflict in Bartók's music and his musical, cultural, and aesthetic reasons for creating such conflict. Finally, I will demonstrate how analogy theory best represents Bartók's intentions by focusing my study on a single type of musical object: the harmonic phrase. The harmonic phrase is an object created through the coordination of multiple musical parameters, including pitch, rhythmic, and grouping structures. The phrases under consideration provide varying levels of coordination and conflict among these structures—some structures suggest phrasal unity while others suggest disunity. The chapter concludes with a series of analyses demonstrating different levels of conflict at different structural levels, expanding from small to large scales.

1.1.1 Bartók's Stylistic Multiplicity: The *Theory* Problem

In 1948, just three years after the composer's death, the Juilliard String Quartet presented a series of concerts in which they performed—for the first time—the complete string quartets of

Béla Bartók. In only two concerts, on July 10th and 17th, the musicians performed all six quartets, totaling 24 movements and roughly 157 minutes of music.¹ The cycle spanned over 30 years, from 1909 to 1939, of perhaps one of the most varied and eclectic oeuvres of any composer of his time.

Milton Babbitt, who would become one of the most distinguished composers and music theorists of the twentieth century, attended one such performance of the quartet cycle by the Julliard Quartet. Experiencing the entire cycle in two sittings inspired him to write an article identifying a unique “problem” that Bartók’s eclectic style posed for music theorists.² The crux of the problem was Bartók’s employment of two general and contradictory approaches to composition. On the one hand, with the “traditionalist” or “semantic” approach, Bartók employed “generalized functional tonal relationships” which recall enculturated knowledge that exists “prior to a specific composition.” An example of this is the “tonic-dominant” harmonic relationship (a particular fascination of Bartók), which creates certain expectations by recalling hundreds of years of musical practice in countless pieces by countless composers. On the other hand, with the “modern” or “syntactic” approach, Bartók employed “unique, internally defined relationships”, which, according to Babbitt, can avoid the “danger” of tonal and semantic association.³ These two methods of composition create two types of listening: one using the listener’s knowledge to signify structures—envisaged or literally sounded—and the other using unique musical patterns that create structures peculiar to the piece at hand (avoiding such semantic association).

¹ Taken from the 1963 Julliard Quartet recording of the cycle.

² Milton Babbitt, “The String Quartets of Bartók,” *The Musical Quarterly* 35, no. 3 (1949): 377-385.

³ Richard Cohn, “Bartók’s Octatonic Strategies: A Motivic Approach,” *Journal of the American Musicological Society* 44, no. 2 (1991): 297-299.

According to Babbitt, the co-existence of these two types of structures created a “problem” in Bartók’s music:

Bartók’s problem was that of achieving an assimilated balance between these two methods, without oversimplifying the problem by assigning discrete regions of control to each, for such a solution is indeed no solution, substituting as it does segmentation for integration.⁴

The *real* crux of the problem, proposed by Babbitt, lies not in the existence of these two types of structures but in the integration of these structures into an indivisible whole. At the small scale, note-to-note successions suggest tonal functionality that becomes inconsequential at the large scale. Perhaps a single measure or phrase coheres by a single musical system, but that coherence does not describe that phrase’s connection to a second phrase, nor does it describe the system generating the second phrase. Tonal “associations” pop up, are negated, and disappear. “In this resides the difficulty and apparent complexity of Bartók’s music,” wrote Babbitt.

Babbitt was not alone in this observation. Pierre Boulez, perhaps the only twentieth-century composer-critic of greater stature than Babbitt, offered a more critical appraisal of this problem:

[Bartók’s] work...lacks the profound unity and novelty of Webern, the rigour and sharpness of Schoenberg, the complexity of Berg, and the vigorous yet controlled dynamism of Stravinsky.⁵

Boulez found a problem in Bartók’s *profound* lack of unity, rigor, and control, suggesting the same problem of integration and coherence noted by Babbitt in 1949.

In 1995, 44 years after Babbitt’s article, Bartók scholars convened at the International Bartók Colloquium to discuss the current and historical state of Bartók scholarship. The “Bartók problem” was a principal concern, with papers detailing the numerous approaches to Bartók

⁴ Babbitt, “The String Quartets of Bartók,” 377-378.

⁵ Pierre Boulez, *L’Encyclopédie de la musique*. quoted in *Bartók Perspectives*, ed. Elliot Antokoletz, Victoria Fischer, and Benjamin Suchoff (New York: Oxford university Press, 2000), 301.

analysis.⁶ The field had become diverse and fractured, with theorists differing sharply in opinion on how to approach Bartók's music, even resulting in a "degree of antipathy" between theorists with differing approaches.⁷ In an attempt to solve the "Bartók problem," a hunt had begun to find a single system that could explain all of Bartók's styles, resolving the conflict by essentially proving no conflict at all; a unified "Theory Of Everything" that paralleled the famous search undergone by theoretical physicists at roughly the same time. Malcom Gillies, in a paper titled "Bartók Analysis and Authenticity," accounted for the search, stating that although "a very large number of distinctive theories have been developed from or applied" to Bartók's music, "one system of analysis, satisfactorily applicable to all or the bulk of Bartók's output, is still distant as ever."⁸ The "Bartók problem" had still not been solved.

At the same time, however, a trend had emerged in Bartók scholarship that addressed the "Bartók problem" by recognizing that it was not, in fact, a Bartók problem, but rather, a *theory* problem. Bartók's music is, after all, among the most programmed and appreciated music of the twentieth century.⁹ It is obvious that audiences and performers find no critical problem. Gillies accounted for this new trend, stating: "the very desirability of an all-embracing theory—with its troubling implications of a singularity and organicism to Bartók's *oeuvre*, and seemingly

⁶ Malcolm Gillies, "Bartók Analysis and Authenticity," *Studia Musicologica Academiae Scientiarum Hungaricae* 36, no. 3/4 (1995): 319-322; Iván Waldbauer, "Theorists' Views on Bartók from Edwin von der Nüll to Paul Wilson," *Studia Musicologica Academiae Scientiarum Hungaricae* 37, no. 1 (1989): 93-121.

⁷ Michael Russ, "Review: Functions, Scales, Abstract Systems and Contextual Hierarchies in the Music of Bartók," *Music & Letters* 75, no. 3 (1994): 401. Differences stemmed from nationalistic- vs European-stylistic exclusivity, tonal vs non-tonal approaches, polymodal vs chromatic, and macro vs micro analytical approaches. See also: Elliot Antokoletz, "Theories of Pitch Organization in Bartók's Music: A Critical Evaluation," *International Journal of Musicology* 7 (1998): 259-300.

⁸ Gillies, "Bartok Analysis and Authenticity," 320.

⁹ At times in the twentieth century, Bartók was among the top four and five composers recorded onto records. See: Malcolm Gillies, "The Canonization of Bela Bartok," in *Bartok Perspectives*, ed. Elliot Antokoletz, Victoria Fischer, and Benjamin Suchoff (New York: Oxford University Press, 2000), 292-293.

inevitable conceptual rigidities—may now be less universally welcomed than in previous decades.” In 1991, Richard Cohn summarized the new approach:

If one of the features we admire about Bartók is his eclecticism, there should be nothing discomfoting about finding that his scores are over-determined; his *double entendres* might even be cause for celebration.¹⁰

Rather than analyze away the conflict in Bartók’s music, theorists might highlight such stylistic conflict. Bartók himself did not see this lack of unity as a problem, but instead as a solution to the polarization that already existed in both contemporary music and the modern world itself. As demonstrated in the next section, the conflict and synthesis of styles was a principal aesthetic and cultural ideal guiding and inspiring Bartók’s work, and the preservation of this conflict best represents Bartók’s artistic intentions and the appeal of his music.

1.1.2 Bartók’s Stylistic Multiplicity: The *Universal Answer*

Every Whole has broken to pieces,
Every flame flares up its fragments,
Every love has fallen apart,
Every Whole has broken to pieces.
Excerpt from Hungarian poet and Bartók contemporary Endre Ady’s “Cartway at Night,”
1909¹¹

Far from a theoretical problem, stylistic multiplicity forms the heart of Bartók’s artistic, aesthetic, and cultural philosophy. Indeed, for Bartók and artists of his milieu the fragmentation of ideas and styles symbolized the fragmentation that permeated modern existence. Bartók’s philosophical and artistic culture saw unity-prizing aesthetics, like Schoenberg’s *Grundgestalt*,

¹⁰ Cohn, “Bartok’s Octatonic Strategies,” 298.

¹¹ Judit Frigyesi, *Béla Bartók and Turn-of-the-Century Budapest* (Berkeley: University of California Press 1998), 109.

as artificial. The feeling arose that art, like life, should not be an ordered and simplistic narrative.¹² Judit Frigyesi, in *Béla Bartók and Turn-of-the-Century Budapest*, writes:

Influenced by Nietzsche, Bartók...envisioned musical form, at least potentially, as a direct outgrowth of the great feeling of life, a sensation in which opposites become part of one and the same great feeling.¹³

From the forced conflict of dialectically opposed ideas, each with its own distinct experience when isolated, arises a new experience—one that represents the “essence of life.”¹⁴ The complexity arising from such conflict did not represent “tangled confusion,” but instead a depth of experience.¹⁵ Perhaps for this reason, Bartók scholar János Kárpáti has written that Bartók’s multifarious style is not a problem, but instead “gives his work its strength and richness and enables it to supply a universal answer to the questions of our age.”¹⁶ Here Bartók’s eclecticism is not a problem, but the answer.

For writers like Kárpáti, stylistic multiplicity is usually discussed not as conflict, but instead as synthesis, leading Kárpáti to dub Bartók as one of the “great synthesizers.”¹⁷ For many scholars of Bartók’s music, Bartók’s eclecticism is not a problem of organic-stylistic unity, but instead the key to Bartók’s style. Colin Mason’s 1954 entry on the composer in the *Grove Dictionary* made such a claim:

Bartók’s was an essentially eclectic nature. He was always intensely interested in any new development, of whatever school, and was constantly extending his own means of expression by exploiting those revealed by others. But so great was his own personality that he was able to absorb them all, and to fashion them, together, or separately, into something that was unmistakingly Bartók. Thus his eclecticism

¹² Ibid., 44-166.

¹³ Ibid., 149.

¹⁴ Ibid., 147-148.

¹⁵ Ibid., 147.

¹⁶ Kárpáti, 1976. “Bartók, Schoenberg, Stravinsky,” 93. János Kárpáti, “Bartók, Schoenberg, Stravinsky,” in *Bartok Studies*, ed. Todd Crow (Detroit: Information Coordinators, Inc. 1976), 93.

¹⁷ Ibid., 93.

led only to an immense breadth of technical resources, never to plagiarism or disunity of style.¹⁸

From this view, preserving Bartók's synthesis of various styles should be the aim of an analysis, not a problem to be resolved.

Generally, synthesis occurs in Bartók's music in three ways. The first is the synthesis of various folk and national musical styles.¹⁹ Although many politicized nationalist movements sought a single, unified national style, Bartók, through his numerous expeditions to collect folk songs, came to understand folk styles as just the opposite, with even single regions represented by a heterogeneous blend of idiosyncratic styles. For that reason, a major geographical region like Hungary did not host a single style, but a plurality of styles from the many communities of the region.²⁰ Reacting to the jingoism and political propaganda of his time, Bartók sought to represent this diversity in his music:

My own idea, however—of which I have been fully conscious as a composer—is the brotherhood of peoples, brotherhoods in spite of all wars and conflict. I try—to the best of my ability—to serve this idea in my music; therefore I don't reject any influence, be it Slovakian, Romanian, Arabic, or from any other source.²¹

A second form of synthesis came from the blending of folk and art musics, in which Bartók sought to bridge the separation of "high" and "low" musical styles.²² Again, the two conflicting styles—each engendering distinct musical experiences—combine to form a new experience found only in their mixture. In 1921, Bartók wrote that, in utilizing folk materials, modern compositions "derive from the diatonic simplicity of peasant music an element of

¹⁸ Mason, 1954. 467-68. Collin Mason, *Grove's Dictionary of Music and Musicians*, ed. Eric Bloom. London: Macmillan, 1954), 1: 467-68.

¹⁹ Benjamin Suchoff, "Fusion of National Styles: Piano Literatures, 1908-11," in *The Bartok Companion*, ed. Malcolm Gillies (Portland: Amadeus Press, 1995), 124-125.

²⁰ Frigyesi, *Béla Bartók and Turn-of-the-Century Budapest*, 61-81.

²¹ Elliot Antokoletz, "Modal Transformation and Musical Symbolism in Bartok's *Cantata Profana*," in *Bartok Perspectives*, ed. Elliot Antokoletz, Victoria Fischer, and Benjamin Suchoff (New York: Oxford University Press, 2000), 61.

²² Karpati, "Bartók, Schoenberg, Stravinsky," 98.

refreshing contrast; the opposition of the two tendencies reveals the more clearly the individual properties of each, while the effect of the whole becomes all the more powerful.”²³

Related to the synthesis of folk and art musics was Bartók’s pursuit to synthesize Eastern European and Western European musical styles.²⁴ In 1939, Bartók reflected on this pursuit, saying “Kodály and I wanted to create a synthesis of East and West.”²⁵ Bartók described the synthesis of Eastern and Western styles as resulting from the mixture of his essentially German training and widespread interest in national musical styles of the early twentieth century. In the Harvard Lectures, Bartók describes the creation of the New Hungarian art music along these lines:

So, the start for the creation of the ‘New’ Hungarian art music was given, first, by a thorough knowledge of the devices of old and contemporary Western art music: for the technique of composition; and, second, by the newly-discovered rural music—material of incomparable beauty and perfection: for the spirit of our work to be created.²⁶

Even in his music before the 1920s, when his compositions had the most direct influence from Eastern European folk music, Bartók often discussed his synthesis of Eastern and Western styles. For example, in 1921, Bartók’s collaborator and friend Zoltán Kodály, in cooperation with Bartók himself, wrote in *La Revue Musicale* that Bartók:

has inhaled the values of all great schools and reached the universality so seldom realised since the great Viennese masters, the wonderful unity springing from the marvelous balance between Germanic and Latin peoples’ cultures.²⁷

²³ Bela Bartók, “The Relation of Folk Song to the Development of the Art Music of Our Time,” in *Béla Bartók Essays*, ed. Benjamin Suchoff (New York: St. Martin’s Press, 1976), 324.

²⁴ Many scholars discuss a synthesis of “East” and “West.” Ernő Lendvai puts the most emphasis on this synthesis, writing: “Bartók achieved something that few others have been able to realize: a symbolic handshake between East and West, a union of the Orient and the Occident.” See: Ernő Lendvai, “Duality and Synthesis in the Music of Béla Bartók,” in *Bartók Studies*, ed. Todd Crow (Detroit: Information Coordinators, Inc., 1976), 62.

²⁵ Balázs Mikusi, “Bartók and Scarlatti: A Study of Motives and Influence,” *Studia Musicologica* 50, no. 1/2 (2009): 4.

²⁶ Bela Bartók, “Harvard Lectures,” in *Béla Bartók Essays*, ed. Benjamin Suchoff (New York: St. Martin’s Press, 1976), 363.

²⁷ Mikusi, “Bartók and Scarlatti: A Study of Motives and Influence,” 4.

Bartók's expression of eastern European folk style in his music has been a point of contention among Bartók scholars for some time, with scholars citing various statements by the composer either supporting or opposing the direct influence of folk styles.²⁸ Nevertheless, Bartók continually asserted throughout his career, as evidenced by his statements in the Harvard Lectures, that his style was a fusion of Eastern and Western musical styles.

The final form of synthesis, and the focus of this study, is the synthesis of modern and traditional classical styles. This synthesis of modern and classical music was a lifelong project of Bartók, which he addressed in a 1939 conversation with his French biographer, Serge Moreux: "...again and again I ask myself: can one make a synthesis of these three classics (that is Bach, Beethoven, and Debussy), and make it a living one for the moderns?"²⁹ Kárpáti believes that such a synthesis was a "theoretical possibility realized by [Bartók]."³⁰ Despite the fact that his music was often labelled as such, Bartók never subscribed to the revolutionary tenants of "ultra-modernism," or the outright rejection of tradition for progressivist innovation. Bartók maintained throughout his career that his music, and indeed the music of most any modern composer, necessarily connected to the past: "Every art has the right to stem from a previous art; it not only has the right to but it must so stem [.]"³¹ In his 1939 Harvard Lectures, Bartók directly approached the subject of "revolution" and "evolution" in music development. After attacking the integrity of so-called musical "revolutionaries," Bartók dispelled the notion that revolution defines the success of modern composers:

As we have seen from the foregoing discussion, those composers [Schoenberg and Stravinsky] who achieved the most in the last decades were not demolishing

²⁸ Antokoletz, for example, has stated "the folk sources are essentially external to the composition, so they cannot play a primary role in understanding the internal workings of his musical language per se." Antokoletz, "Theories of Pitch Organization in Bartok's Music," 260.

²⁹ Kárpáti, "Bartók, Schoenberg, Stravinsky," 93.

³⁰ *Ibid.*, 93.

³¹ Lendvai, "Duality and Synthesis in the Music of Bela Bartok," 47.

revolutionaries; indeed, the development of their art has been, on the contrary, based on steady and continuous evolution.³²

While stylistic multiplicity might create a problem for certain currents in music theory, it is essential to the appreciation of Bartók's music. As such, the accurate representation of the conflict or synthesis of opposing styles should form the chief pursuit of a theory or analysis of many of Bartók's works. As demonstrated here, the challenge facing a theorist is not in demonstrating unity, but in representing the play between contrasts. To return to Babbitt, "segmentation is indeed no solution," as it does not represent, to paraphrase Bartók, the "powerful effect of the whole." For that reason, an analyst's task is not only to identify conflict in the form of two opposing musical systems, but as Bartók often insisted, to represent the unique experience engendered by such a mixture.

1.1.3 Old, Withered Chords/New, Lively Effects

To Bartók, the term "revolution" was nothing more than rhetoric. In practice, a true "revolution" in music was impossible, requiring "the elimination of all known musical sounds in use today."³³ Therefore, an evolution of music would not replace an old set of materials and patterns with a new set, but instead embrace and integrate those materials. With this evolutionary view of artistic progress, Bartók settled for a palette of no less than *all* possible musical materials and techniques—new and old, used and unused. In 1921, he refused to take a one-sided stance on a recent compositional trend away from homophony toward polyphony. Bartók preferred instead

³² Bartók, "Harvard Lectures," 360-361.

³³ Bartók, "Harvard Lectures," 345.

“a blend of both kinds, a procedure which permits more diversity than the exclusive limitation of one of them.”³⁴ The same philosophy of diversity formed his stance on chords and sonorities:

The unconditional elimination of these old sonorities [triads, a third, a perfect fifth or octave] would imply a disclaiming of a—not even inconsiderable—part of the means of our art; however, the ultimate objective of our endeavours is the unlimited and complete use of all extant, possible material.³⁵

Bartók’s embrace of older, tonal musical materials distinguished him from many of his contemporaries. Schoenberg, for example, avoided using the triad in his earlier twelve-tone works due to the tonal associations it suggests:

My formal sense...tells me that to introduce even a single tonal triad would lead to consequences, and would demand space which is not available within my form. A tonal triad makes claims on what follows, and retrospectively, on all that has gone before; nobody can ask me to overthrow everything that has gone before, just because a triad has happened by accident and has to be given its due.³⁶

Schoenberg quite obviously attributes a great deal of semantic power to the triad, with even a single, accidental appearance capable of re-contextualizing all atonal music preceding it, and demanding space to be given its due. In avoiding triads, Schoenberg avoided the tonal “associations” that formed the heart of Babbitt’s “Bartók problem.”³⁷ As Babbitt noted, Bartók was “aware of the hazards inherent in the use of a language overladen with connotations, in which the scarcely suggested is perceived as explicitly stated.”³⁸ Like Schoenberg, Babbitt attributed immense semantic power to tonal materials: even when only scarcely suggested, patterns can be perceived as explicitly stated.

³⁴ Bela Bartók, “The Problem of New Music,” in *Béla Bartók Essays*, ed. Benjamin Suchoff (New York: St. Martin’s Press, 1976), 457.

³⁵ *Ibid.*, 458.

³⁶ Arnold Schoenberg, “Opinion or Insight?” in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein and trans. Leo Black (New York: St. Martin’s Press, 1975), 263.

³⁷ Although Schoenberg did use triads in his later twelve-tone works, and made allusions to tonality in works like the *Suite for Septet* and others.

³⁸ Babbitt, “The String Quartets of Bartok,” 377.

But of course, in his aesthetic of conflict and synthesis, these sorts of associations appealed immensely to Bartók. The semantic baggage of the triad, avoided by Schoenberg due to its ability to color all atonal material before or after it, provided Bartók a bridge between discrete tonal and atonal materials. This semantic bridging provides “the powerful effect of the whole” when mixing new and old styles:

[I]t seems to me that a deliberate (not too frequent) use of chords of older tonal phrasing within atonal music would not be in bad taste. An isolated triad of the diatonic scale, a third, a perfect fifth or octave amidst atonal chords...do not give an impression of tonality; furthermore, these means, already withered by long use and misuse, acquire from such a totally new surrounding of a lively, quite special effect arising just from the contrast.³⁹

While Schoenberg avoided the triad in an attempt to avoid tonal hierarchy, Bartók used atonal chords to emancipate “withered” tonal materials from their “long use and misuse.” Just as the triad creates tonal associations for atonal materials, atonal materials similarly affect and reshape tonal materials. Each of their respective qualities and structures—distinct when isolated—combine in conflict to form a unique experience.

1.2 Synthesis through Analogical Comparison

The suggestion or expression of tonal patterns and functions in atonal contexts is often described as arising through analogical processes: in lieu of a complete tonal environment as found in tonal works, in atonal contexts, tonal materials function by analogy to their function in tonal music.⁴⁰ To be more precise, tonal analogies in atonal music arise from the listener’s context and imagination; a chord suggests a dominant function despite a context that lacks functional confirmation through repetition and emphasis. The remainder of this study focuses on

³⁹ Bartók, “The Problem of New Music,” 457-458.

⁴⁰ Paul Wilson, 1992, *The Music of Bela Bartok* (New Haven: Yale University Press, 1992), 32-41.

analyzing how Bartók enabled such associations by creating a listening context ideal to the type of analogical comparison on which these associations hinge. To do this, I will draw from analogical theories of music developed by Janet Bourne.⁴¹ As demonstrated previously, the comparison of familiar tonal structures and idiosyncratic non-tonal structures forms the core of Bartók's synthesis. As discussed subsequently, analogical comparison is exactly that cognitive process: the understanding of an unfamiliar concept through comparison to a relationally similar yet more familiar concept.⁴²

For theorists, the difficulty of the "Bartók problem" lies in integrating two separate and conflicting analytical methods. Janet Bourne describes how aspects of analogy theory can bridge the gulf between different analytical methodologies: "Not only is it not tied to a particular methodology, but it actively connects different analytical methods, giving theorists a way to easily discuss multiple pattern types."⁴³ For this reason, analogy theory offers a valuable tool to the diverse and fractured field of Bartók analysis. It is my contention that the ideal Bartók analysis is not produced by a single "Theory Of Everything," but instead by using analogy theory to incorporate *every* pertinent theory into a single analytical framework.

I will use analogy theory to model the "special effect" achieved by Bartók through the synthesis of conflict, drawing from multiple music theories. The most basic approach adopts Bourne's framework for analyzing musical analogy. Bourne, extending the work of psychologist Dedre Gentner, describes analogy as the comparison of two analogs (situations or domains involved in analogical mapping): a source analog (or event, relation, stimulus, etc.), of which the perceiver has a concrete understanding; and a target analog, of which the perceiver has only a

⁴¹ Janet Bourne, "A Theory of Analogy for Musical Sense-Making and Categorization: Understanding Musical Jabberwocky," (PhD diss., Northwestern University, 2015).

⁴² *Ibid.*, 23-25.

⁴³ *Ibid.*, 135.

partial understanding.⁴⁴ The analogical process occurs in three steps: (1) retrieval, during which a perceiver retrieves knowledge of the source; (2) mapping, during which the perceiver maps the relational structure of the source to the target; and (3) evaluation, in which the perceiver evaluates the inferences from this mapping. As an example, Bourne offers the analogy “an atom is like the solar system,” analogically comparing planets rotating around the sun (source) to understand electrons revolving around a nucleus (target).⁴⁵ First, the person retrieves his or her knowledge of planets rotating around the sun. Second, the person maps the relational structure of the understood source—smaller planets revolving around a larger sun—onto the less-understood target—smaller electrons revolving around the larger nucleus. In the final step, a person uses knowledge from the source to make inferences about the target: “if smaller objects revolve around a larger one faster in solar systems, then they probably revolve faster in atoms as well.”⁴⁶ In this three-step process, I contend that Bartók’s “special effect” arises from the listener’s projection of inferences from the familiar tonal structure onto the idiosyncratic, non-tonal structure.⁴⁷

Figure 1.1. Three-Step Analogical Process.



Bourne’s analogical framework can be used to describe two forms of analogical comparison: unidirectional and bidirectional. Unidirectional listening, also called “projective

⁴⁴ Ibid., 23-25. Bourne’s work with music adapts Dedre Gentner’s Structure-Mapping Theory. See: Dedre Gentner, “Structure-Mapping: A Theoretical Framework for Analogy,” *Cognitive Science* 7 (1983): 155-170; Dedre Gentner, “Psychology of Analogical Learning,” in *Encyclopedia of Cognitive Science*, ed. L. Nadel (London: Nature Publishing Group, 2003), 106-112.

⁴⁵ Bourne, “A Theory of Analogy for Musical Sense-Making and Categorization,” 25.

⁴⁶ Ibid., 25.

⁴⁷ Ibid., 94-96.

analogy,” is the analogical process described thus far: a listener projects inferences *from* a familiar source *onto* a less familiar target. Bidirectional listening, also called “mutual alignment analogy,” compares two novel analogs to each other. Both analogs are sources, and both are targets. By comparing the structure of each analog, a listener gains a greater understanding of both.⁴⁸ For example, imagine a work employing a theme with idiosyncratic patterns that eschew known conventions. As that theme repeats, perhaps with minimal variations, the listener compares the many thematic statements and uses them to gain a better understanding of the common underlying patterns that define them. In many of the following examples, Bartók’s “special effect” is achieved through bidirectional listening, with the perception of more conventional, yet partially understood patterns being altered by the novel patterns in mutual comparison. This mutual process is similar to Lawrence Zbikowski’s “Cross-Domain Mapping.”⁴⁹

1.2.1 March 16th, 1922: Creating the Context for Retrieval

“...even whole sequences of...triads...might be perceived as quite in [a modern] style.” Béla Bartók⁵⁰

Retrieval, the first stage of analogical comparison, occurs when a listener encounters a stimulus and recognizes its relational-similarity to a previously encountered stimulus. The previously encountered analog is *retrieved* either from long-term memory, as is the case with patterns or schemata like “sentential phrase structure,” or is retrieved from short-term memory when the analog is literally presented in the piece being perceived. Either way, the analysis of

⁴⁸ Ibid., 122-123.

⁴⁹ Lawrence Zbikowski, *Conceptualizing Music: Cognitive Structure, Theory, and Analysis* (New York: Oxford University Press, 2002).

⁵⁰ Bartók, “The Problem of New Music,” 458.

analogy first requires the analyst to establish a listener's context. As Bourne states, an analyst must first ask the question: "What knowledge does a listener have about these two analogs?"⁵¹ This context and knowledge comes from the piece at hand, but also from other pieces, musical conventions, and musical experiences learned either consciously or unconsciously from past musical experiences.⁵²

With regard to the "Bartók problem" discussed previously, it is this knowledge that gives rise to the "mess of associations" discussed by Babbitt. In my analysis, I do not merely mean to suggest that analogy theory is *useful* for analyzing Bartók's music, but that Bartók *intentionally* composed music to provoke analogical comparison between familiar tonal structures and novel modern structures. Bartók accomplished this in three ways. First, and most straightforwardly, Bartók sequentially juxtaposed conventional musical structures with distorted variations of those conventional structures. In this case, both analogs are presented. This most closely resembles Bartók's synthesis of conflict discussed previously. Second, Bartók created structures that first suggest convention, giving rise to expectations of continuance, but he then distorted the ultimate realization of that structure. These structures play off both long term memory *and* literally present analogs. Finally, Bartók presented simultaneously conflicting structures. For example, Bartók might compose a melody that perfectly follows diatonic classical sentence structure, but harmonizes that melody with chromatic non-tonal chords.

As an example of Bartók's intentional control of listener context—and the likely perception of this intent by his audience—let us consider one of Bartók's own concert performances, programmed by the composer and his collaborators, violinist Jelly Arányi and singer Grace Crawford. On March 16th, 1922, during a concert tour of England, Bartók

⁵¹ Bourne, "A Theory of Analogy for Musical Sense-Making and Categorization," 87-88.

⁵² *Ibid.*, 87-89.

performed a concert featuring both traditional classical works and his own new works.⁵³ Such a mixture of old and new was common for Bartók’s programs.⁵⁴ Bartók’s concert drew a diverse group of musical supporters, with some more receptive to modern music, and others more sympathetic to traditional classical music.⁵⁵ The concert opened with Mozart’s Violin Sonata in D major, K.306, a three-movement work that, needless to say, filled the listeners’ ears with all varieties of classical tonal structures and styles.

After the Mozart Sonata, Bartók performed his Suite Op. 14, beginning with this introduction:

Example 1.1. Suite Op. 14, I, mm. 1-4



A stream of eight B \flat -major triads over four measures of 2/4. After hearing the Mozart—roughly fifteen minutes of music organized around triads—the listeners were primed to associate Bartók’s triads with the same tonal structures and expectations they encountered in the Mozart. Although I will flesh this process out more in a later section, for now we can imagine that the introduction engendered the following expectations: that Bartók’s triads belonged to a diatonic scale, that the four regular measures of 2/4 would correlate to a four-measure phrase, and that the triad would be placed next to tonal diatonic harmonies, like sub-dominant and dominant chords.

⁵³ Malcolm Gillies, *Bartok in Britain: A Guided Tour* (New York: Clarendon Press, 1989), 37.

⁵⁴ Programs for Bartók’s London tour can be found in: Gillies, *Bartók in Britain*. Programs for Bartók’s American tour in 1927-28 can be found in: Sarah M. Lucas, “Béla Bartók and the Pro-Musica Society” (master’s thesis, University of Missouri, 2012).

⁵⁵ Gillies, *Bartók in Britain*, 37-39.

These envisaged outcomes extend beyond the most immediate future events, and likely include assumptions that the next four or eight measures will contain a tonal phrase.

Instead, the next eight measures contain this:

Example 1.2. Suite Op. 14, I, mm. 5-12

The musical score for Example 1.2, Suite Op. 14, I, mm. 5-12, is presented in two systems. Each system consists of two staves. The first system (measures 5-8) shows a sequence of chords: B \flat M, EM, B \flat M, EM. The second system (measures 9-12) shows a sequence of chords: B \flat M, EM, B \flat M, A \flat m, F \sharp m. The notation includes various rhythmic values and accidentals.

Measure five fits the tonal projections perfectly. The initiation of the melody heightens the sense of tonality, suggesting to the listener that we are, in fact, in B \flat major.

What follows, however, wildly conflicts with the tonal projections engendered by the prior context: instead of a syntactically expected chord, like IV or V, Bartók gives us an E major chord—an exceedingly remote chord for B \flat major. Fifteen minutes of prior tonal context now collide with a single, aberrant triad. As the tonal projections from the previous measures clash with a non-tonal realization, listeners likely reassess their assumptions of a tonal context. On one hand, the E major triad strongly suggests a new, non-tonal context. On the other hand, the fifteen prior minutes of tonal context might persist.

In the following measure, Bartók rewards the listeners that retained a tonal context. The B \flat major triad returns, suggesting to the listener that a tonal organization around B \flat major is correct. The repetition of B \flat M creates the pattern of B \flat M-EM-B \flat M, or generally ABA, creating a hypermetric accent pattern that accents B \flat M through return, and subordinates EM. For the listener, the EM triad might have, after all, been an aberration or even a mistake. The rest of the phrase, however, continues to support a non-tonal context. First, E major returns in its subordinate role. Second, in place of a normative tonal cadence, Bartók simply steps down from B \flat M, through A \flat M, to the tonal center of the second phrase, F \sharp m. It begins to become clear: this is not Mozart's tonality.

Measures 13-20 confirm a non-tonal prediction. Bartók repeats the alternation of tritone-related triads, first between F \sharp m and CM in mm. 13-16, and then between D \sharp minor and A minor in mm. 17-19. This second phrase ends with the same type of tonal motion as the previous phrase. In place of a normative cadence, Bartók simply steps down by major second, from D \sharp m to C \sharp m, before finally terminating on B minor. At this moment, those listeners who strongly assumed a B \flat diatonic context are likely asking themselves, "How did we get to B minor?"

By measure 20, no listener would likely retain the set of tonal associations primed by the Mozart violin sonata and the Suite's four-measure introduction. The expectations for fifth-related harmonic connections have disappeared. And at just that moment, Bartók gives the listener this:

Example 1.3. Suite Op. 14, mm. 21-29

21

B♭M FM7 B♭M FM7

25

B♭M FM7 B♭M A♭M GM

B♭M suddenly and emphatically returns, but now it is alternated with a fifth-related FM chord.

Although the melody contains E \flat and F \sharp , and the F major chord includes a major seventh (as opposed to a minor seventh), Bartók restores the dominant-like harmony the audience first expected upon hearing the B♭M introduction. Bartók has turned the table again: just as listeners abandon tonal associations, Bartók revives them through the tonic-dominant relationship.

This play of associations and manipulation of listener context was not lost on attendees of the March 16th concert. A reviewer noted:

Having made up his mind that clash of sonorities is the soul of music, no matter how ugly they may be, he is not to be seduced from his ideal. At his concert last week he even employed Mozart's Violin Sonata in D as a foil.⁵⁶

⁵⁶E.A. Baughn, "A Hungarian Genius?" *Saturday Review*, April 1, 1922, 331, quoted in Gillies, *Bartók in Britain*, 39.

The concert scene of the early twentieth century was saturated with tonal music. Much as they do today, listeners heard tonal music with great frequency. Although it was not necessary, Bartók reminded the listeners of this tonal context by opening his concert with traditional classical works. He repeated this formula numerous times during his tour of Britain.⁵⁷ In the 1920s, when not opening his concerts with a tonal work from the past, Bartók often began the concert with the Suite Op. 14, using its stream of rhythmically regular triads to suggest a tonal context. He often prefaced these concerts with an introductory lecture assuring his audience that his music was an evolution from past musical styles, and not as wild as some of his modern contemporaries.⁵⁸

One could describe Bartók's March 16th concert as beginning with a strongly tonal context and slowly progressing toward a more non-tonal context. The entire first movement of Op. 14 follows this pattern: as the movement progresses, Bartók introduces increasingly fewer tonal chords and chord connections, and eventually abandons the tonal accent structures of the movement's beginning for more irregular accent structures. The Op. 14 as a whole follows the same pattern, with each movement becoming less tonal than the last. This process was noted by a reviewer of one of Bartók's American concerts, stating that: "In the last number there was heard a diatonic scale which proved startling [.]"⁵⁹ Through the concerts, Bartók subtly controlled and manipulated listener context to such an extent that, at the beginning of concerts, listeners likely first projected diatonic contexts, and by the end, found diatonic scales startling.

In reviewing these concerts, some called Bartók an ultra-modern, placing him amongst the revolutionaries from whom he time and time again attempted to distance himself. Other

⁵⁷ Gillies, *Bartók in Britain*, 31, 56-57.

⁵⁸ Lucas, "Béla Bartók and the Pro-Musica Society," 20-138.

⁵⁹ *Ibid.*, 64.

reviewers of his American tour described Bartók in a way closer to his own self-characterizations:

His harmonies have a distinct quality of newness. Many of our contemporaries are quite as rule-bound as the classics, but they are bound by violation rather than obedience. Bartók has added fresh principles, instead of shattering old ones...he has evolved chord sequences that are strange to the ear, but they are logical and honestly made.⁶⁰

In Bartók's music, one can hear old materials, like triads and diatonic scales, as new and "strange to the ear" because of his careful manipulation of listener context.

In the March 16th concert, Bartók aided the retrieval step of the analogical process in every way possible. First, he refreshed the audience's memory of tonal conventions by opening his concert with Mozart's Violin Sonata. Then, he connected the perception of his own style to Mozart's conventional style by opening the concert with his Suite Op. 14, a work that begins with a stream of triads suggesting a continuation of the tonal conventions just encountered in the Mozart. Third, Bartók literally juxtaposed his non-conventional phrases (mm. 5-20) with more conventional, fifth-based phrases (mm. 21-36), explicitly encouraging the comparison of non-convention with convention.⁶¹

In the Op. 14, a "mess of associations" arises from Bartók's suggestion and negation of tonal contexts. Bartók's "special effect" arises from the synthesis of this juxtaposition: a simultaneous layering of tonal expectations and non-tonal realizations. In other words, Bartók

⁶⁰ Ibid., 21-25.

⁶¹ János Kárpáti has discussed this phenomenon in Bartók's music through the concept of "mistuning." My interpretation is quite similar to Kárpáti's, who even uses the Suite Op. 14 to make his point. Our approaches, however, are quite distinct. Kárpáti bases his interpretations on the "mistuning" of scales: that Bartók's polymodal approach typically results in not just a perfect fifth, but also an augmented or diminished fifth. The "mistuned chordal structures" arise from the "mistuned" fifth as a root. "Namely, the composer exposes the *same material in perfect and mistuned versions*, proving their correlative—reciprocally completing and conditioning—qualities." Kárpáti says nothing about the ability of accent structure and phrasal patterning to impart a hierarchy on non-hierarchical pitch structures or evoke classical phrase procedures. The idea of analogy is implicit in Kárpáti's work. See: János Kárpáti, "Perfect and Mistuned Structures in Bartók's Music," *Studia Musicologica Academiae Scientiarum Hungaricae* 36, no. 3/4 (1995): 365-380.

offers the listener many ways to complete the retrieval stage of the analogical process. In the following section, I examine exactly how these two conflicting structures are synthesized in the second and third steps of analogical comparison, mapping and evaluation.

1.2.2 Mapping Tonal Functions onto Non-Tonal Phrases

In the second step to analogical processing, mapping, the listener compares similar musical relations and projects inferences from one analog to the other. Analogy theory focuses on the relational-structures making up an analog, but the objects of the relations are just as important to the alignment process. Bourne describes the process of relating objects and elements in mapping, saying: “In the mapping step, listeners recognize relations between objects, then associate each element in a relation of one structure with a corresponding element in a relation of a different structure.” In unidirectional listening, a listener projects inferences from a more familiar analog, the source, to the less familiar target, thus filling in gaps in understanding the less familiar target.⁶²

If we compare the fifth-generated (Example 1.4.b, mm. 21-28) and the tritone-generated (Example 1.4.a, mm. 5-12) phrases from Op. 14, we can see that these two phrases are more similar than dissimilar. They are both constructed of triads and tertian harmonies. They share the same rhythmic/metric structure. They have the same melody. They differ only in the connections of their triads—one utilizes tonal transpositions, the other non-tonal ones. They are essentially variations on the same concept, but each, when isolated, engenders a different experience.

⁶² Bourne, “A Theory of Analogy for Musical Sense-Making and Categorization,” 94.

Example 1.4. Suite, Op. 14, I. Comparison of tritone- and fifth-transposition phrases.

A. Tritone Phrase: mm. 5-8

B \flat M EM B \flat M EM

B. Fifth Phrase: mm. 21-24

B \flat M FM⁷ B \flat M FM⁷

Before discussing the conceptual synthesis of these two phrases, let us first consider the different experiences each might create when isolated. One can model the different experiences by simply comparing the three different structures that make up each phrase. Both structures share rhythmic/metric and grouping structures that suggest the eight measures cohere as a phrase. This structure creates an ebb and flow of hypermetric accents, drawing the listener's attention to strongly accented events and away from weakly accented events. The two phrases differ, however, in pitch structure. The fifth-generated phrase has a pitch structure that also suggests coherence, making all of its structures work together to suggest coherence. The tritone-generated phrase, on the other hand, has a pitch structure that suggests incoherence—the B \flat and E major chords clash, with each suggesting a different tonal center according to the laws of conventional

tonality. In the tritone phrase, the incoherent pitch structure disagrees with the coherent rhythmic and grouping structures.

What is interpretatively opaque in the tritone-generated phrase is the pitch function of the E major triad. In the fifth-generated phrase, one can easily assign a dominant-like root function to the fifth-related FM⁷ chord. One could even contextually determine that FM⁷ is not functioning as a high-order cadential dominant, but as a subordinate chord prolonging B \flat Major. If one takes the more-normative fifth-generated phrase as a source, and analogically compares it to the less-understood tritone-generated phrase, the listener can infer that with all other structures aligned, the E major chord in the tritone phrase is acting *like* the FM⁷ chord in the fifth phrase: as a low-order subordinate chord with a dominant function. In the tritone phrase, the EM triad falls at the same spot structurally as the FM chord in the fifth phrase; they are the same element in their respective structures.

Bartók's diverse and rich musical context at the March 16th concert allowed for multiple types of analogical mapping to occur. The listeners would have analogically compared Bartók's more normative phrases to those of the "foil" Mozart sonata—a type of mapping Bourne refers to as an "inter-opus" analogy. The listeners would also have analogically compared the fifth-generated phrase with the tritone-generated phrase in the Opus. 14 movement—what Bourne refers to as "intra-opus" analogies.⁶³

1.2.3 Evaluation and Modeling Bartók's "Special Effect"

In evaluation, the third and final step of analogical processing, "the listener evaluates inferences in context while considering his or her own goals and goals of others," according to

⁶³ Ibid., 123-125.

Bourne. At this stage, we begin to understand the perceptual experience behind analogy, and come close to modeling the effect of Bartók's synthesis. Consider again the order of Bartók's context at the March 16th concert: (1) a tonal work by Mozart full of triads related by normative phrase structures; (2) a four-measure triadic introduction of Op. 14 generating expectations of tonal continuation; (3) a non-tonal phrase featuring tritone transpositions and non-tonal cadences; (4) a more-tonal phrase featuring fifth transpositions. Now referring back to the tritone and fifth phrases, we can ask the question: How might this order affect our perception of the two phrases? How might the order influence one's evaluation of the analogical relationships?

First, the "foil" Mozart sonata and triadic introduction to the Op. 14 establish a normative tonal environment based on fifth transpositions. Amid this fifth-transposition context, the tritones of the second phrase likely seem more distant by comparison than if the tritone phrase had been presented in isolation.

Second, by placing the fifth-generated phrase *after* the tritone phrase, Bartók retrospectively informs the listener, through analogical comparison, that the less understood B \flat M-EM progression has a parallel function to the more understood B \flat M-FM progression. This ordering, of normative-novel-normative, creates an analogical space that is more "blended" than the unidirectional ordering of normative-novel, or novel-normative. Instead, it creates a bidirectional analogical comparison, in which the listener projects inferences onto and between both the tritone phrase and fifth phrase. In the tritone phrase, the listener infers a dominant quality for the EM triad due to its parallel place in the phrase structure as the FM triad in the fifth-generated phrase. At the same time, the tritone phrase creates the expectation for an "unexpected chord" in the second measure of the phrase. By mapping this experience onto the

fifth-generated phrase, the listener now hears a normative fifth relation as “unexpected.” Recall the following statement by Bartók:

[I]t seems to me that a deliberate (not too frequent) use of chords of older tonal phrasing within atonal music would not be in bad taste. An isolated triad of the diatonic scale, a third, a perfect fifth or octave amidst atonal chords...acquire from such a totally new surrounding of a lively, quite special effect arising just from the contrast.⁶⁴

This bidirectional blending of tonal and atonal structures is Bartók’s quite special effect: connecting the modern to the past, and making the past seem modern.⁶⁵

Finally, I offer one last theoretical framework for the type of experience just described. The experience of the tritone phrase, after a listener compares it analogically to the fifth-generated phrase, is similar to the perception of Lewis Carroll’s jabberwocky sentences. Jabberwocky sentences, named for Lewis Carroll’s famous “Jabberwocky” poem, use nonsensical words, but retain the patterning of functional sentences. Linguist August Imholtz Jr. explains that in jabberwocky sentences, “Ordinary language word order and inflection marks...define approximate function of the poem’s nonsense words.[...]Words with adjective, noun, and verb inflections occur precisely where one would expect adjectives, nouns, and verbs to be.”⁶⁶ Take the opening lines of Lewis Carroll’s famous poem, “Jabberwocky,” from his 1871

Through the Looking Glass:

’Twas brillig, and the slithy toves
Did gyre and gimble in the wabe;

The words “brillig,” “slithy,” “toves,” “gyre,” “gimble,” and “wabe,” are semantically meaningless. Nevertheless, due to the patterning, ordering, and connection to various

⁶⁴ Bartók, “The Problem of New Music,” 457-458.

⁶⁵ A similar discussion of bidirectional analogy can be found in Zbikowski’s discussion of conceptual blending: Zbikowski, *Conceptualizing Music: Cognitive Structure, Theory, and Analysis*.

⁶⁶ A. Imholtz, “Latin and Greek Versions of “Jabberwocky”: Exercises in Laughing and Grief,” *Rocky Mountain Review of Language and Literature* 41, no. 4 (1987): 213.

grammatically clear words like “and,” we can understand that “brillig” is a noun, “slithy” is an adjective, and “toves” is a noun. It can be thought to connect through analogy to the following sentence:

‘Twas nighttime, and the slimy frogs
Did hop and swim in the water;

If we reorder the jabberwocky poem, the meaning is lost, as in this German translation of the poem:

Es brillig war. Die schlichten Toven⁶⁷

“Brillig” is reproduced exactly, but for someone not knowledgeable of German syntax, in which verbs appear after nouns, “brillig,” of course, loses all sense of grammatical function.

Experientially, the Jabberwocky sentences are semantically nonsensical but functionally clear through normative English syntax. Through the same process of analogy, the tritone phrase is similarly experienced as a series of “nonsense” connections by the laws of traditional tonality, but the function of the nonsense chords is clear: the EM chord is “nonsensical” in the B \flat major context, but through the analogical connection to the fifth-generated phrase, we clearly understand that the EM chord is intended to function as a dominant in a way similar to the FM chord.

In the following section, I will formalize the analogical process introduced here. The basic “schema” of a harmonic phrase will be defined, and I offer numerous examples of “phrase” analogies like the Op. 14 example. Overall, I will be using Bourne’s analogical framework for analysis. All of the examples considered will claim that a listener uses established knowledge or patterns to understand novel situations. Bourne’s framework also focuses attention on both a

⁶⁷ Ibid., 214.

listener's context and knowledge and the composer's perceived intent, both of which will feature prominently in the following analyses.

1.3 Activating Knowledge of Phrases

To this point, I have demonstrated that Bartók at times activates a listener's knowledge of tonal styles to juxtapose those tonal semantic patterns with non-tonal patterns. From this juxtaposition, a blend emerges that frees tonal materials from their semantic associations, and ties non-tonal patterns to tradition; the new patterns sound as if part of an established tradition, and the old patterns sound as if part of living contemporary culture.

The Op. 14 examples illustrate Bartók's use of one such tonal pattern: a prototypical tonal phrase from the common-practice era. A phrase is a relatively complicated musical pattern constructed of many basic musical structures: pitch, rhythm, grouping, and melody. Because it is a tonal phenomenon arising from the coordination of numerous tonal structures, it offered Bartók many opportunities to put such structures in conflict with each other. When analyzing such conflicting structures, the central analytical issue becomes weighing the tonal and non-tonal expressions of these structures within a phrase.

To demonstrate how Bartók accomplished such play, I will focus on how the various structures of a phrase contribute to an overall sense of tonality. The single, complex concept of "a phrase" consists of numerous smaller objects (like chords and melodic fragments) related by different structures or relationships (like rhythmic/metric and pitch-transposition relationships). I will consider the established patterns of a phrase as both a single, macro object, as well as the patterns that relate the micro objects of a phrase. At the level of the macro-object, phrases are commonly defined by specific tonal functions, as in the presence of tonic (I), dominant (V), and predominant (ii, IV) functions. Due to the non-tonal music under consideration, I will instead

analyze the macro object of phrase by generalized artistic functions (e.g. a phrase “establishes a set of pitches, and then moves to a second set of pitches”). At the micro-object scale, I will be focusing attention on chordal objects and not melodic or contrapuntal conventions. Melodies and contrapuntal fragments can suggest phrase conventions on their own (like the bass fragment of an ascending fourth), but a survey of all phrasal elements is beyond the scope of the current study. Instead, I focus on the objects of chords and how they are related to each other through pitch structures (transposition), metric structures (hypermetrically strong and weak measures), and the coordination of pitch and metric structures to group musical materials into discrete phrases.

After defining the various elements of a phrase, I will use analogy theory to demonstrate how Bartók’s “jabberwocky” phrases (targets) relate to listeners’ knowledge of normative phrase patterns (sources). Analogy theory’s focus on the relations (pitch transposition, meter) of objects (triads) allows nuanced comparison between targets and sources. As with Op. 14, I will provide examples in which Bartók literally presents sources for comparison, but I will also provide more complicated examples in which source retrieval is left to the listener.

1.3.1 The Triadic Object and Tonal Expectation

Like Bartók and Schoenberg, numerous theorists have written that even a single triad, in isolation or even amid the most non-tonal of contexts, is a powerful signifier of tonality. Joseph Straus, in his book on analyzing music with mixed tonal and atonal structures, devotes an entire chapter to the triad in non-tonal contexts.⁶⁸ He suggests that “when triads occur in contexts other

⁶⁸ Joseph Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge: Harvard University Press, 1990), 74-95.

than the traditionally tonal one, careful critical attention must be paid,” and that “it is possible, even in the remotest of contexts, to insist on a tonal hearing.”⁶⁹ ⁷⁰ Bartók’s total oeuvre includes many complete works and movements entirely organized around triads, with many of those works also being diatonic. Thus, a triad in Bartók’s style can and often does signify true diatonic tonal music.

In Bartók’s more atonal works, however, triads can suggest tonal contexts amid atonal passages. Music theorists have suggested for hundreds of years that triads can signify an entire tonal context, as found in the writings of Rameau, Weber, Riemann, and Schenker.⁷¹ Recently, Richard Cohn has written extensively on what he calls the triad’s “metonymic” association with the entire tonal system. Like many theorists before him, Cohn argued that a single triad in isolation can signal both a tonic function and an assumption of the tonal system that creates such an interpretation.⁷² Cohn argues that even the twenty-first century listener makes such assumptions:

The cognitive expectations of the fluent listener to tonal music—whether a nineteenth-century one for whom tonal music is coextensive with music *tout court*, or a twenty-first century one who comes to the concert hall expecting to hear music of the tonal era—are such that, the sounding of, say, an E-major triad at the beginning of a piece triggers an entire flood of associations and inferences...From this E-major triad, the listener infers an entire tonal system.⁷³

⁶⁹ Ibid., 74.

⁷⁰ On the other hand, Straus also cautions against “impoverishing” twentieth-century music analysis with too tonal an analytical bias. Unlike this study, Straus is mostly concerned with the works of Schoenberg, the Viennese serialists, and the more atonal works of Stravinsky and Bartók, focusing on stray triads in an otherwise atonal context. Straus, *Remaking the Past*, 74.

⁷¹ Richard Cohn, *Audacious Euphony: Chromaticism and the Triad’s Second Nature* (New York: Oxford University Press, 2012), 1-3, 319.

⁷² Ibid., 8.

⁷³ Cohn, “Uncanny Resemblances,” 318-319.

Bartók himself shared such a tonally biased view, and frequently asserted that his music was tonal.⁷⁴ Toward the end of his career, Bartók, upset with his frequent association with atonality, retroactively assigned official tonal centers to his early piano works. He explained his reason for doing so: “The information is addressed especially to those who like to pigeonhole all music they do not understand into the category of ‘atonal music.’”⁷⁵ Throughout his career, Bartók also spoke of the power of triads and their association with diatonicism, believing even an isolated triad could represent a diatonic scale.⁷⁶

Bartók often approached music from the point of view of human perceptual capacity, and believed that listeners inferred tonics due to the natural laws of sound, leading him to believe that atonality, put frankly, does not exist:

Real or perfect atonality does not exist, even in Schoenberg’s work, because of the unchangeable physical law concerning the interrelation of harmonics and, in turn, the relation of the harmonics to their fundamental tone. When we hear a single tone, we interpret it subconsciously as a fundamental tone. When we hear a following, different tone, we will—again subconsciously—project it against the first tone, which has been felt as the fundamental, and interpret it according to the latter.⁷⁷

Even in Schoenberg’s “atonal” works, Bartók believed that a listener would interpret the music hierarchically, and relate the tones to some cognitively highlighted tone, like a tone accented due to its primacy in ordering.

Given Bartók’s attitude about tonality, he likely intended listeners to hear those four measures of B \flat major triads opening the Op. 14 as tonic triads in an assumed diatonic context of B \flat major. One can also assume that Bartók would have preferred to interpret the subsequent EM triad in the context of B \flat M.

⁷⁴ Malcolm Gillies, *Notation and Tonal Structure in Bartók’s Later Works* (New York: Garland Publishing, 1989), 17-20.

⁷⁵ Benjamin Suchoff, *Béla Bartók: A Celebration* (Oxford: Scarecrow Press, 2004), 147.

⁷⁶ Bartók, “The Problem of New Music,” 458.

⁷⁷ Bartók, “Harvard Lectures.” 356.

Following the theories of Weber, Cohn, and even Bartók himself, we can assume that the triad is of paramount importance to the perception of Bartók's jabberwocky phrases, for harmonic objects other than the triad would not as easily engender expectations of tonal style. Upon hearing the first triad of a phrase, the listener might assume a tonal context, likely positing dominant and predominant relationships connecting the initial triad to ensuing triadic objects. These assumptions would prove accurate for numerous Bartók pieces, including the Op. 14 fifth-based phrase discussed previously. In many other Bartók pieces, like in the Op. 14 tritone-based phrase, expectations clash with reality: triadic objects persist, but Bartók relates them with non-tonal connections and transpositions. The listener infers functional relationships from the imagined tonal context to the realized jabberwocky phrase, allowing the listener to hear functionally clear but tonally "nonsensical" chordal connections.

Bartók's *Mikrokosmos* no. 139 illustrates the composer's process of suggesting tonality by utilizing triads, only to "bend" the tonal sound with tonally violating realizations (Example 1.5). The simple piece begins with an arpeggiated F Major triad. In isolation, and at a piece's outset, a listener assumes the F major triad will serve as the tonic in an F major passage of music, likely positing tonal pitch continuations like fifth transpositions. Bartók realizes this assumption by following the F major triad with a C major triad, which itself resolves back to F major. In this context, a listener now expects change, but likely change in the form of additional tonal, and likely fifth-based, transpositions, perhaps in the form of a B \flat Major triad acting as IV. I have represented this posited, normative source in Example 1.5.a. What Bartók actually places after the F \rightarrow C \rightarrow F progression, shown in Example 1.5.b, is a D major triad—an unexpected chord in this F Major context that clashes with the tonal assumptions. Like the Op. 14 opening, Bartók plays off a listener's tonal assumptions. The semantically rich triads used—and "misused"

according to Bartók—in countless works, activate a listener’s memory of past musical experiences.

Example 1.5. *Mikrokosmos* no. 139, mm. 1-4.

A. hypothetical source



B. target



As discussed by Schoenberg, Bartók, and Straus, triads are powerful signifiers of tonality not just at a piece’s outset, but even amid atonal contexts. An example from the first movement of Bartók’s *String Quartet* no. 2 illustrates how Bartók uses triads in atonal contexts to give rise to, and play with, tonal conventions (Example 1.6). The work begins with dissonant counterpoint and a highly active and varied rhythmic texture evoking a very modern sound. While there are triads in the opening passages, the constant and rapid transformation of chordal qualities suppresses a tonal context.

Eight measures after Rehearsal 20, represented in Example 1.6, Bartók plays with the listener’s tonal assumptions.⁷⁸ After a grand pause, the music strongly evokes tonal style: repeated A-major triads create a strong feeling of an A-major tonal center. In the second measure of Example 1.6, Bartók confirms the A major tonality with a V^7 chord. Following the V^7 chord, Bartók disrupts the resolution of this functional fifth-progression by inserting the unexpected F

⁷⁸ This passage parallels a prior passage at R9. Again, the sudden appearance of a triad suggests tonal contexts. Bartók confirms the tonal context with fifth-related triadic transpositions, and subsequently complicates the tonal context with non-tonal triadic transpositions.

major and G major triads (stemless and bracketed) between the fifth-related harmonies. Deleting the G major and F major triads would create a conventionally tonal passage. The effect is both familiar and bizarre—a special effect that arises from the mixing of tonality and non-tonality in the listener’s ear. The triad’s ability to suggest tonality, even in non-tonal contexts, is of paramount importance to creating such an effect.

Example 1.6. String Quartet no. 2, R20 +8

Adagio ♩ = 54

AM I — 5th — V7 (FM GM) — 5th — I — (GM FM) V7 — IV — (CM)

1.3.2 The Phrase as Macro Object

In the realm of pitch, the triad is one of the basic objects of the phrase, with transpositional and rhythmic structures relating those triadic objects into an experience unique to each phrase. Before addressing the relational structures of the phrase’s triads in detail, it is important to consider the defining characteristics of the complex object of a phrase itself. Here I outline generalized characteristics of a phrase that can create something like an “outline” or “imprint” of a phrase, the details of which are confirmed by the micro triadic objects and their relational structures. Although no doubt created by the specific relational structures of the phrase’s triads, the generalized characteristics can signify the macro object of a phrase on their own. Because the phrases analyzed here are not tonally normative, these general characteristics

cannot be defined by specific tonal functions like “fifth-related dominant functions” or “half cadences.” Instead, I define a phrase in a way that allows a comparison of non-tonal passages, like the tritone-phrase of Op. 14, and more tonal ones, like the Op.14 fifth phrase. This generalized definition will allow us to explore what, at the large scale, allows something to seem phrase-like, aiding our interpretation of the small-scale objects of the phrase. More specifically, I define the general rhythmic and pitch experiences of a phrase.

1.3.3 The Rhythm of Phrases

The pattern of the “four-bar” phrase is so ubiquitous in eighteenth- and nineteenth-century classical styles that writers, including Edward T. Cone, often refer to its “reign” over classical style as “tyrannical.”⁷⁹ The macro-object of the “phrase” has been defined in such purely rhythmic or metric ways for as long as theorists have been talking about phrases. In this section, I define the learned schema of a classical “phrase” in purely rhythmic and metric terms. I argue that Bartók recreated these rhythmic features to aid a listener’s memory retrieval of normative, or “tyrannical,” phrase procedures. First, I discuss the importance of binary construction (or duple division) in phrase perception. Then, I discuss the generalized rhythmic characteristics of the phrase.

The Tyranny of Duple

Historically, the concept of the classical phrase originated from eighteenth-century treatises on dance music. Largely because of this dance background, the classical phrase is

⁷⁹ Edward T. Cone, *Musical Form and Musical Performance* (New York: W.W. Norton, 1968), 74. A quick google book’s search and JSTOR search of the phrase “the tyranny of the four-bar phrase” returns multiple instances by authors before Cone, beginning as far back as 1926.

defined by evenly segmented spans of music with regularly occurring metric and hypermetric pulses. Eighteenth- and nineteenth-century theorists, including H.C. Koch, Joseph Riepel, and Hugo Reimann, emphasized the binary construction of phrases, with “incomplete” one- or two-bar segments of music combining to form more complete four-bar binary pairs, and with four-bar segments combining to form eight-bar phrases.⁸⁰ Riemann, perhaps the most influential of phrase theorists, thought of all music analysis as an act of comparing binary pairs at different metric levels: comparing beats to beats, measures to measures, two-measure pairs to two-measure pairs, four-measure phrases to four-measure phrases, and finally, eight-measure periods to eight-measure periods.⁸¹ While these phrase models might at times conflict with notated measures, phrases are *perceived* or “heard” as built up from duple-related events, according to Riemann.⁸²

In modern theories of phrase analysis, the tyrannical rule of four-bar phrase analysis continued, but with more nuance.⁸³ William Rothstein, in his 1989 *Phrase Rhythm in Tonal Music*, expands phrase analysis from its simple “measure counting” origins. Rather than “count measures,” Rothstein proposes a more tonally based process of phrase analysis, in which pitch events define stages of a phrase (as will be discussed below), while still acknowledging “duple” construction as a norm.⁸⁴ Lerdahl and Jackendoff, in *A Generative Theory of Tonal Music*, describe the “archetypal phrase” as arising from duple construction, dictating that large-level

⁸⁰ Ian Bent, *Analysis* (New York: Norton, 1987), 12-13, 13-14.

⁸¹ Alexander Rehding, *Hugo Riemann and the Birth of Modern Musical Thought* (Cambridge: Cambridge University Press, 2003), 37-39, 72-73; Bent, *Analysis*, 90-91.

⁸² Iván Waldbauer, “Riemann’s Periodization Revisited and Revised.” *Journal of Music Theory* 33, no. 2 (1989): 336-340.

⁸³ In the twentieth century, numerous theorists have asserted a natural duple-ness to phrase perception. Heinrich Schenker believed that duple organization is innate to human perception. Carl Schachter similarly claimed that the human preference for duple organization is innate and tied to bilateral human physiology. See, Rothstein, *Phrase Rhythm in Tonal Music*, 33-34.

⁸⁴ William Rothstein, *Phrase Rhythm in Tonal Music* (New York: Schirmer Books 1989), 33-63.

groups be divided into two groups of equal length, and that hypermetric structure be uniformly duple.⁸⁵ While twentieth-century theory expanded our idea of phrase beyond an arbitrary four-measure grouping, the duple nature of phrase construction forms the basis of nearly every theory of phrase perception.⁸⁶

The actual “duple-ness” of a phrase arises from the perception of both melodic and harmonic events. The repetition of a melodic motive or the progression to a new harmony creates the sensation of an event.⁸⁷ As motives are repeated or varied, and as one harmony gives way to another, the listener compares the first event to the second: an initial motive is compared to a second motive; an initial harmony is compared to a new harmony. These “event” successions define the duple nature of the phrase.⁸⁸ Duple phrase construction facilitates the cognition of a composer’s intent through the building up of simple binaries.⁸⁹ A listener first compares one harmonic or motivic object—often, but not always, contained in a single measure—to the next, forming the first binary pair (two measures). This two-object binary (often correlating to two measures) is then repeated or varied, and the listener compares the first binary-pair to the second (now totaling four measures). Although these events are created by pitch objects, the act of comparing these events is rhythmic in nature, and this generalized duple rhythmic structure is a defining feature of the complex musical object of a phrase.

Bartók’s 1917 ballet, *The Wooden Prince*, contains a series of fascinating triadic passages which illustrate all of the topics discussed in this section. The various passages, beginning at

⁸⁵Fred Lerdahl and Ray Jackendoff, *A Generative Theory of Tonal Music* (Cambridge: MIT Press, 1983), 289.

⁸⁶ See also: Grosvenor W. Cooper and Leonard B. Meyer, *The Rhythmic Structure of Music* (Chicago: University of Chicago Press 1960), 145-147.

⁸⁷ For Riemann’s thoughts on events, see: Caplin, “Criteria for Analysis,” 419-421; Rothstein, *Phrase Rhythm in Tonal Music*, 22.

⁸⁸Wallace Berry, *Structural Functions in Music* (New York: Dover, 1987), 313-323; Joel Lester, *The Rhythms of Tonal Music* (Carbondale: Southern Illinois University Press, 1986), 5-16.

⁸⁹ Carl Schachter, “Rhythm and Linear Analysis: Aspects of Meter,” *Music Forum* 6, no. 1 (1987): 4.

R11, differ in their expression of phrasal conventions. Following a less tonal introduction, the music comes to a pause on a B \flat Major triad two measure before R11. This B \flat M triad, sustained for two measures, suggests a more tonal style centered around B \flat major.

Bartók's duple construction of the first phrase at R11 aids in the listener's activation of normative tonal phrase procedures (Example 1.7). The phrase divides into clear duple divisions by the recurrence of the tonic B \flat major triad. I have marked the duple pairs with brackets above the staff system. The first duple pair, measures 1-2 of the example, contains the progression B \flat M \rightarrow E \flat M. The listener groups mms. 1-2 into a two-measure pair when B \flat M returns in measure three. Measures 3-4 form the second two-measure pair, containing the progression B \flat M \rightarrow A \flat M, again demarcated by the return of B \flat M in measure five. The return of B \flat M in measure five suggests that the four-measure group formed by measures 1-4 will repeat. The clear binary division of this eight-measure phrase into two four-measure groups, and again into four two-measure groups, activates a listener's knowledge of classical phrase procedure, thus strengthening the sense of classical style and tonal organization. These assumptions persist when Bartók abandons tonal organization in the phrase's final three measures; although the chromatic harmonic progressions conflict with the initial tonal organization, these non-tonal progressions are grouped into the normative eight-bar phrase.

Example 1.7. *The Wooden Prince*, R11

4-measure: 1
 2-measure: 1 2
 1-measure: 1 2

B♭M **E♭M** **B♭M** **A♭M6**
 I IV I VII

2
 1 2
 1 2

B♭M **G♭m** **F♭m** **E♭m**
 I

The Pacing of the Phrase

In addition to duple patterning, phrases exhibit an archetypal rhythmic pacing that activates a listener’s knowledge of the macro-object “phrase.” Two basic features of pacing define a phrase. First, a phrase begins with relatively slow rhythmic pacing, creating a feeling of stasis at the phrase’s outset. This slow beginning is typically defined by the alternation of tonic and dominant harmonies, or in non-tonal contexts, the alternation of an initial sonority with a subordinate sonority (defined below).⁹⁰ The second pacing feature of a phrase is a relative increase of rhythmic activity at the phrase’s conclusion. This is most often called a “drive to the

⁹⁰ Berry, *Structural Functions in Music*, 313-316.

cadence.”⁹¹ Joel Lester, in *The Rhythms of Tonal Music*, explains that an acceleration of rhythm can create a sense of climax and define sectional boundaries independently of pitch.⁹²

With this information, we can construct a basic rhythmic pattern for phrases that is independent of pitch. Two qualities will make a section sound “phrase-like.” First, a section of music will sound phrase-like when it contains clear, duple construction in which two measures, whether “notated” or “heard,” are clearly paired together through repetition or variation. Those two measure groups combine in multiples of two ($2+2=4$). Ideally, this duple construction will fit into a perceived four- or eight-bar group. Second, a section of music will seem phrase-like when the first half begins with relatively slow rhythmic organization, defined by repetitive oscillation, followed by a second half that features acceleration. When these two basic patterns combine, a section of music can activate a listener’s knowledge of normative phrase construction independent of pitch structure.

To help us understand what a phrase is, it is useful to demonstrate what a phrase is not. Example 1.8 reproduces the nine measures immediately succeeding the R11 phrase of *The Wooden Prince*. These measures fail to activate the rhythmic outline of a classical phrase. In the first three measures, organized around an E \flat Major triad, no second harmonic event arises to create a duple pair; the rapid exchange between E \flat M and F \flat M occurs too quickly to signal a new “event” similar to the measure-level harmonic rhythm of the R11 phrase. Bartók organizes mm. 4-7 of Example 1.8 with a similar rapid exchange of triads, now centered around an E \flat -minor triad (with an added sixth). The entire phrase fails to produce any *harmonic* event to pair with the E \flat root, denying a sense of duple construction. The phrase also fails to exhibit the idiomatic

⁹¹ Berry, *Structural Functions in Music*, 313-316; Rothstein, *Phrase Rhythm in Tonal Music*, 22.

⁹² Joel Lester, *The Rhythms of Tonal Music* (Carbondale: Southern Illinois University Press 1986), 6-9.

spacing of a classical phrase: it begins with dense harmonic-rhythmic activity and ends with a decrease in rhythmic activity. This phrase is transitional, creating a feeling of flux to prepare a more normative phrase to follow. For this reason, the phrase concludes with two measures of a $G\flat M$ triad (with added sixth), preparing the listener for the $G\flat$ Major phrase to follow.

Example 1.8. *The Wooden Prince*, R11+7

Example 1.9 illustrates a phrase that, while less normative than the R11 phrase of Example 1.7, follows the generalized rhythmic characteristics of a classical phrase. This phrase, beginning six measures after R12, is a jabberwocky-like $G\flat$ -Major variation of the more normative R11 phrase, which acts as its source. Employing the same “source” and “target” procedures of the Op. 14 example, Bartók abandons the fifth-generated progression of R11 for the tritone-based progression in the Example 1.9 phrase. Although containing atonal transpositions, this passage strongly coheres as a phrase. The first four measures clearly divide into two-measure pairs. Although measures 5-8 do not begin with a $G\flat M$ chord, the clear duple

construction of the first four measures, combined with the recent activation of more typical classical phrase construction at R11, suggests a duple construction at every level of the eight-measure phrase. The passage also clearly expresses the idiomatic pacing of a classical phrase by starting with the broad alternation of primary and secondary harmonies and concluding with a pronounced acceleration of harmonic rhythm in the seventh measure (represented immediately above the staff).

Example 1.9. *The Wooden Prince*, R12+6

The musical score for Example 1.9, 'The Wooden Prince', R12+6, is presented in two systems. Each system contains four measures. The first system is in a key signature of two flats (B-flat and E-flat). The second system is in a key signature of one flat (B-flat). The notation includes treble and bass staves with various chords and melodic lines. Fingerings are indicated by numbers 1 and 2 above notes. Harmonic analysis labels are provided below the bass staff, including G^bM+6 , $C7$, G^bM , F^b7 , $D7$, $F^\#m$, F^bM , E^bM , G^bm , and A^bM+6 . Tritone substitutions (T_6) are indicated between G^bM+6 and $C7$, and between $C7$ and G^bM .

1.3.4 Generalized Pitch Functions of a Normative Phrase

Traditionally, tonal theorists have defined the classical phrase model in terms of tonal functions, suggesting that phrases are parsed internally into tonic, predominant, and dominant

stages.⁹³ While such tonal functions offer little aid in analyzing much of Bartók's music, many phrase theorists have defined the pitch organization of a phrase in a more generalized way. Like the generalized rhythmic shape of a phrase, these theorists have defined a phrase's pitch "outline" free of specific tonal functions. William Rothstein offers one such generalized definition. In terms of pitch, Rothstein suggests that a phrase must be at least a complete musical thought, constructed of a beginning, a middle, and an end. Rothstein does not require this thought to be fully closed, or more generally, to end where it began. Instead, he defines a phrase as: "A direction in time from one tonal entity to another...If there is no tonal motion, there is no phrase."⁹⁴ Therefore, phrases are "coextensive" with tonal motions.⁹⁵ Rothstein derives his definition from Peter Westergaard's generalized definition of phrase in his 1975 book *An Introduction to Tonal Theory*. Westergaard, like Rothstein, describes a phrase as not merely temporal in nature. In terms of pitch, Westergaard contends that a phrase is generally made up of two sets of pitches. After establishing the first set of pitches, it moves to a second set of pitches. The temporal aspects of a phrase arise from the equal segmentation (often, but not always, duple) of these spans into smaller chunks, with these chunks defined by neighbor, arpeggiation, and anticipation patterns.⁹⁶ Thus, for both Rothstein and Westergaard, a phrase is defined by some sort of tonal motion.

With this in mind, we can define, in general terms, what a phrase is not. First, the listener's knowledge of phrase structure would not be activated by a span of music with too much pitch information or chromatic saturation, since the listener would perceive no single pitch set—let alone two sets—and would thus detect no tonal motion.

⁹³ Caplin, "Criteria for Analysis," 422-426.

⁹⁴ Rothstein, *Phrase Rhythm in Tonal Music*, 5.

⁹⁵ *Ibid.*, 7.

⁹⁶ Peter Westergaard, *An Introduction to Tonal Theory* (New York: Norton, 1975), 311-319.

Example 1.10 illustrates such a span of music. In the *The Wooden Prince*, immediately following the “jabberwocky” phrase of R12 (Example 1.9), the music returns to transitional, highly fragmented organization. At R14 (Example 1.10), the music first sounds as if it will return to a more normative classical phrase construction, similar to R11 (Example 1.7) and R12 (Example 1.9). Unlike the previous phrases, Bartók harmonizes this segment with constantly changing chordal roots, never establishing a single pitch set at the segment’s outset. A new, chromatically related chord appears in each of the first six measures. Although this segment shares many qualities with the previous phrases—and its melody expresses phrase-like construction—it fails to express a classical harmonic phrase model. The saturation of pitch information creates no directed or meaningful sense of tonal motion. To build from Rothstein’s and Westergaard’s basic definitions of a phrase’s pitch structure, the listener perceives no intentional motion from one specific pitch set to another.

Example 1.10. *The Wooden Prince*, R14

Moderato *p*

1 2 3 4

EM F#7 Daug7/G Dm7/B

5 (5) (5) 6 7

C#°7 B°7 A°7

A second way a passage can fail to activate a listener's knowledge of phrase construction is by including too little pitch information, as in the prolonged presence of a single chord. Bartók employs such single-chord structures prominently in his music. Although a single-chord structure may express melodic phrase construction, perhaps by expressing antecedent-consequent organization, in terms of pitch, the prolonged presence of a single chord suggests that no tonal motion will occur in any predictable manner. As the chord persists, we begin to lose the expectation of change.

Immediately following the chromatically saturated phrase at R14 (Example 1.10), Bartók composes a phrase at R15 with too little pitch information to signify the classical harmonic phrase model (Example 1.11). Again, at first the music sounds as if it might return to normative phrase construction, but here the music stalls on a single chord. The B-diminished-seventh chord persists for three measures, violating the expected duple construction. In the fourth measure of the example, an E minor chord creates a change in pitch content. If this E minor chord lasted three measures, it could have established duple, phrase-like construction, but instead, it is sustained for five measures. The uneven and non-duple construction of the eight-bar segment into three- and five-measure segments makes the changes unpredictable. As the chords repeat, the listener loses an expectation for intentional tonal motion.

Example 1.11. *The Wooden Prince*, R15

Allen Forte’s definitions of phrases allow us to refine the conception of tonal motion introduced by Rothstein and Westergaard. In his 1974 book *Tonal Harmony in Concept and Practice*, Forte offers not just a generalized “outline” of a phrase, but also generalized pitch functions of a phrase. Like Westergaard and Rothstein, Forte defines a phrase according to harmonic motion.⁹⁷ Unlike the previous theorists, Forte describes how a listener might parse segments of music into discrete phrases based on three generalized harmonic progressions: circular, opening, and closing.⁹⁸ These phrases are, again, realized as rhythmic structures, but establish a sense of “progression” through an abstract realm that includes pitch but not traditional

⁹⁷ In order to avoid confusion with the common “performative” definition of phrasing, Forte refers to a harmonic phrase as a “progression,” thus tying it to an idea of motion. Allen Forte, *Tonal Harmony in Concept and Practice* (New York: Holt, Rinehart and Winston, 1975), 95.

⁹⁸ *Ibid.*, 92-98.

tonal functions. Upon perceiving one of these progressions, a listener segments a span of music into a “progression” or harmonic phrase.

The first progression, called a circular progression, “departs from a chord and has as its goal the same chord.”⁹⁹ Forte’s circular progression might seem contradictory, as it is a “progression” defined by stasis, outlining a single chord. At the large scale, this “progression” is not a harmonic progression as defined by Westergaard. At a middle or foreground level, however, a listener does perceive a meaningful motion that confirms a single pitch set by departure and return. It thus serves an important function at a phrase’s outset: allowing a composer to communicate intentional progression to the listener with surface level movement. In an idiosyncratic and non-tonal context, free of semantically clear functional fifth-progressions, this intent is of paramount importance.

⁹⁹ Ibid., 92-94.

Example 1.12. Bach, Chorale: *O Ewigkeit, du Donnerwort*. Reduction as it appears in Forte (1974, 96).

Bach, Chorale: *O Ewigkeit, du Donnerwort*. Reduction as it appears in Forte (1974, 96).
Forte's basic phrase progressions, determined by harmonic function and grouping.

The image displays two musical score reductions of a Bach chorale. The top reduction shows three phrase progressions: "Circular" (I to I), "Opening" (I to V), and "Closing" (VI to II to V to I). The bottom reduction shows three numbered progressions: 1) [Circular] (I to I), 2) [Opening] (I to V), and 3) [Closing] (VI to II to V to I). The notation includes treble and bass staves with chords and melodic lines, and Roman numerals indicating harmonic functions.

Forte's second generalized function, an opening progression, is defined by departure: the progression "departs from a chord and has as its goal a different chord."¹⁰⁰ In tonal music, this correlates with the common "half-cadence."

In Forte's third progression, the closing progression, the phrase returns to a harmony that previously had been departed, as in the return to an initial harmony previously departed in an opening progression.¹⁰¹ The closing progression is more tied to tonality than the other progressions, as tonal music is more straightforwardly hierarchized into "goal" (tonic) and "departure" functions. Nevertheless, a composer can highlight one set of pitches through accent and "circular" progressions, then progress away from that set of pitches and subsequently return

¹⁰⁰ Ibid., 94-95.

¹⁰¹ Ibid., 96-98.

to them to create large scale departure and return in a non-tonal context, clearly communicating intentional progression.

The brass chorale from the second movement of Bartók's *Concerto for Orchestra* illustrates all three types of Forte's basic progressions. The first phrase, shown in the first system of Example 1.13, offers a nearly straightforward diatonic example of a circular progression in B major. Although Bartók slightly obscures diatonic tonality by avoiding fifth-progressions and concluding the phrase in B mixolydian, the circular progression from a B major triad to a C# minor triad and finally back to B major is clear. Bartók then extends this pattern to a larger scale in mms. 2-6. The sustained BM chord in the final three measures confirms the phrase's conclusion.

Immediately following the BM circular progression, Bartók repeats the pattern around a G# minor chord, shown in the second system of Example 1.13. This G# minor phrase is not as straightforwardly tonal as the BM phrase that precedes it. First, it lacks the small-scale opening circular progression that suggested BM as tonal center in the first two measures of the previous phrase. While the listener expects a progression that parallels the first phrase, realized as $G\#m \rightarrow F\#M \rightarrow G\#m$, this expectation is subverted when a G major triad replaces the expected return of $G\#m$, giving the first two measures the feeling of an opening progression. The second half of the phrase similarly fails to express G# minor in terms of traditional tonal functions. Unlike the previous BM phrase, the chords of the second half of the $G\#m$ phrase do not express a G# minor tonality—the second, third, and fourth chords ($GM \rightarrow CM \rightarrow C\#^{\circ}7$) have no discernable function in G# minor. The return of G# minor at the end of the progression, however, suggests a closing progression. Despite the small-scale differences, a listener can nonetheless perceive a large-scale $G\#m$ circular progression for the entire six-measure phrase due to its parallelism to

the previous phrase. As in the Op. 14 and *Wooden Prince* examples, the listener understands this unusual “jabberwocky” phrase through analogical comparison to the more straightforward source that precedes it.

Example 1.13. *Concerto for Orchestra*, ii, R123 (Key signature added).

The image displays two systems of musical notation for piano accompaniment. The first system is marked with a tempo of ♩ = 74-94 and a key signature of three sharps (F#, C#, G#). It consists of two staves (treble and bass clef) with a 2/4 time signature. The music is divided into two sections, both labeled "Circular". The first section contains seven measures with chord labels: BM (I), C#m (ii), BM (I), G#m (vi), F#m7 (v7), C#m+6 (ii), and BM (I). The second system also has a 2/4 time signature and the same key signature. It is divided into three sections: "Opening?" (measures 1-2), "Circular" (measures 3-4), and "Closing?" (measures 5-6). The chord labels for this system are: G#m, F#M, GM, CM, C#7, D#m7, and G#m. A fermata is placed over the final G#m chord, with a "4" below it and a "3" below the next measure, indicating a 4-measure hold followed by a 3-measure continuation.

Immediately following the G# minor phrase, Bartók creates the sensation of opening and closing progressions in C#m despite using non-functional chordal successions. At R135, shown in Example 1.14, a third phrase begins on C#m. Bartók first departs C#m with a series of quasi-diatonically related chords before confirming the departure by stalling the progression on an AM⁷ chord in mm. 4-5. The relative length of the AM⁷ chord creates an agogic accent that suggests to the listener that a progression has concluded, closing off a group. In the second half of the fifth measure, the musical activity resumes with a new articulation of the AM sonority,

initiating a new group. This progression continues until another C#m sonority is reached on the downbeat of the second system. Bartók sustains the C#m chord for a full measure, creating a new agogic accent that highlights a return to C#m and signals the progression's end. Although Bartók avoids functionally tonal progressions, his use of accents and grouping creates a feeling of harmonic opening (C#m→AM) and closing (AM→C#m). The example concludes with a new opening progression to F#M.

Example 1.14. *Concerto for Orchestra*, ii, R135 (Key signature added).

The image displays a musical score for piano accompaniment, consisting of two systems. The key signature is three sharps (F#, C#, G#). The first system is divided into two sections: 'Opening' and 'Closing'. The 'Opening' section consists of five measures with the following chord labels: C#m7, F#M, EM, BM, EM7, and AM7. The 'Closing' section consists of three measures with the following chord labels: AM+6, EM+6, and F#m7. The second system is also divided into two sections: 'Closing (cont.)' and 'Opening'. The 'Closing (cont.)' section consists of one measure with the chord label C#m7. The 'Opening' section consists of three measures with the following chord labels: Em7 and F#M. The score uses a grand staff with treble and bass clefs, and various chord symbols are placed below the notes.

While Bartók organizes the *Concerto for Orchestra* passages with mostly non-tonal chordal relationships, his use of accent, grouping, and ordering expresses the generalized pitch functions of a phrase as outlined by Rothstein, Westergaard, and Forte, allowing the composer to communicate intentional motion to and from specific chords.

1.4 Relational Structures in Phrases

Without recognizing the micro (triad) and macro (phrase) objects defined above, a listener might fail to perceive a span of music as phrase-like. The unique experience of each specific phrase, however, arises from the pitch and rhythmic structures relating a phrase's constituent musical objects. In the process of analogical comparison, these structures are compared, allowing inferences from one phrase's structure to another. In this section, I focus on how pitch and rhythmic structures interact to allow a listener to interpret the function of triadic objects in the experience of an individual phrase. Bartók's alignment and misalignment of these two structures creates the play between tradition and modernity that gives rise to his "special effect." First, I examine how types of accent generate a rhythmic structure that aids in the hierarchical interpretation of individual triads, and how this hierarchical structure highlights some chords for attention and subordinates others. Then, I discuss how this hierarchical structure can either align or misalign with typical pitch structure hierarchies.

1.4.1 Rhythmic Structure: Accent and Attention

Having partially defined the general "rhythmic character" of a phrase, we must now turn to the matter of accent. The duple construction of a phrase gives rise to an accent structure that aids in the straightforward interpretation of a phrase's events. Riemann not only believed that all analysis is the comparison of binary events, but that these binaries correlate to regularly alternating accented and unaccented events at all musical levels. Whether two beats, two measures, or two four-measure phrases, the listener will interpret one event as accented and the other as unaccented.¹⁰² Many modern theories of phrase construction share Riemann's belief that

¹⁰² Caplin, "Criteria for Analysis," 419-421

all binaries form an accented/unaccented pair at all levels of music.¹⁰³ Because phrases are defined by duple-ness, such accented/unaccented pairing is important in relating all events, or objects, within a phrase.

While we commonly speak of hierarchies created by pitches, rhythmic hierarchies are no less significant, since they also inform listeners as to which events are important and which are subordinate. Edward T. Cone has written that meter and rhythm have primacy over tones, with preexisting rhythmic structures determining the placement of pitches.¹⁰⁴ Joel Lester has argued that rhythmic structures and the ordering of musical objects like chords influence our perception of the function of an object or event.¹⁰⁵ Lerdahl and Jackendoff describe music as created by multiple musical structures, including pitch, grouping, and rhythmic structures, which can interact to affect our interpretations of hierarchy in music.¹⁰⁶ Lerdahl and Jackendoff also discuss the ability of rhythmic structures to aid in the hierarchization of pitch events.¹⁰⁷ In music lacking clear pitch hierarchies but organized with clear rhythmic structures, as in Bartók's jabberwocky phrases, rhythm and meter alone can hierarchize pitch events.¹⁰⁸ As I will discuss further below, perceptual studies have confirmed the ability of rhythm and accent to influence judgements of musical hierarchy: demonstrating listeners' ability to separate pitch and rhythmic structures; suggesting that either structure in isolation can determine phrase judgements; and showing that rhythmic structures have the ability to determine pitches as either hierarchically dominant or subordinate.¹⁰⁹

¹⁰³ Cooper and Meyer, *The Rhythmic Structure of Music*, 144-147; Lerdahl and Jackendoff, *A Generative Theory of Tonal Music*, 12-31, 101; Carl Schachter, "Rhythm and Linear Analysis," 16-30.

¹⁰⁴ Cone, *Musical Form and Musical Performance*, 70.

¹⁰⁵ Lester, *The Rhythms of Tonal Music*, 1-6.

¹⁰⁶ Lerdahl and Jackendoff, *A Generative Theory of Tonal Music*, 30-34.

¹⁰⁷ *Ibid.*, 119-120, 179-180, 187-188, 248, 284.

¹⁰⁸ *Ibid.*, 297.

¹⁰⁹ Monahan and Carterette demonstrate listeners' ability to separate pitch and rhythmic structures and rhythms ability to determine phrase boundaries. See: "Pitch and Duration as Determinants of Musical Space," *Music*

Rhythmic and metric structures hierarchize pitch by drawing our attention to regularly occurring accented events and away from unaccented events. In 1987, Carl Schachter theorized that listeners focus their attention on accented musical events, including strong beats and the beginnings and endings of musical segments.¹¹⁰ In the 1990s, numerous perceptual studies confirmed accents' ability to focus a listener's attention. Maureen Boltz, in a series of subject-based studies, found that listeners paid more attention to both events that occurred on temporally accented beats and events with more grouping importance, as in phrase beginnings and endings.¹¹¹ Boltz even concluded that temporal structure is "more important for cognitive processing activities" than melody due to how it governs a listener's attention.¹¹²

Attentional studies have important implications for the perception of Bartók's jabberwocky phrases. Schmuckler and Boltz (1994) expanded on Boltz's earlier melodic studies to perform perceptual studies on attention and harmony, finding that listeners attend less to weak beats than strong beats.¹¹³ Most important is their conclusion that unexpected harmonies occurring on weak beats are perceived as less of a violation of expectation than when they occur on strong beats. This might suggest a degree of interchangeability for accentually subordinated events, with very unexpected chords on weak beats still being clear in their subordination to chords occurring on strong beats despite unclear pitch functions.¹¹⁴ Other perceptual studies have demonstrated that tonally unstable pitches reinforce the perception of subordination created by

Perception: An Interdisciplinary Journal 3, no. 1 (1985): 1-32 See also: Palmer and Krumhansl, "Independent Temporal and Pitch Structures in Determination of Musical Phrases," *Journal of Experimental Psychology: Human Perception and Performance* 13, no. 1 (1987): 116-126. Palmer and Krumhansl (1990), and Prince, Thomson, and Schmuckler (2009) demonstrate rhythm and meter's ability to influence pitch judgments.

¹¹⁰ Schachter, "Rhythm and Linear Analysis," 4-5.

¹¹¹ Marilyn Boltz, "The Generation of Temporal and Melodic Expectancies During Musical Listening," *Perception and Psychophysics* 53, no. 6 (1993): 596-597.

¹¹² *Ibid.*, 597-598.

¹¹³ Mark Schmuckler and Marilyn Boltz, "Harmonic and Rhythmic Influences on Musical Expectancy," *Perception and Psychophysics* 56, no. 3 (1994): 314-320.

¹¹⁴ *Ibid.*, 318-320.

accent structure, with the perception of an event's subordination being doubly determined by both its weak accent placement and its instability in a larger tonal context.¹¹⁵ In studies of rhythmic structure and memorization or melody recognition, numerous studies have found that listeners are less likely to perceive a variation in a melody when notes occurring on weak beats are altered, often misjudging these weak-beat variations as identical to an original melody.¹¹⁶

In the jabberwocky phrases, this evidence suggests that listeners might perceive the source phrases and target phrases as similar due to their attentional schemes created by identical accent structures. Despite the “nonsensical” triadic pitch structures, listeners still perceive a clear hierarchy due to the clear accent structures of the phrases. The duple construction of phrases ensures a clear accentual structure, with certain harmonies unambiguously accented and others unaccented. Recalling the “general definition of a phrase” discussed previously, this rhythmic hierarchy aids in the communication of a composer's intent—something paramount to the perception of a phrase. In the first half of a phrase, the duple accent structure and two-chord oscillation allow a composer to communicate which chords are superordinate and which are subordinate by placing them on strong and weak hypermetric beats, respectively. Moreover, movement to a new set of pitches at a phrase's conclusion is facilitated by placing new harmonies on strong beats. Even without specific pitch structures, rhythmic structure can provide a musical hierarchy capable of creating the perceptions associated with a phrase.

In the jabberwocky phrases discussed previously, this evidence suggests that listeners might perceive the source phrases and target phrases as similar. Returning to the Op. 14 example,

¹¹⁵ Jon Prince, William Thompson, and Mark Schmukler, “Pitch and Time, Tonality and Meter: How do Musical Dimensions Combine?” *Journal of Experimental Psychology: Human Perception and Performance* 35, no. 5 (2009): 1613-14.

¹¹⁶ Palmer and Krumhansl, “Independent Temporal and Pitch Structures in Determination of Musical Phrases,” 116-126; Monohan and Carterette, “Pitch and Duration as Determinants of Musical Space,” 1-32.

the fifth- and tritone-generated phrases share the same accent structure. The B \flat triads fall on the same accented measures. The differences occur on relatively weak measures, meaning the difference between the fifth-generated F Major and tritone-generated E major is minimized as the listener attends less to these measures anyway.

Types of Accent

In music without a clear pitch hierarchy, composers can clearly demonstrate intentional progression through an accent structure, engendering experiences similar to tonal phrase models even in music with non-tonal pitch structure. Without clear pitch structure, accent structure guides our perceptions of hierarchy. Yet, accents arise from many different phenomena. Lerdahl and Jackendoff discuss two types of accent that are separate from pitch structures: phenomenal and metrical. Phenomenal accents arise from surface emphases, and include the onset of an event, local stresses like sforzandi, the relative length of notes, changes in register, and so forth.¹¹⁷ Metrical accents arise from the hierarchization of regularly occurring beats.¹¹⁸ While phenomenal accents are generally obvious to the analyst, the interpretation of meter is more complex and often relies on pitch structures. Nevertheless, perceptual studies have demonstrated that listeners construct metrical hierarchies even when no clear meter is provided, as in a stream of evenly distributed pulses.¹¹⁹ Because twentieth-century music often lacks clear pitch hierarchy, and often employs irregular meters, phenomenal accents acquire more interpretive

¹¹⁷ Lerdahl and Jackendoff, *A Generative Theory of Tonal Music*, 17

¹¹⁸ *Ibid.*, 17-20

¹¹⁹ C. Palmer and C.L. Krumhansl, "Mental Representations for Musical Meter," *Journal of Experimental Psychology: Human Perception and Performance* 16, no. 4 (1990): 733-736.

significance than in tonal music.¹²⁰ In the examples to come, I will consider metrical accent only when it unambiguously fits the notated measure and is confirmed by phenomenal accents.

Theories of rhythm have emphasized two types of phenomenal accent that are most important in constructing an accentual hierarchy independent of pitch and metric structures: event initiation and agogic accent. Nearly every modern theory of accent interprets the initiation of an event or span of music as accentually emphasized.¹²¹ Joel Lester defines accent as the attention demanded by change and the initiation of some new event, and awards accents to new harmonies, phrase beginnings, and sectional beginnings.¹²² Perceptual studies support the accentual strength of phrase beginnings.¹²³ In phrases defined by duple-ness, the first event of each binary pair is accentually superior to the latter event.

The second phenomenal accent that is crucial to interpreting non-tonal music is the accent created by relative duration, often called agogic accent. Like event initiation, nearly every modern theory of accent discusses the importance of durational accent.¹²⁴ Relatively long events demand attention and thereby acquire a strong accent. Similarly, perceptual studies have demonstrated that the sum of a pitch's duration over an entire span of music influences judgements of pitch hierarchy. Alternately called "distribution" or "induction" theories of pitch hierarchy, these studies demonstrate that the more frequently a pitch appears in a span of music, the more likely a listener is to interpret it as hierarchically superordinate in pitch structure.¹²⁵

¹²⁰ Lerdahl and Jackendoff, *A Generative Theory of Tonal Music*, 297-300.

¹²¹ *Ibid.*, 76; Lester, *The Rhythms of Tonal Music*, 16; Schachter, "Rhythm and Linear Analysis," 7-8; Berry, *Structural Functions in Music*, 323.

¹²² Lester, "Rhythm and Linear Analysis," 16-39.

¹²³ Palmer and Krumhansl, "Independent Temporal and Pitch Structures in Determination of Musical Phrases," 124-125.

¹²⁴ Lerdahl and Jackendoff, *A Generative Theory of Tonal Music*, 17; Lester, *The Rhythms of Tonal Music*, 18-21; Berry, *Structural Functions in Music*, 339-340.

¹²⁵ Palmer and Krumhansl, "Mental Representations for Musical Meter," 732; Emmanuel Bigand, "Perceiving Musical Stability: The Effect of Tonal Structure, Rhythm, and Musical Expertise," *Journal of Experimental Psychology: Human Perception and Performance* 23, no. 3 (1997): 809-816; Smith and Schmuckler, "The

Returning to the *Concerto for Orchestra* excerpt in Examples 1.13 and 1.14, agogic accents, both in the duration of a single event and its recurrence over the span of the passage, inform the listener as to the tonal center of each of the four phrases, affect the grouping perception, and create the feelings of “opening” and “closing” progression.

Example 1.15 illustrates how the same hypermetric accent structure interprets both the straightforward and jabberwocky phrases from the *The Wooden Prince* (Examples 1.7 and 1.9 respectively). The initiation accents draw our attention to each phrase’s first harmony, B \flat and G \flat respectively. When these triads return in their respective phrases’ third measures, the harmonies are highlighted even more strongly by both the clear strong-weak accent structure that has formed and by their mere duration—now occupying two-thirds of the three-measure span. In terms of attention, the listener is focusing more attention on the hypermetric strong beats and less on the weak beats. This means that despite the different pitch structures—R11 using functional fifths and R12 tritones—the listener would attend less to the subordinate chords that distinguish the two progressions. In other words, the passages’ accent structures emphasize their similarity, and thus encourage analogical hearing.

Perception of Tonal Structure Through the Differentiation and Organization of Pitches,” *Journal of Experimental Psychology: Human Perception and Performance* 30, no. 2 (2004): 270-282.

Example 1.15. *The Wooden Prince*, R11-12.

In summary, the accent structure of a phrase hierarchizes a phrase’s internal events. This hierarchy parses events into clear superordinate and subordinate roles that unambiguously communicate an intentional progression, allowing even non-tonal phrases to communicate the “generalized pitch structures” discussed above. Even in non-tonal contexts, accentual structures can communicate musical goals analogous to tonal structures. Joel Lester summarized this process succinctly, saying:

It is not coincidental that metric regularity is a feature of tonal music, for it is by this means that functional harmonies and voice leadings receive some of their strength. Regular metric levels in tonal music reinforce harmonic-melodic goals by providing specific points in time (namely beats, measures, and beat-subdivisions) at which goals (such as harmonic changes and cadences) and transitions between goals (such as nonharmonic tones and passing harmonies) will occur.¹²⁶

The accent and pitch structures of a phrase determine the specific experiences of that phrase. In examples to follow, I will demonstrate how Bartók uses accent structure alone to create non-tonal phrases analogous to tonal phrase structures, including analogies to phrases

¹²⁶ Joel Lester, *Analytic Approaches to Twentieth Century Music* (New York: W.W. Norton 1989), 16.

ending in “half cadences” and phrases that “modulate.” Even in non-triadic examples, I will demonstrate how accent structure can recall tonal phrase organization.

1.4.2 Pitch Structure

The final relational structure of a phrase is the pitch structure that connects the phrase’s triadic objects. While numerous theories deal with pitch structure, this study will focus on how Bartók puts a phrase’s pitch and rhythmic structures in conflict to blend old and new, tonal and non-tonal. For many scholars of Bartók’s work, that conflict is most frequently represented as “diatonic” versus “chromatic.” In this study, I will follow that lead.

To discuss pitch structure, I adopt a simple distinction made by Wallace Berry in his *Structural Functions of Music*. Berry distinguishes between two rudimentary ideas of chordal succession. *Diatonic succession* occurs when two chords “coexist” in a single diatonic scale. These two chords do not need to coexist in *the* primary scale of the key (e.g., the C major scale in a C major piece), but simply in *any* diatonic scale.¹²⁷ In a piece in C major, for example, a D major triad is often described as a “chromatic” chord because a D Major triad does not exist in the C major scale. They can, however, coexist in the G major scale, making them a diatonic succession in the sense that they can be derived from a single diatonic scale, in this case G major. *Chromatic succession* occurs between two chords that cannot exist in a single diatonic scale, as in a C major triad and an E major triad.¹²⁸ This simple distinction, while failing to capture some chordal successions found in the tonal repertoire, will suffice for present purposes.

¹²⁷ Berry, *Structural Functions in Music*, 71.

¹²⁸ *Ibid.*, 72.

To this concept, I will propose a single addition: *tonal succession* occurs when all triads in a progression are related by a single organizing diatonic scale. By this I mean a succession in which all chords are included in a single, primary diatonic collection, or a diatonic tonal center. This third succession type, together with Berry's *diatonic* and *chromatic* succession, form a graded scale capturing how "tonal" a succession of triads is in a single musical segment. A tonal succession is the most tonal, with all triads found in a single diatonic scale and forming a single, coherent tonal context. A diatonic succession is the next most tonal, utilizing the progressions inherent to the diatonic scale while possibly containing "chromatic" chords outside a local tonal context. Finally, chromatic successions are the least tonal, containing successions found nowhere in the diatonic scale.

Example 1.16 reproduces the BM and G#m phrases beginning at R123 of the second movement of the *Concerto for Orchestra*. The first phrase in B major mostly contains tonal and diatonic successions, meaning the phrase coheres in terms of pitch structure. There is no conflict between the grouping, accent, and pitch structures, as all suggest coherence. On the other hand, the G#m phrase, shown in the second system, contains many chromatic successions. While the accent and grouping structures suggest coherence—a coherence amplified by its clear relation to the BM phrase that precedes it—the pitch information suggests multiple diatonic collections, creating a feeling of conflict within the phrase.

Example 1.16. *Concerto for Orchestra*, ii, R123

♩ = 74-94

BM → C#m7 → BM → G#m → F#6 → C#6 → BM

tonal tonal tonal dia. dia. tonal

G#m → F#M → GM7 → CM → CM → D#m7 → G#m

tonal chro. dia. chro. tonal

Example 1.17 compares the source and target jabberwocky phrases from *The Wooden Prince*. As demonstrated earlier, both phrases have nearly identical accent structures. The pitch structures, however, differ in their expressions of coherence. The B♭M phrase in system one begins with tonal and diatonic successions; the G♭M phrase begins with chromatic successions. Both intensify in chromaticism in their final measures, creating strong feelings of departure.

Example 1.17. *The Wooden Prince*, R11-12.

B♭M → E♭M → B♭M → A♭M6 → B♭M → G♭m → F♭m → E♭m

tonal tonal dia. dia. chro. dia. chro.

G♭M+6 → C7 → G♭M → F♭7 → D7 → F♭m → F♭M → E♭M → G♭m → A♭M+6

chro. chro. dia. dia. dia. dia. chro. chro. chro.

Complex Pitch-Substitution Theories

This simplified pitch analysis, adapted from Berry, is necessary when comparing the individual structures that make up a phrase. It allows the analysis of triadic relationships separate from the phrase's metric and accent structures. I offer it as an alternative for more complex theories of pitch structure. Often in music analysis, theorists assign a chord a tonal function by conflating rhythmic and pitch structures, all while claiming this function arises from pitch alone. This process is often referred to as "pitch substitution," and Ernő Lendvai's theory of pitch substitution, called the "Axis system," dominated Bartók theory for decades.¹²⁹ A full consideration of Lendvai's theory is outside the scope of this study.¹³⁰ Generally, the theory, based on a Riemannian theory of chord substitution, speculates that complex pitch structures allow a composer to replace a functionally clear chord (like an F major triad in a C major context) with a chromatic substitute a minor third above (A \flat major), a minor third below (D major), or a tritone away (B major). Thus, in C major, a composer has four "predominant" options: FM, DM, A \flat M, and BM, forming the predominant axis system. Similar axis systems allow for dominant substitutions (C major "dominants" = GM, EM, B \flat M, C \sharp M) and tonic substitutions ("tonic" = CM, AM, E \flat M, F \sharp M). The three axis systems assign a function to all 12 major triads. By assigning such functions, theorists essentially collapse the distance between any two otherwise distantly related triads, identifying coherence to any passage of music.

A brief example illustrates the inability of a pitch substitution theory to explain a majority of Bartók's music. Example 1.18 reproduces an example from Lendvai's *The Workshop of*

¹²⁹ Erno Lendvai, *The Workshop of Bartók and Kodály* (Budapest: Editio Musica, 1983), 273-291

¹³⁰ For a history of criticism against Lendvai's theory, and an in depth look at its inadequacies, see: János Kárpáti, "Axis Tonality and Golden Section Theory Reconsidered," *Studia Musicologica Academiae Scientiarum Hungaricae* 47, no. 3/4 (2006):417-426; Wilson, *The Music of Bela Bartok*, 203-208.

Bartók and Kodály, taken from Bartók’s 1911 *Allegro Barbaro*.¹³¹ Lendvai uses the example to demonstrate the axis system at work, claiming that F# minor and C major are *counterpoles*—that is, opposite ends of the same axis system. Essentially, F# minor and C major are “substitutes” for each other, suggesting the experience is something like a change of mode between, say, C major and A minor.¹³² Lendvai uses the example to demonstrate that Bartók employs this axis system to generate music.

Lendvai’s analysis, however, ignores the perceptual differences of the F# minor and C major chords created by the work’s accent structure. Whether or not some underlying pitch structure connects these two triads, the varying accents of the two events distinguish their functions. The F# minor triad receives accentual superordination from its initiation of the passage and its prolonged presence over multiple beats. The C major triad is subordinated due its short duration and position in the middle of the passage. It offers a brief departure from the established F# minor centrality, creating the second stage of the A-B-A circular progression around F# minor.

Example 1.18. *Allegro Barbaro*, mms. 9-12. Reproduced from Lendvai 1983, pg 272.

The image shows a musical staff in treble clef with a key signature of one sharp (F#). The notation consists of several chords and notes. The first three measures show an F# minor triad (F#, A, C) with an accent (>) over the first note. The fourth measure shows a C major triad (C, E, G) with an accent (>) over the first note. The fifth measure shows an F# minor triad (F#, A, C) with an accent (>) over the first note. The sixth measure shows an F# minor triad (F#, A, C) with an accent (>) over the first note. The seventh measure shows an F# minor triad (F#, A, C) with an accent (>) over the first note. The eighth measure shows an F# minor triad (F#, A, C) with an accent (>) over the first note. The ninth measure shows an F# minor triad (F#, A, C) with an accent (>) over the first note. The tenth measure shows an F# minor triad (F#, A, C) with an accent (>) over the first note. The eleventh measure shows an F# minor triad (F#, A, C) with an accent (>) over the first note. The twelfth measure shows an F# minor triad (F#, A, C) with an accent (>) over the first note. The labels 'F# minor', 'C major', and 'F# minor' are placed below the staff to identify the chords.

¹³¹ Lendvai *The Workshop of Bartók and Kodály*, 272. János Kárpáti, citing Bartók’s explicit use of a tritone relationship as a type of dominant, disagrees with Lendvai’s interpretation of tonic-tonic in this passage: “Having this testimony it becomes unwarrantable that the tonal levels in polar distance (e.g. Bb and E or F# and C) represent identical functions, as it stands in Lendvai’s axis theory.” Kárpáti, “Perfect and Mistuned Structures in Bartók’s Music,” 379.

¹³² It should be noted that Lendvai’s example is deceitful and frankly inaccurate. Lendvai uses only the treble clef. The bass clef contains a strongly accented and octave-double C# underlying Lendvai’s “C major” chord. The sound is much more diminished-like than major, with the C# more accurately functioning as a fifth-related dominant-like harmony.

The Op. 14 examples further reveal the inadequacy of the axis system. While my analysis suggests that the fifth-generated phrase ($B\flat \rightarrow F$) and the tritone-generated phrase ($B\flat \rightarrow E$) have functional equivalency, the axis system suggests different interpretations for the two passages. While I am not aware of any analysis of the work by Lendvai, his theory would suggest that the fifth-related passage would be interpreted as tonic ($B\flat$ major) to dominant (F major), yet the tritone-generated phrase would be interpreted as tonic ($B\flat$ major) to tonic substitute (E major). This analysis fails to capture both the surface and middleground functions of the two chords and the parallelism between the two phrases. This failure stems from Lendvai's abstract focus on pitch at the expense of metric analysis.

1.4.3 Conclusion

A conflict between pitch structure and rhythmic/grouping structure lies at the heart of the jabberwocky phrase phenomenon. As I have demonstrated, a phrase is a complicated concept, and the perception of a phrase arises from a number of common characteristics. Different structures interact to give rise to our interpretive understanding of the phrase's micro objects and the phrase's character as a whole. The interpretive subordination of a triad, like "F major acting as IV in C major," arises from a clear pitch structure, but also from the accent structure, which guides our attention and imposes a hierarchy of its own.

The conflict between the semantically meaningless words and clear syntactic structure in Jabberwocky sentences engender an uncanny yet familiar experience. The same phenomenon occurs in Bartók's phrases when pitch structure conflicts with rhythmic structure. Although chromatic successions offer no clue as to the pitch function of two chords, accents and phrasal patterning provide a clear hierarchy within a phrase, offering clues as to the chords' functions.

Like the words in the jabberwocky sentences, the chords are tonally meaningless, but functionally clear.

1.5 Dominant Function in Bartók's Violin Sonata No. 1

In the previous section, I suggested that accent structure can aid in the interpretation of ambiguous pitch structures, with interpretations limited to “superordinate” and “subordinate” designations roughly equivalent to interpreting chords as either tonic or non-tonic, respectively. Analogy theory also allowed generalized designations for pitch structures. For example, a phrase could be interpreted as “closing,” meaning an initial “tonic” returned to close a phrase, or “opening,” meaning a non-tonic pitch set was the goal for the second half of a phrase.

In this section, I extend the analogy to include specific tonal functions. I will demonstrate how context, when combined with an accent-structure hierarchy, can confer a function on a chord analogous to a traditional tonal function. Much as a nonsense word's placement in a jabberwocky sentence suggests its syntactic function, I argue that a chord's position in a phrase, along with the phrase's accent structure, can suggest a harmonic function. Specifically, I will assign a chord the “dominant” function based on its context and accent structure. From these clues, I will interpret subtle experiential differences in various “opening” phrases, drawing analogies to the classical half cadence, dominant modulation, and “standing-on-the-dominant” functions.

1.5.1 Dominant Function

Paul Wilson, in *The Music of Béla Bartók*, describes chordal “function” in non-tonal music as primarily an analogical process.¹³³ While function in *tonal* music is determined by a chord’s position within a scale, Wilson argues that such a practice is not possible, in any consistent way, in the music of Bartók. Instead, Wilson argues function is determined by contextual evidence, saying, “the exercise and identification of function depends on some music behavior or action; harmonic functions not only exist but perform tasks in a musical structure.”¹³⁴ In the more opaque language of non-tonal music, the functional “behavior” of a pitch event requires straightforward corroboration from other musical parameters.¹³⁵ The evidence of a pitch’s “function” comes from the analysis of form, rhythm, contour, dynamics, and other musical relationships.

To apply function to Bartók’s non-tonal language, Wilson develops generalized definitions of what he claims are the five basic functions of tonal music: tonic, dominant, subdominant, dominant preparation, and tonic substitution or extension.¹³⁶ Wilson then describes the behavioral activities of each function. The tonic function, Wilson argues, has two non-pitch behaviors: tonics serve as goal tones for a musical process, and they initiate a musical process.¹³⁷ To that definition, I add that they must be hierarchically superordinate within a span of music in some way. As outlined in the previous section, a hierarchy is a basic requirement for a composer to communicate intentional progression, aiding in the interpretation of what is a “goal” and whether something is being departed from.

¹³³ Wilson, *The Music of Bela Bartok*, 32-33.

¹³⁴ *Ibid.*, 33.

¹³⁵ *Ibid.*, 34.

¹³⁶ *Ibid.*, 35.

¹³⁷ *Ibid.*, 35-36.

The dominant function, Wilson argues, serves only one functional activity in tonal music, “that of creating the instability that requires the goal-tone tonic for its release.”¹³⁸ In non-tonal music, the dominant is primarily a contextual function.¹³⁹ It is a “tone or event that prepares and leads to the immediate arrival of the goal tone.”¹⁴⁰ In this study, I add that at some stage, this event must also be accentually subordinate to a goal tone. A dominant is then a relatively unaccented pitch event that immediately precedes an accented pitch event. Through its contextual association as “leading to the goal event,” the dominant attains a kind of conceptual tension by signifying the return of a goal event.

The remaining functions—subdominant, dominant preparation, and tonic substitution and extension—are more difficult to demonstrate.¹⁴¹ They require stronger contextual evidence through repetition. On a purely theoretical level, moreover, functions other than tonic and dominant become contextually complicated. In terms of context, the predominant function, for example, would be “the chord that precedes the chord that precedes the chord with the most accentual weight.” Due to this conceptual complexity, I will limit my discussion to “tonic” and “dominant” functions in the following analyses.

Finally, Wilson repeatedly emphasizes three important qualifications when discussing functional analogies in non-tonal music. First, non-tonal functions are the products of contextual evidence and receive strength from repetition.¹⁴² Without repetition, these functions are ambiguous. Second, Wilson limits functions to a “local phenomenon,” and suggests that the

¹³⁸ *Ibid.*, 36.

¹³⁹ János Kárpáti has discussed non-tonal functions in Bartók’s music through the concept of mistuned chordal structures, calling a mistuned dominant a “hyper dominant.” See: Kárpáti, “Perfect and Mistuned Structures in Bartók’s Music,” 370-380.

¹⁴⁰ Wilson, *The Music of Bela Bartok*, 36.

¹⁴¹ *Ibid.*, 38-39.

¹⁴² *Ibid.*, 36-37.

analogy breaks down at larger structural levels.¹⁴³ Third, non-tonal functions are only recognized after the function is realized. There is no way to predict that an event will function as a dominant until after it has “resolved” to the goal event.¹⁴⁴

Even with these limitations in place, the functional analogies for “tonic” and “dominant” allow an analyst to draw comparisons to three important types of classical “opening” phrases: half cadences, dominant modulations, and “standing-on-the-dominant” functions.¹⁴⁵ This is only possible if two conditions are met. First, an accent structure must allow for the hierarchical interpretation of pitch events, designating a triad as superordinate, or “tonic,” and others as subordinate. Second, context must clearly suggest that a subordinate triad is serving a “dominant” function as described above. I then define a “half cadence” as an opening phrase that clearly concludes on the contextual dominant without disrupting the hierarchical accent structure. I define a “dominant modulation” as an opening phrase that concludes on the contextual dominant with a shift in accentual weight that superordinates a previously subordinate dominant triad. I define a “standing-on-the-dominant” function as an opening phrase that prolongs a contextual dominant prior to a thematic recapitulation. I demonstrate each of these analogies in Bartók’s 1921 Violin Sonata no. 1.

Each of these three functions suggest cadential processes ending on dominant harmonies. To explain the processes, I adopt Leonard Meyer’s definition of a semicadence: “To generalize: a semicadence might be defined as [a cadence] in which a mobile, goal-directed, harmonic process is temporarily stabilized by decisive rhythmic closure.”¹⁴⁶ In each of the following

¹⁴³ Ibid., 42-49.

¹⁴⁴ Ibid., 47.

¹⁴⁵ For the relevance of “dominant” functions in Bartók’s compositional procedures, see: Kárpáti, “Perfect and Mistuned Structures in Bartók’s Music,” 378-380.

¹⁴⁶ Leonard Meyer, *Explaining Music* (Berkeley: University of California Press, 1973), 85.

examples, the “goal-directed” harmonic process comprises an “opening progression,” or, the movement from one pitch set to a new pitch set, as described above. Specifically, the following examples “open” to the contextual dominant, with each example differing in the degree of the contextual dominant’s rhythmic stabilization.

1.5.2 Half Cadence in the Violin Sonata No. 1, ii, Section A¹

The second movement of Bartók’s Violin Sonata no. 1 (1921) provides many examples of non-tonal triadic phrases with subtly varied endings. In each phrase, accent structures clearly hierarchize triads into superordinate and subordinate roles. The straightforward repetition of material at each phrase’s outset allows the listener to quickly determine which chord is acting as “tonic,” and which is acting as “dominant.” The phrases’ conclusions, on the other hand, vary in which chord terminates the phrase and the relative accentual stabilization of that terminating chord.

After a 15-measure violin solo, the piano enters with an introductory triadic chord progression that terminates on a fully voiced Cm triad with considerable agogic weight, as shown in the first measure of Example 1.19. The consonance of the triad and agogic emphasis suggests Cm as a tonic. The first phrase, mm. 19-22, consists of four measures divided into duple segments, enhancing the perception of a phrase. The first two measures, mm. 19-20, repeat a four-chord progression in a 3/4 pattern: Cm→Dm→Em→F#m. Although the pitch structure lacks tonal coherence, the accent structure of the progression provides clear hierarchization of the chords. The Cm tonic receives two types of accent: an initiating accent and an agogic accent due to its relatively long quarter note duration. As the pattern repeats, and as clear meter forms, Cm also receives a metric accent due to its downbeat position in the perceived 3/4 meter. The

following three chords—Dm, Em, and F#m—receive weaker accents and are therefore hierarchically subordinated.

Throughout the phrase, the F# minor triad, fourth in the progression, immediately precedes the Cm tonic return. Because of this contextual behavior, and because of its accentual subordination, F#m attains a “dominant” function. In m. 21, Bartók directly oscillates between the Cm tonic and F#m dominant chords, strengthening the functional analogy. The tritone-related “dominant” is a common choice for Bartók, and the composer himself described tritone relations in his music as “dominant-like.”¹⁴⁷

In m. 22, the harmonic momentum of the piano stalls on an F#m triad, signaling the conclusion of the harmonic process initiated in m. 19. The entrance of the violin signals a new beginning, contributing to the closure of the previous phrase.¹⁴⁸ Because the Cm phrase concludes on a non-tonic triad, the phrase has the quality of “opening,” and because the terminating triad functions contextually as a dominant, the phrase analogically functions as a type of half-cadence. In mm. 22-23, Bartók temporarily stabilizes the F#m triad with a lengthy agogic accent. Although stabilized, the F#m ending is relatively weak. Each attack occurs on a metrically weak beat, which is confirmed by the entrance of the violin on the downbeat of the previously established perceived meter. Bartók also weakens the F#m ending by not confirming it with any new musical process, such as a new contextual dominant, to disconnect the event from the previous phrase. Because of the relative weakness of the ending, this first phrase has the quality of a half-cadence, or, an analogical function of “V in I.” Experientially, the unresolved phrase ends with a degree of tension.

¹⁴⁷ Wilson, *The Music of Bela Bartok* 36-37.

¹⁴⁸ Regarding the suggestion of closure by the initiation of new processes, see: Ann Blombach, “Phrase and Cadence: A Study Terminology and Definition,” *Journal of Music Theory Pedagogy* 1, no. 2 (1987): 232.

Example 1.21. Violin Sonata no. 1, ii, mm. 26-28, violin line omitted.

Duration:
Em:
Bbm:

Bbm Cm Dm Em, Bbm Em Bbm
"I" "V" I V I

1.5.3 Dominant Modulation in the Violin Sonata no. 1, ii, Section A²

In mm. 29-52, the A section repeats with variation. Following a nine-measure violin solo, the piano enters with a major-chord variation of the progression previously discussed (see Example 1.22). In m. 41, a lengthy agogic accent suggests F major as tonic. Again, a major chord a tritone away—here BM—immediately proceeds the FM tonic return, functioning as a contextual dominant. In m. 44, Bartók again strengthens the tonic and dominant analogy by oscillating between the two chords, FM and BM respectively.

In m. 45, Bartók also repeats the process of rhythmically stabilizing the dominant triad, BM. The BM triad is held for the length of a dotted half note. At this point in the piece's first phrase (Example 1.19), Bartók concluded the phrase, creating the feeling of a "V in I" half cadence. Here, however, Bartók extends the phrase for another three measures. In m. 46, the oscillation between FM and BM resumes, now with equal dotted-quarter durations. The accentual imbalance that hierarchized FM as superordinate tonic and BM as subordinate dominant equalizes. By the end of the phrase, Bartók disrupts the ambiguous process of

oscillation and tips the accentual hierarchy towards BM by repeating BM chords back to back in m. 45 and m. 48.

Although BM serves a “dominant” role at the phrase’s outset, its accentual stabilization at the end of the phrase would suggest to the listener that BM has now become tonic-like. Two types of accent suggest BM as tonic-like by the phrase’s conclusion. First, BM concludes on a metric downbeat. Although the meter becomes ambiguous in mm. 44-45, and can be interpreted in two ways, the two repetitions of the BM triad in m. 45 and mm. 47-48 ensure that regardless of interpretation, BM receives a metric accent (Examples 1.22.b and 1.22.c.). Second, in terms of total durational distribution, this phrase concludes with 21 eighth-notes of FM and 21 eighth-notes of BM, meaning the total agogic accent for BM equals that of FM by the end of the phrase.

Like the previous “opening” phrases, the phrase in mm. 41-48 concludes on a rhythmically stabilized contextual dominant. Unlike the first phrase, which simply stalled on the dominant, Bartók confirms the stabilization of the dominant chord in two important ways. First, he equalizes the accentual weight of the dominant as discussed previously, giving the dominant chord strong agogic and metric accents in the second half of the phrase. Second, Bartók uses the symmetry of the tritone-dominant relation to, in effect, flip the functions of the FM and BM triads. The octave-segmenting symmetry of the tritone means that although BM is the dominant of FM, FM is also the tritone dominant of BM. The shifting accentual weight caused by the repeated BM triad in m. 45 suggests a flip in contextual function. As the BM triad begins to feel more like a tonic, the FM triad takes on the role of dominant, confirming the accentual “modulation” to BM.

Due to this emphatic stabilization of the contextual dominant, BM, this phrase is functionally analogous to a dominant modulation or “tonicized” half cadence. With the exception

of a brief post-cadential gesture, m. 48 marks the end of the A section. In m. 53, radically different musical material signals the beginning of the B section. By ending the A section with a dominant modulation, Bartók might have intended a large-scale formal analogy to the classical practice of ending formal A sections in ternary form with a dominant modulation. As we will see, Bartók uses similar formal analogies in both the final movement of the Violin Sonata no. 1 as well as the Violin Concerto no. 2.

Example 1.22.a. Violin Sonata no. 1, ii, mm. 41-48, original score.

The musical score for Example 1.22.a is presented in two systems. The first system covers measures 41 to 44. The violin part (top staff) begins with a fermata and a dynamic of *pp*. The piano accompaniment (bottom two staves) features a complex harmonic texture with various dynamics including *pp*, *p dolce*, *mp*, and *mf*. The second system covers measures 45 to 48. The violin part (top staff) begins with a dynamic of *mp* and ends with a dynamic of *p*. The piano accompaniment (bottom two staves) features a complex harmonic texture with various dynamics including *mf*, *p dolce*, and *pp*. The key signature has one flat (B-flat), and the time signature is 6/8. Measure 48 ends with a fermata and a dynamic of *pp*.

to build tension before a tonic primary-theme return.¹⁴⁹ This rhetorical device frequently occurs in classical forms, including sonata, binary, ternary, and rondo forms.

The third movement of Bartók's violin sonata expresses rondo form. A primary refrain returns throughout the movement, with contrasting episodes inserted between refrains. In rondos, composers commonly dramatize the return of a refrain by ending contrasting episodes with retransitions.¹⁵⁰ At the conclusion of retransitions, a standing on the dominant of the refrain's tonic key creates tonal tension which is resolved at the tonic refrain. This type of straightforward tonal tension would be out of place in the middle of Bartók's non-tonal violin sonata, but the ubiquitous "standing-on-the-dominant" device can also be invoked rhetorically—signaling a formal convention without the usual tonal function. Hepokoski and Darcy explain rondo retransitions in this rhetorical sense, explaining that "...the composer gives the audience an aural signal that the refrain is about to recur ('Get ready, dear listener: here it comes again!')." ¹⁵¹ In the violin sonata, Bartók signifies a retransition through the prolongation of a contextual dominant, rhetorically preparing the listener for a refrain return without a literal dominant chord to the tonic key.

This rhetorical "dominant-standing" occurs at the end of the second contrasting section, which begins in m. 183. In this episode, Bartók employs a texture of emphatically accented triads to contrast with the highly fragmented and dissonant ending of the previous refrain. The relative consonance, strong accent structure, and triadic patterning allow the listener to hierarchically interpret the passage as a series of phrases with analogical tonal functions (Example 1.23).

¹⁴⁹ William Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 16.

¹⁵⁰ James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006), 398; Caplin, *Classical Form*, 231.

¹⁵¹ Hepokoski and Darcy, *Elements of Sonata Theory*, 398

In Example 1.23.a, I have constructed a reduction of the basic harmonic phrasing. Strong initiation and agogic accents first suggest D major as a tonic-like chord. An agogically weak EM chord, first appearing as EM with an added fourth (EM+4), functions as a subordinate neighboring-chord, creating a momentary departure from DM. Bartók establishes CM, first appearing as CM+#4, as the contextual dominant, occurring just before DM returns, and thus signaling the return of the tonic.

In Examples 1.23.b. through 1.23.e., the functions just described occur with slight rhythmic variations. In the first phrase, Example 1.23.b, Bartók prolongs the initiating DM chord for four measures, clearly signaling to the listener the hierarchical importance of D major. A single measure of EM+4 receives a weak accent before returning to DM. In mm. 6-7 of Example 1.23.b, CM+#4 sounds twice, receiving a stronger accent than the single EM chord, and thus creating a more significant departure from the tonic. The CM chord then returns to DM, establishing its dominant-like function.

In Examples 1.23.c. through 1.23.e., Bartók repeats the patterning of 1.23.b, strengthening the analogical functions through repetition. In 1.23.e, Bartók replaces the CM+4 chord with a more consonant CM triad. He then prolongs the contextual dominant for three quarter notes, slightly stabilizing the dominant function and thus creating a feeling of contextual tonal tension. In Example 1.23.f, Bartók replaces EM+4 with the more consonant EM triad. He also introduces a new chord, F#, increasing the complexity of the passage and prolonging the sense of tonic departure at the phrase's outset. Three quarter notes of CM signal dominant function, but before its resolution to DM, Bartók prolongs the tonal tension by interpolating an EM triad.

In the final phrase of the episode, represented in Example 1.23.g, Bartók creates the feeling of a “standing-on-the-dominant” function. Bartók accomplishes this in two ways. First, Bartók directly oscillates between DM and CM, with DM falling on downbeats and CM on weak beats. This oscillation reaffirms the dominant status of CM and creates a sense of closure on DM through repeated cadences. Second, in mm. 207-212, Bartók repeats the CM dominant for six measures. This repetition stabilizes CM, but the reaffirmation of this chord’s status as “dominant” in the previous measures allows a listener to retain the chord’s contextual dominant status. Rather than feeling like a modulation, the passage ends like a half cadence. This event is followed by two measures of rests in mm. 213-214, ending the passage with an open, unresolved feeling. After this “open” cadence, and following an introductory “gap fill,” is a clear recapitulation of the primary theme, beginning in m. 227. Because of its formal position before an emphatic recapitulation, I interpret the phrase in mm. 204-212 as having the rhetorical quality of a “standing on the dominant” function. As in classical rondo form, a contrasting episode (mm. 183-214) ends with a prolonged “half cadence,” building tension before the return of the refrain. Unlike in classical rondo form, the actual contextual dominant of the previous episode, a CM triad, does not provide tonal preparation for the key of the refrain, an octatonic scale centered around C#. Analogically, however, Bartók strongly signifies the classical “standing-on-the-dominant” convention, strengthening the rhetorical feeling of formal return with the refrain’s recapitulation.

The image shows two systems of musical notation. The first system, labeled 'f.' (piano), spans measures 199 to 203. The second system, labeled 'g.' (grand piano), spans measures 204 to 208. Chord labels are placed below the notes: DM I, EM, F# EM, CM V, EM, and DM I. A horizontal line underlines the last six measures (204-208) with the text "Dominant Standing" below it.

1.6 Synthesis in Bartók’s Violin Concerto no. 2

The examples I have discussed so far have focused on only the interaction of accent structure, phrasal patterning, and triadic pitch structures. Now I will examine Bartók’s interplay of tradition and innovation more thoroughly in his Violin Concerto no. 2 of 1938, focusing on the second movement. In addition to the concepts I have introduced so far, I will also discuss Bartók’s interplay of convention and innovation in melodic structure, form, and style in general.

Past analyses have demonstrated Bartók’s pervasive interplay of traditional classical and modernistic styles in the Violin Concerto no. 2. Alexander Joseph Nagy has explained that Bartók “merges in a single work two opposing poles of the Western musical traditions: tonality

and dodecaphonism” in the concerto.¹⁵² Bartók integrates this dualism into the two-theme structure of the first movement’s sonata form: the first theme is diatonic; the second theme a twelve-tone reinterpretation of the first.¹⁵³ In the first movement, Bartók also preserves the tonal-diatonic fifth-transposition that traditionally relates first and second themes: despite its twelve-tone structure, the second theme appears a fifth below the tonal center of the first theme.¹⁵⁴ The third movement similarly juxtaposes diatonic and twelve-tone melodies. Nagy has also demonstrated that traditional tonic-dominant relationships appear frequently in the work, but in a modern fashion, create conflicting tonal centers.¹⁵⁵

1.6.1 Tradition and Innovation in the Second Movement

My analysis of the second movement reveals a similar play between tradition and innovation, focusing on three ideas. First, the interplay between atonal contextual dominants, as discussed previously, and tonal-functional dominants common to the classical tradition. Second, the interplay between tonal melodies expressing classical sentential structure and various tonal and atonal harmonizations of the themes. Third, how Bartók plays with traditional formal conventions to blend tradition and innovation.

Just as the first movement expresses traditional sonata-allegro form, the second movement expresses many conventions of slow-movement theme and variation forms. William Caplin has explained that theme and variation movements are commonly organized around a small binary form, consisting of two phrases.¹⁵⁶ Bartók uses a traditional small binary form to

¹⁵² Alexander J Nagy, “Béla Bartók’s Violin Concerto No. 2: An Analysis of the Creative and Compositional Process Through a Study of the Manuscripts,” (PhD diss., City University of New York, 1992), 29.

¹⁵³ Suchoff, *Bela Bartok: A Celebration*, 21-24.

¹⁵⁴ Nagy, “Béla Bartók’s Violin Concerto No. 2,” 43-45.

¹⁵⁵ *Ibid.*, 43.

¹⁵⁶ Caplin, *Classical Form*, 217.

organize the first theme of the second movement. As is common, the first phrase receives harmonic closure in the form of a cadence, but Bartók uses an atonal contextual dominant function to create that closure. Bartók organizes the second phrase with a tight-knit sentential design, as is common for the second part of small binary forms with no contrasting middle section.¹⁵⁷ Caplin also explains that the second part of small binary form “always concludes with a perfect authentic cadence in the home key.”¹⁵⁸ My discussion of the second phrase will demonstrate how Bartók dramatizes this closure, using formal conventions as an opportunity to blend tradition and innovation. Specifically, Bartók first presents an atonal harmonization of the second phrase. When the atonal progression fails to create closure, Bartók repeats the continuation with a tonal harmonization that succeeds in creating closure, presenting two versions of the continuation: one atonal, and one tonal.

Phrase One, mm. 1-5

In the first phrase, mm. 2-5, Bartók blends traditional tonal and non-tonal procedures. The phrase has a strongly expressed tonal center of G. In this “G” context, Bartók imbues the pitch “C#” with two tendencies: a post-tonal tendency in which C# serves a contextual dominant, and a traditional tonal tendency in which it creates tonal motion towards “D.” In the course of the four-measure phrase, Bartók uses both tonal and contextual dominants.

¹⁵⁷ Ibid., 91.

¹⁵⁸ Ibid., 89.

Example 1.24. Violin Concerto no. 2, ii, m. 1, establishing G tonality and meter.

The first measure of the movement establishes two important contexts that shape the phrases and form to come (Example 1.24). First, the uncomplicated outlining of the G major triad suggests a G major tonality, a protention confirmed by the prolongation of this triad over measures two and three. Second, the first measure establishes a triple meter and the rhythmic pattern of “dotted half/dotted quarter.” This unambiguous binary division of the 9/8 meter, with one accented note and one unaccented note, allows for the unambiguous interpretation of pitch information in the subsequent measures, projecting this rhythm’s primary/subordinate relationship into the realm of pitch.

Example 1.25. Violin Concerto no. 2, ii, mm. 2-3, introducing C#.

Mm. 2-3

GM (C#) GM (C#)

In measure two, Bartók repeats the “dotted half/dotted quarter” rhythm of measure one, strengthening our expectation of its continuation (Example 1.25). The solo violin melody in m. 2 outlines a G major triad while introducing a new, non-diatonic subordinate pitch, C#. This C# descends to B, suggesting it is not a chromatic neighbor, but that the passage has a Lydian quality. Given the rhythmically and agogically accented G major triad, this C# is likely perceived as a subordinate passing tone connecting two G major pitches. In the accompaniment of m. 2, Bartók again uses an unaccented C#, now as a neighbor tone to B, further strengthening the interpretation of “C#” as subordinate in the context of G major (rather than a shift to a D major context).

Example 1.26. Violin Concerto no. 2, ii, mm. 2-3.

The image shows a musical score for the Violin Concerto no. 2, ii, mm. 2-3. The score is written for Violin and Piano. The Violin part is in the upper staff, and the Piano part is in the lower two staves. The key signature is one sharp (F#), and the time signature is 3/8. The score is labeled with 'm.2' at the beginning. The Violin part starts with a dotted half note G and a dotted quarter note C#. The Piano part features a G major triad in the right hand and a bass line with a C# neighbor tone. The score is labeled with 'GM', '(C#)', 'GM', '(C#)', and 'V4-----3' below the piano part.

In measure three, these patterns are repeated but in a slightly altered context (Example 1.26). The “dotted half/dotted quarter” rhythm again correlates to a “G major/C#” pitch pattern in the accompaniment. However, here the ascent of C# to D in the violin melody subtly reinforces a conventional tonal interpretation: that C# is, at least now, acting as a leading tone to D. This

projection is then strengthened further when the bass C# leads to a D major-as-V⁴⁻³ suspension in measure four.

Example 1.27. Violin Concerto no. 2, ii, mm. 2-5, phrase one.

The image shows a musical score for Example 1.27, consisting of a violin part (top staff) and a piano accompaniment (bottom two staves). The music is in 2/4 time. The violin part features a melodic line with various ornaments and dynamics. The piano accompaniment provides harmonic support with chords and moving lines. Below the piano part, Roman numerals are indicated for each measure: 1, (c#), 1, (c#), V4---3, vi, C#m, i6 i.

Just as the “accentually superordinate G major/subordinate C#” pattern organized the music at the measure level, it organizes the passage at the phrase level as well. Mm. 2-5 are patterned and organized like a conventional harmonic phrase (Example 1.27). The phrase begins with a prolonged triad, lasting for two measures, with surface-level departure-return patterns utilizing the G/C# pairing. In measure four, which serves as measure three of the phrase (PM3 hereafter), the harmonic rhythm increases in speed and begins to depart the G major triad while remaining in the G major collection. The V⁴⁻³ suspension and deceptive resolution an E minor triad (as vi) intensify the classical reminiscence of the phrase. Bartók strongly asserts a classical style here to allow easy analogical comparison for the modernistic events to come.¹⁵⁹

¹⁵⁹ The d# minor third on beat three of measure four is likely interpreted as passing in nature, due to its weak accent placement. In the full score, some D#s are written as Ebs, and to my ear this event sounds like a b6 bass creating the expectation of dominant resolution.

the phrase itself, combined with the listener's retrieval of learned musical patterns. Of course, this interpretation is only confirmed with the arrival of a G triad on beat three of measure five. Had a G triad not returned, the music would not be heard as phrase-like, as it is unusual for an opening phrase to depart from the tonic so drastically.¹⁶⁰ Similarly, if Bartók *opened* the phrase in a less conventional way, the listener would not have made conventional projections, and would not have retrieved his or her knowledge of phrase patterning.

Phrase Two: mm. 6-8

The play of convention and experimentation discussed thus far has occurred at discrete musical moments—one beat suggests convention, the next novelty. Bartók does, however, weave the two together in a more intricate way: in the second phrase, mm. 6-9, Bartók creates a simultaneous play between convention and innovation with the melody suggesting classical conventions while the accompaniment expresses dense, chromatic modernism.¹⁶¹

Like the first phrase, the melody of the second phrase is nearly diatonic in G major and G minor, with the only perturbation of this expression found in two C# pitches. More importantly, Bartók expresses classical convention by organizing the theme with tight-knit classical sentence construction (Example 1.29).¹⁶² Measures six and seven form what William Caplin calls a

¹⁶⁰ The return to G is complicated by non-chord tone retardations and a shift in modal quality, but the G-root fulfills the departure-return schema suggested by the patterning of the phrase. Had G not returned, the phrase would likely have an opening progression quality, and would fail to express a small-binary form.

¹⁶¹ This conflict between melody and accompaniment is a common feature of Bartók's music. Numerous analyses have suggested separate referential collections for melodies and accompaniment in Bartók's more experimental music. For instance, the accompaniment may be derived from a whole-tone scale while the melody from an octatonic scale. See, Kárpáti, János, "Tonal Divergences of Melody and Harmony: A Characteristic Device in Bartók's Musical Language," *Studia Musicologica Academiae Scientiarum Hungaricae* 24, no. 3/4 (1982): 373-380.

¹⁶² Per F. Broman has described mm. 1-9 as a compound period constructed of two sentences. In my opinion, the relative level of closure achieved at the close of mm. 1-5 suggests that the first phrase is not antecedent-like. Similarly, the level of closure attained in m. 5 rules out Caplin's hybrid forms. For that reason, I prefer an analysis treating mm. 1-5 and 6-9 as separate phrases, although separate phrases with similar melodic material. See: Per Broman, "In Beethoven's and Wagner's Footsteps: Phrase Structures and *Satzketten* in the Instrumental Music of Bela Bartok," *Studia Musicologica* 45 no. 1/2 (2006): 116.

“presentation phrase,” and mm. 8-9 a “continuation phrase.” A presentation phrase is constructed of a melodic fragment that is repeated in some form for a total of two soundings. The repetition of this basic idea is often altered by transposition.¹⁶³ Measure six establishes such a basic idea, which is repeated and transposed in m. 7. Continuations are marked by fragmentation and rhythmic acceleration, both of which occur in mm. 8-9: while the basic idea occupies an entire measure, or three dotted-quarter notes, the melodic fragments of mm. 8-9 double in speed, occupying a single half note, conflicting with the established 9/8 meter. Continuations also typically feature more harmonic variety, often in the form of sequences.¹⁶⁴ The half-note-length fragments of Bartók’s continuation phrase outline fifths that are sequenced down by step.

Example 1.29. Violin Concerto no. 2, ii, mm.6-9, sentential structure of phrase two melody.

The image shows a musical score for a violin part in 9/8 time, covering measures 6 through 9. The notation is in treble clef. Measures 6 and 7 are grouped under a bracket labeled 'presentation'. Each of these measures contains a 'basic idea', which is a melodic fragment consisting of a dotted half note followed by a dotted quarter note. Measures 8 and 9 are grouped under a bracket labeled 'continuation'. Measure 8 is annotated with 'fragmentation' and 'sequence', indicating a more complex, accelerated melodic structure. The notation includes various accidentals and rhythmic markings.

In contrast to the tonal and conventional melody, Bartók harmonizes the passage with a densely chromatic and modernistic accompaniment (Example 1.30.A.). The first measure (m. 6) continues to suggest a G-centricity, repeating the “dotted half/dotted quarter” accentual scheme of the first phrase with an accented G major chord followed by a second-inversion C major triad, acting as IV.¹⁶⁵ In mm. 7-8, Bartók abandons this tonal harmonization for a modernistic

¹⁶³ Caplin’s presentation phrases normatively occupy four measures, with the basic idea occupying two measures. At slow tempos, like the slow tempo of this movement, basic ideas can occupy a single measure. Caplin, *Classical Form*, 35-37.

¹⁶⁴ Caplin, *Classical Form*, 41.

¹⁶⁵ The density of the texture makes the chordal analysis ambiguous. The chord on the third beat might alternately be interpreted as an E minor chord. In a variation that closes the movement, this beat is occupied by a clear E minor chord in m. 122. At this point in the work, I favor a C major interpretation.

sequence of diminished-seventh chords descending by semitone: $f^{\#07} \rightarrow f^{07} \rightarrow e^{07} \rightarrow d^{\#07}$. Bartók increases the complexity of the passage with a dense contrapuntal texture that adds suspensions and anticipations to the descending diminished-seventh chord sequence (Example 1.30.B). While the melody suggests traditional tonality and classical sentential design, the harmonization strongly expresses a modern style.

Example 1.30.A. Violin Concerto no. 2, ii, mm. 6-9, harmonic background reduction of phrase two.

A.
 GM C6/4 $f^{\#07}$ f^{07} e^{07} $d^{\#0}$ $a^{\#07}$ (DM7?) $A^{\#7}$ g- GM

Example 1.30.B. a. Violin Concerto no. 2, mm. 6-9, “Atonal” middle ground. **b.** “tonal” middle ground allusion.

B.a.
 B.b.
 (DM) (CM)
 CM D7 DM7? $A^{\#7}$ Gm M
 IV V I

Example 1.30.C. Violin Concerto no. 2, ii, mm. 6-9, surface.

C.

But even in this post-tonal harmonic context, Bartók creates allusions to tonal conventions. Generally, second phrases are defined by an increase in activity and departure.¹⁶⁶ Bartók may be interpreting this convention in his own chromatic harmonic language.¹⁶⁷ While I will return to the cadential procedures shortly, we can see that this phrase loosely coheres by beginning and ending with G triadic harmonies, creating a phrase-wide ABA, or circular, progression.¹⁶⁸

While the descending diminished-seventh sequence disrupts any sense of tonality established in the first phrase, Bartók does create a brief allusion to the movement's G-tonality in m. 8. In example 1.30.B.a., I provide two middle ground interpretations of m. 8. In the "atonal" interpretation, I interpret beats two and three as a prolonged A# diminished-seventh chord. The A# diminished-seventh chord breaks the semitone sequence that characterized the previous measure by featuring a fifth transposition from D# diminished to A# diminished, and also breaks the rhythmically regular dotted-quarter rhythm of the sequence. A series of tied notes and

¹⁶⁶ Caplin explains that the second phrase of a 16-bar compound sentence is often defined by harmonic acceleration. While this two-phrase A section does not exactly fit model forms, its second phrase expresses this characteristic function. Caplin, *Classical Form*, 67-69.

¹⁶⁸ The perception of these framing tonics are complicated by non-chord tones.

syncopations draw the listener's attention to the second half of the measure. With the listener's attention on the second half of the measure, Bartók now creates the subtle allusion to the work's G-tonality. In the "tonal" interpretation of Example 1.30.B.b., we can see that in this diminished-seventh context, Bartók creates enharmonic equivalents of a C major triad and D dominant-seventh chord, or IV and V⁷ in G major. Aligned with the breaking of the sequence, the C major quality of the chord on beat three strongly projects despite the otherwise diminished quality of the passage. This expression is intensified by the G-tonal melody: in previous beats, the tonal melody conflicted with the atonal harmonization; now the melody and accompaniment align in expression of G. Like in the previous phrase, Bartók quickly abandons the tonal allusions and returns to more modernistic harmonic procedures.

The most striking blend of tradition and innovation in the movement occurs with Bartók's closural procedure for the second phrase. Following the enharmonic tonal allusions in m. 8, Bartók opts to close the passage with a modernistic cadential progression typically referred to as a double leading-tone cadence.¹⁶⁹ On beat two of m.9, a sonority resembling an A^b dominant-seventh chord prepares the G tonic through step-wise preparation: the A^b descends to G; the G^b acts as an F[#], ascending to G; the E^b descends to the chordal fifth; and the C-natural descends to the third (Example 1.31). Like in the first phrase, Bartók's dominant resolves not to G major, but G minor.

¹⁶⁹ It also functions as a tritone substitution of the dominant chord. For an introduction to tritone substitution, see Dimitri Tymoczko, *A Geometry of Music* (New York: Oxford University Press, 2011), 363-365.

Example 1.31. Violin Concerto no. 2, ii, m. 9. **A.** Double-leading tone cadence reduction. **B.** Cadential surface.

A.

B.

While the A^b dominant chord creates the expected resolution to G, at the surface level of the music, the resolution is evaded with the appearance of a first inversion G minor triad. William Caplin describes an analogous tonal procedure in his book, *Classical Form*: In a classical sentence, if a continuation concludes with in an evaded cadence, the continuation is typically repeated with more complete closure.¹⁷⁰ Bartók follows this convention in the second phrase but uses the opportunity to again blend tradition and innovation. While Bartók harmonizes the first continuation, mm. 8-9, with atonal diminished-seventh chords, he harmonizes the repetition of the continuation with a paradigmatic tonal harmonization: a circle of fifths progression of dominant-seventh chords in mm. 10-12 (Example 1.32).¹⁷¹ Now the melody

¹⁷⁰ Caplin, *Classical Form*, 43.

¹⁷¹ Fifth cycles do not always suggest typical tonal procedures in Bartók's Music. See: Elliot Antokoletz, *The Music Of Béla Bartók* (Berkeley: University of California Press, 1984): 282-296.

and accompaniment align in their expression of conventional tonality. In the atonal continuation, the projected rhythms of the melody and the accompaniment also conflicted: the accompaniment suggested dotted-quarter rhythms while the melody suggested quarter-note rhythms. In the tonal repetition of the continuation, they are now aligned in their expression of 2/4.¹⁷² Bartók orchestrates this passage with a sudden and emphatic entrance of the full orchestra, perhaps drawing from the traditional “tutti affirmation” of classical concertos in which the orchestra repeats the material of the soloist. The continuation segment of the phrase now exists in the listener’s mind in two forms—one atonal version, another tonal.

Example 1.32. Violin Concerto no. 2, ii, mm. 10-12, tonal continuation, full texture.

The musical score for Example 1.32 shows a tonal continuation in 2/4 time. The Violin part (top staff) is marked 'tutti' and 'anticipation'. The Piano part (bottom two staves) features a sequence of dominant seventh chords: A7, D7, G7, C7, F7, Bb7, Eb7, and Ab7 (?), leading to a G Major (GM) chord. The Ab7 chord is circled and labeled 'LT chord'. The score includes measures 10, 11, and 12. Measure 10 starts with a 'tutti' marking. Measure 12 ends with a 'GM' chord and a box labeled 'A'.

While the atonal continuation failed to reach closure, the tonal version succeeds in producing closure on G major on the downbeat of m. 12. Of course, Bartók uses the opportunity to further blend tradition and innovation. While the fifths sequence begins with chords that are

¹⁷² This phrase is rhythmically condensed from the 9/8, dotted-quarter rhythm, into a 2/4, quarter note rhythm, forming a full, four-measure phrase. The unambiguous harmonic functions of the dominant seventh chords and fifths sequence lessen the awkward transition to the new meter. In the final measure, Bartók elongates the quarter notes back to dotted-quarter notes, easing the transition back into the 9/8 rhythm.)

closely related to G major and G minor, Bartók uses the fifths sequence not to reach a dominant seventh of G major, but to re-approach the A \flat 7 double-leading tone chord of the previous continuation, now with an alternate spelling that more clearly signals its resolution to G (as well as its possible function as a tritone substitute for the dominant). The passage teeters back and forth between a classical and modern style. The atonal continuation creates a clash between the atonal harmonization and tonal melody; the tonal continuation resolves that clash with a tonal harmonization and succeeds in creating closure, but does so with a modernistic closural procedure.

1.6.2 Listener Context and the First Movement

In the second phrase, Bartók's use of the formal convention of repeating a continuation to create closure for a previously failed cadence is perhaps one of the most striking moments of the work. The circle of fifths sequence unambiguously signals a tonal style and does so at a moment of formal convention. It is all the more striking when compared to the first movement, for here too, Bartók utilizes a circle of fifths progression to signal formal conventions. As I argued previously, Bartók enhances analogical comparison by controlling listener context. In this case, Bartók uses a similar formal procedure in the first movement of the concerto, which I argue enhances the perception of the classical conventions in the second movement.

Like the second movement, Bartók creates a dualistic interplay of modernism and traditionalism in the first movement. Just as in the second movement, one way Bartók accomplishes this play is in his use of both post-tonal contextual dominants and traditional tonal dominants. In the second movement, tonal dominants created surface-level progressions while the contextual dominants created more significant, phrase-ending moments of closure. In the first

movement, this tendency is reversed: contextual dominants create surface level departures and returns, and traditional tonal dominants create large-scale closure.

The first movement begins with two measures of repeated B major triads, creating the expectation for a B-tonality (Example 1.33). In mm. 3-6, Bartók alternates between hypermetrically strong B major triads and hypermetrically weak A major chords that include sevenths and ninths. In this six-measure introduction, Bartók creates a simple texture that clearly establishes the tonal scheme that organizes the first theme: a B-major tonic and an A-major contextual dominant.

Example 1.33. Violin Concerto no. 2, i, mm. 1-6.

Allegro non troppo ♩ = 110

BM
I

A₇⁹
"V"

BM
I

A₇⁹
"V"

Bartók organizes the first theme group, mm. 7-25, with a small-scale ternary form. The A section features fairly conventional periodic design, constructed with a four-measure antecedent (mm. 7-10) and four-measure consequent (mm. 11-14). In *Classical Form*, William Caplin explains that periodic design is the most common form of melodic construction in small ternary forms.¹⁷³ In the antecedent, Bartók uses the contextual dominant of A major to first depart B major in mm. 8-9 and to prepare the resolution back to the B tonic in the last beat of the antecedent in m.10 (Example 1.34).¹⁷⁴ In the cadential progression of the consequent, m. 14,

¹⁷³ Caplin, *Classical Form*, 73.

¹⁷⁴ This tonal motion is weakened by a persistent B pedal that underlies the entire antecedent. A pedal underlies much of the consequent as well, and active inner lines create shifting chord qualities.

Bartók abandons the contextual dominant for an unambiguous tonal dominant, F \sharp , which is prolonged for the entire measure (Example 1.35). Here, Bartók plays with the conventional closural procedures of antecedent-consequent design: he creates weak closure for the antecedent by using a contextual dominant and a strong expectation of closure in the consequent with the less ambiguous tonal dominant chord.

Example 1.34. Violin Concerto no. 2, i, mm. 7-10, antecedent with contextual dominant.

Antecedent

BM
I

AM
"V"

(iv)

A₇⁹
"V"

Example 1.35. Violin Concerto no. 2, i, mm. 11-14, consequent with tonal dominant.

Consequent

BM

F \sharp 7
V

$\begin{matrix} \text{I} & 5 & & 4 & & 3 & & 3 \end{matrix}$

In m. 15, Bartók evades the expected closure created by the F \sharp dominant-seventh chord, leaving the first A section of the small ternary form unresolved.¹⁷⁵ In place of the expected B tonic, Bartók places an unexpected G dominant-seventh chord, initiating a conventional circle of fifths progression that terminates on a B \flat -chord in m. 18 (Example 1.36). Circle-of-fifths sequences are ubiquitous to classical contrasting middle sections, and this sequence unambiguously signals that classical convention.¹⁷⁶

Example 1.36. Violin Concerto no. 2, i, mm. 15-18, contrasting middle circle of fifths.

The image shows a musical score for measures 15-18. The top staff is for the violin, and the bottom two staves are for the piano. The piano part shows a sequence of chords: G7 in measure 15, C in measure 16, F7 in measure 17, and B \flat in measure 18. A dashed line under these chords is labeled "Circle of Fifths". The violin part has melodic lines with slurs and fingerings (9 and 10).

Bartók organizes the final three measures of the contrasting middle, mm. 19-21, with a passage that evokes the “standing-on-the-dominant” technique—an equally ubiquitous classical convention (Example 1.37).¹⁷⁷ The downbeat of m. 19 contains a F \sharp major triad, and mm. 19-21 feature a constant A \sharp pedal for the entire three-measure section. Inner lines, however, are chromatic and complicate the dominant function.

¹⁷⁵ For a discussion on the rarity of a sections in small ternary forms not receiving closure, see: Caplin, *Classical Form*, 75.

¹⁷⁶ Hepokoski and Darcy, *Elements of Sonata Theory*, 108; Caplin, *Classical Form*, 75-80.

¹⁷⁷ *Ibid.*, 75-81.

Example 1.37. Violin Concerto no. 2, i, mm. 19-22, contrasting middle retransition, dominant standing.

In measure 22, the complicated F# dominant-like chord resolves to an uncomplicated B major triad, signaling a recapitulation. Following his typical progression from simplicity to complexity, this recapitulation is anything but conventional, and quickly “spins out” into a less tonal style before eventually reaching the thoroughly modern twelve-tone second theme.

In summary, the first and second movements of the concerto create a similar interplay of tradition and innovation. In movement one, traditional dominants create larger scale closure, while contextual dominants create surface level closure. In the second movement, this is reversed.

In both movements, Bartók uses a conventional circle of fifths progression to aid in the listener’s perception of his conventional forms—forms that he obfuscates through modernistic procedures. In the first movement, the circle of fifths progression signals a contrasting middle section to the movement’s small ternary form. In the second movement, the circle of fifths aids in the perception of Bartók’s small binary form, enhancing the perception of the second phrase’s sentential design, and draws attention to the repeated cadence that first failed to create closure in the atonal continuation.

While Bartók's intra-opus signaling of classical conventions is striking in its own right, the conventional patterns are made all the more striking in the real world of musical performance, when they share the concert stage with actual music of the classical tradition. The concerto was premiered on March 23, 1939 by the Amsterdam Concertgebouw Orchestra, led by conductor Willem Mengleberg. The program for the premier opened with Beethoven's *Egmont Overture*, followed by Bartók's Violin Concerto, and closed with Tchaikovsky's Symphony no. 5 in E minor.¹⁷⁸ The *Egmont Overture* that opened the concert features a circle of fifths progression to provide closure to its transition section, possibly enhancing the audience's perception of Bartók's similar use of the traditional sequence. Reviews of the concert focused on the intelligibility of Bartók's new work, with one reviewer of the second night's performance noting Bartók's use of traditional conventions from the musical past: "The new Concerto is a work that one can love. Bartók is giant and in this work he uses everything that has arrived in the past and everything is in perfect balance."¹⁷⁹ A year later, the fifth performance of the concerto was preceded by Weber's *Oberon Overture*, which features a number of prominent circle of fifths progressions. Again, reviews noted the intelligibility of Bartók's work, with one critic saying, "this unknown work wasn't so difficult to understand as one may think."¹⁸⁰

The circle of fifths progressions in the violin concerto represent strategic placements of convention that enhance the listener's knowledge of Bartók's work. Like with the jabberwocky phrases, Bartók activates a listener's knowledge of musical conventions, allowing these conventions to aid the listener in interpreting Bartók's modernistic pitch procedures. While

¹⁷⁸ Claude Kenneson, *Szekely and Bartók: The Story of a Friendship* (Portland: Amadeus Press, 1994), 207.

¹⁷⁹ *Ibid.*, 209.

¹⁸⁰ *Ibid.*, 214.

Bartók did not program these concerts, their programs were idiomatic for the time: opening with an overture, followed by a concerto, and closing with a substantial symphonic work.

1.7 Conclusions

1.7.1 General Conclusion

In this chapter, I have attempted to demonstrate how Bartók reworks traditional musical materials at all levels of composition—from traditional sounds, like triads, to traditional phrase patterns and forms—to alter their effect into something new. As Bartók stated, in combining the known in unknown ways, the traditional patterns “acquire from such a totally new surrounding...a lively, quite special effect arising just from the contrast.”¹⁸¹

Bartók’s eclecticism, and the effects of mixing traditional and innovative patterns, was not lost on his contemporaries. Bartók praised an article written by Cecil Gray in 1920 as the “most detailed and appreciative treatise about my compositions.”¹⁸² In it, Gray connects Bartók to Beethoven and the classical tradition, and discusses Bartók’s use of traditional materials to create new effects:

The pre-eminently arresting quality which the examination of Bartók’s works instantly reveals, and one which distinguishes him sharply from his contemporaries, is that he has no set and invariable method of procedure, no fixed and determinate style. He employs no outworn *clichés*, whether of the academies of the modern Franco-Russian academy, neither is he, as Arnold Schoenberg occasionally is, a slave to his own individual mannerisms or idiosyncrasies. It would be more accurate to say that when he does make use of them they cease to be *clichés*. He possesses that rare quality of mind which illuminates everything it touches, transforming it into something rich and strange.¹⁸³

¹⁸¹ Bartók, “The Problem of New Music,” 457-458.

¹⁸² Malcolm Gillies, “The Canonization of Bela Bartok,” in *Bartok Perspectives*, ed. Elliot Antokoletz, Victoria Fischer, and Benjamin Suchoff (New York: Oxford University Press, 2000), 291.

¹⁸³ Cecil Gray, *A Survey of Contemporary Music* (London: Oxford University Press, 1942), 291.

Like Gray, I find Bartók's ability to transform traditional expectations one of the composer's most striking qualities. Bartók's combination of familiar musical patterns with innovative and idiosyncratic musical structures creates a conceptual blend of the tendencies of both structures—something new not expressed by the structures in isolation.

Of course, Bartók's mixture of old and new is not limited to intra-opus interactions. Bartók's music, whether in programs created by the composer himself or by performers, regularly shares concert halls with the works of the classical tradition from which he borrows. Take, for example, the program for Lief Ove Andsnes' Carnegie Hall recital on February 15th, 2012, which opened with Haydn's Sonata in C minor (Hob. XVI:20), followed by Bartók's *Suite* Op. 14, and concluded with a selection of Chopin works.¹⁸⁴ From Bartók's time to today, the placement of his music on programs with classical tonal works establishes a listening context that enhances the perception of his tonal musical materials. While a listener can approach Bartók's music from a number of different listening contexts, in this study, I have chosen to analyze it from the context of the Western classical tradition.

Bartók's synthesis of diverse musical styles can create difficulties for analyses focused on demonstrating systemic coherence or unity, but that diversity is a cornerstone of Bartók's musical style and should be preserved in analysis. Theorists' views on synthesis in Bartók's music have changed over the years. Bartók scholar Malcolm Gillies, in his essay "The Canonization of Béla Bartók," traces the historical views on synthesis in Bartók's music, stating: "History has, however, been reluctant to place the synthesist, however creative, on the same level

¹⁸⁴ For a review of the concert, see: Anthony Tommasini, "Excitement in the Air, Without a Button Undone," *New York Times*, February 16, 2012.

as the more single-minded iconoclast, however destructive.”¹⁸⁵ Ultimately, however, Gillies concludes that synthesis is the key to Bartók’s originality:

The intractability of Bartók’s music in the face of any one theory—in previous decades sometimes interpreted as a sign of lack of fundamental originality—is now recognized as a sign of the constructive richness of his music and a reason for his continuing, vibrant representation in the canon of great composers.¹⁸⁶

The approach of this chapter agrees with Gillies’ assessment: I have attempted to demonstrate Bartók’s “constructive richness” not with “any one theory,” but with the interaction of many.

1.7.2 Stylistic Conclusions and Theoretical Extensions

Non-triadic Phrases

Due to the triad’s ability to signify musical tradition and project tonality, this study has placed special emphasis on phrase-like constructions utilizing triads. Although Bartók frequently employs triads, a substantial portion of his output makes no use of them. In this section, I explore whether this theory can be extended to not-triadic chordal objects and whether hierarchical accent structures can aid in the interpretation of non-hierarchical or atonal pitch structures that do not employ triads.

Paul Wilson, in his book *The Music of Béla Bartók*, explores similar questions concerning structural hierarchy and the interpretation of function in non-triadic music. My focus here is distinct in two ways. First, I am concerned with how a hierarchical accent structure can imbue non-hierarchical pitch structures with a sense of hierarchy, something Wilson does not explore. Second, I am concerned with how non-triadic music can project the general outline of phrase construction as discussed previously, creating analogies to circular, opening, and closing

¹⁸⁵ Gillies, “The Canonization of Bela Bartok,” 295.

¹⁸⁶ Gillies, “The Canonization of Bela Bartok, 293.

progressions as outlined by Allen Forte. When these two phenomena interact, I contend a listener can hear intentional progressions and phrase constructions analogous to tonal progressions.

As an example, let us examine the opening measures of the second movement of Bartók's Piano Concerto no. 2 (Example 1.38). Bartók constructs the passage out of series of quintal harmonies: the first sonority is a stack of fifths, F-C-G-D-A-E.¹⁸⁷ Subsequent sonorities are similarly quartal in construction, but several introduce additional intervals. Despite non-triadic construction, the passage exhibits a number of traditional elements. The melody in the top voice, for example, fits in the F major scale, as portions of the bass and inner voices do as well. Nevertheless, the consistency of quartal harmonies and an overall non-diatonic framework impede straightforward tonal expression.

Despite these post-tonal elements, Bartók communicates a tonal design in accent structure and phrasal patterning. The F-quartal harmony receives a number of accents to suggest tonic-like function: it initiates the passage and is emphasized with agogic accents. It also appears frequently in the passage and can thus be understood as prolonged through neighboring quartal harmonies. In mm. 1-3, a series of small-scale circular progressions confirm the importance of the F-quartal harmony.

In mm. 3-5, Bartók departs the F-quartal harmony with something akin to an opening progression. In measure five, this opening progression terminates on an agogically accented C-quartal harmony. The accentual weight of the C-quartal harmony creates a degree of tension similar to a classical half cadence.

In the second half of measure five, low-voice quartal harmonies lead the music back to the F-quartal contextual tonic, which is reached in measure six. In measure six, the progression

¹⁸⁷ While one could interpret the opening sonority as a F major triad with a seventh, ninth, and thirteenth, the quartal aspect of this sonority is much more salient.

of mm. 1-5 is repeated with slight variations in contour, giving the opening measures of the second movement a period-like design. The consequent, however, becomes increasingly more chromatic. Bartók abandons the accent hierarchy and clear phrasal patterning of the opening, suppressing the perception of a consequent and giving the measures after measure seven the feeling of “spinning out.”

Due to the clear accent hierarchy and phrasal patterning, I would argue mm. 1-7 exhibit strong contextual functions despite the non-triadic chordal objects. The F-quartal harmony attains a tonic-like function through circular progressions and agogic accents. The C-quartal harmony in m. 5 exhibits a dominant-like function that signals departure and tension. On the downbeat of m. 6, the reappearance of the F-quartal harmony resolves the tension of the C-quartal contextual dominant, creating the feeling of tonic return.

Example 1.38. Piano Concerto no. 2, ii, mm. 1-6. Quartal phrase functions.

A. mm. 1-6: Reduction

B. mm. 1-6: Literal

The image displays two musical examples, A and B, illustrating the phrasal functions of the first six measures of the second movement of Bartók's Piano Concerto no. 2, ii. Example A is a reduction showing the chordal structures in the treble and bass staves. The chords are labeled as F (F major), F (F major), C (C major), F (F major), and F (F major). The measures are grouped into four phrasal functions: 'Circular' (measures 1-2), 'Opening' (measures 3-4), 'Closing' (measures 5-6), and 'Circular' (measures 7-8). Example B is the literal score, showing the original notation with phrasal markings and functional labels. The chords are labeled as F, F, C, F, and F. The measures are grouped into four phrasal functions: 'Circular' (measures 1-2), 'Opening' (measures 3-4), 'Closing' (measures 5-6), and 'Circular' (measures 7-8). The phrasal markings are indicated by brackets above the staff, and the chord labels are placed below the bass staff.

Certain questions remain unexplored in this theoretical extension. For example, can dissonant harmonies attain the degree of stasis and resolution required by the tonic function? Can listeners perceive a chordal root or distinct pitch membership in dissonant harmonies that would allow them to retain a dissonant sonority in their memory? If not, departure and return would be much more difficult to perceive.

As an extreme example that elucidates these questions, consider rehearsal numbers 82-83 of *The Wooden Prince* (Example 1.39). Bartók composes the passage out of dissonant tone clusters. Beginning at R82, Bartók presents a tone cluster with C as the bottom note and repeats the cluster ten times in the bass. In the orchestral version, various members of the cluster trade off in salience: the lowest C is performed weakly by *col legno* bass and harp; the C# occasionally projects strongest in the contrabassoon; and the D is performed strongly by the timpani on the downbeats of measures. Despite this shifting sensation of salience, the sonority retains its identity (I will refer to it as the C/B# cluster). At the *Andante* (R82+3), a rhythmically regular passage begins which alternates between the C/B# cluster on strong beats, and tone clusters on C# and E# on weak beats 2 and 4. The first three measures of this passage have an accent structure and patterning similar to the circular progressions discussed above. At R83-1 through R83+4, the tone clusters depart the B#/C cluster, perhaps giving the sense of an opening progression. To my ear, there is a feeling of stasis at the circular progressions of R82 and a sense of departure and sequence around R83. But does pitch memory allow this sensation? The tone clusters in such a low register saturate the critical bandwidth, making it difficult to perceive any single pitch.¹⁸⁸ Is it really the pitches of the C/B# cluster that one interprets as a contextual tonic? Or is it merely

¹⁸⁸ For a discussion of the critical bandwidth, see: Plomp and Levelt, "Tonal Consonance and Critical Bandwidth," *The Journal of the Acoustical Society of America*, 38 (1965): 548-560.

the register (even if the idea of register as having a function seems outlandish)? Although the idea that accent hierarchies and phrasal patterning can give non-triadic harmonies a sense of tonality requires much more investigation, these examples at least demonstrate it is possible.

Example 1.39. *The Wooden Prince*, R82. Tone-cluster phrase functions.

The image displays three systems of musical notation for piano. The first system, starting at measure 82, features a treble clef with a melodic line and a bass clef with a harmonic accompaniment. The tempo is marked 'Andante (♩ = 84)' and the dynamics are 'p'. The second system, starting at measure 85, is marked 'mp' and includes three annotations labeled 'circular' with dashed ovals around the notes in the treble clef. The third system, starting at measure 89, is marked 'departing' with a dashed line above the staff. The notation includes various accidentals and articulation marks throughout.

Symmetry and Hierarchy

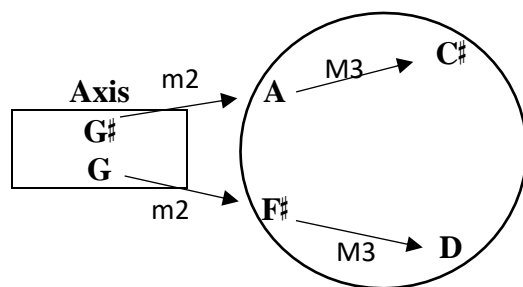
Theorists have long noted Bartók’s use of symmetrical pitch structures and interval cycles. George Perle, in 1955, was one of the first theorists to emphasize the importance of inversional symmetry in Bartók’s music.¹⁸⁹ Elliot Antokoletz, a student of Perle, has written most

¹⁸⁹ For a review of Perle’s theory, see: Antokoletz, “Theories of Pitch Organization in Bartók’s Music,” 294-296.

extensively Bartók's use of symmetry.¹⁹⁰ While many of Bartók's pitch structures are symmetrical, and therefore non-hierarchical, in this section I discuss the ability of accent hierarchies to interpret non-hierarchical symmetrical structures.

Perle's and Antokoletz's theory of inversional symmetry suggests that a new type of tonality defines Bartók's music, one in which an axis of symmetry creates tonal centricity based on equal division of the octave. The axis, which may or may not be an actual sounding pitch, is the point of symmetry for a collection of pitch classes. As an example, take the pitch cell of a major-major seventh chord on D: D, F#, A, C#. This inversionally symmetrical set has an axis of symmetry about G/G#, as demonstrated in Figure 1.2.

Figure 1.2. DM⁷ Axis of Symmetry.



For Antokoletz, inversional symmetry is significant in that it provides coherence to Bartók's music at both the small and large scales. In tonal music, coherence is provided by the unequal division of the octave by fifths, creating a hierarchical system of tonic-dominant progressions, as explained by Antokoletz in his *The Music of Béla Bartók*.¹⁹¹ In terms of pitch, symmetrical systems lack a hierarchy. In this non-hierarchical system, symmetrical systems

¹⁹⁰ Antokoletz, *The Music of Béla Bartók*.

¹⁹¹ *Ibid.*, 67.

provide coherence, relating all pitches to an axis of symmetry.¹⁹² Antokoletz's discussion of Bartók's music is almost solely focused on pitch structure. In this sense, Antokoletz's analyses approach Bartók's pitch structures abstractly, as a precompositional system in which pitch relationships nebulously interact free of rhythm.

Yet in music, abstract pitch structures are concretized by rhythm and meter. In this chapter, I have argued that metric and rhythmic hierarchies have the ability to imbue otherwise non-hierarchical pitch relationships with a sense of hierarchy. To this point, I have focused my discussion on this process in phrase-like constructions, but even in highly symmetrical music, a listener might be able infer contextual functions similar to tonic and dominant relationships.

Antokoletz's analyses of Bartók's use of the octatonic scale have focused on the collection's properties of inversive symmetry, highlighting how Bartók provides coherence to his music by relating the "equalized" semitones of the collection through inversion.¹⁹³ Antokoletz's discussion of Bartók's *Bagatelle*, no. 13, provides an example of such an analysis (full score in Example 1.42).¹⁹⁴ The 26-measure bagatelle is harmonized by only two tritone-related triads: an E \flat minor triad and an A minor triad. Despite the use of traditional tonal materials, Antokoletz argues that the triads do not function as "triads," but instead as pitch-cells related by inversion.¹⁹⁵ What Antokoletz proposes is that the listener does not hear the E \flat minor and A minor triads as two triads related by a tritone transposition, but instead as single notes connected by voice-leading through tritone inversions.¹⁹⁶ In the final measures, Bartók

¹⁹² Ibid., 78.

¹⁹³ For a complete discussion of tonal and non-tonal properties of the octatonic scale, as well as theorists' views on Bartók's use of the octatonic scale, see: Cohn, "Bartók's Octatonic Strategies."

¹⁹⁴ Antokoletz, *The Music of Béla Bartók*, 83-85.

¹⁹⁵ Ibid., 83.

¹⁹⁶ Ibid., 83.

completes the octatonic collection by adding a fourth tritone pair to the previous three tritone pairs.¹⁹⁷

Example 1.40. *Bagatelle*, no. 13, mm. 23-26. Reproduction of Antokoletz’s Example 92 from *The Music of Béla Bartók*, 83.

The image shows a musical score for Example 1.40. It consists of two staves: a treble clef staff for the melody and a bass clef staff for the piano accompaniment. The key signature has two flats (B-flat and E-flat), and the time signature is 4/4. The piano part features a series of minor-seventh chords in the left hand, which are circled and labeled 'minor-seventh chords'. The melodic line in the right hand is also circled and labeled 'octatonic collection'. The score includes a dynamic marking of 'pp' (pianissimo) and a fermata over the final measure.

By discussing what appear to be triads instead as tritone pairs, Antokoletz demonstrates a unity between the accompaniment, which seems deceptively traditional, and the melodic structure, which Antokoletz demonstrates is primarily generated through inversionally related pitch-cells, such as the “basic cell,” outlined in Example 1.41.¹⁹⁸

Example 1.41. *Bagatelle*, no. 13, mm. 2-6. Reproduction and simplification of Antokoletz’s example 94 from *The Music of Béla Bartók*, 84.

The image shows a musical score for Example 1.41. It consists of a single treble clef staff in 4/4 time. The key signature has two flats. The score is annotated with 'major-7th chord' above a group of notes, 'basic cells' below a group of notes, and 'basic cell' below a circled group of notes.

Antokoletz’s analysis provides coherence to much of the bagatelle, a coherence that cannot be demonstrated by traditional tonal analysis. At the same time, the non-hierarchical,

¹⁹⁷ Ibid., 83.

¹⁹⁸ Ibid., 83-85.

equalized pitches of the octatonic scale interact with a regular metric pattern that, at the level of hypermeter, at times imbues the pitch events with a sense of hierarchy. This hierarchy allows a listener to understand certain appearances of the triads as superordinate and others as subordinate. When the non-hierarchical pitch and hierarchical rhythm structures interact, a sense of function similar to the alternation of tonic and dominant functions emerges.

Example 1.42. *Bagatelle*, no. 13, mm. 1-26.

The musical score for Example 1.42, *Bagatelle*, no. 13, mm. 1-26, is presented in four systems. The tempo is marked "Lento funebre" with a metronome marking of 60-72. The key signature consists of two flats (B-flat and E-flat). The score is written for piano, with a melodic line in the right hand and a chordal accompaniment in the left hand. The accompaniment consists of a regular pattern of chords, primarily Ebm triads, with a change to Am triads in measures 14-20. The melodic line features a mix of eighth and quarter notes, often with slurs and ties. Dynamic markings include *pp* (pianissimo) at the beginning, *p* (piano) at measures 10 and 14, *mf* (mezzo-forte) at measure 13, *f* (forte) at measure 21, and *pp* at measure 25. The piece concludes with an Ebm triad at measure 26.

In contrast to the examples discussed above, no sense of phrase is projected in the bagatelle. The accompaniment consists of only two triads: nine measures of an Eb minor triad,

followed by five measures of the A minor triad, and finally more direct alternation between the two triads in measures 15-26. The bagatelle has no sense of duple-construction in harmonic rhythm, and expresses no generalized phrasal pitch-functions like the circular, opening, and closing progressions discussed above.

Yet even in this limited context, I believe a listener can feel a sense of departure and return, and tension and resolution, despite the symmetrical pitch structure. After hearing nine measures of E \flat minor, the initial A minor triad might first be interpreted as a departing event; due to the overwhelming accentual strength accrued by E \flat minor, a listener might first perceive a sense of tension with the arrival of the A minor triad. As A minor continues to repeat, its accentual strength grows, and any sense of tension fades.

Bartók also plays with the interaction of a hierarchical accent structure and non-hierarchical pitch structure in the second half of the work. Beginning in m. 14, Bartók alternates between the A minor and E \flat minor chords more directly, with accent hierarchies emphasizing one chord over the other. In m. 21, the disruption of the regular alternation of triads and quicker harmonic rhythm feels somewhat cadential. In the final measures of the bagatelle, Bartók slowly increases the agogic accentual weight of E \flat minor, repeating it for two measures in mm. 22-23. In the overall context, the A minor triad begins to lose its accentual weight, the E \flat minor triad again sounds tonic-like, and the piece sounds relatively resolved on the concluding E \flat minor triad.

The symmetry of the octatonic collection remains non-hierarchical throughout the piece. With the pitches equalized through symmetrical operations, Bartók manipulates the accent structure to change the listener's interpretation of events, giving the work a sense of departure

and return functionally analogous to a tonal work that establishes a tonic, modulates to a dominant, and returns to the tonic (although with a very different surface-level experience).

1.7.3 Other Common Triadic Structures

In addition to phrase-like structures, there are a number of other triadic structures in Bartók's music in which clear accent hierarchies aid in the interpretation of non-functional triadic relationships.

Non-phrase-like Accent Hierarchies (Oscillation)

Before the 1920s, one of the most common triadic structures Bartók employs is the oscillation between two triads. These structures fail to signal phrasal patterns by never establishing a second set of pitches; in other words, they lack opening or closing functions and operate as repetitive, small-scale circular progressions. Nevertheless, clear accent hierarchies allow a listener to interpret one triad as superordinate and one as subordinate.

A clear example of triadic oscillation occurs at Rehearsal 79 in *Bluebeard's Castle* (Example 1.44). This example also illustrates Bartók's exhaustive use of transposition types. The passage begins by oscillating by a minor third between an accentually superordinate C major triad and subordinate E \flat major triad. At Rehearsal 80, Bartók preserves the C major contextual tonic, but now oscillates by a major second between it and a B \flat Major seventh chord. Seven measures after R81, and after establishing G major as a new tonal center, Bartók then alternates by a fourth between a G major chord as contextual tonic and a C major seventh chord.¹⁹⁹ At R82, Bartók maintains the G major contextual tonic, but uses a C \sharp minor seventh chord as the subordinate chord, creating a tritone transposition. Finally, at R82+4, Bartók returns to the C

¹⁹⁹ Changes in meter give the appearance that the C7 chord appears on the downbeat, and is therefore more accented, but melodic parallelism and perceived meter project GM as the heard downbeat.

major contextual tonic, but enriches the accompaniment with additional harmonies, first using an F# major subordinate chord (tritone transposition), followed by an A♭ Major seventh chord (major third transposition) with a B♭ major seventh chord acting as a passing harmony. Overall, Bartók uses five total transposition types: minor third, major second, perfect fourth, tritone, and major third.

Example 1.43. *Bluebeard's Castle*, R79. Triadic Oscillation.

79 *Vivace* $\text{♩} = 80$

CM EbM

80

CM Bb7

82

C7 GM

C#m7 GM

CM7 Ab7 Bb7

Contiguous Opening Structures

Perhaps not surprisingly for a twentieth-century composer, a substantial portion of Bartók's phrase-like triadic progressions are "opening" progressions, which create the feeling of constant modulation. Returning to the first movement of the Op. 14 *Suite*, nearly every phrase in the piece is, at the middle ground, an opening progression.

The first movement of the *Concerto for Orchestra* contains an idiomatic example (Example 1.45). In the recapitulation, Bartók creates a series of opening progressions in various keys using the movement's *Tranquillo* theme, m. 402. The section begins with an A-minor-like tonal center. At the end of the A minor section, m. 420, Bartók departs the A minor tonic with a chromatic progression to C# minor and then F#. The passage has a feeling of opening that is similar to a tonal modulation. At m. 425, Bartók repeats the *Tranquillo* theme, but now in G minor, prepared by a traditional dominant chord in m. 424. Like the A minor section, after establishing the G tonic with circular progressions, Bartók departs the G minor tonic with a chromatic opening progression and does not close the structure with a G-tonic return.

Example 1.44. *Concerto for Orchestra*, I, mm. 402-427. Opening Structures

The image displays a musical score for Example 1.44, consisting of two systems of piano accompaniment. The first system, marked 'Tranquillo' and 'p', covers measures 402 to 420. It features a treble and bass staff with a 3/8 time signature and a tempo of quarter note = 70. The bass line consists of a series of triads. A dashed line labeled 'circular' spans from measure 402 to 420. Below the bass line, the chord progression is indicated as A: (v) i, (v) i, (v) i. The second system covers measures 420 to 427. It begins with a treble staff and a bass staff. The bass line continues with triads. A dashed line labeled 'circular' spans from measure 425 to 427. Below the bass line, the chord progression is indicated as C#m, F#, Gm: V7, i. A bracket labeled 'opening' spans from measure 420 to 427.

Tonic Pedals

Beginning in the 1920s, Bartók employs pedal sections much more prominently than traditional phrase types. One interesting pedal with tonal implications is found in the first movement of the *Divertimento for Strings*, R 73 (Example 1.46). A B \flat pedal persists throughout the section, and an opening triad on B \flat major suggests traditional organization. What I find most striking about this example is that the pedal procedure first begins tonally, much in the manner of the galant-era *quiescenza* pattern (a tonic pedal below a melodic line descending from scale degree $\hat{8}$ to $\hat{b}7$, with a figured bass progression from 5_3 to 6_4).²⁰⁰ After this tonal beginning, the inner voices slowly depart a B \flat harmonization, becoming increasingly chromatic. Similar pedal procedures can be found throughout Bartók's works from the 1920s on, but a striking example is the opening section of the final movement of the *Concerto for Orchestra*.

Example 1.45. *Divertimento for Strings*, I, R73. Tonic pedal.

The image displays a musical score for Example 1.45, which is a tonic pedal from the first movement of Bartók's *Divertimento for Strings*, I, R73. The score is written in 9/8 time and consists of two systems of music. The first system shows a melodic line in the upper voice starting on a dotted half note G \flat (scale degree 8) and descending to a dotted half note F \flat (scale degree b7). Below this, a figured bass progression is indicated: 8------(7)----b7, followed by a 4. The bass line features a B \flat major triad (B \flat , D \flat , F \flat) in the left hand, which is labeled 'chromatic' with an arrow pointing to the right. The second system continues the melodic line and the chromatic bass line. The bass line is further annotated with figured bass notation: 5-----5-----6, 3-----3-----#4, and 1-----1-----1.

²⁰⁰ Robert Gjerdingen, *Music in the Galant Style* (New York: Oxford University Press 2007), 181-195.

Tonal → Chromatic Phrases

Another phrase procedure pertinent to this study is Bartók's construction of phrases that begin tonally but end chromatically. The final movement of the *Divertimento for Strings* provides a clear example of this procedure (Example 1.47). At measure 513, Bartók begins a tonal progression in B \flat Lydian: I-II-iii-vii-v-I. At m. 519, Bartók maintains the B \flat melody but harmonizes the continuation with a much more chromatic progression: C \sharp minor, F \sharp minor, G minor, D major, F minor, E \flat major.²⁰¹ A similar example of this procedure occurs at the first phrase of the *Concerto for Orchestra*, II, mm. 9-24.

Example 1.46. *Divertimento for Strings*, I, mm. 513-525.

Grazioso $\text{♩} = 63$

BbM: I II iii iv vii I C \sharp m F \sharp m Gm DM Fm CM/m Ebm

tonal/lydian chromatic

²⁰¹ The quick tempo and six-measure groupings give this passage the quality of one phrase as opposed to two phrases, one in B \flat lydian and one chromatic phrase.

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Chapter 2: Twelve-tone Homophony: Comprehensibility, Texture, and Form in Schoenberg's Neoclassical Works

2.1 Introduction: Schoenberg, "Who Cares if You Listen," and *The New York Times* in the 1990s

Scholarship on the music of Arnold Schoenberg is somewhat unusual in that, unlike the scholarship of other celebrated composers, several publications exist to argue how and why Schoenberg fails: both to reach an audience and to create comprehensible music. It is hard to find an entire book or even a single article that attempts to prove that Beethoven or Mahler were inadequate composers, yet for Schoenberg, entire books attempt to do just that.¹

As an introduction to the discussion surrounding Schoenberg's (in)comprehensibility, consider a collection of articles published in the *The New York Times* during the 1990s. These articles attacked serialism's dominance over academic circles and blamed the overly complex and cognitively opaque style of composition for the decline in public interest in concert music.² This listener-unfriendly compositional trend, the story goes, began with Arnold Schoenberg and his twelve-tone technique. Schoenberg's arcane style was then continued and intensified by Milton Babbitt and Pierre Boulez in the middle of the century and achieved prominence by the 1990s.³

¹ See William Thompson, *Schoenberg's Error* (Philadelphia: University of Pennsylvania Press, 1991).

² Michael Beckerman, "Tonality is Dead; Long Live Tonality," *New York Times*, July 31, 1994, <https://www.nytimes.com/1994/07/31/arts/classical-view-tonality-is-dead-long-live-tonality.html>; Richard Taruskin, "Does Nature Call the Tune?" in *The Danger of Music and Other Anti-Utopian Essays* (Berkeley: University of California Press, 2009), 46-50.

³ Joseph Straus summarizes this argument and argues against its validity in Joseph Straus, "The Myth of Serial 'Tyranny' in the 1950s and 1960s," *The Musical Quarterly* 83, no. 3 (Autumn 1999): 301-343.

In the *Times*, the complexity problem was illustrated by a then-40-year-old article by Milton Babbitt, which the authors dusted off for their 1990s polemics. In his 1958 article, “Who Cares if You Listen” (originally titled “The Composer as Specialist”—the editor changed the title to the dissatisfaction of the author), Milton Babbitt argued that an imperative of musical progress necessitated a composer’s disregard for the taste and comprehension of the general musical public. Instead of composing for public concerts, the composer should compose for the academic sphere as a specialist, much as a mathematician or physicist presents their work to a limited audience of peers. Following the necessary path of progress, the “highly sophisticated and complex constructive methods” of new music created perceptual “difficulty” and “unintelligibility” for audience members.⁴ Rather than discard these qualities for the sake of public acceptance, Babbitt implored the composer to welcome the isolation they create:

And so, I dare suggest that the composer would do himself and his music an immediate and eventual service by total, resolute, and voluntary withdrawal from his public world to one of private performance and electronic media, with its very real possibility of complete elimination of the public and social aspects of musical composition.⁵

In contrast to perennially celebrated composers like Beethoven, Brahms, and Wagner, Babbitt’s composers should not seek public acclaim, but rather eschew it. From Babbitt’s decree, a maxim arose among progressivists that if the lay audience understands a composer’s work, that work is not inventive. In this sense, a more accurate description of Babbitt’s article might be “Who Cares if You Understand,” as audience understanding and not mere “listening” was the focus of the article.

⁴ Milton Babbitt, “Who Cares if You Listen?,” in *Contemporary Composers on Contemporary Music* (New York: Da Capo Press, 1998), 244-250.

⁵ *Ibid.*, 249.

While many composers followed Babbitt's decree, the *New York Times* writers in the 1990s questioned the equivalency of complexity with value and unintelligibility with success, as practiced by Babbitt's (and Schoenberg's) followers. In 1994, specifically citing the Babbitt article, Michael Beckerman told the story of how the academic ascendancy of Babbitt's "contempt for his audience" resulted in a neglect or downright contempt for composers that sought intelligible communication to their audience:

These tactics contrast with those of composers like Janacek, Bartók and Debussy, who never advocated antagonistic battles or felt that alternative visions need to be suppressed in the name of progress.⁶

A few months later, Richard Taruskin attacked the very foundation of the "progress" sought by serialists and other progressive composers. Citing the gestalt-based opinions of Leonard Meyer, the linguistic-based work of Lerdahl and Jackendoff, and recent empirical studies into music cognition, Taruskin's *Times*' article called into question even the serial specialists' ability to perceive the structures of their own music, saying "serial music conveys little, because for all its vaunted complexity it is shallow, all surface, with no underlying, unconscious, and innate 'deep structure.'" ⁷ Two years later, again in the *Times*, and again armed with Babbitt's article, Taruskin attacked the legacy of Serialist instructors like Donald Martino for "miseducating their pupils just as he was miseducated himself, dooming them to uselessness."⁸

In each of these articles, the authors lumped Schoenberg in with Babbitt, Boulez, and more recent composers as examples of Babbitt's "specialist" composers; all composers who eschew audience intelligibility and comprehension for posterity as a true revolutionary, progressive, and disdainer of tradition. Many of the authors cast Schoenberg against composers

⁶ Beckerman, "Tonality is Dead; Long Live Tonality."

⁷ Taruskin, "Does Nature Call the Tune?," 47.

⁸ Richard Taruskin, "How Talented Composers Become Useless," *New York Times*, March 10, 1996, <http://www.nytimes.com/1996/03/10/arts/classical-view-how-talented-composers-become-useless.html>.

that embraced their audiences and traditional musical elements.⁹ None listed Schoenberg as a traditionalist who embraced his audience and the traditional musical styles of his predecessors. Yet despite his invention of the twelve-tone method that spawned the serial movement, Schoenberg was, in fact, concerned with his audience's comprehension of his work, and he attempted to ensure this comprehension by infusing his works with established traditional techniques and structures. If the question is "Who cares if you understand?" (or even "Who cares if you listen"), I argue, an answer must be: Schoenberg.

Whether mandating that composers disregard their audience or embrace it, authors on both sides of the argument administered a simple litmus test to elucidate their position: can a commoner whistle the composer's tune? For Babbitt, if the commoner could whistle a composer's melody, it was too simple to be taken seriously:

Admittedly, if this music is not supported, the whistling repertory of the man in the street will be little affected, the concert-going activity of the conspicuous consumer of musical culture will be little disturbed. But music will cease to evolve, and, in that important sense, will cease to live.¹⁰

For Richard Taruskin, if a commoner could not whistle the composer's melody, it was too complex to be appreciated. Reflecting on the 1994 article in a 2008 postscript, Taruskin writes:

The postman, to recall a typically optimistic prediction of Anton Webern's, is not yet whistling Webern's tunes a century later, and gives no sign of any such inclination. Perhaps it's time to ask why.¹¹

The whistling commoner, moreover, reveals quite clearly why Schoenberg, at least in terms of intent, should not be lumped in with Babbitt's "composers-as-specialists." In a 1922 letter to Marya Freund, Schoenberg communicated his desired reception for his 1912 melodrama *Pierrot lunaire*: If the audience was in any way musical, Schoenberg wrote, "they would go away

⁹ Beckerman, "Tonality is Dead; Long Live Tonality."

¹⁰ Babbitt, "Who Cares if You Listen?," 250.

¹¹ Taruskin, "Does Nature Call the Tune?," 48.

whistling the tunes.”¹² If Schoenberg’s lamentation over audience sophistication rings too harmoniously with Babbitt’s audience complaints, consider a letter from 1947, well into his mature twelve-tone style:

...the understanding of my music still suffers from the fact that most musicians do not regard me as a normal, common or garden variety of composer who presents his more or less good and new themes and melodies in a not too inadequate musical language—but as a modern, dissonant, twelve-tone experimenter.

I, however, wish nothing so much as to be considered a better sort of Tchaikovsky—for heaven’s sake, a little better, but that is all. Or, at most, that my melodies may be remembered and whistled.¹³

In the letter, Schoenberg believes that a public perception of his intent—as an “experimenter” and not as a “normal” composer—contributes to the public’s lack of understanding of his music. Yet the notion that simply perceiving Schoenberg as garden-variety composer might aid listeners in remembering and whistling his melodies is naïve: as Taruskin argued, many recent studies into the limits of human perception suggest that it is difficult if not impossible to remember a dodecaphonic melody set in a serial style. But I believe Schoenberg’s statements at least beg the question: How could one confuse Schoenberg’s career-long wish for acceptance-through-whistling with Babbitt’s isolated composer-as-specialist? Similarly, do we misconstrue Schoenberg’s music by looking for complexities?

While Schoenberg’s conservative tendencies and care for listener comprehension went unnoticed in the 1990s, it was sharply noted by Pierre Boulez in his 1952 article, “Schoenberg is Dead.” Rather than align himself with Schoenberg in the long march towards progress, Boulez assiduously distanced himself from the composer: “At the very beginning, perhaps one should

¹² Arnold Schoenberg, “Letter to Marya Freund,” in Arnold Schoenberg, *Self Portrait: a Collection of Articles, Program notes, and Letters by the Composer About His Own Works*, ed. Nuria Schoenberg Nono (Pacific Palisades: Belmont Music Publisher, 1988), 22.

¹³ Josef Rufer, ed., *The Works of Arnold Schoenberg; a Catalogue of His Compositions, Writings, and Paintings*, trans. Dika Newlin (New York: Free Press of Glencoe, 1963), 146.

dissociate the serial phenomenon from Schoenberg's *oeuvre*."¹⁴ Boulez disdained Schoenberg's lack of "rigor" and attempts at "compromise." In his polemic, Boulez found the most fault with Schoenberg's attempts to "justify" his otherwise admirable twelve-tone innovations through traditional forms, rhythms, and textures—"disgraceful leftovers" and "reminiscences of a dead world."¹⁵ From the middle of the century, Boulez found a contradiction between Schoenberg's rigorous, innovative pitch serialization and his compromise in employing "classic forms" and "terribly hollow" homophonic textures.¹⁶

Schoenberg, however, found the pairing of innovation and tradition necessary to musical comprehension, writing in 1927:

If comprehensibility is made difficult in one aspect, it must be made easier on the other. In new music, the chords and the melodic intervals and their sequence are often difficult to comprehend. Therefore, a form must be selected, which, on the other hand, creates a simplification by establishing a familiar unfolding.¹⁷

Serialism for Schoenberg was an attempt to determine if structure, function, and form could still be perceived if pitch lacked all function previously provided by tonal hierarchization. One way Schoenberg accomplished this was by focusing his expression on texture and form. Through texture and form, Schoenberg attempted to make his music intelligible despite the works' innovative and complex pitch structures. In this regard, Schoenberg wrote his 12-tone works to be intelligible to an audience and are not the willful attempts at the unintelligibility praised by Babbitt.

¹⁴ Pierre Boulez, "Schoenberg is Dead," in *Notes of an Apprenticeship*, trans. Herbert Weinstock. (New York: A.A. Knopf, 1968), 274.

¹⁵ *Ibid.*, 273-275.

¹⁶ *Ibid.*, 272-273.

¹⁷ Charles Stratford, "'Old forms in new music': (Neo)classicism in Arnold Schönberg's Serenade, op. 24," *Journal of The Arnold Schönberg Center*, no. 13 (2016): 243.

In this chapter, I explore Schoenberg's attempts to make his music intelligible and comprehensible to his audience by employing traditional and hierarchical homophonic textures, traditional formal structures, and textural-formal cues borrowed from the common-practice era in his first dodecaphonic, neoclassical works, roughly 1925 to 1935. Through the use of texture, Schoenberg communicated formal information that guided a listener through his traditional forms. As Schoenberg refined his twelve-tone technique, so too did he refine his textural-formal techniques.

To make this argument, I first consider Schoenberg's shift in style between his expressionist, free-atonal period in the 1910s and his neoclassical, dodecaphonic style in the 1920s. This shift coincides with a shift in aesthetic philosophy: while Schoenberg's aesthetics in the 1910s prized intentional incoherence and a rejection of learned styles, Schoenberg inverted these principles in the 1920s, prizing coherence, comprehensibility, and the functions of traditional form.¹⁸ This development is most apparent when considering Schoenberg's shift from complex, atonal polyphony in the expressionist era, to simple and functional homophony in the 1920s. I continue by exploring Schoenberg's homophonic-formal techniques in his works from 1925 to 1935. Drawing from the work of recent textural theorists, I demonstrate how Schoenberg created dodecaphonic homophony. By considering these recent theories, I explain why Schoenberg might have employed simple and hierarchical homophonic textures to aid in communicating his twelve-tone pitch structures. Finally, using textural-formal theories developed to analyze common-era tonal works, I analyze a number of passages from

¹⁸ Support for this interpretation will be clarified in the subsequent section of this dissertation, drawing from the work of Schoenberg scholars and from Schoenberg's own writings on changes in his style and compositional process. However, Jack Boss has suggested that this common interpretation of Schoenberg's style is exaggerated and has demonstrated continuities across the atonal and serial periods. See Jack Boss, "‘Away with Motivic Working?’ Not so Fast—Motivic Processes in Schoenberg's Op. 11, No. 3." *Music Theory Online* 21, no 3 (September 2015). <http://www.mtosmt.org/issues/mto.15.21.3/mto.15.21.3.boss.html>

Schoenberg's neoclassical works, demonstrating how Schoenberg restored traditional textural-formal cues to communicate form.

Introduction Post Script

Not all writers in the *New York Times* viewed Schoenberg from the perspective of Babbitt's specialist-imperative.¹⁹ Anthony Tommasini offers an anecdote in a 1999 article that encapsulates the approach of this chapter. Not blinded by Schoenberg's radical innovations in pitch, Tommasini provides a more holistic portrait of Schoenberg's style in the 1920s, explaining that:

With equivalency of pitch made almost automatic, he could achieve subtlety, complexity, nuance, tension, tenderness or whatever quality he was after through other musical elements: rhythmic gesture, texture, density, contrapuntal inventiveness, accent, dynamics.²⁰

For the skeptics, Tommasini offers anecdotal evidence:

It's not as crazy as it sounds. When I taught music appreciation in college, I won over a lot of skeptics with a simple demonstration. I would play a Bach minuet on the piano, then play the Minuet from Schoenberg's Suite for Piano (Op. 25), a thoroughly 12-tone work. In every aspect except for the way the pitches were picked, the Schoenberg minuet was just like Bach's: the same short-short-long rhythm; the same bagpipelike drone characteristic of this 17th-century French dance form; the same skipping, playful character. And when students stopped fretting about tone rows, they would hear the elements of the Bach minuet in Schoenberg's stunning transformation.²¹

¹⁹ In a 1998 *New York Times* article titled "Leading Music Astray? Yes, Down a Path of Wonder," Allan Kozinn came to the defense of Schoenberg (whom Kozinn dubs the twentieth century's compositional "lightning rod"), giving a voice to Schoenberg's defenders "that point out Serialism, like tonality, has yielded both great works and bad ones, and that Schoenberg should be held to account only for his own works, not those of his followers." See Allan Kozinn, "Leading Music Astray? Yes, Down a Path of Wonder," *New York Times*, September 11, 1998, <http://www.nytimes.com/1998/09/11/movies/leading-music-astray-yes-down-a-path-of-wonder.html>.

²⁰ Anthony Tommasini, "He Never Wanted to Hurt Music, Just Help It Evolve," *New York Times*, July 31, 1999, <http://www.nytimes.com/1999/01/31/arts/music-he-never-wanted-to-hurt-music-just-help-it-evolve.html>.

²¹ *Ibid.*

In essence, Tommasini's anecdote harkens back to Boulez's "hollow shell" criticism, but with a decidedly less antagonistic tone: despite the complexities of pitch, Schoenberg is capable of clearly communicating his musical goals when the focus is shifted from pitch to other musical elements. Schoenberg himself had this total conception of coherence in music, stating:

Coherence in classic compositions is based—broadly speaking—on the unifying qualities of such structural factors as rhythm, motifs, phrases, and the constant reference of all melodic and harmonic features to the center of gravitation—the tonic. Renouncement of the unifying power of the tonic still leaves all the other factors in operation.²²

In many ways, this chapter attempts to recreate Tommasini's classroom demonstration by arguing that when a listener "stops fretting about tone rows" and appreciates the total image of Schoenberg's creative production, the music becomes comprehensible.

2.2 Historical Background: From Expressionist Polyphony to Twelve-tone

Homophony

Numerous scholars have argued that Schoenberg conceived of twelve-tone music as inherently contrapuntal in texture.²³ Theodor Adorno, in *Philosophy of New Music*, wrote that the "twelve-tone technique is contrapuntal in origin."²⁴ Richard Taruskin, in *The Oxford History of Western Music*, suggests that the twelve-tone system allowed Schoenberg to "perfect" the "contrapuntal art."²⁵ In this chapter, I argue the exact opposite: that with the advent of his 12-

²² Arnold Schoenberg, "My Evolution," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martin's Press, 1975), 87.

²³ The scholars I cite here use a more critical form of the term "counterpoint" in their writings, implying a mastery of the polyphonic combinations of voices either through their independence or through the use of imitation. The twelve-tone method was contrapuntal in that the twelve-tone row shaped the intervallic progression of accompanying voices. See this chapter's conclusion for a more thorough discussion of Schoenberg's thoughts on counterpoint.

²⁴ Theodor Adorno, *Philosophy of New Music*, ed., trans. Robert Hullot-Kentor (Minneapolis: University of Minnesota Press, 2006), 90.

²⁵ Richard Taruskin, *The Oxford History of Western Music. Vol. 4, Music in the Early Twentieth Century* (New York: Oxford University Press, 2005), 702-704.

tone system, Schoenberg utilized homophonic textures much more prominently than in his previous atonal period.²⁶ Although Schoenberg continued to use contrapuntal textures extensively in his twelve-tone works, one witnesses a clear trend towards homophony beginning in the 1920s, with homophony playing a crucial role in shaping and articulating form.

Schoenberg scholars have also implied that artistic value should be equated with musical complexity, leading them to value polyphony over simpler homophonic textures.²⁷ While Schoenberg undoubtedly did associate complexity with artistic value to a certain degree, I argue that Schoenberg's twelve-tone style was not solely an attempt to make his music more complex. Quite the opposite, in many ways Schoenberg worked intentionally to make his twelve-tone style simpler and more comprehensible. To aid in comprehensibility, Schoenberg employed homophonic textures.

The simple homophony of Schoenberg's twelve-tone style contrasts with the compositional techniques and artistic philosophy of his preceding "atonal," expressionist period (c. 1908-1920).²⁸ In the following section, I will first outline the aesthetic philosophy guiding Schoenberg's expressionist period, which emphasized intuitive composition, illogicality, and unencumbered expression. I will then outline important stylistic characteristics of the period which correspond to this study: athematicism, textural variegation, and dense polyphony.²⁹

²⁶ Schoenberg did, however, use homophonic textures in works of the atonal period. The Op. 11 no. 1 provides an example of both homophonic textures and traditional associations of form and texture. Although this suggests a degree of continuity across the atonal and serial periods, I am concerned with large-scale stylistic trends and Schoenberg's approach to composition, as discussed later in this chapter.

²⁷ Walter B. Bailey, "Changing Views of Schoenberg," in *The Arnold Schoenberg Companion*, ed. Walter B. Bailey (Westport: Greenwood Press, 1998), 4-9.

²⁸ Julian Johnson dates Schoenberg's expressionist period as c.1908-1923. See Julian Johnson, "Schoenberg, Modernism, and Metaphysics," in *The Cambridge Companion to Schoenberg*, ed. Jennifer Shaw and Joseph Auner (New York: Cambridge University Press, 2010), 109; Charles Rosen dates Schoenberg's expressionist period as 1908-1913, with his atonal period overlapping from 1908 until the beginning of his Serial period in 1921. See Charles Rosen, *Arnold Schoenberg* (New York: Viking Press, 1975), 12-13, 23.

²⁹ For an excellent and detailed survey of Schoenberg's stylistic transition and early development of his twelve-tone technique, see Áine Heneghan, "Tradition as Muse: Schoenberg's Musical Morphology and Nascent Dodecphony" (Unpublished Doctoral Diss., The University of Dublin Trinity College, 2006).

Understanding Schoenberg's expressionist period illuminates the dramatic innovations of his subsequent serial period, to which I will return in the second half of this chapter.

2.2.1 Incomprehension and Incoherence in Schoenberg's Expressionist Period

Schoenberg's artistic philosophies—and the public's perception of his philosophies—differ greatly between his expressionist and serial periods. This is evidenced by his critics. In the 1920s critics chided Schoenberg's serial works as “without inspiration” and created “uninstinctively” by “a constructor, a musical engineer,” and “a mathematician.”³⁰ A public perception emerged that rules, not artistic inspiration, produced Schoenberg's serial works.

Critics in the 1910s, however, often labeled Schoenberg the exact opposite: a madman without rules.³¹ Even Richard Strauss, who had pushed the limits of chromaticism to new extremes in his *Salome* and *Elektra*, seemed to find madness in Schoenberg's atonal style, suggesting in 1913 that “only a psychiatrist can help poor Schoenberg now [.]”³² Following the premiere of Schoenberg's *Five Pieces for Orchestra* in 1912, one reviewer commented that “the music resembled the dismal wailings of a tortured soul, and suggested nothing so much as the disordered fancies of delirium or the fearsome, imaginary terrors of a highly nervous infant.”³³ A reviewer writing for *Referee* described the works as “formless, incoherent, disjointed, and utterly defiant of all preconceived ideas of what constitutes music.”³⁴

³⁰ For “uninspired, non-instinctive, constructor, musical engineer, mathematician” see Arnold Schoenberg, *A Schoenberg Reader: Documents of a Life*, ed. Joseph Auner (New Haven: Yale University Press, 2003), 197.

³¹ For “madman,” see Ernest Newman, “À Propos of Schönberg's Five Orchestral Pieces,” *The Musical Times* 55, no. 852 (1914): 87-89.

³² Rosen, *Arnold Schoenberg*, 16.

³³ “Occasional Notes,” *The Musical Times* 53, no. 836 (1912): 48.

³⁴ *Ibid.*, 48.

Although this reviewer undoubtedly intended “formless,” “incoherent,” and “disjointed” as insults, these terms align with Schoenberg’s own compositional intentions and artistic philosophies during his Expressionistic period. In a letter to Busoni from 1909, Schoenberg describes his new expressionistic intentions, hitting upon incoherence, athenaticism, and surface variegation in his style:

I strive for: complete liberation from all forms [,] from all symbols of cohesion and of logic. Thus: away with ‘motivic working out.’...My music must be *brief*. Concise! In two notes: not built, but “*expressed*”!!...It is *impossible* for a person to have only *one* sensation at a time...One has *thousands* simultaneously. And these thousands can no more readily be added together than an apple and a pear. They go their own ways. And this variegation, this multifariousness, this *illogicality* which our senses demonstrate, the illogicality presented by their interactions, set forth by some mounting rush of blood, by some reaction of the sense or nerves, this I should like to have in my music.³⁵

In this passionate stylistic declaration, Schoenberg describes many of the musical characteristics that defined his expressionistic style from roughly 1908 to around 1920: music with unconventional forms, avoidant of traditional thematic development, brief in length, and variegated in texture and sensation.

This era of Schoenberg’s output is most often associated with the larger trend of Expressionism. Expressionism, an artistic trend especially prominent in Austria and Germany before the first World War, continued to an extreme the nineteenth-century romantic rejection of stylistic mimicry and learned techniques for a purer, more inward expression of the individual artist. The Expressionists believed that, once unencumbered by learned techniques of form and construction, an artist can arrive at a deeper, truer, more psychologically pure form of

³⁵ Schoenberg, *A Schoenberg Reader*, 70-71.

expression.³⁶ In a 1911 letter to expressionist painter Wassily Kandinsky, Schoenberg describes such a process of unencumbering:

[A]rt belongs to the *unconscious!* One must express *oneself!* Express oneself *directly!* Not one's taste, or one's upbringing, or one's intelligence, knowledge or skill. Not all these *acquired* characteristics, but that which is *inborn, instinctive*. And all form-making, all *conscious* form-making, is connected with some kind of mathematics, or geometry, or with the golden section or suchlike. But only unconscious form-making, which sets up the equation 'form = outward shape,' really creates forms; that alone brings forth prototypes [.]³⁷

In more concrete stylistic terms, Schoenberg expressed illogicality and incoherence through chromatic saturation, athematicism, textural variegation, and dense polyphony.

Many scholars have discussed the complex and often incomprehensible aspects of Schoenberg's expressionist style. Leonard Stein describes Schoenberg's atonal style as: less systematically organized than his earlier and later works, irregular and variegated in phrase construction, containing constant fragmentation and athematicism, and having fluctuating tempi and rhythms.³⁸ Most prominently, scholars comment on the free atonality of these works, differentiating the loose organization of pitch in Schoenberg's atonal works from the rigid tonal planning of his later twelve-tone style.³⁹

While atonality certainly contributed to the complexity of Schoenberg's early works, many scholars suggest it was Schoenberg's textural complexity that most made his works incomprehensible.⁴⁰ In his 1911 *Harmonielehre*, Schoenberg pronounced a "new epoch of

³⁶ For musical expressionism, see David Fanning, "Expressionism," *Grove Music Online*, accessed May 4, 2018, <http://www.oxfordmusiconline.com/grovemusic/view/10.1093/gmo/9781561592630.001.0001/omo-9781561592630-e-0000009141>; For Connection to visual arts, see Walter Frisch, *German Modernism: Music and the Arts* (Berkeley: University of California Press, 2005), 88-137.

³⁷ Arnold Schoenberg, "Letter to Wassily Kandinsky, January 24, 1911," in *A Schoenberg Reader: Documents of a Life*, ed. Joseph Auner (New Haven: Yale University Press, 2003), 89.

³⁸ Leonard Stein, "The Atonal Period in Schoenberg's Music," in *The Arnold Schoenberg Companion*, ed. Walter B. Bailey (Westport: Greenwood Press, 1998), 88.

³⁹ Walter B. Bailey, ed., *The Arnold Schoenberg Companion* (Westport: Greenwood Press, 1998), 83-175.

⁴⁰ For a discussion, see Peter Schubert, "'A New Epoch of Polyphonic Style': Schoenberg on Chords and Lines," *Music Analysis* 12, no. 3 (1993): 289-319.

polyphonic style,” in which an emphasis on voice leading, and not the laws of nature or consonance, produces harmony.⁴¹ In this sense, ensuring the maximal individuality of lines prefigures and produces the atonal pitch structures.⁴² Gunther Schuller states that even if Schoenberg “had composed entirely in C-major, his music would still be impossibly complex,” pointing to Schoenberg’s “penchant for constant polyphony,” which he refers to as “ultra-polyphony.”⁴³ This complex polyphony expressed a multifariousness that fit Schoenberg’s expressionist mission, and it was perhaps this quality most admired by his Expressionist contemporaries.⁴⁴

Two other important, closely related aspects of Schoenberg’s expressionist textural complexity are his athematicism and textural fragmentation.⁴⁵ Schoenberg’s atonal works distinguish from previous melodic styles in two important respects: they lack melodic repetition (once a melodic fragment is stated, it often does not return in a recognizable way), and they lack the hierarchical stratification of texture necessary to recognize melody.⁴⁶ Charles Rosen describes melody in Schoenberg’s *Erwartung* (1909) as “‘athematic’ or ‘nonmotivic’ in the sense that understanding and appreciating it does not require recognizing the motifs from one part of

⁴¹ Ibid., 289.

⁴² Rosen, *Arnold Schoenberg*, 35-36.

⁴³ Gunther Shuller, “Schoenberg’s Influence,” in *The Arnold Schoenberg Companion*, ed. Walter B. Bailey (Westport: Greenwood Press, 1998), 262-63.

⁴⁴ Kandinsky was most inspired by this aspect of Schoenberg’s style, writing in a letter to Schoenberg: “The independent progress through their own destinies, the independent life of the individual voices in your compositions, is exactly what I am striving for in my paintings.” See Frisch, *German Modernism*, 119.

⁴⁵ Recent work by Jack Boss challenges the traditional narrative constructed by Rosen and Haimo concerning athematicism. Boss demonstrates Schoenberg’s attention to thematic development in works like the Op. 11 piano pieces and *Erwartung*. Although Boss’s analyses convincingly argue against the “athematic” label concerning motivic development, I am focused on thematicism as it relates to texture and traditional “modes of listening.” I maintain that despite large-scale motivic development in a work like *Erwartung*, Schoenberg’s melodic and textural fragmentation create a type of listening distinct from that found in the serial works, in which Schoenberg reestablishes a traditional thematic “mode of listening” as outlined later in this chapter. See Jack Boss, *Schoenberg’s Atonal Music: Musical Idea, Basic Image, and Specters of Tonal Function* (Cambridge: Cambridge University Press, 2019), 76-81, 1-110.

⁴⁶ See Ethan Haimo, “The Rise and Fall of Radical Athematicism” in *The Cambridge Companion to Schoenberg*, ed. Jennifer Shaw and Joseph Auner (New York: Cambridge University Press, 2010), 94-107.

the work to another as all music from Bach to Stravinsky demands.”⁴⁷ At this time, Schoenberg treated texture and melody coloristically rather than as building blocks for form.⁴⁸

***Pierrot Lunaire* and Textural Complexity**

Schoenberg’s 1912 *Pierrot lunaire* is perhaps the best-known example of this style of “illogicality.” Reviews of the Berlin premiere emphasized the incomprehensibility of the work, focusing mostly on the work’s dissonance and, most importantly to this study, textural density.⁴⁹ One reviewer gave a picture of the difficult texture, describing the music as “without melody...themes [or] form” and described Schoenberg’s dense polyphony as like “vitriolic...fire [that] burns the tympani of the ears.”⁵⁰ American critic Paul Rosenfeld also noted the textural density, saying, “the voices of his music have almost anarchic independence.”⁵¹

The “Valse de Chopin” melodrama offers an example of the complex polyphony characteristic of Schoenberg’s style at the time. In its evocation of Chopin, it invites comparison to the textures of the common-era works of Chopin, and scholars have suggested that the piano accompaniment contains textural gestures and chordal figurations reminiscent of Chopin’s style.⁵² Example 2.1 compares mm. 1-4 of “Valse de Chopin” with three idiomatic Chopin textures. Within the space of four measures, three distinct textures appear in the piano part alone.

⁴⁷ Rosen, *Arnold Schoenberg*, 39-42.

⁴⁸ Arnulf Mattes, “Radiant Moments of Remembrance: On Sound Sheets in Schoenberg’s Late Chamber Works,” *Twentieth-Century Music* 6, no. 1 (2009): 43-48.

⁴⁹ “The most prevailing issues are the preponderance of dissonance and the textural density, often judged to be an example of counterpoint taken beyond the bounds of some standard of musicality.” See Phyllis Bryn-Julson and Paul Matthews, *Inside Pierrot lunaire: Performing Sprechstimme in Schoenberg’s Masterpiece* (Lanham: Scarecrow Press, 2009), 52.

⁵⁰ James Huneker, “Musical Anarchist, Who Has Upset Europe,” *New York Times*, January 19, 1913, <http://libproxy.wustl.edu/login?url=https://search.proquest.com/docview/97434530?accountid=15159>

⁵¹ Clara S Schauman, “Premiering *Pierrot lunaire*, from Berlin to New York: Reception, Criticism, and Modernism,” (Master’s Thesis, University of Tennessee, 2006), 78.

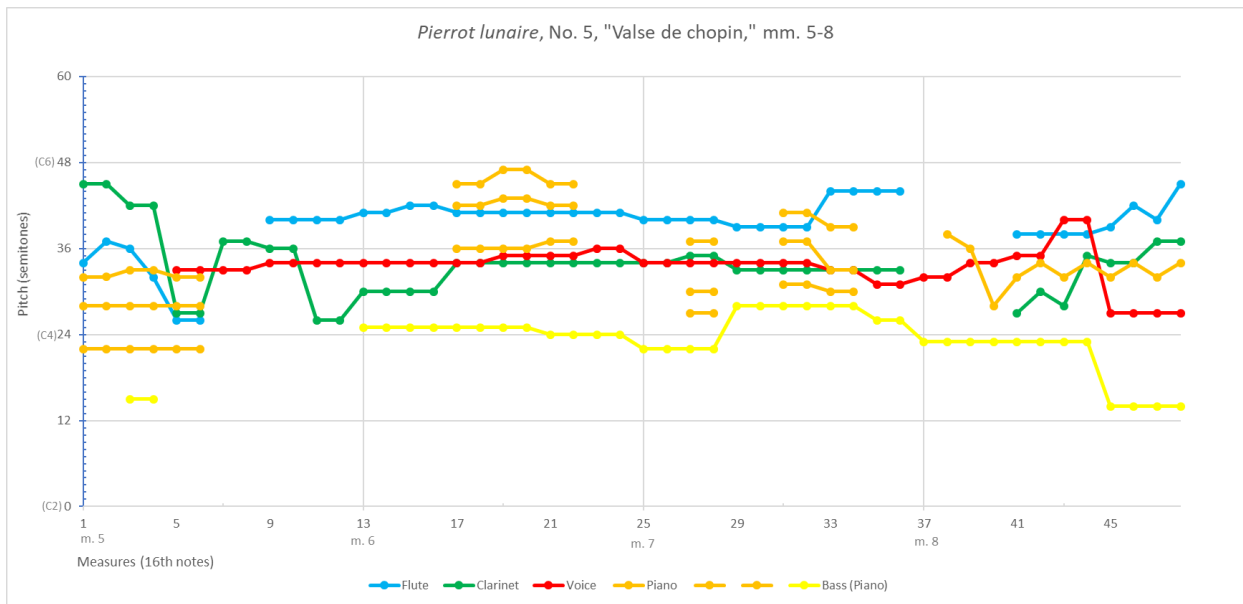
⁵² Bryn-Julson and Matthews, *Inside Pierrot lunaire*, 124-125; Jonathan Dunsby, *Schoenberg: Pierrot lunaire* (New York: Cambridge University Press, 1992), 40-41.

Measures 5-8 of “Valse de Chopin” illustrate the textural complexity of Schoenberg’s pre-serial style, illustrated in Example 2.2. Each instrumental line (flute, clarinet in A, voice, and piano) is equally complex, containing a high degree of information and variation, resulting in a high degree of independence. This prevents the lines from combining or fusing together in a way typical of simpler, homophonic passages. The passage also lacks any sort of textural stratification: lines cross frequently, with different voices occupying the highest registers throughout the four measures. Despite Schoenberg’s *Hauptstimme* (main voice) indications, the listener likely cannot parse out what is a leading voice and what is a subordinate voice, creating no perceivable textural hierarchy characteristic of homophony’s melody and accompaniment organization.

Example 2.2a. *Pierrot lunaire*, No. 5, “Valse de Chopin,” mm. 5-8.

The musical score for measures 5-8 of "Valse de Chopin" from Schoenberg's *Pierrot lunaire*, No. 5, is presented in four staves. The top two staves are for Flute (Fl.) and Clarinet in A (Kl. (A)), both marked *pp*. The third staff is for the voice, with the lyrics: "Wie ein blas - ser Tropfen Bluts färbt die Lip - pen ei - ner Kran -". The bottom staff is for the piano, marked *p espress.* and includes the instruction "begleitend". The score shows complex, independent lines for each instrument, with frequent crossings and no clear textural hierarchy.

Example 2.2.b. “Valse de Chopin,” mm. 5-8, graphical representation. Y-axis is pitch space in semitones, x-axis temporal space in sixteenth notes.



The graph in Example 2.2.b more clearly illustrates the voice-crossing and the lack of textural stratification than the traditional staff notation of Example 2.2.a.⁵⁴ Compare the graph of Example 2.2.b with that of Example 2.3, representing Schoenberg’s own 1925 arrangement of Johan Strauss’ “Emperor Waltz,” Op. 437, No. 3, for chamber orchestra. The Strauss arrangement provides an example of a simpler, homophonic texture. Although the Strauss arrangement has more instrumental lines, the texture is in many ways clearer than the *Pierrot* texture due to its registral stratification and clear hierarchy between voices; Whereas the *Pierrot* textural lines are all highly complex and varied, the accompanimental voices here are simple and repeat throughout the passage, decreasing their salience. This accompanimental simplicity focuses the listener’s attention on the more varied and complex melodic line. The Strauss arrangement has clearer textural stratification as well: each textural element is contained in a

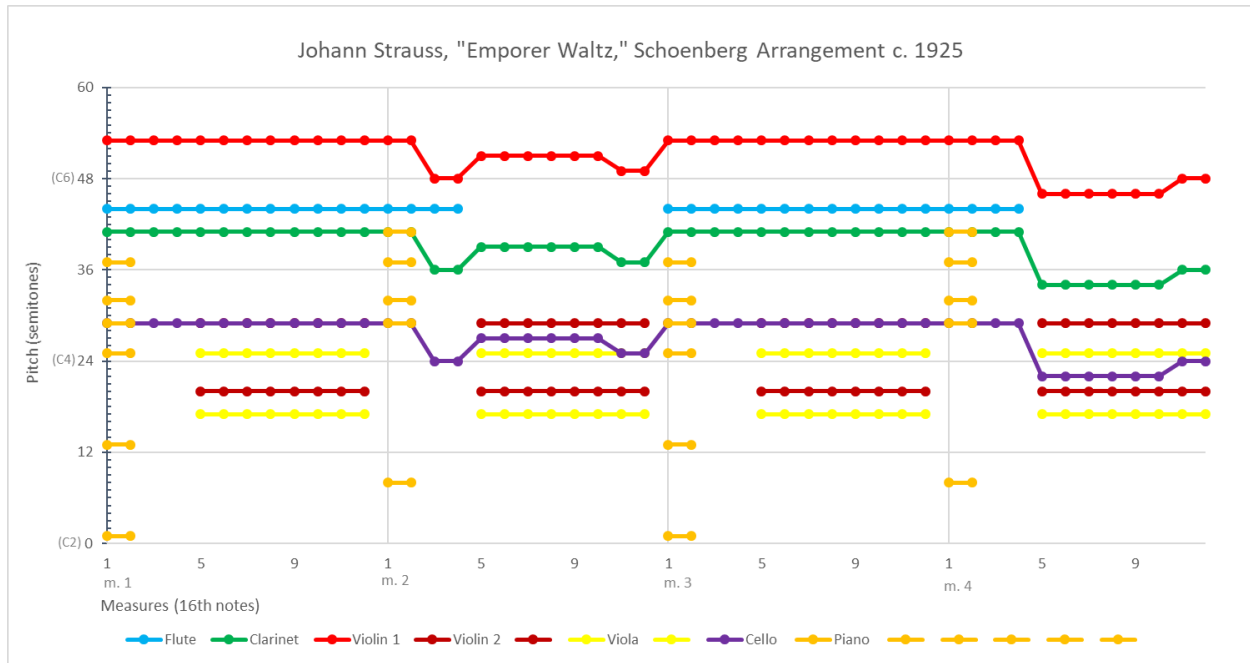
⁵⁴ Traditional staff notation obscures the textural complexity with various enharmonic spellings and a linear bias that suggests instrumental stratification.

relatively small and discrete register. The melody occupies the highest register, increasing its salience. Voice crossings are also less abundant and only occur in parts doubling the melody. The clear textural hierarchy, registral stratification, and repetition of material make the Strauss texture much more comprehensible and coherent than the *Pierrot* texture.

Example 2.3. a. Johan Strauss, “Emporer Waltz,” No. 3, mm. 1-4 , Schoenberg Arrangment c. 1925.

The image displays a musical score for the first four measures of the "Emporer Waltz" by Johan Strauss, arranged by Schoenberg. The score is written in 3/4 time and features seven staves: Flute, Clarinet in B \flat , Violin I, Violin II, Viola, Cello, and Piano. The Flute and Clarinet in B \flat parts play a melodic line with a dotted quarter note followed by an eighth note, then a quarter rest, and a dotted half note. The Violin I part plays a similar melodic line. The Violin II and Viola parts play a rhythmic accompaniment of quarter notes. The Cello part plays a melodic line with a dotted quarter note followed by an eighth note, then a quarter rest, and a dotted half note. The Piano part plays a rhythmic accompaniment of quarter notes.

Example 2.3. b. Johan Strauss, “Emperor Waltz,” no. 3, mm. 1-4. Graphical representation. Sustained piano voices are shortened to eighth notes when doubling other accompanimental voices for clarity.



Finally, compare the two examples above with an example from Schoenberg’s *Serenade*, op. 24, no. V, mm. 73-67. Written from 1921-23, the op. 24 *Serenade* is one of Schoenberg’s first works to utilize the twelve-tone technique and is also one of his first expressions in neoclassicism. As example 2.4.a illustrates, it is much more homophonic than the expressionist *Pierrot lunaire* example from above. With its more coherent and comprehensible organization, it shares more in common with the texture of the Strauss arrangement. Like the Strauss arrangement, its voices are clearly stratified, with no voice crossing between the accompaniment and clarinet melody. The texture is also consistent, and does not drastically change over the five measures. Finally, the accompaniment is simple and repetitive and the melody receives salience from its relative complexity, creating a clearly expressed textural hierarchy.

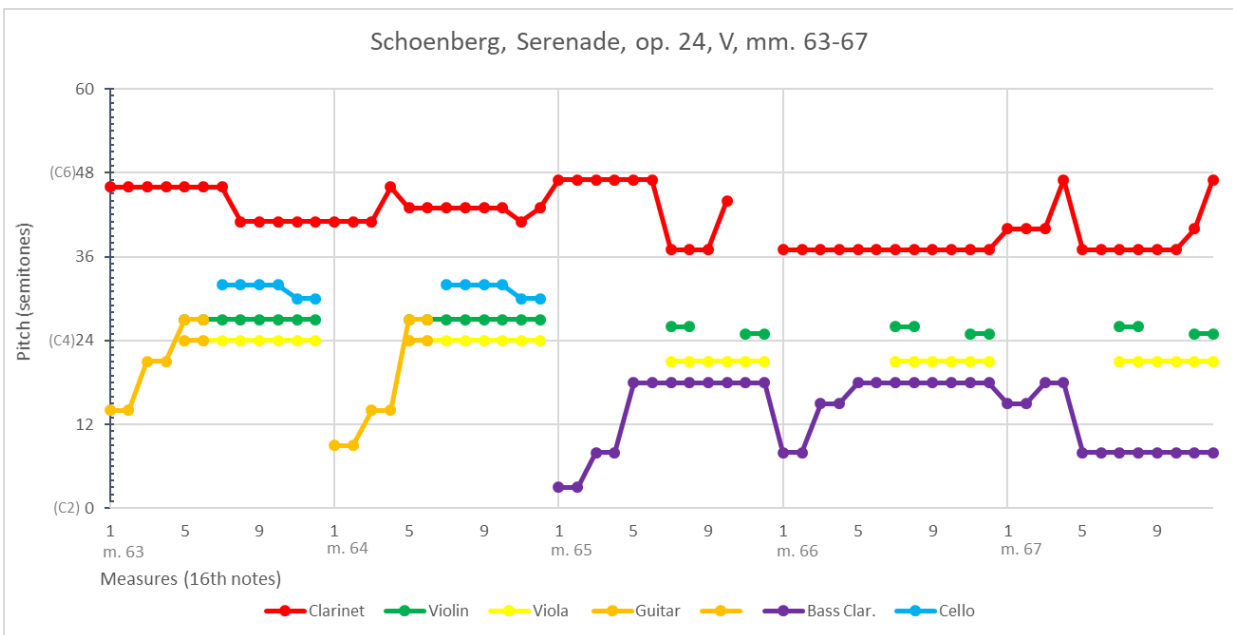
The texture of the *Serenade* passage differs drastically from that of the *Lunaire* example. Both examples are idiomatic of their stylistic period: the *Serenade* of the neoclassical, serial

period (1921-1951) and the *lunaire* of the atonal, expressionist period (1908-1921). What, then, prompted this change in style? What led Schoenberg to increasingly employ homophony in his twelve-tone period? These questions are explored in the next section of this chapter.

Example 2.4.a. Serenade, op. 24, V, mm. 63-67.

Musical score for Serenade, op. 24, V, mm. 63-67. The score includes parts for Clarinet in B \flat , Bass Clarinet, Guitar, Violin, Viola, and Cello. Dynamics include *fp*, *p*, *sfz*, *p*, and *pp*. The Cello part has a *spring* marking.

Example 2.4.b. Serenade, op. 24, V, mm. 63-67. Graphical representation.



2.3 Crisis of Style

Schoenberg's expressionist period was one of great prolificity. From 1908 to 1913, the composer wrote in a "fury of inspiration," producing several small- and large-scale works in a brief period.⁵⁵ In 1913, this fast and unencumbered creation declined, and Schoenberg experienced something of a creative drought that lasted until the 1920s.⁵⁶

Although he began several new compositions, the only original work he completed between 1913 and 1922 was the *Four Orchestral Songs* Op. 22, which he began in 1913 and completed in 1916.⁵⁷ In 1923, Schoenberg ended the drought by finishing the *Five Piano Pieces* Op. 23.^{58,59} Following op. 23, Schoenberg entered a new period of prolific creativity, producing numerous works in his new, serial and neoclassical style.

Although external events, like World War I, contributed to Schoenberg's creative inactivity, his work also slowed due to a period of intense artistic contemplation—one that would ultimately bring forth the serial movement.⁶⁰ While his expressionist works were based on an aesthetic of illogicality, complexity, non-repetition, and brevity, in the late 1910s, Schoenberg became disillusioned with his expressionist style, resulting in an inversion of these aesthetic principles. From the late 1910s to the end of his career, comprehensibility, coherence, and large-scale unity increasingly became core artistic principles of Schoenberg's style. Although certain continuities relate the pre-serial and serial works, the late-1910s and early-1920s were a time of

⁵⁵ Rosen, *Arnold Schoenberg*, 12-13.

⁵⁶ *Ibid.*, 12-13.

⁵⁷ Walter B. Bailey, "Biography," in *The Arnold Schoenberg Companion* (Westport: Greenwood Press, 1998), 25-26.

⁵⁸ Richard Taruskin, "In Search of Utopia," in *The Oxford History of Western Music*, vol. 4, *Music in the Early Twentieth Century* (New York: Oxford University Press, 2005), 679-680.

⁵⁹ Schoenberg's compositional activities did not cease entirely. It should be noted he produced numerous arrangements and orchestrations, and was heavily involved with the *Society for Private Musical Performance*. See Walter B. Bailey and Jerry McBride, "List of Works," in *The Arnold Schoenberg Companion* (Westport: Greenwood Press, 1998), 47-48.

⁶⁰ Taruskin, "In Search of Utopia," 677-681; See also Schoenberg, *A Schoenberg Reader*, 157.

intense aesthetic exploration for Schoenberg. Exploring Schoenberg's stylistic crisis provides invaluable information into the composer's development of the twelve-tone style and why he felt it necessary to adopt a more homophonic approach to texture. As we will find, Schoenberg developed his neoclassical, homophonic style coextensively with his twelve-tone method, and out of necessity given the problems inherent to the twelve-tone method.

2.3.1 Problems of Comprehensibility

Schoenberg turned his back on his earlier style for a number of reasons. First, Schoenberg began to see his early style as too complex. In an article titled "How One Becomes Lonely," Schoenberg reflected on this crisis from 1937:

So when I showed the First String Quartet to Gustav Mahler...he said: 'I have conducted the most difficult scores of Wagner; I have written complicated music myself in scores of up to thirty staves and more; yet here is a score of not more than four staves, and I am unable to read them.' It is true the score looked, if possible, even more complicated to the eyes than it sounded to the ear [.]⁶¹

Schoenberg then diagnosed one reason for why even Mahler found the First String Quartet's score incomprehensible:

What made it so difficult to understand in 1905 was its complicated contrapuntal style. And the most embarrassing circumstance was that the harmonies produced by those independently moving parts changed so fast and were so advanced that the ear could not follow their meaning.⁶²

The problem was not solely the dense polyphony or pervasive chromaticism, but rather the rate or "tempo" at which the musical information was presented. Schoenberg still prized complexity, but complexity that could be comprehended by his audience.

⁶¹ Arnold Schoenberg, "How One Becomes Lonely," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 42.

⁶² *Ibid.*, 44.

In the same article, Schoenberg identified a second problem of his earlier style: athenaticism. During a series of rehearsals for his Second String Quartet, Schoenberg asked a friend, who supposedly knew the music well, to play a melody at a certain point in the score. Despite “knowing the work thoroughly,” the friend responded with “sincerity” and “astonishment,” “I hear you talking about a melody; where is there a melody at all?”⁶³ Schoenberg then wrote: “If a friend, after hearing it so often, did not conceive this as a melody, why should the audience be able to understand it after only one hearing.”⁶⁴ As with the Mahler anecdote, Schoenberg does not denounce complexity entirely, but expresses disappointment that even trained musicians, familiar with modern style, failed to comprehend certain aspects of his music.

Feeling a compulsion to continue and build from the tradition of composers like Wagner, Schoenberg wrote in a complex style he felt fulfilled the demands of tradition and innovation.⁶⁵ In a final quote from “How One Becomes Lonely,” Schoenberg expresses the intentions and failures of this complex style: “I believed I had found ways of building and carrying out understandable, characteristic, original and expressive themes and melodies, in spite of the enriched harmony which we had inherited from Wagner. It was as lovely a dream as it was a disappointing illusion.”⁶⁶

⁶³ Ibid., 49.

⁶⁴ Ibid., 49.

⁶⁵ Joseph N. Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge: Harvard University Press, 1990), 6-8.

⁶⁶ Schoenberg, “How One Becomes Lonely,” 49.

2.3.2 Problems of Coherence

A second reason for Schoenberg's stylistic crisis concerned unity and coherence in his music. While elements of his expressionist style might have proven incomprehensible to audiences, Schoenberg felt these works still expressed coherence and unity due to their extramusical texts and programs. Most of Schoenberg's works from 1908 to 1913, including *Erwartung*, *Pierrot lunaire*, and the popular *Gurrelieder*, were either programmatic or involved the setting of texts. While Schoenberg employed textural fragmentation, formlessness, and athetmaticism in these works, the texts and extramusical programs unified the fragmented and experientially variegated works. Schoenberg stated in 1925 that "the appeal to the 'text' in operas, songs, and symphonic poems must be regarded as one attempt at producing cohesion among the heterogenous elements [.]"⁶⁷ Coherence in Schoenberg's expressionist style was thus only found in music with texts and other extramusical associations. He had, before the 1920s, not yet worked out how to provide coherence to purely instrumental works.⁶⁸

In addition to extramusical texts, formal brevity is also common to Schoenberg's expressionistic works. Writing in small forms lessened the need for coherence:

These forms become possible because of a limitation which I had been unconsciously imposing on myself from the very outset—limitation to short pieces, something which at the time I explained in my own mind as a reaction against the 'extended' style [of Romanticism]. Nowadays I know a better explanation: renunciation of traditional means of articulation made the construction of larger forms temporarily impossible, since such forms cannot exist without clear articulation. For the same reason, my only extended works from that time are works with a text, where the words represent the cohesive element.⁶⁹

⁶⁷ Arnold Schoenberg, "Opinion or Insight?," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 260.

⁶⁸ Taruskin, "In Search of Utopia," 680.

⁶⁹ Schoenberg, "Opinion or Insight?," 262.

In his expressionist works, Schoenberg solved the problem of coherence by writing in small forms to avoid the need for coherence altogether. Larger works, like *Erwartung*, are thus patchworks of smaller forms cohered by the text.

The stylistic crisis and creative inactivity from 1913 to 1923 resulted from Schoenberg's recognition of the limitations of his early style. His expressionist style allowed him to write complex, expressive music only insofar as the forms were relatively brief and unified by extramusical elements. By his own admission, Schoenberg felt this style was incapable of creating comprehensible and coherent instrumental music in long forms that still expressed a level of complexity demanded by his beliefs in innovation and tradition. When his creative drought ended in the 1920s, Schoenberg had apparently solved these problems, for he produced a number of purely instrumental works in large forms. The solutions to these problems are explored in the following section.

2.3.3 Coherence and Comprehensibility

In addition to the self-criticisms discussed previously, Schoenberg also reveals his preoccupation with comprehensibility and coherence in his writing on music in general. From 1917 into the 1930s, the issues of coherence and comprehensibility appear frequently in the composer's essays, lectures, articles, and journal entries. In reading these texts, one gets a sense that Schoenberg is working out solutions to the problems he faced in composition. They are crucial to understanding the importance of homophony in Schoenberg's twelve-tone works, and reveal that Schoenberg did not associate twelve-tone style with counterpoint, as some authors have claimed, but with homophony.

Schoenberg's development of the twelve-tone method was, from the beginning, aimed at providing unity and coherence to his works. As the composer stated in 1941, "Composition with twelve tones has no other aim than comprehensibility."⁷⁰ In a series of essays, Schoenberg laid out the problem facing post-tonal composers: tonality provided classical works with coherence, and in discarding tonality, modern composers discarded the unifying functions inherent to the tonal system. In one of his first essays concerning twelve-tone music, Schoenberg stated in 1923 that:

With the renunciation of the formal advantages inherent in tonal cohesion, presentation of the idea has become rather harder; it lacks the external rounding-off and self-containedness that this simple and natural principle of composition brought about better than did any of the others used alongside it... To find means of replacing this is the task of *the theory of twelve-tone composition*.⁷¹

He explicitly discusses the issue of length and unity in more detail in 1926:

From the very beginning, this was clear in my mind: tonality's aids to articulation having dropped out, one must find some substitute, so that longer forms can once more be constructed... Starting from that premise I arrived at twelve-tone composition.⁷²

While his first published twelve-tone works would not appear until 1923, Schoenberg had begun developing various serial techniques a decade earlier. Schoenberg's incomplete drama *Die Jakobsleiter*, begun in 1917, represented an early step towards the twelve-tone serial method. Schoenberg discussed the unity-providing role of the *Jakobsleiter* "row" in 1948: "I had contrived a plan to provide for unity—which was always my main motive: to build all the main themes of the whole oratorio from a row of six tones [.]"⁷³ Schoenberg continued to develop the

⁷⁰ Arnold Schoenberg, "Composition with Twelve Tones (1)," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 215.

⁷¹ Arnold Schoenberg, "Hauer's Theories," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 209-210.

⁷² Schoenberg, "Opinion or Insight?," 263.

⁷³ Arnold Schoenberg, "Composition with Twelve Tones (2)," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 247-248.

twelve-tone and serial techniques throughout the 1920s, which allowed him to solve problems of length and coherence in non-tonal instrumental music.⁷⁴ By the mid-1920s, Schoenberg based entire compositions on single rows, as in the *Woodwind Quintet*, op. 26, with twelve-tone rows even unifying multiple movements.⁷⁵

Twelve-tone techniques solved issues of unity and coherence, but in their complexity created additional problems for the composer to solve. Schoenberg stated as much in 1926. After discussing the unity-providing features of twelve-tone music, he discussed, cryptically, its problems:

Some day I shall explain the paths and detours I followed and the reason why I needed a number of important insights about the musical idea and its presentation before that became possible; but first there are a few problems still to overcome, which I am on the verge of solving.⁷⁶

Schoenberg's use of the phrase "musical idea" spells out that the detours and problems of twelve-tone composition involved issues of comprehensibility. During that time, Schoenberg most extensively explored issues of coherence and comprehension while discussing the "musical idea," culminating in an unpublished book on composition entitled *The Musical Idea, and the Logic, Technique, and Art of Its Presentation*.⁷⁷

While Schoenberg believed all art requires comprehensibility, he also believed the temporal nature of music made comprehension all the more difficult.⁷⁸ For this reason, Schoenberg believed that "the effort of the composer is solely for the purpose of making the idea

⁷⁴ Ethan Haimo, "The Evolution of the Twelve-tone Method," in *The Arnold Schoenberg Companion*, ed. Walter B. Bailey (Westport: Greenwood Press, 1998), 122.

⁷⁵ *Ibid.*, 119-120.

⁷⁶ Schoenberg, "Opinion or Insight?," 263.

⁷⁷ Schoenberg first started writing about the musical idea in 1923, and likely started exploring it compositionally as early as 1915. See Patricia Carpenter and Severine Neff, introduction to Arnold Schoenberg, *The Musical Idea: and the Logic, Technique, and Art of Its Presentation*, ed. and trans. Patricia Carpenter and Severine Neff (Bloomington: Indiana University Press, 2006), xix-xx.

⁷⁸ Schoenberg, "New Music: My Music," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 103.

comprehensible.”⁷⁹ In *The Musical Idea*, Schoenberg most clearly lays out his new thoughts on comprehensibility in music. Schoenberg believed that comprehensibility was based on the laws of cognition, and that meaning in art comes from the act of recognition.⁸⁰ The task of the composer, therefore, is to present an idea that is within the “*powers of comprehension* of the intended listener,” necessarily limited by the faculties of cognition and memory.⁸¹

A composer accomplishes the task of comprehensibility by carefully controlling the unfolding of musical information. To do this, Schoenberg introduces three basic concepts: tempo of presentation, repetition, and hierarchy. The tempo of presentation demands that complex ideas must unfold more slowly than simple ideas: “The presentation of the ideas must also take into account the tempo of a composition. It is clear that rapidly passing events are more difficult to grasp than slower ones.”⁸² This concept connects directly to Mahler’s criticisms of Schoenberg’s first string quartet. Repetition, the second concept, is the most straightforward: “What is stated only once cannot be understood as important.”⁸³ Repetition facilitates understanding and recognition, and aids the listener in interpreting which musical ideas are significant and which are less significant. The final concept—not unrelated to repetition—is the hierarchical presentation of musical ideas: “Main and subordinate matters must be very clearly distinguished through their means of presentation.”⁸⁴ Hierarchy is expressed in multiple musical parameters: main and subordinate themes, thematic and transitional sections of music, and main and

⁷⁹ Arnold Schoenberg, “For a Treatise on Composition,” in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 285.

⁸⁰ Arnold Schoenberg, *The Musical Idea: and the Logic, Technique, and Art of Its Presentation*, ed. and trans. Patricia Carpenter and Severine Neff (Bloomington: Indiana University Press, 2006), 110-112.

⁸¹ *Ibid.*, 112.

⁸² *Ibid.*, 112, 200.

⁸³ *Ibid.*, 111, 199-200.

⁸⁴ *Ibid.*, 111-114.

subordinate voices. The concept of hierarchy will prove most important in understanding the association of homophony with Schoenberg's twelve-tone style.

Schoenberg's creative drought ended only after he solved the problems of coherence and comprehensibility. Tonality provided common-era works with coherence, and the renunciation of tonality—which Schoenberg felt was a necessity of his time—meant a renunciation of some coherence. The twelve-tone method provided his works with coherence at both small and large scales. The complexity of this cohesive element, however, can inhibit comprehensibility, which is subject to the human perceptual capabilities. Schoenberg discusses this in 1925, at the beginning of his serial output:

[The laws governing the working of our minds] forces us to find a particular kind of layout for those elements that make for cohesion—to make them come to the fore, often enough and with enough plasticity—so that in the small amount of time granted us by the flow of events, we can recognize the figures, grasp the way they hang together, and comprehend their meaning.⁸⁵

As Schoenberg came to realize, “dissonances, even the simplest, are more difficult to comprehend than consonances.”⁸⁶ This did not doom atonality to incomprehensibility, however, for Schoenberg believed that the “lack of tonality only increases the difficulty but does not exclude the possibility of comprehension...,” and that the non-pitch factors of music could ameliorate comprehension in dissonant and non-tonal music.⁸⁷ These non-pitch factors include tempo of presentation, repetition, and the construction of a hierarchy. The concept of hierarchy led Schoenberg to abandon the non-hierarchical polyphony of his expressionist period, and led to the increasing use of homophony in his serial works, an issue explored in more detail in the following section.

⁸⁵ Schoenberg, “Opinion or Insight?,” 259.

⁸⁶ Arnold Schoenberg, “Problems of Harmony,” in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 282.

⁸⁷ *Ibid.*, 284.

2.3.4 Homophony and Comprehensibility

One way Schoenberg fulfilled the necessity for comprehensibility was through textural simplicity. Coextensively with his writings on the twelve-tone method and the musical idea, Schoenberg devoted considerable time and attention to theories of texture. In fact, many of Schoenberg's first essays on the twelve-tone method devote much of their space to texture, a fact often ignored.⁸⁸ In these writings, Schoenberg puts polyphony and homophony in direct opposition, and explores their differences in listener experience, complexity, the history of their development, and their implications for the process of musical composition.

Schoenberg's definitions of homophonic and contrapuntal composition focus on their differences. In 1935, Schoenberg gave a detailed description of the differences in understandability, coherence, and formal length that the two textural categories can create:

Homophonic music concentrates the whole of the development in one principal part, making it so the other elements are of subordinate importance, supporting only the development and the understandability of the principal part. Therefore this principal part is enabled to develop on its own pretty quickly and can produce very different characters, moods, figures, pictures and sounds without losing coherence, without becoming incomprehensible.⁸⁹

For Schoenberg, the hierarchy inherent in homophonic music aids comprehensibility by focusing the listener's attention on a principal voice, allowing the listener to interpret what is formally significant. In a 1923 manuscript recording Schoenberg's first explanation of the twelve-tone method, Schoenberg devotes space to describing this formal process.⁹⁰ In this inaugural explanation of the twelve-tone technique, Schoenberg explains that, "in homophonic forms, for

⁸⁸ Alan Lessem, "Schoenberg, Stravinsky, and Neoclassicism: The Issues Reexamined," *The Musical Quarterly* 68, no. 4 (1982): 531.

⁸⁹ Arnold Schoenberg, "On Atonality, Modernism, and Counterpoint," in *A Schoenberg Reader: Documents of a Life*, ed. Joseph Auner (New Haven: Yale University Press, 2003), 272-273.

⁹⁰ For a discussion on the manuscript see Arved Ashby, "Schoenberg, Boulez, and Twelve-tone Composition as 'Ideal Type,'" *Journal of the American Musicological Society* 54, no. 3 (Fall 2001): 585-625; For alternate dating, see Heneghan, "Tradition as Muse," 163.

the sake of the principal part's development, a certain economy governs the harmony, thanks to which [the principal part] is in a position to exert a decisive influence on the development of the structure (contrasts, climaxes, turning-points, intensifications, variations)."⁹¹ Schoenberg's inclusion of this discussion on the benefits of homophony occurs just after his mandate that twelve-tone composition is subject to the law of comprehensibility, clearly implying that homophony is one way to aid comprehensibility.

Schoenberg often contrasted contrapuntal writing with homophony, describing its complexity, its potential incomprehensibility, and its limitation to relatively short forms:

On the other hand, the contrapuntal method asks the full attention of the listener not only for one principal part, but simultaneously two, three, or more parts of which none is a principal one, for all are principal ones. If the listener's mental capacity has to realize the meaning, the form, the idea of these different parts and besides that: the mutual connection to them, it would be nearly unable to understand them, if at the same time these elements would start to develop in such an extensive manner as is usual in homophonic forms.⁹²

The complexity of the contrapuntal surface demands more mental energy from the listener, requiring the listener to simultaneously comprehend musical elements that unfold slowly in homophonic music. This complexity puts limitations on the complexity of other musical aspects.

In addition to incomprehensibility, Schoenberg believed the contrapuntal method limits a work's length, saying in 1935 that "contrapuntal themes in contrast with homophonic ones are mostly relatively short."⁹³ In his 1923 essay on twelve-tone music, he says something quite similar, focusing on the limitations of the contrapuntal method, saying, "in polyphonic music, motivic shapes, themes, phrases and the like never succeed in stretching beyond a certain length

⁹¹ Arnold Schoenberg, "Twelve-Tone Compositions," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 208.

⁹² Schoenberg, "On Atonality, Modernism, and Counterpoint," 273.

⁹³ *Ibid.*, 273.

[.]”⁹⁴ Recalling that a primary motivation for Schoenberg’s development of the twelve-tone method was in creating longer instrumental forms, one sees why Schoenberg would turn to homophony in his serial works.

While Schoenberg often correlated complexity with artistic value, and felt a historical compulsion to write complex music, he also felt a compulsion to make his music comprehensible to the audience of his day. Homophony allowed him to communicate his new style in an understandable way. Schoenberg’s textural concerns are not about simplicity or complexity per se, but about avoiding too much complexity. In 1946, Schoenberg explained why he might have turned to homophony when introducing the twelve-tone method: “The necessity of compromising with comprehensibility forbids jumping into a style which is overcrowded with content, and which leaps to conclusions before proper maturation.”⁹⁵ While Schoenberg believed that someday listeners might be capable of perceiving twelve-tone music in densely contrapuntal forms, he did not believe that this was possible in the early 1920s when this style was first introduced. In 1925, coinciding with the appearance of his first twelve-tone homophonic works, Schoenberg justified the use of the simpler, more “popular” homophonic textures in “higher art music,” saying homophony “mostly occurs in favor of a particular circumstance, for example, because comprehensibility is impeded by the significant newness of a style.”⁹⁶

⁹⁴ Schoenberg, “Twelve-tone Compositions,” 208.

⁹⁵ Arnold Schoenberg, “New Music, Outmoded Music, Style and Idea,” in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 116.

⁹⁶ Schoenberg, *Gedanke* manuscript (July 6, 1925), appearing in Áine Heneghan, “The ‘Popular Effect’ in Schoenberg’s *Serenade*,” in *Schoenberg’s Chamber Music, Schoenberg’s World* (Hillsdale: Pendragon Press, 2009), 51.

2.3.5 Summary

Having refined his notions of coherence and comprehensibility, Schoenberg's creative drought ended. In 1923, Schoenberg exclaimed in a letter, "I find myself positively enabled to compose as freely and fantastically as one otherwise does only in one's youth, and am nevertheless subject to a precisely definable esthetic discipline."⁹⁷ Twelve-tone homophony would be his way forward, allowing an outpouring of creativity in his neoclassical-serial style. These works include the Serenade, op. 24 (1920-23); Suite for Piano, op. 25 (1921-13); Wind Quintet, op. 26 (1923-24); Suite for septet, op. 29 (1924-26); *Variations for Orchestra*, op. 31 (1926-28); and String Quartet no. 3, op. 30 (1927). While it has been claimed that Schoenberg's twelve-tone method was contrapuntal in conception, Schoenberg's own writings on the matter suggest the opposite: that Schoenberg's twelve-tone style necessitated a new interest in homophony, and that Schoenberg thought homophony was essential to aid in the comprehension of the otherwise complex style. The association of homophony and twelve-tone composition is evident from his earliest twelve-tone writings to his last essays on music in the 1940s.

In the remainder of this chapter, I apply modern theories of texture to demonstrate Schoenberg's homophonic style and more fully develop his theory of listening for homophonic-serial music. In a series of analyses, I will demonstrate how Schoenberg used homophony in coordination with complex, twelve-tone pitch structures in his 1920s works, focusing on the composer's clear articulation of textural hierarchy to aid in the comprehension and interpretation of theme and form.

⁹⁷ Arnold Schoenberg, "To Josef Matthias Hauer," in *Arnold Schoenberg Letters*, ed. Erwin Stein, trans. Eithne Wilkins and Ernst Kaiser (London: Faber and Faber Limited, 1964), 104.

2.4 The Formal Functions of Homophony and Polyphony

To say that Schoenberg exclusively wrote in homophonic textures in his serial period would be as misleading as stating that his twelve-tone system was contrapuntal by design. Schoenberg's principal aesthetic concern beginning in the 1920s was in writing coherent, large scale forms. His twelve-tone method provided coherence to sections, single movements, and even entire works by unifying all pitch content to the intervallic series of the twelve-tone basic set. His use of texture provided comprehensibility to these larger forms, with homophony signaling important, primary theme zones, and with polyphony signaling transitional or developmental passages. Schoenberg's new approach to form, one he inherited from the common-practice era, created an ebb and flow of textural simplicity and complexity, with homophonic primary zones and polyphonic developmental zones. While renouncing the functions of pitch, Schoenberg restored the functions of texture.

Schoenberg's technique of *Developing Variation* is critical to understanding the function of texture in his works and is intimately tied to his development of the serial method. Discussions of Schoenberg's developing variation technique typically center on one aspect: the repetition and variation of a basic motive's intervals, rhythm, and contour to construct a larger melody or theme.⁹⁸ But a second defining feature concerns what Schoenberg called the homophonic "mode of listening:" in developing variation, a listener focuses their attention on a principal melody, in which the composer presents structurally significant material that clearly communicates the coherence and development of a work. While the homophonic mode of

⁹⁸ See Ethan Haimo, "Developing Variation and Schoenberg's Serial Music," *Music Analysis* 16, no. 3 (October 1997): 349-365; and Jack Boss, "Schoenberg's Op. 22 Radio Talk and Developing Variation in Atonal Music," *Music Theory Spectrum* 14, no. 2 (Autumn 1992): 125-149.

listening is often neglected in discussions of the technique, Schoenberg synonymously associated developing variation with homophony on numerous occasions.⁹⁹ In 1934, he stated:

“...the contrapuntal idea is distinguished from the homophonic idea by its predisposition toward a different kind of image production. In homophonic (main- or upper-voiced) music images arise through “developing variation,” whereby the variation, even if it alters the harmony, still affects the main (or upper) voice almost exclusively...”

With developing variation, intervallic and rhythmic motives in the principal melody carry important formal information. The repetition of these motives aids in cognition, while their variation signals development.

In his *Fundamentals of Musical Composition*, Schoenberg most succinctly defined developing variation’s relationship to homophony and form:

Homophonic music can be called the style of ‘developing variation.’ This means that in the succession of motive-forms produced through variation of the basic motive, there is something which can be compared to development, to growth.¹⁰⁰

Here, Schoenberg describes how developing variation expresses form through a clearly defined principal melody. The recognition of the principal melody communicates formal position, while the variation of that melody expresses development and growth. Homophony, with its concentration on the principal melody, facilitated this dynamic approach to form. Schoenberg believed that polyphony lacked the ability to produce significant variation while retaining formal comprehensibility.¹⁰¹ As opposed to its role in homophony, motivic repetition in imitative

⁹⁹ Arnold Schoenberg, *Fundamentals of Musical Composition*, ed. Gerald Strang (New York: St. Martin’s Press, 1967), 62.

¹⁰⁰ *Ibid.*, 8.

¹⁰¹ Arnold Schoenberg, “On Revient Toujours,” in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 108-109.

polyphonic music serves to shape the basic texture, and therefore loses its ability to signal form.¹⁰²

Because the comprehensibility of the form rests in the recognition of the principal melody, it is of paramount importance that the listener understands the principal melody as completely as possible. The subordination of accompanying voices in homophony focuses a listener's attention on the principal melody. Homophony's textural hierarchy—of a superordinate principal melody and subordinated accompaniment—aids in the initial comprehension and memorization of the melody's intervallic structure, rhythmic structure, and overall contour. In comprehending the motives of the principal voice, a listener can clearly understand a work's form.

Schoenberg did not limit his belief that hierarchy can aid in the comprehension of form to the voices of a texture, but in fact conceived of form as inherently hierarchical, and came to understand all matters of comprehensible composition in terms of hierarchy. Form was composed of main and subordinate sections, with each section serving a specific function. The better a composer differentiates between main and subordinate sections, the better the listener will comprehend the work. From this idea, Schoenberg associated homophony with primary sections of a form, and polyphony with subordinate sections.

For Schoenberg, form and texture were intertwined, and to understand Schoenberg's approach to texture, one must understand Schoenberg's conception of form. The comprehensibility of form and texture were ensured by the hierarchical differentiation between main and subordinate ideas. In his unpublished 1934 treatise on composition, Schoenberg

¹⁰² Arnold Schoenberg, "Instrumentation," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 335; See also Arnold Schoenberg, "Bach," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 397.

provides a list of laws for ensuring comprehensibility which focus on the differentiation of main and subordinate matters. Understanding this process of differentiation is crucial to understanding the function of texture in Schoenberg's works; for that reason, they will be discussed in detail. I contend that understanding this process of hierarchical differentiation allows a listener to comprehend entire movements of Schoenberg's dodecaphonic period, even without a clear understanding of the complicated pitch structures that generate the works. Texture alone can communicate form.¹⁰³

Schoenberg's second, third, and fourth laws of comprehensibility in the treatise introduce hierarchical concepts and emphasizes the clear differentiation between main and subordinate ideas:

- II. Main and subordinate matters must be very clearly distinguished through their means of presentation.
- III. Main matters require more frequent presentation of the ideas that are to be developed.
- IV. Subordinate matters must be characterized as such in various ways.¹⁰⁴

Schoenberg's fifth law of comprehensibility discusses a function for "main matters," and begins to hint at the law's implications for form:

- V. Main matters will have to be "stable in form" (see below), will be more resting than moving, will show fewer digressions and clearly characterize these as such. Above all, main matters will make repetitions of the *grundgestalten* apparent in order to facilitate recognition through frequent presentation: in general they will be sharply delineated, not beginning or ending in just any way or at just any time; they will in fact present the main idea briefly yet with the necessary breadth and expansiveness, clearly accented and articulated.

¹⁰³ The excerpts I cite from the 1934 manuscript discuss composition generally, and many of the laws for comprehensibility apply to the treatment of motives. Nevertheless, many of the terms Schoenberg discusses in this section are terms he applies to form. See, Carpenter and Neff, "Commentary," in *The Musical Idea*, 19-60.

¹⁰⁴ Schoenberg, *The Musical Idea*, 111.

I would like to emphasize a few points before moving on. Schoenberg associates main ideas with stability, rest, repetitions, completeness, and preparation. If we connect these laws with the technique of developing variation, which Schoenberg utilized to relate and develop principal ideas, we can characterize Schoenberg's primary formal sections as follows: primary zones will be characterized by homophonic textures that highlight a principal melody; these textures will be continued with minimal interruptions for the entirety of the main section (stability and rest); they will involve repetition and communicate a sense of completeness¹⁰⁵; and, as will be discussed below, their beginning and conclusion will be made apparent.

Schoenberg's sixth law defines "subordinate" ideas, casting them in relief from main ideas:

- VI. Subordinate ideas can "somehow or other" start (as if condensed) and somehow stop, vanish. In general, subordinate ideas will have to fulfill a purpose and will state this as quickly as possible. For example, if a section should make a transition, it will do so harmonically by unsettling the tonality. Then it will dissolve by letting go of what is characteristic until the requirement of the initial ideas are liquidated, and will then slowly present characteristics of the goal idea, as preparation, as allusion. Clearly, this motion of the subordinate idea stands out in contrast to the state of rest of the main idea, and the abandonment of what is characteristic has a purpose opposite to that of the repetitions of the main idea: the secondary matters of the transition are not intended to be noticed as something essential. One does not attach oneself to what is secondary.¹⁰⁶

Subordinate ideas function to contrast with main ideas. Generally, subordinated ideas are curt, abrupt, undeveloped, and unstable. Specifically, subordinate ideas should contrast with the main idea, abandoning what is characteristic of the main section: a process Schoenberg calls

¹⁰⁵ Exactly how this completeness is expressed is not entirely fleshed out in the text. He may simply be implying that some length is required for a section to seem formally significant. He may also be suggesting the use of established forms of construction. In the following pages, Schoenberg discusses the use of comprehensible structures like "period" and "sentence" structures. See *Ibid.*, 112-116.

¹⁰⁶ *Ibid.*, 111.

Liquidation.¹⁰⁷ Whereas main sections should be marked for comprehensibility and memorization, subordinate sections should not “be noticed as something essential.”¹⁰⁸

The tenth (labeled ninth in the manuscript due to a duplication error) and final law discussed here, defines how these contrasting sections function in a piece as a whole:

- IX. A piece in its entirety will be most comprehensible to the listener if at every moment or at least at many moments he has the feeling that one is speaking to the point and that he will always know an answer to the question: “What is this doing here?” In older music this requirement is met through much repetition (legitimizing every digression) of small and larger parts, usually slightly varied.¹⁰⁹

In this law, Schoenberg pronounces that the individual sections of a form should have clearly expressed functions. As stated in earlier laws, the functions of sections are clarified through contrast: main sections characterized by rest, and subordinate or transition sections characterized by development.

In this text and others, Schoenberg explicitly prescribes the use of homophony and developing variation to important, primary sections of form. Subordinate ideas are defined by contrast to main ideas, and characterized by movement and an intentional transience (“One does not attach oneself to what is secondary”). Although he never explicitly states it, it stands to reason that Schoenberg conceived of transition sections as defined by polyphonic textures.

There are three reasons to associate transition sections and other subordinate sections with polyphony. First, if form is made comprehensible through contrast, and if main sections are

¹⁰⁷ “*Liquidation* consists in gradually eliminating the characteristic features, until only uncharacteristic features remain, which no longer demand a continuation. Often only residues remain, which have little in common with the basic motive.” See Schoenberg, *Fundamentals of Musical Composition*, 58.

¹⁰⁸ The seventh, eighth, and ninth laws repeat ideas discussed earlier in the chapter. VII (labelled VI in error) reiterates that ideas should “suit the powers of comprehension.” VIII (labeled VII) reiterates the “slow tempo of presentation” for complex ideas. IX (labelled VIII) discusses the necessity for coherence, with all ideas coming from a basic motive. See Schoenberg, *The Musical Idea*, 112.

¹⁰⁹ *Ibid.*, 112.

associated with homophony, it is only logical that subordinate sections are associated with polyphony. Second, there is a historical precedent for the association of homophony with primary sections and polyphony with transition sections (to be discussed more thoroughly in subsequent sections).¹¹⁰

The third reason comes from the functions of main and subordinate sections, as described in laws five and six: main sections are defined by rest; subordinate sections are defined by a “lack of rest” and “motion.” While Schoenberg’s “laws of comprehensibility” from the body of the 1934 manuscript are vague in the function of subordinate ideas, an earlier outline for the 1934 manuscript begins to clarify the function and perceptual effect of subordinate sections. Six days before writing the “laws,” Schoenberg made the following sketch for the organization of the manuscript:

9. Arrangement, construction

- a) Intensifying, increasing quasi:—3 dimensional
- b) Resting
- c) quasi 2 dimensional
- d) repetitions
- e) progress from simple to complex
- f) liquidation¹¹¹

And then:

13. Distinction between:

- a) main and secondary matters
- b) standing and moving types
- c) connecting and introducing¹¹²

¹¹⁰ Janet Levy, “Texture as a Sign in Classic and Early Romantic Music,” *Journal of the American Musicological Society* 35, no. (Autumn 1982), 3489-497; Ben Duane, “Agency and Information Content in Eighteenth- and Early-Nineteenth Century String-Quartet Expositions,” *Journal of Music Theory* 56, no. 1103 (Spring 2012): 103; James Hepokoski and Warren Darcy, “The Medial Caesura and Its Role in the Eighteenth-century Sonata Exposition,” *Music Theory Spectrum* 19, no. 2 (Autumn 1997): 121-122..

¹¹¹ Schoenberg, *The Musical Idea*, 93.

¹¹² *Ibid.*, 94.

I believe the ninth heading, “Arrangement, construction,” describes the flow of a composition from a main section to a succeeding subordinate section.¹¹³ Overall, the progress from the beginning of a main section to a subordinate section has an “intensifying” quality. It begins “resting,” as described above in law five. The main idea is “repeated” to aid in comprehension. Over the course of the main and subordinate sections, the music “progresses” from “simple to complex.” The final term, “liquidation,” is one Schoenberg often associates with transitional and developmental sections.¹¹⁴

As discussed above, Schoenberg clearly associated homophony with simplicity and polyphony with complexity. If a movement from a main section to a subordinate section should “progress from simple to complex,” transitioning from homophony to polyphony would satisfy this condition.¹¹⁵ Therefore, Schoenberg’s transitional and developmental sections can be defined as: polyphonic in texture, motivically curt or fragmented, featuring abrupt changes, relatively complex compared to main sections, and defined by the liquidation of characteristic motivic features of the main section.

In section thirteen of the outline, Schoenberg highlights “distinction between” “main and secondary matters.” The “b)” subheading refers to “standing and moving types.” In her book, *Arnold Schoenberg: Notes, Sets, Forms*, author Silvina Milstein suggests that these “types” are types of textures.¹¹⁶ More than mere categories of textures, I believe these are also the textural

¹¹³ The interpretation that these laws discuss formal articulation is supported by their similarity to Schoenberg’s discussion in the 1917 *Coherence and Counterpoint* manuscript. See Schoenberg, *Coherence, Counterpoint, Instrumentation in Form*, trans. Charlotte M. Cross and Severine Neff (Lincoln: University of Nebraska Press, 1994), 33-37.

¹¹⁴ Schoenberg, *Fundamentals of Musical Composition*, 178-180.

¹¹⁵ I do not mean to imply that “simple to complex” only applies to the movement from primary theme zones to transition sections. The progression from simple to complex can be found working at multiple levels in Schoenberg’s twelve-tone music. This will be made clear in the analysis of the *Intermezzo* from the String Quartet, Op. 30.

¹¹⁶ Silvina Milstein, *Arnold Schoenberg: Notes, Sets, Forms* (New York: Cambridge University Press, 1992), 66-68. I agree with Milstein that these are types of textures, or at least that these heading types clearly correspond to ideas

functions of main and subordinate sections. Much as the hierarchically superordinate “tonic” chord communicates “standing” or “rest” in tonal music, homophony communicates “standing” and “rest” in Schoenberg’s twelve-tone music. Polyphony, associated with subordinate ideas, communicates “movement” and “transition” from one primary section to another.

In summary, Schoenberg’s twelve-tone style is not simply marked by the appearance of homophony, but also by the restoration of textural functions used by common-practice composers to articulate form. Schoenberg associated homophony with main themes to focus a listener’s attention on the primary melody—which is the primary signifier of musical form in Schoenberg’s developing variation technique. Schoenberg continued to use complex polyphonic structures, at times as complex as those found in his atonal, expressionist period. During his twelve-tone period, however, he stopped using polyphony in primary sections of a piece’s form. Instead, he used the complexity of polyphony to disturb the “rest” of the homophonic primary sections, creating a sense of “movement” that communicated transition.

2.5 Homophony in the Modern Style

Schoenberg’s approach to form relied on listeners clearly perceiving and comprehending the principal melody, and for that reason he employed homophonic textures in important formal areas. Controlling information content and focusing the listener’s attention on the principal melody through the use of homophony was of principal concern, both structurally and

with textural implications. I do not, however, agree with Milstein’s definitions of these texture types. I agree with her explanation of “moving,” or what she alternately calls “developmental,” texture types. I disagree with her connection of “standing” textures to “pedal point” textures. She cites Schoenberg’s definition of “pedal point” from *Fundamentals*, in which a pedal serves a preparatory function at the conclusion of a transition section, building suspense for a primary theme return. I contend that “stationary” connects to main thematic zones, with “stationary” referring to the “stable” and “restful” qualities of primary theme zones, as defined on page 111 of the 2006 Carpenter and Neff translation of the *Gedanke* manuscript. Schoenberg does not discuss pedal points in the *Gedanke* manuscript, whereas he does discuss the “motion” of a subordinate section in contrast to the “rest” of a main idea.

perceptually. Yet creating traditional homophonic textures in an otherwise modernistic compositional style presents unique challenges not present in common-practice musical styles. In this section, I use modern theories of texture to elucidate the problems he faced and to demonstrate the solutions Schoenberg employed to create homophony in a modern style.

This section proceeds in two parts. First, I introduce modern theories of texture that describe and explain how listeners parse out musical information and group music into concurrent textural streams, commonly called “voices,” “lines,” or “parts.” Using these theories, I will analyze the complexity or simplicity of the individual lines, as well as the complexity of the overall texture (created from the interaction of the individual streams). Using a set of principles developed by theorists analyzing the perception and cognition of texture, I will demonstrate both the inherent complexities of modern music and also how Schoenberg ameliorated these complexities to aid listeners in the comprehension of his principal melodies. Second, I will use modern theories of textural agency and attention to demonstrate how Schoenberg focuses a listeners’ attention on the principal melody and away from subordinate, accompanimental lines. This analysis will reveal how Schoenberg creates the textural hierarchy that defines homophony.

2.5.1 Homophony: Grouping Subordinate Lines

Texture, unlike rhythm or pitch, is not a fully independent musical element. Whereas pitch and rhythm can have identifiable, unique motifs that are independent of other musical parameters, texture is created by the coordination of multiple musical parameters, including pitch, rhythm, register, timbre, etc.¹¹⁷ At the same time, however, texture is a unique and

¹¹⁷ Leonard Meyer, *Emotion and Meaning in Music* (Chicago: University of Chicago Press, 1986), 188-189.

identifiable musical element—a whole that is more than the sum of its parts. It is at once the total musical image at any moment, existing at (or even as) the musical surface, as well as an independent pattern, capable of manipulation, change, and classification independent of the variables that create it.¹¹⁸ Texture is commonly explained by the metaphor of fabric: independent threads woven together in intentional ways to create a unique surface pattern.¹¹⁹ Classifications of texture are frequently defined by how individual parts or voices interact to create the musical whole, with different textures distinguished by the number of voices present (one, two, three, four voices, etc.) as well as by the level of independence each line expresses in the total texture.¹²⁰

Drawing from Gestalt theorists, Leonard Meyer, in his 1956 *Emotion and Meaning in Music*, was one of the first to define texture by the way the mind “groups” musical lines into independent “figures” (voices individually segregated from the overall texture as unique agents) or into a less-segregated group called a “ground” (multiple voices that share features so uniformly that the mind groups the lines into a type of single, codependent entity).¹²¹ A polyphonic texture, for example, consists of multiple figures—multiple lines grouped individually due to the independence of their pitch, rhythmic, registral, and contour profiles. A “two-voice” polyphonic setting consists of two figures; a three-voice polyphonic setting consists of three figures. A homophonic texture, on the other hand, consists of a single figure (the principal melody) and a ground (uniform accompaniment). The ground of a homophonic texture

¹¹⁸ Levy, “Texture as a Sign in Classic and Early Romantic Music,” 482-483. As an example: a listener can recognize that a texture remains unchanged even as an underlying harmony changes, or as a melody’s rhythmic profile is altered. On the other side of the spectrum, a section of a form can be restated, with the same melody and harmonic profile, but with a slightly altered texture, as when a homophonic section of music is restated but augmented by the addition of a counter melody (an aspect of the texture retains its identity despite the presence of a new voice). Also see: Meyer, *Emotion and Meaning in Music*, 189.

¹¹⁹ Jonathan Dunsby, “Considerations of Texture,” *Music and Letters* 70, no. 1 (February 1989): 56-57.

¹²⁰ Wallace Berry, *Structural Functions in Music* (New York: Dover Publications, 1987), 191-192.

¹²¹ Meyer, *Emotion and Meaning in Music*, 185-196.

may consist of two, three, or four “parts” or “voices” that the mind groups together due to the uniformity of their pitch, rhythmic, registral, or contour profiles.¹²²

Rather than focus on a musical score in isolation, Meyer emphasized the listener’s role in understanding a musical texture. For Meyer, the number of voices active in a musical texture relied on the cognitive capacities and cultural context of the listener, and not the number of parts in a musical score.¹²³ Drawing from the Gestalt principle of *Prägnanz*, Meyer argues that the listener groups and segregates lines in a way that makes the musical texture simplest to understand. If a solo instrument performs a line that makes most sense to a listener as two independent lines, as is the case with what is typically termed a “compound melody,” the listener will hear two figures.¹²⁴ Conversely, if a listener hears a group of instruments or parts as homogenous, the listener will group the parts together into a uniform ground.¹²⁵ The classification of textures arises from the listener’s attempts to make the musical pattern as well-formed and simple as possible. The subordination of accompanimental voices in homophony arises from this process.

Because homophonic textures optimize the surface into such figure/ground configurations, homophonic textures require less mental effort than polyphonic ones, and are thus simpler.¹²⁶ Schoenberg himself believed this and used the simplicity of homophony at the beginning of works to aid in comprehensibility.¹²⁷

¹²² Meyer, *Emotion and Meaning in Music*, 186. Meyer lists a total of five unique textures defined by figure/ground combinations. These textural types will be introduced and addressed when pertinent to analysis.

¹²³ Meyer, *Emotion and Meaning in Music*, 186-188.

¹²⁴ *Ibid.*, 186-187.

¹²⁵ *Ibid.*, 187.

¹²⁶ *Ibid.*, 187-188, 192.

¹²⁷ Arnold Schoenberg, “Ornaments and Construction,” in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 312.

Until relatively recently, no theory explained exactly how a listener parses out a musical surface into independent or dependent musical lines, nor did a theory explain exactly why homophony was cognitively simpler than polyphony. While Meyer abstractly theorized about these matters, perceptual music theorists and researchers of auditory cognition have recently explored the process of perceiving musical texture more rigorously. Beginning with the work of Albert Bregman, music researchers investigated how listeners segment and group musical information into perceptually meaningful textural “streams” or “strands,” a process Bregman termed auditory stream segregation. Using simple subject-based experiments in laboratory settings, and drawing from experimental psychology, Bregman identified a number of perceptual principles that guide the way listeners parse complete auditory scenes (the totality of sounds in an environment) into individual streams of sound.¹²⁸

Since Bregman, researchers have further refined these perceptual principles to explain how the listeners segment musical information into familiar textures. Ranging from considerations of pitch to timbre, these principles reveal that the segregation and grouping of music into textures is a complex and multidimensional process. While these principles are frequently used to analyze tonal music, their application to post-tonal music has not yet been explored. In this section, I explore their implications on Schoenberg’s twelve-tone music, highlighting the complexities inherent in twelve-tone texture. I then use the principles to demonstrate how Schoenberg created the homophony characteristic to his twelve-tone works.

¹²⁸ Albert Bregman, *Auditory Scene Analysis: The Perceptual Organization of Sound* (MIT Press: Cambridge, 1994).

2.5.2 Dodecaphony's Inherent Textural Complexities

Despite his desire to make his music more comprehensible to audiences, Schoenberg continued to place a high value on stylistic innovation and artistic complexity.¹²⁹ In addition to his innovative and complex twelve-tone procedures, a number of progressive stylistic traits create a high level of complexity in Schoenberg's works. Many of these traits complicate the composer's attempts to create straightforward homophonic textures. These traits should not be viewed as failures to create comprehensibility, but instead as the reasons for Schoenberg's efforts toward comprehensibility.

Perhaps the most obvious obstacle in creating post-tonal homophonic textures comes from the pervasive presence of dissonance in post-tonal works. Several perceptual principles suggest that listeners more easily group consonantly related voices, typically due to overlapping harmonic spectra. "The principle of tonal fusion" demonstrates that listeners tend to "fuse" multiple tones related by simple harmonic ratios—like unisons, octaves, and perfect fifths—into a perceived single sound image.¹³⁰ Other perceptual phenomena, like "virtual pitch production," similarly suggest that listeners tend to segregate dissonant tones and fuse consonant tones.¹³¹ Schoenberg's "emancipation of dissonance," then, increases the textural complexity of his music: the pervasive dissonance relating his musical lines discourages fusion. As a result, listeners will tend to segregate his dissonantly related lines into separate streams.¹³² Example 2.5

¹²⁹ Schoenberg, "Brahms the Progressive," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 400-408.

¹³⁰ David Huron, "Tone and Voice: A Derivation of the Rules of Voice-leading from Perceptual Principles," *Music Perception* 19, no. 1 (Fall 2001): 19; Dewitt and Crowder 1987, "Tonal Fusion of Consonant Musical Intervals: The oomph in Stumpf," in *Perception and Psychophysics* 41, no. 1 (1987): 73-84; Bregman, *Auditory Scene Analysis*, 227-233, 245-260.

¹³¹ Huron, "Tone and Voice," 10.

¹³² On the other hand, Ben Duane has found that spectral overlap is relatively unimportant in establishing textural streams when compared to factors like onset and offset synchronicity. This may imply that dissonance in Schoenberg's music does not increase the difficulty in stream segregation. See Ben Duane, 2013, "Auditory

reproduces the chorale-like finale of the third movement of Schoenberg's Wind Quintet, Op. 26. Almost all adjacent intervals are dissonant: the bassoon and horn move in parallel minor sevenths, as do the oboe and clarinet, while the remainder of the adjacent intervals frequently include augmented fourths and minor seconds (often as minor 9ths). The dissonant intervallic content resists tonal fusion, increasing the textural complexity of an otherwise simple, chorale-like texture.¹³³

Example 2.5 Wind Quintet, Op. 26, III, mm. 139-141. Adjacent vertical intervals are labeled between the staves in bold.

The musical score shows five staves: Flute, Oboe, Clarinet, Horn, and Bassoon. The key signature is one flat (B-flat) and the time signature is 4/4. The Flute part has a long melodic line with a slur over it. The other instruments play chords. Bold labels indicate adjacent vertical intervals between staves: d4 (Flute/Oboe), m2 (Oboe/Clarinet), m7 (Clarinet/Horn), m7 (Horn/Bassoon), and m7 (Bassoon/Flute).

Schoenberg's frequent use of large melodic ambitus and wide melodic leaps add further complexity to the overall texture. The "principle of pitch proximity" suggests that listeners tend to group pitches in close proximity into a single auditory stream and segregate distantly related

Streaming Cues in Eighteenth- and Early Nineteenth-Century String Quartets: A Corpus-Based Study," in *Music Perception: An Interdisciplinary Journal* 31, no. 1 (2013): 56.

¹³³ The texture is made more coherent by various principles to be discussed later. It is also possible that auditory masking might inhibit stream segregation. See Huron, "Tone and Voice," 18.

itches into separate streams.¹³⁴ Tonal melodies often proceed by step and are therefore perceived as a single musical stream. When musical lines contain many large leaps, the perception of multiple musical voices occurs, a phenomenon commonly referred to as “compound melody.”¹³⁵ Continuous large leaps and registral changes characterize a great number of Schoenberg’s melodies. Example 2.6 reproduces the Gavotte melody from Schoenberg’s 1925 Suite, Op. 25. The large leaps and the melody’s three-octave range resist coherence into a single, straightforward musical voice.¹³⁶

Example 2.6 Suite for piano, Op. 25, II, mm. 1-3.



2.5.3 Creating Dodecaphonic Homophony

Despite the perceptual complexities discussed previously, Schoenberg’s dodecaphonic works evince a clear trend toward the simplicity and comprehensibility of homophony. Homophonic textures ameliorated the complexity created by traits he found essential to his style. By subordinating accompanimental voices into a “ground,” Schoenberg simplified the overall texture.¹³⁷

¹³⁴ Huron, “Tone and Voice,” 24; Bregman, *Auditory Scene Analysis*, 55-65; L.P.A.S. van Norden, “Temporal Coherence in the Perception of Tone Sequences” (PhD diss., Eindhoven University of Technology 1975); Albert Bregman, Robert Levitan, and Christin Liao, “Fusion of Auditory Components: Effects of the Frequency of Amplitude Modulation,” *Perception and Psychophysics* 47, no. 1 (1990): 68-73.

¹³⁵ Some perceptual theorists refer to compound melody as “pseudo-polyphony.”

¹³⁶ Research suggests that slow tempos aid in voice coherence, which may ameliorate the segregation of this melody to some extent: Huron, “Tone and Voice,” 24-27. Melodic leaps of this size are also characteristic of Schoenberg’s faster tempo works, as in the Rondo of his Op. 26 *Wind Quintet*.

¹³⁷ Emiliios Cambouropoulos, “Voice and Stream: Perceptual and Computational Modeling of Voice Separation,” *Music Perception* 26, no. 1 (2008): 84. Cambouropoulos states that “in homophonic music or partially homophonic

One way that Schoenberg created comprehensible textures was by limiting the number of voices present in a texture to three or four, a perceptual principle David Huron has termed the “principle of limited density.”¹³⁸ The principle of limited density suggests that listeners are more likely to perceive and follow independent voices if the texture is limited to three voices.¹³⁹ When music contains more than three voices, listeners are less likely to recognize voice entrances and often misjudge the number of voices present.¹⁴⁰ Schoenberg intuitively knew this and wrote about this principle well before perceptual theorists formalized it. In a 1934 essay, “Problems of Harmony,” Schoenberg stated: “It is easier to recognize and define three different, simultaneously sounding tones than five or six; it is easier to follow and to perceive the succession of three, than five or six.”¹⁴¹ Schoenberg may have even worked this principle into his earliest discussions of the twelve-tone technique. A typescript found in the *Alban Berg Nachlass*, possibly dating from 1923, suggests that Schoenberg associated his twelve-tone technique with a limited three-voice texture. The script states that after using the twelve-tone row to produce a basic form (gestalt), “the rest of the twelve tones are also to be worked out, so that a three-voice composition results.”¹⁴² By and large, Schoenberg followed this principle beginning around 1923, and three- or four-voice textures characterize his statements of principal melodies.

A passage from the Overture of the Suite, Op. 29 (1925) provides an example of Schoenberg’s use of limited textural density (Example 2.7). The passage introduces a new version of the work’s primary theme, often referred to as the Ländler theme, from mm. 68-79. In

music where sequences of multi-tone sonorities are perceived as individual streams...the density of concurrent streams is reduced, making ‘thick’ music more accessible to perception.”

¹³⁸ David Huron, “Voice Denumerability in Polyphonic Music of Homogeneous Timbres,” *Music Perception* 6, no. 4 (1989): 361-382.

¹³⁹ Huron, “Voice Denumerability,” 379; Huron, “Tone and Voice,” 46.

¹⁴⁰ Huron, “Voice Denumerability,” 379; Huron, “Tone and Voice,” 46.

¹⁴¹ Schoenberg, “Problems of Harmony,” 283.

¹⁴² Schoenberg, *A Schoenberg Reader*, 174.

the passage, Schoenberg limits the accompanimental texture to three voices, allowing for an uncomplicated presentation of the new theme.

Example 2.7 Suite, Op. 29, I, mm. 68-79.

Langsamer (♩=132)

The musical score consists of two systems. The first system is marked 'Langsamer (♩=132)' and 'ppp'. It features a piano introduction in the bass staff with a steady eighth-note accompaniment and a melodic line in the treble staff. The second system continues the melodic line in the treble staff and the piano accompaniment in the bass staff.

In comparison to his pre-twelve-tone works, one of the most obvious techniques Schoenberg employed to ensure comprehensibility was textural continuity. The “principle of temporal continuity” states that consistent textures evoke stronger voice cohesion than intermittent or brief sound fragments.¹⁴³ Schoenberg’s expressionist works, as discussed earlier, are characterized by textural fragmentation, with textures rarely maintained for more than one or two measures. Beginning with his twelve-tone works, Schoenberg commonly maintained textures for entire formal units, maintaining most textures for at least four measures. Example 2.8 reproduces the opening measures of Schoenberg’s “Song (without Words)” from his

¹⁴³ Huron, “Tone and Voice,” 10-14.

Serenade, Op. 24. Completed in 1923, the Serenade was one of Schoenberg's first compositions to employ the twelve-tone method. When compared to his expressionist works, the texture of Schoenberg's "Lied" is remarkably conservative. The texture is maintained for seven measures, allowing the listener to comprehend each voice through repetition of its textural profile.

Example 2.8. Serenade, Op. 24, V, "Lied (ohne Worte)," mm. 1-7.

The opening of Schoenberg's String Quartet no. 3, Op. 30, completed in 1927, maintains textural consistency for even longer than the Serenade (Example 2.9). A five-note accompanimental ostinato is first stated for four measures before the entrance of the melody in measure five. By repeating the figure in isolation, Schoenberg allows the listener to easily perceive the entrance of the melody. This repeated figure—perhaps resembling a tonic

arpeggiation in common-practice music—is repeated for twelve measures before Schoenberg begins to alter the figure. Overall, Schoenberg maintains this textural figuration for nearly the entire movement, aiding in the listener’s comprehension of the motivic transformations that shape the movement’s form.

Example 2.9. String Quartet no. 3, Op. 30, I, mm. 1-12.

Perhaps the most important technique for creating homophonic textures is the “principle of onset synchronicity.”¹⁴⁴ The principle of onset synchronicity states that listeners tend to group together voices with coordinated pitch attacks.¹⁴⁵ Onset synchronicity limits voice independence, resulting in a more homophonic grouping. A clear example of this principle occurs in the opening measures of Schoenberg’s String Quartet no. 4, Op. 37, from 1936 (Example 2.10). In the movement, Schoenberg creates a clear figure/ground distinction through the coordination of

¹⁴⁴ Ben Duane has found that onset and offset synchronicity are most influential in the grouping of musical streams. Duane, “Auditory Streaming Cues in Eighteenth- and Early-nineteenth Century String Quartets,” 56-57.

¹⁴⁵ Bregman, *Auditory Scene Analysis*, 213-219, 261-265; Huron, “Tone and Voice,” 40.

attack onsets. In mm. 1-6, the three accompanimental voices share onsets, while the melodic voice is distinguished by onsets not contained in the accompanimental voices. The three accompanimental voices take on the character of a single “ground” rather than three distinct voices, while the melody’s unique attack onsets create independence from the accompaniment.

Example 2.10. String Quartet no. 4, Op. 37, I, mm. 1-6.



The string quartet excerpt of Example 2.10 also exhibits the “principle of offset synchronicity.” The principle of offset synchronicity states that listeners similarly group together voices that share coordinated terminations of notes.¹⁴⁶ Example 2.11 reproduces the first statement of the theme from Schoenberg’s 1928 *Variations for Orchestra*, Op. 31. In the excerpt, Schoenberg staggers the entrances of accompanimental voices to give them each a degree of independence, but aids in the listener’s grouping of these voices by coordinating their offset. This is visually represented in the example by dotted lines. To aid in the separation of the melodic and accompanimental streams, Schoenberg gives the melody unique offset terminations: the melody continues to sound after the accompaniment terminates, aiding the listener’s segregation of the melody from the overall texture. Schoenberg strengthens the segregation of the melody from the ground by frequently giving it a unique onset as well.

¹⁴⁶ Duane, “Auditory Streaming Cues in Eighteenth- and Early-nineteenth Century String Quartets,” 46.

Example 2.11. *Variations for Orchestra*, Op. 31, mm. 34-50. This example does not reproduce the harp line for the sake of clarity. The harp sounds at the offset of each chord, strengthening the sense of offset synchronicity.

Molto moderato ♩ = 88

The image displays a musical score for Example 2.11, consisting of two systems. The first system features a treble clef staff with a melodic line and a grand staff (treble and bass clefs) with a complex accompaniment. The second system continues the same parts, with measure numbers 10 and 10 marked at the beginning of the respective staves. Vertical dashed lines indicate the timing of the harp accompaniment.

Another technique with which Schoenberg creates homophonic accompaniments is the “pitch co-modulation principle.” The “pitch co-modulation principle” suggests that listeners tend to fuse voices together that change pitch at concurrent times, in similar directions, and that maintain similar intervallic relationships.¹⁴⁷ Example 2.12 reproduces mm. 29-35 of the Overture to Schoenberg’s *Suite*, Op. 29, from 1925. Following a statement of the theme by solo violin, Schoenberg creates a three-voice homophonic accompaniment in which accompanying voices all change pitch in synchronicity. Accompanimental voices often maintain similar intervallic relationships while changing pitches. The melodic voice attains a degree of independence by

¹⁴⁷ Stephen McAdams, “Spectral Fusion and the Creation of Auditory Images,” in *Music, Mind, and Brain: The neuropsychology of music*, ed. Manfred Clynes (New York: Plenum Press 1982), 279-298; Bregman, *Auditory Scene Analysis*, 242-260; David Huron adds that similar motion, and not just parallel, can contribute to fusion: Huron, “Tone and Voice,” 31.

changing pitch independently of the accompanying voices and with different intervallic relationships.

Example 2.12. Suite, Op. 29, I, mm. 29-35.



The “principle of pitch proximity,” discussed previously, plays an important role in Schoenberg’s homophonic textures. As discussed, the proximity principle states that strong auditory streams are created when sequential pitches are in close proximity. While Schoenberg’s melodies are frequently complicated due to their wide leaps and large melodic ambitus, he typically provides textural simplicity and clarity to his accompanimental voices by limiting each voice to a distinct register. In earlier sections, I discussed this concept as textural stratification.

Example 2.13 demonstrates this principle in Schoenberg’s 1924 Wind Quintet, Op. 26, movement II. In this four-voice texture, each accompanimental voice maintains a distinct register, frequently moving by step, and rarely crossing voices. This stratification of the texture lends to an overall comprehensibility of texture.

Example 2.13 also provides a clear example of Schoenberg’s formal progression from simplicity to complexity, as outlined in his *Gedanke* manuscript. The opening seven measures maintain textural simplicity as the twelve-tone row is first stated melodically. After the completion of the row in measure seven, the texture increases in complexity, and voices begin to overlap and even cross.

Example 2.13. Wind Quintet, Op. 26, II, mm. 1-11.

A final principle, the "principle of timbral differentiation," deserves mention. The principle of timbral differentiation states that voices with similar timbres tend to group or fuse together.¹⁴⁸ Conversely, timbral uniqueness strengthens the independence of lines. Schoenberg's twelve-tone period coincides with the composer's renewed interest in works with homogenous timbres. Examples include Schoenberg's Wind Quintet, String Quartet op. 30, and String Quartet op. 37. In works with mixed instrumental groups, like the Suite Op. 29, which features winds, strings, and piano, Schoenberg tends to group together voices with similar timbres.¹⁴⁹ This tendency is not as pronounced as Schoenberg's use of the other principles listed here, but when compared to expressionist works like *Pierrot lunaire*, in which Schoenberg seems to focus on

¹⁴⁸ Bregman, *Auditory Scene Analysis*, 92-98, 115, 122-126, 334-337; Huron, "Tone and Voice," 49.

¹⁴⁹ The Overture provides many examples of this, such as mm. 4-7, 25-35, 43-46, 52-62, 101-112.

timbral contrast, a distinction between his treatment of timbre in his expressionist works and his twelve-tone works emerges.

Although I have presented each principle one at a time, a review of the examples reveals that Schoenberg often utilizes many of the principles together. At other times, Schoenberg seems to create a play between textural simplicity and complexity, as we will see in subsequent sections of this dissertation. Overall, Schoenberg's twelve-tone works exhibit pronounced homophonic tendencies during important thematic statements. Using the principles listed here, Schoenberg creates textural clarity by suppressing independence in the accompanimental voices, subsuming them into a unified ground. Rather than perceive each constituent of the accompaniment as an individual voice, a listener hears the accompaniment as if it is one voice, resulting in a simpler and more comprehensible texture.¹⁵⁰

2.6 Attention and Developing Variation

Schoenberg's melodic-homophonic technique of developing variation created coherence and comprehensibility by focusing a listener's attention on a principal melody. In the principal melody, Schoenberg presented musical information that, through variation and repetition, provided both coherence and development to his serial works.¹⁵¹ Previously I have discussed how Schoenberg subordinated and simplified accompaniments by unifying multiple voices into a single homophonic textural strand. In this section, I examine how Schoenberg focused the listener's attention on the principal melody.

¹⁵⁰ Cambouropoulos, "Voice and Stream," 75, 80.

¹⁵¹ Haimo, "Developing Variation and Schoenberg's Serial Music," 353-356, 363.

In a series of recent articles, textural theorist Ben Duane examines how and why some musical lines project to the foreground of a texture, obtaining *leading* status, while others recede to the background and are thus *subordinate*.¹⁵² Duane contends that one important factor in listener attention is the predictability and complexity of individual lines.¹⁵³ Through corpus analysis and computational modeling, Duane demonstrates that lines with higher information content (more variety of melodic intervals and rhythmic durations and therefore less predictability) draw the listener's attention and assume leading status in a texture. Conversely, accompanimental subordinate lines are more repetitive, more predictable, and therefore occupy less of the listener's attention.

Example 2.14 reproduces Duane's analysis and commentary on the opening measures of Haydn's String Quartet, Op. 33/2, mvt. 1. In the example, Duane first segments the texture into two strands: a melodic strand in the first violin, and an accompanimental strand comprising the violin II, viola, and cello. Duane explains that when comparing the individual lines of the texture, the first violin is far less repetitive than the accompanimental line in terms of rhythm and pitch.¹⁵⁴ Consider the types of rhythmic durations contained in each line. In Figure 2.1, I have reproduced the durations for each line. The accompanimental lines each contain only two types of duration: eighth and quarter notes. The melodic line, on the other hand, contains five durations, including sixteenth, eighth, quarter, dotted quarter, and half note durations. If we consider the half-measure rhythmic patterns of each line, provided in Figure 2.2, we see a similar difference in information content. The accompanimental lines contain two and three rhythmic patterns, while the melodic line contains five. The relative variety and complexity of the melodic

¹⁵² Duane, "Agency and Information Content in Eighteenth- and Early-nineteenth Century String-Quartet Expositions," 90.

¹⁵³ *Ibid.*, 90-96.

¹⁵⁴ *Ibid.*, 94.

line draws the focus of the listener, obtaining textural prominence, while the repetitive textures of the accompanimental strands recede into the background.

Example 2.14. Haydn, String Quartet, Op. 33/2, mvt. 1, mm. 1-4. Duane 2012, 95.

Allegro Moderato, Cantabile
Melody (Leading Agent)

mf *mf* *mf* *mf*

Figure 2.1. Rhythmic durations in individual lines of Haydn’s String Quartet, Op. 33/2, mvt. 1, mm. 1-4.

Violin 1					
Violin 2					
Viola					
Cello					

Figure 2.2. Half-measure rhythmic patterns in individual lines of Haydn's String Quartet, Op. 33/2, mvt. 1, mm. 1-4.



Compare the textural hierarchy of the Haydn example to the opening measures of Schoenberg's String Quartet no. 4, op. 37 (Example 2.15). Like the Haydn example, the Schoenberg texture contains two textural strands: a melodic line in the first violin, and an accompanimental strand comprising the violin II, viola, and cello. Consider the rhythmic durations of each strand, reproduced in Figure 2.3: the violin melody contains five distinct durations, making it more complex and less predictable than the accompanimental strand's three distinct durations. One-measure rhythmic patterns, reproduced in Figure 2.4, reveal a similar discrepancy in complexity: the violin melody contains six distinct one-measure patterns while the accompanimental strands contain only four patterns. In the opening three measures of the quartet, the accompanimental lines repeat a single rhythmic pattern while the melodic line contains three distinct patterns in each measure, causing the violin I line to project to the foreground of the listener's attention while the repetitive accompaniment recedes to the background.

Example 2.15. Schoenberg, String Quartet no. 4, op. 37, mvt. I, mm. 1-6.

Allegro molto, energico ♩ = 152

Melody (Leading)

Accompaniment (Subordinate)

Violin I

Violin II

Viola

Cello

Figure 2.3. Rhythmic durations in individual lines of Schoenberg’s String Quartet no. 4, op. 37, mvt. I, mm. 1-6.

Violin 1					
Violin 2 Viola Cello					

Figure 2.4. Full-measure rhythmic patterns in individual lines of Schoenberg’s String Quartet no. 4, op. 37, mvt. I, mm. 1-6.

Violin 1

Violin 2
Viola
Cello

What is gained by opening the Fourth String Quartet with such a clear homophonic setting? Most simply, it does not immediately overwhelm the listener with complexity, which is important in its own right. In 1923, Schoenberg himself warned against complexity at a piece's outset, saying that "overloading...will especially have to be avoided at the opening, since otherwise comprehensibility and possible development are endangered."¹⁵⁵ More importantly, by focusing the listener's attention on the melody, Schoenberg presents musical information in mm. 1-6 that proves crucial to the development and coherence of the entire movement.

Example 2.16 demonstrates, briefly, how Schoenberg uses his technique of developing variation to give a sense of development in the primary theme zone of the movement through intervallic expansion of the theme's opening descending minor second dyad.¹⁵⁶ In m. 10, the primary theme returns. Schoenberg preserves the texture and rhythm of the theme, but expands the opening dyad from a descending minor second to a descending fourth, B-F#. In m. 17, the process of expansion continues with an opening descending major seventh in the cello.

¹⁵⁵ Arnold Schoenberg, "Ornaments and Constructions," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 312.

¹⁵⁶ Several scholars have discussed the developing-variation technique in detail. Jack Boss, *Schoenberg's Twelve-Tone Music: Symmetry and the Musical Idea* (Cambridge: Cambridge University Press 2014), 274-329; Stephen J. Collisson, "Grundgestalt, Developing Variation, and Motivic Processes in the Music of Arnold Schoenberg: An Analytical Study of the String Quartets," (PhD diss., University of London, King's College, 1994), 227-240.

Example 2.16. Fourth String Quartet, op. 37, I: intervallic expansion in primary theme statements.

The image displays three systems of musical notation for a piano accompaniment. The first system (measures 1-9) features a descending minor second interval in the melody, annotated with a dashed line and the text "minor 2nd". The second system (measures 10-16) shows an ascending perfect fourth interval in the melody, annotated with a dashed line and the text "perfect 4th". The third system (measures 17-24) features a Major 7th interval in the bass line, annotated with a dashed line and the text "Major 7th". Dynamics include *ff* (fortissimo) and *pp* (pianissimo).

The descending minor second clearly presented in the melody of the opening theme also provides coherence to the movement as a whole. Schoenberg repeats the minor-second dyad in ascending form in a transition theme in m. 42 (Example 2.17.a). The descending minor second returns again to open the secondary theme in measure 66 (Example 2.17.b), and yet again to open a developmental theme in m. 116.¹⁵⁷

¹⁵⁷ Formal analysis from Boss, *Schoenberg's Twelve-Tone Music*, 281-283.

Example 2.17. Fourth String Quartet: Minor-second motivic coherence in primary theme (m. 1), transition (m. 42), and secondary theme (m. 66) zones.

a. *ff* minor 2nd

b. *fp* *p* H minor 2nd

c. *f* *fp* *pp* H minor 2nd

While a more in-depth analysis of Schoenberg's developing-variation technique is outside the scope of this study, this cursory explication of the process in the first movement of the Fourth String Quartet demonstrates the importance of clear, homophonic, textural hierarchies in the cognition of the movement's development. Had Schoenberg buried the minor-second dyad that opens the movement in a complex polyphonic texture, the listener might not perceive its connection to later themes. Similarly, had the principal melody's contour and rhythm been lost in a more complicated texture, a listener might fail to recognize the sense of development provided by intervallic expansion in mms. 10 and 17.¹⁵⁸

¹⁵⁸ Godfrey Winham demonstrates that constructing a clear textural hierarchy might have actually superseded pitch coherence in composing the accompaniment. While theorists have struggled to explain the generation of pitch material in the accompaniment, Winham states that: "It is surprising how much of the passage can be explained

2.7 Classical Associations of Texture and Form in Schoenberg's Third String Quartet

As discussed previously, Schoenberg's interest in texture was tied to an interest in form. While Schoenberg utilized traditional homophonic textures to aid in the perception of his themes, he also utilized traditional associations of texture and form used by common-era composers. For Schoenberg, abandoning tonality—a traditional means of communicating form—required a composer to provide comprehensibility in form by other means.¹⁵⁹ In 1934, Schoenberg stated: “If the function of tonality be dispensed with, but the same consideration be given to unity and feeling of form, this effect must be achieved by some other function.”¹⁶⁰

What other functions might give a “feeling of form” in the absence of tonality? In 1934, Schoenberg gives two related examples. The first is the treatment of thematic material:

It is difficult to conceive that a piece of music has meaning unless there is meaning in the motive and thematic presentation of ideas. On the other hand a piece whose harmony is not unified, but which develops its motive and thematic material logically, should, to a certain degree, have intelligent meaning.¹⁶¹

In addition to the “logical” development of motive and thematic material, Schoenberg's next suggestion for communicating form is the clear division of form into parts:

For the [listener's] sake the artist must divide the whole into parts, into surveyable parts, and then add them together again into a complete whole now conceivable in spite of hampering details.¹⁶²

purely by these elementary considerations [of texture], which serve no purpose beyond aiming at a smooth surface and an appropriate backdrop for the melody.” Windham also justifies why Schoenberg might have created some textural complexities, like the brief voice crossings, and explains why the complexities are not as disruptive as one might think. Godfrey Winham, “Schoenberg's Fourth String Quartet: Vertical Order of the Opening,” *Theory and Practice* 17, no. 1 (1992): 59-61.

¹⁵⁹ Schoenberg, “Problems of Harmony,” 279.

¹⁶⁰ *Ibid.*, 285.

¹⁶¹ *Ibid.*, 280.

¹⁶² *Ibid.*, 285.

In the absence of tonality, form can be articulated by dividing a work into surveyable parts, and by logically developing the themes of those parts. While “logical development” no doubt refers to Schoenberg’s developing variation technique, I believe that employing thematic-formal conventions from traditional music might also lend the development of thematic material a sense of “logic.”

Evidence of this interpretation comes from a 1925 essay on “Tonality and Form.” In the essay, Schoenberg disputes a claim made in a newspaper that “form cannot exist” without tonality. Schoenberg’s response centers on the distinct functions and characteristics of individual components of a form:

My pupils will be able to confirm the fact that, in teaching, it was my chief endeavour to make clear to them the difference between the formative potentialities of principal and secondary subjects, introduction, transitions, and codas [.]¹⁶³

The formative components are differentiated through their traditional functions:

The form of a composition is achieved because (1) a body exists, and because (2) the members exercise different functions and are created for these functions.¹⁶⁴

The 1925 and 1934 essays share a common thesis: that form can still be intelligibly communicated without tonality or functional harmony by clearly delineating the component parts of the form, and by communicating the traditional functions of the form’s component parts.

Schoenberg believed that *contrast* was key to delineating a form’s component parts: “Large forms develop through the generating power of contrasts. There are innumerable kinds of contrast; the larger the piece, the more types of contrast should be present to illuminate the main idea.”¹⁶⁵ A work’s “surveyable parts,” specifically main and subordinate sections of a work, can

¹⁶³ Arnold Schoenberg, “Tonality and Form,” in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 255.

¹⁶⁴ *Ibid.*, 257.

¹⁶⁵ Schoenberg, *Fundamentals of Composition*, 178.

contrast in a number of ways, including “mood, character, dynamics, rhythm, harmony, motive-forms and construction.”¹⁶⁶

In this section, I explore how one type of contrast—that of texture—can not only delineate form, but also signal traditional textural-formal conventions.¹⁶⁷ Drawing from the theoretical work of Wallace Berry, Janet Levy, and Ben Duane, I will discuss four ways in which Schoenberg uses texture to give the “feeling of form” in the third movement of his String Quartet no. 3, op. 30: (1) delineating form through textural contrast, with strong changes in texture signaling a change in formal location; (2) differentiating between formally significant thematic areas and non-thematic transitions by employing textural conventions from the common-practice era; (3) communicating detailed formal information by employing conventionalized textural signs from the Classic and Romantic tradition (such as retransition and formal climax); (4) manipulating textural density to create a sense of formal progression across a work. Along the way, I will reference Schoenberg’s own theories on form and texture to further illuminate the function of specific textures.

2.7.1 String Quartet No. 3, op. 30, III: “Intermezzo”

In 1923, at the same time Schoenberg invented his radical twelve-tone method, he also pronounced himself “a natural continuer of properly understood good old tradition.”¹⁶⁸ Perhaps the most obvious way that Schoenberg continued tradition in his dodecaphonic works was in his

¹⁶⁶ Ibid., 183.

¹⁶⁷ This interpretation is supported by Straus, *Remaking the Past*, 121. Other scholars have written about Schoenberg’s use of texture to delineate form: Milstein, *Arnold Schoenberg: Notes, Sets, Forms*, 31–48, 56–73; Chris Jeffery, “A semiotic investigation into dialectical opposition in Schoenberg’s third string quartet, first movement,” *South African Music Studies* 28 (2008): 135–153; Zachary Colonius, “Textural Functions in Schoenberg’s Second Chamber Symphony,” (Unpublished masters thesis, Washington University in St. Louis, 2010).

¹⁶⁸ Arnold Schoenberg, “Letter to Werner Reinhart dated July 9th, 1923,” in *Arnold Schoenberg: Letters*, ed. Erwin Stein, trans. by Eithne Wilkins and Ernt Kaiser (London: Faber and Faber Limited, 1964), 100.

restoration of traditional classical forms, as evidenced in the Baroque forms of the Suite op. 25, the sonata forms of the Wind Quintet and Third and Fourth String Quartets, and numerous variation, ternary, and rondo forms. While some (Pierre Boulez most notably) have criticized Schoenberg's use of traditional forms—often writing them off as ironic—these forms were a cornerstone of his musical thinking.¹⁶⁹ As Charles Rosen stated: “Schoenberg, who wished the public to remain unaware of the serial technique, was concerned that the outer forms themselves should be very clearly audible.”¹⁷⁰ Traditional form brought comprehensibility to his serial works, and expressing them clearly was of the utmost concern for Schoenberg.¹⁷¹

Schoenberg's String Quartet no. 3, completed in 1927, is often regarded as one of the composer's greatest achievements in traditional form.¹⁷² Joseph Straus has written in detail about the quartet's first movement, calling it Schoenberg's “clearest twelve-tone essay in sonata form,” and demonstrating Schoenberg's indebtedness to Schubert's String Quartet Op. 29 in A minor.¹⁷³ Matthew R. Shaftel's analysis of the second movement reveals Schoenberg's efforts to make the work's theme-and-variations form comprehensible, and focuses on how Schoenberg combined his twelve-tone technique with “traditional formal signifiers” to express the work's classical form.¹⁷⁴ Schoenberg described the fourth and final movement as “identical with the so called ‘Sonata-Rondo’” form.¹⁷⁵ Reviews of the premiere suggest that Schoenberg succeeded in

¹⁶⁹ Boulez, “Schoenberg is Dead,” 268-276.

¹⁷⁰ Rosen, *Arnold Schoenberg*, 88.

¹⁷¹ *Ibid.*, 86-89.

¹⁷² *Ibid.*, 88-89; Straus, *Remaking the Past*, 121, 161.

¹⁷³ Straus, *Remaking the Past*, 121-132, 161-168.

¹⁷⁴ Matthew R. Shaftel, “Comprehensibility, Variation, and the String Quartet Tradition: The Second Movement of Arnold Schoenberg's Third Quartet, op. 30,” in *Intimate Voices: The Twentieth-Century String Quartet*, ed. Evan Jones (Rochester: University of Rochester Press, 2009), 133-161.

¹⁷⁵ Arnold Schoenberg, “Analysis of the Third String Quartet,” in *Schoenberg, Berg, Webern: The String Quartets*, ed. Ursula von Rauchhaupt, trans. Eugene Hartzell (Hamburg: Deutsche Grammophon Gesellschaft 1971), 57.

communicating traditional forms in the quartet, with one reviewer writing that Schoenberg successfully “reestablishes musical architecture by returning to old forms of composition [.]”¹⁷⁶

Schoenberg described the large-scale form of the third movement, titled “Intermezzo,” as like a Minuet and Trio, with an opening A-section Minuet (mm. 1-68), a contrasting B-section Trio (69-132), and a return of the Minuet (133-183).¹⁷⁷ He also described the work as like a rondo. In fact, Schoenberg described the second (“Theme and Variations”), third, and fourth (“Rondo”) movements of the string quartet as similarly like a rondo. The basic form of the rondo—a recurring refrain separated by contrasting episodes—additionally describes a number of Schoenberg’s forms in the 1920s.¹⁷⁸ The rondo appealed to Schoenberg for a number of reasons. Its many thematic repetitions suited Schoenberg’s new mandate for comprehensibility.¹⁷⁹ Importantly for this study, the rondo’s typical alternation of themes and transitions (refrain—transition—theme 2—retransition—refrain) allowed for clear delineation of form, as discussed previously.¹⁸⁰

Schoenberg also described the “Minuet” A-section of the “Intermezzo” as similarly in a five-part rondo form: “A-B-A-B-A.”¹⁸¹ In the succeeding analysis, I will demonstrate how Schoenberg delineates this form through texture. Figure 2.5 displays the five-part rondo form of the first large-scale A section of “Intermezzo.” In this rondo, Schoenberg sets both the first (a)

¹⁷⁶ Christoph Wolff, “Schoenberg, Kolisch, and the Continuity of Viennese Quartet Culture,” in *Music of My Future: The Schoenberg Quartets and Trio*, ed. Reinhold Brinkmann and Christoph Wolff (Cambridge: Harvard University Press, 2000), 16-17.

¹⁷⁷ Schoenberg, “Analysis of the Third String Quartet,” 56.

¹⁷⁸ Hans Keller writes about the significance of the rondo form in Schoenberg’s works, even suggesting the Fourth Quartet contains rondo-like formations. Hans Keller, “Schoenberg: The Future of Symphonic Thought,” *Perspectives of New Music* 13, no. 1 (1974): 10-20. Jack Boss describes the String Trio Op. 45 as like a “sonata-rondo” in Boss, *Schoenberg’s Twelve-Tone Music*, 399. I believe a number of Schoenberg’s 1920s works can be described as rondo-like, including the Overture of the Suite, op. 29.

¹⁷⁹ Schoenberg, *The Musical Idea*, 123.

¹⁸⁰ William Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven* (New York: Oxford University Press, 1998), 231-233.

¹⁸¹ Schoenberg, “Analysis of the Third String Quartet,” 56.

and second (b) themes homophonically, signaling the thematic importance of the sections. Schoenberg separates each of these thematic zones with a transitional passage, marked by increases in textural complexity through the use of polyphony and thematic fragmentation.

Figure 2.5. Form of the “Minuet” in Schoenberg’s String Quartet no. 3, III, “Intermezzo.”

“Intermezzo,” “Minuet” A ¹ (mm. 1-68): a-b-a-b-a									
a ¹	TR ¹	b ¹	TR ²	a ²	TR ³	b ²	TR ⁴	a ³	coda
1-18	19-26	27-36	37-39	40-44	45-48	59-54	55-56	57-63	64-68
Homophonic	Polyphonic	H	P	H	P				Stasis

Homophony as Primary Theme Signal: a¹

In the “Intermezzo,” Schoenberg presents the first-theme group in a simple, clear homophonic texture, signaling the thematic importance of the section. The association of homophony with thematic importance, the first-theme group in particular, is a convention found throughout the classical tradition.¹⁸² Janet Levy writes that the clarity and consistency of a homophonic setting signals a “presentational passage” that will likely continue to a full statement—a signal that allows the listener to “relax and simply experience its unfolding.”¹⁸³ More recently, Ben Duane has confirmed and formalized the association of homophony and thematic importance in a corpus study of string quartets from the classical and romantic traditions.¹⁸⁴ Duane formalizes a series of “characteristics of prototypical thematic textures” that suggest thematic textures have: few textural strands, often just two; unambiguous textural hierarchies with a repetitive, subordinated accompanimental strand and a less repetitive

¹⁸² Berry, *Structural Functions in Music*, 240.

¹⁸³ Levy, “Texture as a Sign in Classic and Early Romantic Music,” 489-493.

¹⁸⁴ Duane, “Agency and Information Content in Eighteenth- and Early-nineteenth Century String-Quartet Expositions,” 103. Duane, “Thematic and Non-Thematic Textures in Schubert’s Three-key Expositions,” 40-41.

texturally prominent melodic strand; and a consistency of textural information, with the hierarchy changing little over time.¹⁸⁵

Example 2.18 reproduces the first thematic statement of the Intermezzo, mm. 1-6, in piano reduction. The bottom clef reproduces the accompanimental strand performed by the second violin and cello, and the top staff the melodic strand performed by the viola. Schoenberg presents the first theme in a simple, three-voice setting. He clearly subordinates the violin 2 and cello into a single, textural strand in numerous ways: they share a single rhythmic motif; exact onset and offset synchronicity; each line has the quality of pitch proximity, with the accompanimental lines restricted to step-like major and minor seconds; and the textural configuration remains unchanged over the six measures. The viola's melodic line gains prominence with its much less repetitive pitch and rhythmic structures, focusing the listener's attention on the viola line.

Example 2.18. String Quartet no. 3, iii, mm. 1-6, piano reduction.

Melodic strand:

Accompanimental strand: violin 2 and cello.

¹⁸⁵ Duane, "Thematic and Non-Thematic Textures in Schubert's Three-key Expositions," 41.

Repetition and Textural Progression (a¹, mm. 1-18)

To enhance the listener's comprehension of the first-theme group, Schoenberg repeats and varies the theme over the first eighteen measures, maintaining the texture throughout the passage. At the same time, Schoenberg slowly increases the textural complexity of the passage, creating a feeling of what Wallace Berry calls "textural progression." Berry writes that changes in the *qualitative* (classification of texture by dependence or interdependence of lines, such as changes from homophony to polyphony) and *quantitative* (the number of textural elements, like the number of voices) aspects of texture are "decisive in the shaping of musical structure" and the "delineation of forms and structures."¹⁸⁶ While the consistency of texture in mm. 1-18 signals formal stasis, small changes to the independence and number of accompanimental voices communicate progression through the form.

Example 2.19 reproduces mm. 7-10, putting the viola's melody in the top line for the sake of clarity. While the hierarchy remains unchanged, with little to challenge the leading status of the viola or subordinate status of the violin 2 and cello, the violin 2 and cello lines also subtly lose their interdependence. In measures 7-8, the two accompanimental instruments diverge from the precise pitch synchronicity of mm. 1-6; the violin 2 repeats notes while the cello changes notes. In m. 9, the violin 2 line disturbs the exact onset and offset synchronicity that characterized the first six measures. Both accompanimental lines increase in rhythmic activity and variety, creating a denser texture.

¹⁸⁶ Berry, *Structural Functions in Music*, 185-189.

Example 2.19. String Quartet no. 3, iii, mm. 7-10. The instrument grouping is reordered to clearly demonstrate the texture, with the melodic viola in the top line.

The musical score for Example 2.19 shows three staves: viola (vla), violin (vln), and cello (vc). The viola part is in the top line, violin in the middle, and cello in the bottom. The key signature is one flat (B-flat), and the time signature is 8/8. The score starts at measure 7 and ends at measure 10. The tempo is marked 'p' (piano) and the dynamics are 'p' and 'f' (forte). The score is annotated with 'comodulation disturbance' and 'onset disturbance'.

In mm. 11-15, the textural progression intensifies as the accompanying lines increase in rhythmic complexity and gain further independence (example 2.20). In mm. 11-12, more disturbances to the initial onset synchronicity create a subtle increase in textural independence among the accompanying voices. In mm. 16-18, the number of accompanying voices briefly doubles from two to four pitches, increasing the density and further cementing the feeling of textural progression over the section (example 2.21). In the final measure of the first-theme group, m. 18, the accompanying lines' independence increases as the violin and cello lose synchronicity completely, likely resulting in two textural strands.

Example 2.20. String Quartet no. 3, iii, mm. 11-15.

comodulation disturbance

Example 2.21. String Quartet no. 3, iii, mm. 16-18.

increasing density

independence

The first 18 measures of the intermezzo perfectly illustrate Schoenberg's approach to texture and form as described in the preceding sections of this chapter. The clear textural

hierarchy of this first-theme group focuses the listener's attention on the melody. This melody introduces the row and intervallic and rhythmic motives that will bring coherence and comprehensibility to the movement. The homophonic texture signals the thematic importance of the section. Throughout the section, Schoenberg repeats the structures multiple times, aiding in the listener's comprehension. At the same time, Schoenberg varies the primary theme and overall texture to create a subtle feeling of progression from simplicity to complexity over the course of the theme group.

Transition and Textural Complexity (TR¹, mm. 19-26)

While the clarity and simplicity of homophony traditionally signals areas of thematic importance, complexity and polyphony traditionally signal transitional or developmental areas.

Wallace Berry describes the role texture plays in formal delineation:

The procedures by which, in so many prototypical designs, formal delineation is one of relatively uncomplicated texture in thematic statement set against subsequent relatively diversified, sometimes intense, textural activity in developmental and variational processes, will be recalled by any experienced listener.¹⁸⁷

Building from the work of Wallace Berry and Janet Levy, Ben Duane confirms the association of polyphony with transitions in music of the common-practice era, adding that in transitions, textures are typically more complex, less hierarchical, and characterized by more concurrent textural streams.¹⁸⁸ Duane also has found that while primary theme zones are typically

¹⁸⁷ Berry, *Structural Functions in Music*, 240.

¹⁸⁸ Duane, "Thematic and Non-Thematic Textures in Schubert's Three-key Expositions," 44.

characterized by a single melody, transition zones frequently contain a second line with melodic characteristics in the form of a countermelody or competing second melody.¹⁸⁹

In mm. 19-22, Schoenberg dramatically increases the complexity of the texture, clearly signaling the passage's transitional quality and starkly delineating the movement's form (example 2.22). While a homophonic setting with only two textural strands characterizes the first-theme group, a polyphonic setting with no fewer than three independent strands characterizes the transition. Although the violin 1 likely projects to the fore of the surface due to its position in the highest register, both the violin 2 and cello compete for textural prominence. All three strands share little musical information, each characterized by their own contours, rhythmic patterns, and attack onsets. A relatively high amount of musical information in each line increases the ambiguity of the texture, allowing no clear textural hierarchy. The viola adds a fourth element to the texture, creating the first full, four-voice texture of the movement, but lacks the independence to create a full-fledged textural strand.

Example 2.22. String Quartet no. 3, iii, mm. 19-22.

¹⁸⁹ Duane, "Agency and Information Content in Eighteenth- and Early-nineteenth Century String-Quartet Expositions," 103.

The first transition section continues in mm. 23-26 (example 2.23). The “transitional” rhetoric of the passage intensifies as Schoenberg fragments the texture and varies the entrances of motives established in mm. 19-22. Schoenberg marks the transitional quality of the passage with two of his most transitional techniques: liquidation and stretto. As introduced earlier, liquidation is the process of removing characteristic features of a motive.¹⁹⁰ In the cello and viola, Schoenberg achieves this by reproducing the distinct rhythmic and durational features of the violin 1 melody in the previous four measures, but removes the contour and intervallic features that previously gave the line a distinct melodic shape. The second transitional technique, stretto, involves a compression of texture by moving motivic entrances closer together in time.¹⁹¹ Schoenberg uses the stretto technique in both the cello and viola, which vary entrances of the violin 1’s motive from the previous four measures, and the violin 1 and 2, which vary entrances of the cello’s line from the previous four measures.

Example 2.23. String Quartet no. 3, iii, mm. 23-26. Stretto and liquidation.

¹⁹⁰ Schoenberg, *Fundamentals of Musical Composition*, 178-181.

¹⁹¹ Schoenberg, *The Musical Idea*, 185.

In *Fundamentals of Musical Composition*, Schoenberg describes the importance of contrast in a transition: “The purpose of a transition is not only to introduce a contrast; it is, itself, a contrast.”¹⁹² Through texture, Schoenberg achieves such contrast between the first-theme group and first transitional passage of the intermezzo: homophony contrasts with polyphony; two textural strands increase to three; and full thematic statements give way to liquidated and overlapping motivic fragments. These textural elements are reinforced by traditional pitch techniques of transitional sections. For example, transition sections are typically defined by an increase in harmonic rhythm.¹⁹³ In mm. 1-6 of the intermezzo, the total aggregate is completed roughly every two measures (although the process is inexact). In mm. 19-22 of the transition, the aggregate is consistently completed every measure, doubling the tempo of the harmonic rhythm. In all musical parameters, Schoenberg clearly delineates the construction of the first theme with that of the transition.

Return to Homophony (b¹, mm. 27-36)

Just as it signaled thematic importance in the first-theme group, a return to homophony signals the arrival of the second-theme group, mm. 27-36.¹⁹⁴ Example 2.24 reproduces the b-section melody in piano reduction, mm. 27-30. As in the initial statement of the first theme, Schoenberg presents the initial statement of the second theme in a simple, three-voiced and two-strand homophonic setting. The accompanying instruments, the viola and cello, share rhythmic motives, onset and offset synchronicity, pitch modulation, and pitch proximity at the outset of the statement. The less repetitive melody in the violin 2 clearly projects to the fore of texture.

¹⁹² Schoenberg, *Fundamentals of Musical Composition*, 178.

¹⁹³ Caplin, *Classical Form*, 19. James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata* (New York: Oxford University Press, 2006), 94-95.

¹⁹⁴ Levy, “Texture as a Sign in Classic and Early Romantic Music,” 496.

(As is characteristic of his neoclassical works, Schoenberg creates an allusion to tonal tradition by beginning the second theme a perfect fourth below the first theme—i.e., G becomes D.)

Example 2.24. String Quartet no. 3, iii, mm. 27-30.

melodic strand: violin 2

poco meno mosso

accompanimental strand: viola and cello

Retransition (TR², mm. 33-39)

In m. 31, Schoenberg begins as if to repeat the second theme, but with a much thicker texture defined by three textural strands and four-pitch simultaneities (Example 2.25). In mm. 33-34, the thematic statement “dissolves” into a more transitional rhetoric defined by motivic fragmentation and liquidation. In mm.35-38, Schoenberg increases the transitional rhetoric of the passage (Example 2.26). The thematic quality of the second theme disappears completely, replaced with arpeggio-like fragments. In mm. 37-38, a highly fragmented and polyphonically dense texture unambiguously signals the transitional quality of the passage as Schoenberg compresses the motivic fragments into overlapping strettì entrances.

Example 2.25. String Quartet no. 3, iii, mm. 31-34. Dissolving second theme.

second theme strand

accompanimental strand 1

molto spiccato

pp

TR: fragmentation

molto spiccato

pp

pizz. arco pizz. arco

accompanimental strand 2

pp

molto spiccato

sf

Example 2.26. String Quartet no. 3, iii, mm. 35-39. Transition 2.

TR: polyphony, stretti fragments

35

37

p

p

mf

ff

ff

p

p

f

mf

ff

p

TR: fragmented arpeggios

p

mf

ff

mf

Recapitulation and Textural Progression (a², 40-44)

In m. 40, a return to homophony signals the return of the first theme (Example 2.27). In this recapitulation, Schoenberg continues the textural progression begun in the initial first-theme

group, creating a denser and more active texture by doubling the simultaneities in the accompanimental strand from two to four pitches and adding an active third strand in the cello. At the same time, Schoenberg ensures simplicity by deriving the four-note chords here from the two-dyads per measure of the opening: what were two accompanimental events become one, creating the same two-measure pace of aggregate completion.

Example 2.27. String Quartet no. 3, iii, mm. 39-44, Recapitulation.

The image displays a musical score for Example 2.27, String Quartet no. 3, iii, mm. 39-44, Recapitulation. The score is in 3/8 time and consists of four staves. The first system (measures 39-44) is enclosed in a dashed box. The first staff is labeled "first theme strand" and starts at measure 39 with a piano (*p*) dynamic. The second and third staves are labeled "thicker accompanimental strand" and also start at measure 39 with a piano (*p*) dynamic. The fourth staff is labeled "strand 3" and starts at measure 40 with a mezzo-forte (*mf*) dynamic. The second system (measures 42-44) is also enclosed in a dashed box. The first staff continues the first theme strand, starting at measure 42. The second, third, and fourth staves continue the accompanimental strands, starting at measure 42.

Additional Textural Signals

In the remainder of the “Minuet,” contrasts in texture continue to delineate the form as discussed previously, signaling traditional associations of form and texture. Schoenberg also continues the process of textural progression, adding more strands in the form of countermelodies in the return of the second-theme group (b², mm. 49-54.) and final first-theme recapitulation (a³, mm. 57-59). This process intensifies further in the large-scale return of the “Minuet” following the contrasting “Trio.”

Beyond the textural signals discussed thus far, Schoenberg refines his communication of form with a number of additional textural cues. Janet Levy writes that homorhythmic passages, such as unison or octave doublings, are “laden with semantic significance,” signaling important structural moments.¹⁹⁵ In the classical repertoire, homorhythmic passages commonly signal climax and closure.¹⁹⁶ In the 1920s, Schoenberg restricted the use of unison and octave doubling, feeling that doubling would emphasize a single pitch too strongly.¹⁹⁷ Schoenberg does, however, signal structural climax and closure through the use of homorhythmic doubling in the “Intermezzo.” In the first Minuet statement, Schoenberg signals the conclusion of the second-theme group’s restatement with a striking homorhythmic passage (Example 2.28). In the passage, a relatively dense and polyphonic second-theme statement is brought to dramatic conclusion with a fortissimo statement of the second theme in all four voices. A similar passage brings the entire movement to a dramatic conclusion in the final measures of the “Intermezzo” (mm. 178-179).

¹⁹⁵ Levy, “Texture as a Sign in Classic and Early Romantic Music,” 508-509.

¹⁹⁶ *Ibid.*, 511-520.

¹⁹⁷ By 1936, Schoenberg loosened this restriction, opening the third movement of his Fourth String Quartet with an intensely dramatic unison passage in four parts.

Example 2.28. String Quartet no. 3, iii, mm. 53-54. Homorhythmic doubling, signaling closure for the b^2 statement.

At times, Schoenberg himself discussed the ability of texture to signal form. Drawing from Schoenberg's own writings on texture and form in classical music, Silvina Milstein has described Schoenberg's use of "pedal textures" to imply resolution to one formal segment and create expectation for a subsequent section:

According to Schoenberg, the effect of such a long hold or "pause" resides in the suspense created by the question: "What will happen now that is different from before."¹⁹⁸

Schoenberg uses the textural and harmonic stasis of a pedal-like figuration to signal two important formal moments in the Intermezzo. The first signals the end of the "Minuet" and prepares the transition into the "Trio." In mm. 64-68 of the Minuet, the relative polyphonic complexity created by the large-scale textural progression gives way to striking textural stasis (Example 2.29). Schoenberg repeats this device in the retransition from Trio into the

¹⁹⁸ Milstein, *Arnold Schoenberg: Notes, Sets, Forms*, 66-67.

recapitulation of the Minuet. In mm. 128-132, Schoenberg signals the retransition following a fragmentary and complex polyphonic conclusion of the Trio with a sudden shift to a static and pedal-like texture (Example 2.30).

Example 2.29. String Quartet no. 3, iii, mm. 64-68. Pedal-like transition into the “Trio.”

The musical score for Example 2.29 is in 3/8 time and consists of four staves. The tempo is marked "Ruhig". The dynamics are marked as *fp*, *p*, *fp*, and *pp* across the staves. The music shows a transition from a more active texture to a static, pedal-like texture. The first staff has a *poco rit.* marking above it. The second and third staves have *fp* markings, and the fourth staff has *fp* and *pp* markings.

Example 2.30. String Quartet no. 3, iii, mm. 128-132. Pedal-like retransition into the “Minuet.”

The musical score for Example 2.30 is in 3/8 time and consists of four staves. The dynamics are marked as *p* across the staves. The music shows a retransition into a pedal-like texture. The first staff has a *p* marking, the second staff has a *p* marking, the third staff has a *p* marking, and the fourth staff has a *p* marking. The number 128 is written above the first staff.

2.7.2 Analytical Summary

We have discussed each formal section of the first Minuet, focusing on how texture delineates and expresses the function of each moment of the form. Homophony performs two important roles in the section. First, it signals formal importance to primary and secondary theme zones much as it did for composers from the common-practice era.

Second, as discussed in previous sections, homophony helps to highlight important motivic material that provides coherence to the work. Like in the first movement of the Fourth String Quartet, Schoenberg communicates both small-scale and large-scale structural information through a principal melody to provide coherence and comprehensibility to the Intermezzo. A brief explanation of the developing variation process in the Intermezzo reveals how Schoenberg combined the melodic technique with his textural signals to further aid in the intelligibility and coherence of the work.

At the small scale, Schoenberg aids in comprehension by constructing the primary theme from two basic rhythmic motives, labeled **a** and **b** in Example 2.31. Schoenberg creates variety within this repetitive construction by varying the contour and interval profiles, while creating motivic coherence through intervallic relationships. Interval classes 1 and 3 have importance throughout the work. Of the 21 intervals of the principal set, 12 are either interval class 1 or 3. Motives **a** and **b** are first related by these intervals: motive-**a** contains a descending minor third and minor second; motive **b** contains a descending minor second and ascending minor third.

Example 2.31. String Quartet no. 3, iii, mm. 1-6: Developing Variation

The image shows a musical score in 8/8 time, consisting of six measures. Motive 'a' is indicated by brackets above the first two measures, and motive 'b' is indicated by brackets above the last four measures. Below the first two measures, dashed lines connect the notes to interval labels: '-3, -1' under the first measure and '-1, +3' under the second measure. The score is written on a single staff with a treble clef and a key signature of one sharp (F#).

While Schoenberg's own discussion of developing variation was limited to the scale of a single theme or phrase, writers including Theodore Adorno, Josef Rufer, Walter Frisch, and Ethan Haimo have discussed the repetition and development of motivic material at larger formal scales as well.¹⁹⁹ In the intermezzo, similar procedures of motivic unity and development shape the form as well as the themes.

At the large scale, the minor third again plays an important motivic role (Example 2.32). It first appears as the opening interval of the primary theme, constructed from the Principal Set. In m. 7, the descending minor third also introduces the Variant-A set in a small-scale transition like melody. In the transition section, m. 19-20, Schoenberg uses a minor third or its inversion, a major 6th, to construct each voice, connecting the transition with the primary theme zone.

¹⁹⁹ For a summary of theorists applying developing variation to larger-than-theme analyses, see Walter Frisch, *Brahms and the Principle of Developing Variation* (Los Angeles: University of California Press, 1984), 1-29. See also, Haimo, "Developing Variation and Schoenberg's Serial Music," 349-65.

Example 2.32. String Quartet no. 3, iii, minor-third coherence.

The image shows a musical score for Example 2.32, titled "String Quartet no. 3, iii, minor-third coherence." It features four staves: Vln. I, Vln. II, Vla., and Vc. The key signature is one flat (B-flat) and the time signature is 3/8. The score is divided into three measures: m.1, m.7, and m.19. In m.1, a dashed oval labeled "m3" encircles the first two notes of the Vln. I staff. In m.7, a dashed oval labeled "m3" encircles the first two notes of the Vla. staff. In m.19, multiple dashed ovals labeled "m3" and "M6" are present. "m3" ovals are found in Vln. I (measures 1-2), Vln. II (measures 1-2, 3-4, 5-6, 7-8), Vla. (measures 3-4), and Vc. (measures 3-4). "M6" ovals are found in Vln. I (measure 2) and Vc. (measures 1-2).

Just as variation creates development at the scale of the theme, Schoenberg uses variation to create a sense of progression at the large scale as well (Example 2.33). In m.11, Schoenberg repeats the primary theme, preserving its contour and rhythm, but expands the minor third motive to two descending major thirds, derived from a variant form of the set.

Example 2.33. String Quartet no. 3, iii, Melodic Expansion

The image shows a musical score for Example 2.33, titled "String Quartet no. 3, iii, Melodic Expansion." It features two staves, both in treble clef, with a key signature of one flat and a time signature of 3/8. The score is divided into two measures: m.1 and m.11. In m.1, two dashed ovals labeled "ic3" and "ic1" are placed above the first two notes. In m.11, two dashed ovals labeled "ic4" and "ic4" are placed above the first two notes.

This major third version of the primary theme also connects the primary theme to the interval-class-four-based secondary theme, which consists of a descending minor sixth, followed

by an ascending major third (Example 2.34). When the secondary theme repeats, Schoenberg expands the intervals registrally as compound intervals: a compound descending major third and a compound ascending minor sixth.

Example 2.34. String Quartet no. 3, iii, IC 4 coherence

The image displays three staves of musical notation in treble clef, 3/8 time. The first staff, labeled 'm.11', shows a sequence of notes with two intervals marked 'ic4' (interval class 4) above the notes. The second staff, labeled 'm.27', shows a similar sequence with two 'ic4' markings. The third staff, labeled 'm.31', shows a sequence with two 'ic4' markings. The notes are: m.11: G4, A4, B4, C5, B4, A4, G4; m.27: G4, A4, B4, C5, B4, A4, G4; m.31: G4, A4, B4, C5, B4, A4, G4.

With its ability to both aid in listener comprehension by focusing a listener's attention on the principal melody and delineate and express formal structure, homophony became a key stylistic feature of Schoenberg's twelve-tone oeuvre in the 1920s and 30s. Throughout Schoenberg's 12-tone works, homophony plays an important role as described with regard to the Intermezzo, providing comprehensibility to his works, aiding in the perception of developing variation, and articulating form. Other examples from the 20s and 30s include the Scherzo of the Wind Quintet, The Suite for Septet, the Third Quartet, and the Fourth String Quartet (Example 2.35).

Example 2.35. String Quartet no. 4, I, mm. 20-22. End of first-theme homophony, beginning of TR polyphony.

First Theme Group **TR**

acc. strand mel. strand

m.20

Violin I

Violin II

Viola

Cello

fragmentation and imitation

sfp *sf* *sfp* *sff*

sfp *sfp* *sfp* *sfp*

sfp *sfp* *sfp* *sfp*

sfp *sfp* *sfp* *sfp*

As is evident in the examples from the Third and Fourth String Quartets, polyphony continued to play a role in the form of Schoenberg's 12-tone works. In fact, polyphonic textures might continue to constitute a majority of the measures of Schoenberg's 12-tone works as they did in his expressionist era.²⁰⁰ However, when comparing the expressionist works of the 1910s with the twelve-tone works of the late 20s and early 30s, one can observe a clear trend towards homophonic textures, with homophony receiving qualitative importance in the works' forms even if it seems to lack quantitative importance. Schoenberg himself seemed to believe that homophonic textures, with their clear principal melodies, solved many of the difficulties found in his early works. In 1936, when writing program notes for all four of his string quartets, Schoenberg put the homophonic Third and Fourth String Quartets in relief to the more contrapuntal First and Second String Quartets, saying of the later works: "Today many of these

²⁰⁰ Schoenberg inherited his sense of form from the Romantic era, in which transition and developmental sections often constitute proportionally large percentages of a work's overall form.

difficulties are no longer in existence and so the listener will easily recognize the principal themes, their use, variation and development.”²⁰¹

2.8 Conclusions

2.8.1 Schoenberg and Comprehensibility

In this chapter, I have attempted to outline Schoenberg’s efforts to make his music comprehensible. In the 1920s and 30s, Schoenberg viewed comprehensibility as necessary for composition in general and to ameliorate the complexity of his twelve-tone techniques in particular. While Schoenberg’s textures and forms provided comprehensibility using patterns established in the common-practice era, his pitch techniques were, obviously, still remarkably complex.

Many analysts, focusing on pitch, aim to elucidate the complexity of these pitch structures. Stephen Peles made this intention explicit in a 1992 article, saying, “...Schoenberg is difficult. [...] And it has been a pleasure... to have contributed, even in a modest way, to the celebration of that difficulty.”²⁰² Pitch analyses focusing on the complexity of Schoenberg’s method reveal the composer’s innovations in pitch structure, and analyses like Peles’s are necessary to understand Schoenberg’s place in the tradition of twentieth-century modernism.

On the other hand, a focus on only pitch gives an incomplete view of Schoenberg’s aesthetic mission. Many critics and scholars, neglecting Schoenberg’s treatment of form and texture, use his pitch structures to attack the composer as uninterested in the intelligibility of his

²⁰¹ Schoenberg Arnold, *Schoenberg’s Program Notes and Musical Analyses*, ed. Daniel Jenkins (New York: Oxford University Press: 2016), 349.

²⁰² Stephen Peles, "Continuity, reference, and implication: Remarks on Schoenberg's proverbial 'difficulty'," *Theory and Practice* 17, no. 1 (1992): 35-58.

music to the general public. The argument might be summarized as: “If we cannot understand Schoenberg’s music, then what artistic value does it have?”²⁰³ Recently, Phillip Ball made such an argument, even suggesting—wrongly—that a shortcoming of Schoenberg’s compositions is his supposed avoidance of convention, reference, and patterns known by his audience.²⁰⁴ As this chapter has demonstrated, Schoenberg did not avoid convention, reference, and patterns known by his audience, but embraced them to ensure intelligibility. Ball also suggests that Schoenberg was unaware of the complexities of his 12-tone method, which, as discussed in the previous section, is simply not true.²⁰⁵ One can argue that Schoenberg overestimated a listener’s ability to remember 12 pitches in non-tonal orderings, but he did understand the difficulty of the task and took steps to aid listeners in their comprehension.

Perhaps in response to the pitch-centric approach to Schoenberg analysis, some writers seem to overlook Schoenberg’s attempts at intelligibility. Joseph Swain, arguing that Schoenberg did not care about intelligibility, misquotes Schoenberg’s discussion of Mahler’s incomprehension of the First String Quartet, with Swain implying that Mahler found the pitch structures incomprehensible, saying: “And this a pre-serial work!”—clearly implying that Schoenberg’s pitch complexity would only increase later.²⁰⁶ But recalling the quote, it was not the pitch structure, which is the focus of Swain’s study, that made the music difficult, but the texture.

One must concede that in many respects, the arguments concerning perceptual opacity of a 12-tone row are valid. It is certainly difficult to remember a specific ordering of 12-notes, and

²⁰³ For an early example, see: Henry Pleasants, *The Agony of Modern Music* (New York: Simon & Schuster, 1955).

²⁰⁴ Philip Ball, "Schoenberg, serialism and cognition: Whose fault if no one listens?" *Interdisciplinary Science Reviews* 36, no. 1 (2011): 39-40

²⁰⁵ *Ibid.*, 39.

²⁰⁶ *Ibid.*, 134.

even more difficult to perceive the many transformations of the row through inversion, retrograde, and retrograde inversion.²⁰⁷

On the other hand, the idea that Schoenberg intended an audience to perceive these rows in their entirety might be more the assertion of modern music theorists than of Schoenberg himself. Schoenberg often suggested that a listener is meant to hear around the 12-tone structures, and not the structures themselves.²⁰⁸ Many Schoenberg scholars have recognized this. Michael Hicks, in his article "Serialism and Comprehensibility," explains that a listener's inability to identify tone rows is not an obstacle to comprehending twelve-tone music, "...because composers weave the pitches of their tone-rows into so many vertical and horizontal combinations, with so many dynamic, registral, and timbral differentiations, that it is clear the composer's intent is *not* to have the listeners identify 'tone rows' but to hear shapes, colors, textures, and so forth."²⁰⁹ Composer Roger Sessions defended Schoenberg's music on similar grounds in 1941 by saying:

It is not essential or even possible for the listener to apprehend [the twelve-tone row] in all its various transformations. He must listen to Schoenberg's music in exactly the same spirit as he listens to any music whatever, and bring to it the same kind of response. If he is fortunate he will from the first discover moments of profound and intense beauty which will tempt him further.²¹⁰

In 1944, Schoenberg responded to Sessions, saying:

And finally I want to mention what I consider the greatest value for a possible appreciation of my music: that you say, one must listen to it in the same manner as to every other kind of music, forget the theories, the twelve-tone method, the dissonances, etc., and, I would add, if possible the author.²¹¹

²⁰⁷ Ball, "Schoenberg, Serialism and Cognition," 31-38.

²⁰⁸ Arnold Schoenberg, "Letter to Rudolf Kolisch, Berlin, 27 July 1932," in *Arnold Schoenberg Letters*, ed. Erwin Stein, trans. Eithne Wilkins and Ernst Kaiser (London: Faber and Faber Limited, 1964), 164-165. Kolisch performed a row-counting analysis of the Third String Quartet.

²⁰⁹ Michael Hicks, "Serialism and Comprehensibility: A Guide for the Teacher," *The Journal Of Aesthetic Education* 25, no. 4 (1991): 76.

²¹⁰ Roger Sessions, "Schoenberg in the United States," *Tempo*, no. 103 (1972): 12.

²¹¹ Richard Taruskin, "The Poietic Fallacy," *The Musical Times* 145, no. 1886 (2004): 8-9.

As Stephen Peles stated, Schoenberg is difficult. Schoenberg's twelve-tone rows in their entirety might remain opaque to listeners due to their complexity, but the twelve-tone method was only one aspect of Schoenberg's style in the 1920s and 30s. Considering texture and form (among other musical parameters) reveals Schoenberg's concern for comprehensibility, intelligibility, and a connection to musical tradition. The works I have highlighted in this chapter represent the twelve-tone style as musical evolution, as Schoenberg himself viewed it, and not a strict musical revolution.²¹²

Indeed, the works considered in this chapter might be ideal for introducing Schoenberg's twelve-tone style to students and listeners. The *Intermezzo* of the Third String Quartet introduces many concepts that are significant to Schoenberg's style in a comprehensible and easily recognizable manner. It provides a clear linear statement of the row at the work's outset, in both prime and retrograde inversion. It also provides a clear introduction to Schoenberg's developing variation technique. The simple, two-voice accompaniment demonstrates Schoenberg's vertical procedures: the two-note vertical segmentation in the opening measures is then ornamented in a more complex fashion later. The second theme's simple, three-voiced and two-strand presentation provides a clear example of Schoenberg's partitioning techniques. The immediate restatement of the second theme then demonstrates a more complex partitioning. The work also provides simple introductions to chromatic completion and harmonic rhythm, as well as other important techniques. Finally, it introduces these techniques not only in a way that is comprehensible on the score, but its simplicity and subsequent progression towards complexity serves as a comprehensible introduction to hearing Schoenberg's procedures as well.

²¹² Arnold Schoenberg, "Revolution-Evolution, Notation (Accidentals)," in *Style and Idea* (New York: St. Martins Press, 1975): 353

2.8.2 A Historiography of Schoenberg and Twelve-tone Polyphony

If Schoenberg's twelve-tone works coincide with a clear trend towards homophonic textures, why have scholars since Schoenberg's time claimed the twelve-tone method was polyphonic in conception?²¹³

The public first became aware of Schoenberg's twelve-tone technique through the writings of his students and followers. Schoenberg was relatively silent on the technique until the 1940s. His first real explication of the technique to the public did not occur until 1934, when he discussed it in a lecture at Princeton. His first extended publication on the technique did not occur until 1950.²¹⁴

His students, on the other hand, introduced the technique to the public almost immediately following the first twelve-tone works. Schoenberg's student Erwin Stein was one of the first to publish on the technique in a 1924 article titled "New Formal Principles." At the time, the only real twelve-tone work available was the Suite for Piano, Op. 25, which is mostly polyphonic in construction, even featuring imitative counterpoint. Schoenberg's Wind Quintet similarly utilizes polyphonic textures, but even in this work one witnesses a simplification of texture: the textures are more clearly stratified and consistent when compared to the atonal works. For this reason, Stein discusses the polyphonic construction of the Suite and Serenade, and connects Schoenberg's early twelve-tone works to the "new era of polyphony" that defined

²¹³ For an excellent and detailed discussion of Schoenberg's reception as a polyphonist, see Sean Justin Finnegan, "Schoenberg, Polyphony, and Mode: A Reception of the Composer's Twelve-tone Method in American Publications c. 1925-1950," (unpublished master's thesis, University of North Texas 1995).

²¹⁴ John Covach, "Twelve-tone Theory," in *The Cambridge History of Western Music Theory*, ed. Thomas Christensen (New York: Cambridge University Press, 2002), 611; Reich, *Schoenberg: A Critical Biography*, 131-132.

his earlier, expressionist works.²¹⁵ Similar associations of the twelve-tone technique and counterpoint can be found by Berg, Ernst Krenek, and others.²¹⁶

A second factor in causing the twelve-tone technique to be viewed as inherently contrapuntal was René Leibowitz's 1947 biography, *Schoenberg and His School*, one of the first extended surveys of the style and techniques of Schoenberg, Berg, and Webern.²¹⁷ The introduction and first two chapters of the book trace the history of counterpoint and polyphony in Western music, creating a teleological view of Western music through advancements in polyphony leading to Schoenberg and his school.²¹⁸ Leibowitz's primary concern with this historical exposition is to connect the Second Viennese School to musical tradition through polyphony.

Just as Schoenberg's own thoughts on the twelve-tone technique were scarce in the 20s and 30s, his works following Op. 25 were also relatively hard to come by.²¹⁹ This meant the larger public was unaware of Schoenberg's swift turn towards homophony following the *Wind Quintet*, op. 26.²²⁰

Polyphony as a Valued Technique

A second reason for the association of Schoenberg and polyphony in the 1920s might also have been the "Back to Bach" zeitgeist of the 1920s, which valued polyphony and imitative

²¹⁵ Erwin Stein, "New Formal Principles," in *Orpheus in New Guises* (London: Rockliff Publishing, 1953), 59-61.

²¹⁶ See Berg's comparison of Schoenberg to J.S. Bach in the 1930 article "Credo," reproduced in Reich, *Schoenberg: A Critical Biography*, 129. See also: Ernst Krenek, *Studies in Counterpoint: Based on the Twelve-tone Technique by Ernest Krenek* (New York: G. Schirmer, 1940).

²¹⁷ Covach, "Twelve-tone Theory," 619.

²¹⁸ René Leibowitz, *Schoenberg and His School: The Contemporary Stage of the Language of Music*, trans. Dika Newlin (New York: Philosophical Library, 1949).

²¹⁹ Covach, "Twelve-tone Theory," 617.

²²⁰ Composer and theorist George Perle, for example, discusses this in: George Perle, *The Listening Composer* (Berkeley: University of California Press, 1990), 218.

counterpoint.²²¹ Richard Taruskin describes the “Back to Bach” mentality as an attempt for modern composers to associate their music with purity, objectivity, cultural elitism, and a rightful lineage to musical tradition.²²² For Schoenberg and his followers, scholars often argue that the evocation of Bach was one of “national...chauvinism.”²²³ The association of Schoenberg with Bach by Erwin Stein and Berg in the 20s and 30s are consistent with these efforts: Schoenberg’s followers cast him as the true descendent of Bach amidst a cultural war that prized polyphony and contrapuntal mastery above all else.²²⁴

Theodore Adorno’s association of polyphony with Schoenberg, on the other hand, asserted the artistic value of polyphony outside of its historical importance: as a source of true compositional labor and the only way to achieve the “full potential of music.”²²⁵ His discussion of Schoenberg and “Twelve-tone Polyphony” described the use of counterpoint in modern music not merely as a “matter of talent, or conviction, or even of what is known as style,” but as a “matter of the logic of music, the inexorable advance in the organization of the work of art.”²²⁶ In the essay, Adorno even justifies Schoenberg’s use of homophony as a concession for clarity in an otherwise contrapuntal aesthetic.²²⁷ In the end, however, it was Schoenberg’s contrapuntal thinking that gave his work value:

What is authentic about [Schoenberg] is the authoritative counterpoint, ultimately in the supreme sense that the form results from the relations of the voices to one another, the behavior of the contrapuntal elements, the interaction of the voices.

²²¹ For primary sources on these associations, see Scott Messing, *Neoclassicism in Music: From the Genesis of the Concept Through the Schoenberg/Stravinsky Polemic* (Ann Arbor: UMI Research Press, 1988), 131-154.

²²² Richard Taruskin, “Review: Back to Whom? Neoclassicism as Ideology,” *19th-Century Music* 16, no. 3 (1993): 286-302; Taruskin, *Music in the Early Twentieth Century*, 699-710.

²²³ Taruskin, “Back to Whom?” 299.

²²⁴ Finnegan, “Schoenberg, Polyphony, and Mode,” 23-26.

²²⁵ Keith Chapin, “Labor and Metaphysics in Hindemith’s and Adorno’s Statements on Counterpoint,” in *Apparitions: New Perspectives on Adorno and Twentieth Century Music*, ed. Berthold Hoeckner (New York: Routledge Press, 2006), 19-40.

²²⁶ Theodor Adorno, *Sound Figures*, trans. Rodney Livingstone (Stanford: Stanford University Press, 1999), 130-131.

²²⁷ *Ibid.*, 130.

Form itself becomes a function of the counterpoint, as it had not been since Bach, whose fugues once proclaimed the all-embracing nature of the contrapuntal method.²²⁸

Although Adorno connects Schoenberg to Bach, he reiterates that counterpoint in its own right provides value to Schoenberg's works: "Schoenberg ingeniously resolved the contradiction between twelve-tone technique and imitation, or thematic work in general, by using it as the source of an artistic effect in its own right."²²⁹

While many have cast Schoenberg as an heir to Bach and the twelve-tone method as contrapuntal in conception, Schoenberg's own writings on the matter often contradict such claims. This is not to say that Schoenberg did not connect his own works and style with Bach, for in fact, he did this on numerous occasions.²³⁰ At the same time, however, Schoenberg also associated himself with homophony and with the originators and masters of the developing variation technique through Mozart and Brahms.²³¹

A final reason for the association of Schoenberg and polyphony might come from a conflation of Schoenberg's earlier statements on the "emancipation of dissonance," which refers to counterpoint, and his later statements on "twelve tones related only to one another," which is about tonal hierarchies. Schoenberg's ideas on the "twelve tones related only to one another" has no real contrapuntal implications. Just as the tonal diatonic set can appear both polyphonically and homophonically, so can a composer present the twelve-tone technique in either mode.

²²⁸ Ibid., 138.

²²⁹ Ibid., 141.

²³⁰ Arnold Schoenberg, "National Music (2)," in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 173-174.

²³¹ Schoenberg, 1947, "Brahms the Progressive," In *Style and Idea*, 398-441.

Schoenberg's Thoughts on Texture

Beyond the musical evidence offered in this chapter, Schoenberg explicitly associated the twelve-tone method with homophony on the rare occasions that he discussed his twelve-tone technique. In a 1931 interview on Radio Berlin, Schoenberg described the development of the “apportioning of musical space” since Wagner, focusing on the relationship of melody and harmony. Schoenberg claimed that while Wagner and his followers believed that a tonic still provided coherence to their music, in fact, their constant and quick modulations had almost completely disrupted the feeling of a tonal center. Because of this, these composers wrote music that exceeded the cognitive limits of the human ear.²³² This music required a “reorganization” of musical space:

The reorganization and theoretical foundation then happened when I discovered the method of composition with twelve tones.

It is, with regard to the apportioning of musical space, approximately halfway between homophonic and polyphonic method.²³³

Schoenberg, prompted to describe the development of musical space since Wagner, offers his twelve-tone method and the method of developing variation as the solutions to the problems created by Wagner and his followers. Music since Wagner lacked coherence by disrupting the feeling of a tonal center; Schoenberg's new approach to composition, which evidences a clear trend towards homophony, addressed it. He continues to argue quite clearly that developing variation—a method he associated synonymously with homophony—solves the issue of coherence by relating sections of a form through melodic variation.²³⁴

²³² Arnold Schoenberg, “Discussion over Radio Berlin with Preussner and Strobel, March 30, 1931,” in *Schoenberg's Program Notes and Musical Analyses*, ed. Daniel Jenkins (New York: Oxford University Press, 2016), 61-63.

²³³ *Ibid.*, 63

²³⁴ In 1936, Schoenberg again expressed his belief that the complicated contrapuntal style of the First String Quartet was the reason for its incomprehensibility, leading to the riots that ensued at the first performance. He then stated that his later works corrected that problem in their use of homophony: “Today many of these difficulties are no

Schoenberg viewed all serious uses of homophony (as opposed to “popular” music) as having a degree of contrapuntal shaping in subordinate voices. For Schoenberg, this did not constitute real counterpoint, but instead homophony with “quasi-counterpoint.” Schoenberg reserved the label of counterpoint for music with imitation. In 1941, Schoenberg even warned against the labeling of counterpoint in his most imitative twelve-tone works. As discussed above, Schoenberg’s op. 25 Suite for Piano uses imitative textures in a twelve-tone context. But even here, Schoenberg views the work as primarily consisting of a textural hierarchy in which the principal melody is paramount to comprehending the piece. After pointing out canonic imitation in the Trio of the Suite’s “Menuet,” Schoenberg writes: “The possibility of such canons and imitations, and even fugues and fugatos, has been overestimated by the analysts of this style.” Schoenberg then reiterates a point he had been making since the 1920s: that true counterpoint only has meaning in the handling of consonances and dissonances; with dissonances “emancipated,” counterpoint in twelve-tone music is too easy, for “everything is allowed.” He continues:

However, the meaning of composing in imitative style here [in twelve-tone music] is not the same as it is in counterpoint. It is only one of the ways of adding a coherent accompaniment, or subordinate voices, to the main theme, whose character it thus helps express more intensively.²³⁵

Imitation—“one of the ways of adding a coherent accompaniment”—quickly fell into disuse for Schoenberg following the Suite Op. 25, and more homophonic accompaniments would dominate his subordinate voices in sections of formal importance. In 1935, Schoenberg again distanced his compositional practices from the label of counterpoint after Olin Downes called the *Variations*

longer in existence and so the listener will easily recognize the principal themes, their use, variation and development.” Schoenberg and Jenkins, *Schoenberg’s Program Notes and Musical Analyses*, 349.

²³⁵ Schoenberg, “Composition with Twelve Tones,” 235.

for Orchestra a “Chinese puzzle of contrapuntal calculation.” Schoenberg writes (in poor English):

Although the aspect of my scores seems to be alike counterpoint, and although the use of vertical and horizontal inversions origins [sic] from the contrapuntal methods, I do not believe that my style has to be called a contrapuntal one. Firstly, I find already in the contrapuntal style inversions have for themselves no contrapuntal meaning but only one of motivic utilization. Therefore, (2ndly), you find it also in homophonic compositions.²³⁶

Although Schoenberg often associated himself with Bach, he also frequently attempted to dissociate himself from the neo-polyphony movement of the 1920s. From the beginning of the twelve-tone period to his final writings on music, Schoenberg attacked the artistic value of atonal polyphony. Schoenberg’s primary complaints regarding “neo-polyphony” center on the differences between tonal and atonal counterpoint. Tonal counterpoint receives its value from the treatment of dissonances and exact repetition of the musical idea. Schoenberg wrote in 1948 that ‘atonal’ polyphony:

would in itself be worthless. You know what I think of *contrapuntal* combinations and that they can scarcely amount to anything of real merit in dissonant non-tonal harmony. Apart [from that]—it’s an experiment I never tried...²³⁷

Without the careful treatment of dissonance, atonal polyphony, including atonal fugues and canonic imitation, “is a little too easy under these circumstances.”²³⁸ Imitation in atonal music, for Schoenberg, was merely a stylistic element: what he called “imitation-imitation.” He likened the anachronistic borrowing of imitation from older styles to rummaging for antiques, calling it “the stuff we found in junk shops.”²³⁹ In a 1931 essay titled “Linear Counterpoint,” Schoenberg

²³⁶ Arnold Schoenberg, “Draft of a letter to Olin Downes, October 1935,” in *Schoenberg’s Program Notes and Musical Analyses*, ed. Daniel Jenkins (New York: Oxford University Press, 2016), 343.

²³⁷ Arnold Schoenberg, “Letter to René Leibowitz, March 15th, 1948 in *Arnold Schoenberg Letters*, ed. Erwin Stein, trans. Eithne Wilkins and Ernst Kaiser (London: Faber and Faber Limited, 1964), 253.

²³⁸ Schoenberg, “Composition with Twelve Tones (2),” 248.

²³⁹ Schoenberg, 1931, “Linear Counterpoint,” in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 292.

again attacked the artistic value of atonal polyphony and the use of canons and imitation in new music: “One hardly need waste words on the canons—they bear witness to the most utter ignorance, so far as understanding the essence of contrapuntal composition is concerned.”²⁴⁰

With his concern for intelligibility, Schoenberg often rejected atonal polyphony due to its complexity. In his 1946 essay, “New Music, Outmoded Music, Style and Idea,” Schoenberg again negatively appraised “a kind of polyphony, substituting for counterpoint, which because of its inexact imitations, would have been held in contempt as ‘Kapellmeistermusic,’ or what I called ‘Rhabarber counterpoint.’”²⁴¹ The label “Rharbarber” counterpoint attacks not only the lack of artistic value in atonal polyphony, but also its complicated sound:

The word “Rhabarber” ... sounded to the audience in a theatre like a rioting mob. Thus the counterpoint, thematically meaningless, like the word ‘rhubarb’, sounded as if it had real meaning.²⁴²

It is possible that homophony provided Schoenberg a way to distinguish his twelve-tone style from the new polyphony of the “Back to Bach” movement. As early as 1923, Schoenberg began to emphasize the importance of homophony in his works. In two unpublished essays on “Polytonalists,” Schoenberg puts his techniques in opposition to the trends of other modernist composers.²⁴³ In the second essay, Schoenberg compares his use of homophony to that of his contemporaries, claiming that while *they* use homophony to shallowly evoke the past, his own use of homophony was intrinsic to his method of composing, thereby justifying his use of the texture and connecting his works to a tradition of homophony more thoroughly. In essence,

²⁴⁰ Ibid., 293.

²⁴¹ Arnold Schoenberg, “New Music, Outmoded Music, Style and Idea,” in *Style and Idea: Selected Writings of Arnold Schoenberg*, ed. Leonard Stein, trans. Leo Black (New York: St. Martins Press, 1975), 120.

²⁴² Ibid., 120.

²⁴³ Arnold Schoenberg, “Polytonalists [I],” in *Schoenberg’s Program Notes and Musical Analyses*, ed. Daniel Jenkins (New York: Oxford University Press, 2016), 89-91.

Schoenberg believed his homophonic structures evolved from those of traditional composers, were tied to his twelve-tone technique, and were not mere evocations of the past.²⁴⁴

Schoenberg's twelve-tone method was homophonic in conception insofar as Schoenberg believed a principal melody intelligibly communicated coherence and form. This organization of musical space emphasized the principal melody and addressed problems of coherence that, Schoenberg believed, plagued Wagner, his followers, and Schoenberg himself in his early atonal works. The subordinate voices expressed the qualities of the row-based melody in a vertical, chordal way.²⁴⁵ P. Murray Dineen, in his exploration of Schoenberg's idea of counterpoint, comes to the same conclusion: "Schoenberg did not relate the concepts of contrapuntal and twelve-tone composition in his writings. He apparently conceived of a twelve-tone work as being essentially homophonic; contrapuntal imitation served only in deriving subordinate voices [.]"²⁴⁶

2.8.3 Conclusion Postscript: Schoenberg as the Boogeyman

To conclude, let us return to the *New York Times*—specifically the article, "Schoenberg, Bach, and Us," by Schoenberg scholar Daniel J. Wakins. For this article, Wakins interviewed James Levine, John Harbison, and Charles Wuorinen, discussing the legacy of Schoenberg and serialism. The group ponders why Schoenberg is rejected so vehemently by some listeners.

Harbison responds, "He's a bogeyman [sic]. He's like a bad wolf, useful in a kind of stirring-up-

²⁴⁴ Arnold Schoenberg, "Polytonalists [II]," in *Schoenberg's Program Notes and Musical Analyses*, ed. Daniel Jenkins (New York: Oxford University Press, 2016), 91-92.

²⁴⁵ Schoenberg's further elucidates his "melody plus harmony" conception of twelve-tone music immediately after this in the Radio Berlin interview: "The underlying twelve-tone row, invented and retrospectively designed in the same way that every careful composer who possesses a brain and a conscience has always done, this row fulfills the role of the scale and the motive at the same time. *This means: as the melodies used to be formed from the scale, so it is here. As the chords used to be formed from the scale, so it is here.*" Schoenberg, "Discussion over Radio Berlin," 63.

²⁴⁶ Murray Dineen, "The Contrapuntal Combination: Schoenberg's Old Hat," in *Music Theory and the Exploration of the Past*, ed. David W. Bernstein and Christopher Hatch (Chicago: University of Chicago Press, 1993), 444.

the-waters way,” implying that part of Schoenberg’s poor reception comes from a public perception of him as revolutionary.²⁴⁷ As mentioned above, Schoenberg shared that evaluation. In 1923, Schoenberg wrote to a friend: “I do not attach so much importance to being a musical bogy-man as to being a natural continuer of properly understood good old tradition!”²⁴⁸

²⁴⁷ Daniel J Wakin, “Schoenberg, Bach, and Us,” in *The New York Times* March 27, 2005. <https://www.nytimes.com/2005/03/27/arts/music-schoenberg-bach-and-us.html>

²⁴⁸ Schoenberg, “Letter to Werner Reinhart, July 9, 1923,” 100.

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Chapter 3: “By Apprenticeship or By Inventiveness”: The Influence of Galant Style From Stravinsky’s *Pulcinella* to *Apollo*

3.1 Introduction

This chapter traces the importance of pre-classical, galant music in Stravinsky’s shift from the oft-labelled “ultra-modernist” style of the 1910s to the simplicity and clarity of the neoclassical style, lasting from the 1920s to the 1950s. The chapter proceeds in two parts. First, I trace Stravinsky’s change in style following *The Rite of Spring* up to his 1920 ballet *Pulcinella*, in which he first closely engaged with galant works. I argue that the galant style of *Pulcinella* fulfilled an aesthetic change for which he had been searching: from the highly individualistic musical language of the Romantic era to the anti-individualistic classicism of his neoclassical phase. I then analyze Stravinsky’s treatment of the galant works in *Pulcinella*, revealing both a continuity in compositional techniques with his earlier compositions and an anti-individualistic approach to composition I call “Emergent Form.” In the second part of the chapter, I reveal Stravinsky’s continued use of galant techniques in his works immediately following *Pulcinella*, from the *Octet* to *Apollo*, providing insight into the development of his mature neoclassical style. In this section, I will demonstrate Stravinsky’s shift from a highly eclectic style based on borrowing, as in the *Octet*, to an increasingly organic and less referential neoclassicism, as in *Apollo*. Overall, the chapter reveals a continuity across all style periods, with Stravinsky maintaining his modernist approach to texture, rhythms, and harmonization, but changing his approach to pitch from the highly modernistic chromaticism of his pre-*Pulcinella* works to the diatonicism and borrowed galant patterns of his neoclassical phase.

One of the goals of this chapter is to demonstrate the importance of *Pulcinella* and the galant style Stravinsky discovered in its composition. Many scholars have rejected the importance of *Pulcinella*, claiming it was a mere arrangement and not a significant artistic statement.¹ Richard Taruskin, for example, has stated:

Its importance as the ostensible launching pad for Stravinsky's neoclassical period has been much exaggerated. It was not a project Stravinsky would have undertaken on his own initiative, and it had little to do with his creative interests at the time.²

I will contest this perception from a number of angles. First, I will demonstrate that Stravinsky's shift in style toward the objectivity, simplicity, diatonicism, and anti-individualism of his neoclassical phase began as early as 1915, well before *Pulcinella*, which suggests it did fit his creative interests at the time. Second, I will demonstrate that, far from a single set of arrangements, *Pulcinella* represents a unified artistic product with clear artistic goals accomplished by Stravinsky's artful control of authorial expression. As Taruskin has noted, *Pulcinella* opens with relatively unaltered works from the galant era; as *Pulcinella* progresses, Stravinsky slowly and deftly increases his manipulation of the sources, creating a seamless transformation of style before ending the ballet with movements that must be counted as Stravinsky originals.³ I call this process of stylistic emergence "Emergent Form." Finally, I will reveal Stravinsky's continued use of conventional galant contrapuntal patterns—often called galant schemata—in each of his neoclassical works from 1920 to 1928. There can be little doubt that Stravinsky first intimately encountered these patterns in *Pulcinella*, likely recognizing the "objective" and universal language of the pre-classical era during his study of the sources.

¹ Martha Hyde, "Stravinsky's Neoclassicism," in *The Cambridge Companion to Stravinsky*, ed. Jonathan Cross (New York: Cambridge University Press, 2003), 110-111.

² Richard Taruskin, "Parody as Homage," 61, in *Stravinsky's Pulcinella: A Facsimile of the Sources and Sketches*, ed. Maureen Carr (Middleton, Wis.: A-R Editions, 2010), 61.

³ *Ibid.*, 61.

3.1.1 The Look in the Mirror

While scholars and critics have rejected the importance of *Pulcinella*, Stravinsky himself considered it significant to his neoclassical style:

Pulcinella was my discovery of the past, the epiphany through which the whole of my late work became possible. It was a backward look, of course—the first of many love affairs in the direction—but it was a look in the mirror, too.⁴

I would like to draw special attention to Stravinsky's statement that "it was a look in the mirror," before embarking on the analysis of *Pulcinella*. To truly understand the significance of the work to Stravinsky's neoclassical phase, one must first delve into Stravinsky's stylistic transformation that was already underway when the *Pulcinella* manuscripts arrived in his possession. In other words, one must ask, "What was in the mirror?"

Ulrich Mosch has already answered this question, stating that Stravinsky found *Pulcinella* appealing in the late 1910s because it was "not burdened with expression."⁵ In the subsequent section I will expound on how the galant sources of *Pulcinella* reflected Stravinsky's own pre-*Pulcinella* search for an anti-Romantic style, one replacing the subjective expressions of the nineteenth century with the objective musical language of the classical and pre-classical eras. I will then discuss how Stravinsky's treatment of the sources in *Pulcinella* reflected his own search for an anti-individualistic and anti-modern style predating and coinciding with his composition of *Pulcinella*.

⁴ Igor Stravinsky and Robert Craft, *Expositions and Developments* (Garden City, N.Y.: Doubleday, 1962), 113.

⁵ Ulrich Mosch, "A Look in the Mirror: Thoughts on the Modernity of *Pulcinella*," in *Stravinsky's Pulcinella: A Facsimile of the Sources and Sketches*, ed. Maureen Carr, trans. by J. Bradford Robinson (Middleton, Wis.: A-R Editions, 2010), 51.

3.1.2 Neoclassicism, Anti-Modernism, and Anti-Individualism

To understand Stravinsky's stylistic shift from *The Rite of Spring* to *Pulcinella*, one must first understand his public reception around the time of *The Rite*. Following *Petrushka* and *The Rite of Spring*, Stravinsky gained a reputation throughout the musical world of the 1910s as the "King of the Ultra-Moderns," as a composer of musical "futurism," and as a destroyer of tradition.⁶ Henry Prunières called him "a young barbarian," "breaking everything in a drunken access of blind destruction, and dancing frenziedly on the ruins of the civilized world."⁷ In 1924, French critic Boris de Schloezer reflected on the reputation of Stravinsky as being too concerned with a musical aesthetic of "tomorrow," and therefore not accessible to "today's" audience:

[I]t appears at first glance that Stravinsky is the musician of the day, but in reality he is opposed to the present: he contradicts it: the great success that he won with *Petrushka*, the *Rite*, *Les Noces*, and the influence that he exercises on young people almost everywhere demonstrates the power of his action, but this violently thwarts the natural course of our time in so far as the present comes from the past and continues it by inertia. Stravinsky is not the man of the day, but rather that of tomorrow.⁸

With Stravinsky's reputation as history's foremost musical revolutionary, his turn to neoclassicism beginning around 1920 was understandably met with skepticism and rejection among critics. Stravinsky described the inimical reaction of his once staunch supporters, claiming that he was "attacked for being a pasticheur, chided for composing 'simple' music," and "blamed for deserting 'modernism'."⁹ What, asked Aaron Copland, led Stravinsky, "who had created...a style that everyone agreed was the most original in modern music," to suddenly make an "about-face" and adopt a style "that bore no conceivable resemblance to the individual

⁶ Lawrence Gilman, "Music of the month: From Stravinsky to Sibelius," *The North American Review*, January, 1922, 215, 794.

⁷ Henry Prunières, "The Younger Composers of France; Esthetic Tendencies of Generation," *New York Times*, August 29, 1926; x7.

⁸ Boris de Schloezer, "Concerto pour piano, de Stravinsky," *La Revue Musicale* 5, no. 9 (July 1924): 68-69.

⁹ Donald Mitchel, "Stravinsky and Neo-Classicism," *Tempo*, no. 61/62 (1962), 10.

style” of *The Rite*?¹⁰ If Stravinsky was a futurist, why the sudden turn to the past? As another critic put it in 1922, “Why this hateful ‘backward march’ in the time machine?”¹¹

Throughout the 1920s and 1930s, as Stravinsky initially formed and developed his musical and rhetorical ideas of neoclassicism, the composer regularly discussed his reasons for abandoning the style of *The Rite of Spring*. Before examining these ideas in their nascency, let us first benefit from Stravinsky’s mature and fully formed ideas from the vantage of his 1939 *Poetics of Music*—written nineteen years into his thirty-one-year neoclassical phase. In this work, Stravinsky most cogently discusses the issues of anti-modernism and anti-individualism—matters that I believe are crucial to understanding the influence of classical and pre-classical galant styles on Stravinsky’s neoclassicism.

While many considered Stravinsky as the foremost musical revolutionary of the early twentieth century, Stravinsky himself vehemently rejected the label from the outset. In 1926, the *New York Times* recounted that Stravinsky “threw up his hands today in protest when asked if his music was revolutionary” and declared: “There is no word in the dictionary I loathe more than the word ‘revolution’[...] I merely claim my music is alive, is healthy and has vigor.”¹² Thirteen years later, Stravinsky found it necessary to open *Poetics* with a similar attempt to revise his public perception:

I am well aware that there is a point of view that regards the period in which *The Rite of Spring* appeared as one that witnessed a revolution. [...] I was made a revolutionary in spite of myself. [...] It is always necessary to guard against being misrepresented by those who impute to you an intention that is not your own.¹³

¹⁰ Aaron Copland, *Aaron Copland: A Reader: Selected Writings, 1923-1972*, ed. Richard Kostelanetz (New York: Routledge, 2004), 52.

¹¹ Richard Taruskin, *Stravinsky and the Russian Traditions* (Berkeley: University of California Press, 1996), 1596.

¹² “Stravinsky Defends His Musical Ideas,” *The New York Times*, July 10, 1926, 5.

¹³ Igor Stravinsky, *Poetics of Music in the Form of Six Lessons* (Cambridge: Harvard University Press, 1947): 9-10.

The contemporary zeal over musical “revolution” was far from a truly modern invention—it was by then passé to Stravinsky and only held “prestige among yesterday’s elite.”¹⁴ For Stravinsky, revolutionary “progress” was a quintessentially Romantic ideal, which in the early twentieth century had reached an anti-artistic cul-de-sac. The Romantic composers initiated a continuous destruction of tradition in the name of “progress,” with each generation discarding the language of its predecessors to create an individualistic language unique to itself. Stravinsky assessed the effect such revolutionary tendencies had on the state of modern music: “It just so happens that our contemporary epoch offers us the example of a musical culture that is day by day losing the sense of continuity and the taste for a common language.”¹⁵ In the absence of a common language:

Individual caprice and intellectual anarchy, which tend to control the world in which we live, isolate the artist from his fellow-artists and condemn him to appear as a monster in the eyes of the public; a monster of originality, inventor of his own language, of his own vocabulary, and of the apparatus of his art. The use of already employed materials and of established forms is usually forbidden him. So he comes to the point of speaking in an idiom without relation to the world that listens to him. His art becomes truly unique, in the sense that it is incommunicable and shut off on every side.¹⁶

To aid in the perception of their unique and incommunicable languages, Stravinsky explained that Romantic composers became reliant on extra-musical references: impressionistic programs and the evocation of “subjective” emotions or psychological states gave “coherence” and “unity” to these works. Therefore, Stravinsky saw this “progress” in music as inherently unmusical, reaching its height with Wagner’s destruction of the “purely musical form” in favor of his total synthesis of the arts.¹⁷ “Is that what is called progress?” Stravinsky asked. “Perhaps,”

¹⁴ Ibid., 11.

¹⁵ Ibid., 73.

¹⁶ Ibid., 73-74.

¹⁷ Ibid., 43.

Stravinsky answered, before turning to Wagner's antithesis, Verdi, for a way forward: "Unless composers find the strength to shake off this heavy legacy by obeying Verdi's admirable injunction: 'Let us return to old times, and that will be progress.'"¹⁸

In opposition to Romanticism's anarchy, Stravinsky returns "to old times" to give a very different picture of the classical composers:

We can notice, going back to the example of Mozart and Haydn, that they benefited from the same culture, drew on the same sources, and borrowed each other's discoveries. Each of them, however, works a miracle all his own.¹⁹

In contrast to the individualism of modern Romanticism, the composers of the classical style each spoke a common musical language. Bach, Handel, and Vivaldi "quite evidently spoke the same language," a language repeated by their disciples.²⁰ Rather than revolution, classical composers created "evolution" in musical language.²¹

Stravinsky assessed that Romantic and modernist composers' fear of repetition arose from a fundamental misunderstanding of tradition:

Far from implying the repetition of what has been, tradition presupposes the reality of what endures. It appears as an heirloom, a heritage that one receives on condition of making it bear fruit before passing it on to one's descendants.²²

Therefore, tradition never belongs solely to the past, but instead, much like an heirloom in the botanical sense, "it is a living force that animates and informs the present."²³

Most importantly, the communal language of the living tradition, for Stravinsky, was not only a necessity of art, it was art itself. "Art," explains Stravinsky, is "artifice": it is not depicting nature, but bringing "order" to nature's inspiration.²⁴ The tonal elements of music, for example,

¹⁸ Ibid., 43.

¹⁹ Ibid., 71.

²⁰ Ibid., 74.

²¹ Ibid., 71.

²² Ibid., 57.

²³ Ibid., 56.

²⁴ Ibid., 24.

are not given meaning by nature, but instead become music “by virtue of their being organized, and that such organization presupposes a conscious human act.”²⁵ True musical arts, therefore, have an objectivity to them. A listener does not need to imagine a connection between the sounds and some narrative program, or form some subjective impression from the music, as is necessary with Romantic music. Instead, what is communicated arises from an internal logic fashioned by the composer and made communicable by a common language.

Classical composers aimed to create such an objective, artificial, communal language.

Their successors obtained it through apprenticeship and evolved it through inventiveness:

Art in the true sense is a way of fashioning works according to certain methods acquired by apprenticeship or by inventiveness. And methods are the straight and predetermined channels that insure the rightness of our operation.²⁶

Stravinsky’s neoclassical phase tapped into the communal language of that “living” tradition. He first recognized its value in *Pulcinella* and began his “apprenticeship” in that language in the 1920s. Although *Pulcinella* marked Stravinsky’s discovery of the communal and objective language of the classics, it did not mark his first attempts at combating Romanticism, or his first attempts at creating an objective language. While it was his “discovery of the past,” it was also a “look in the mirror”; Stravinsky found something of himself in the ballet’s galant sources. The next section explores what Stravinsky found in the mirror—a reflection of a stylistic search begun in 1915.

²⁵ Ibid., 23.

²⁶ Ibid., 24.

3.1.3 Initial Pursuits Toward Objectivity and Simplicity

For many, what made *The Rite of Spring* so revolutionary and laudable was its strong evocations of emotion, psychological primitivism, and impressionistic sonorities, and it was those very qualities that they found lacking in Stravinsky's earliest neoclassical works. Reviewers were consistently baffled that the author of *The Rite* would produce music so diametrically opposed to the work that brought him fame. Reviewing the *Concerto for Piano and Winds, L'echo* discussed this dramatic change from a music that expressed so much to the objectivity of "music for music's sake":

So after some remarkable works, attractive because of their picturesque and daring novelty, we are witnessing the gradual instability of a talent that took the appearance of a music for music itself.²⁷

"Music for music itself," of course, refers to what Stravinsky would term "objectivity": a language made sufficient by the music itself. *La Liberté* wrote a similar yet even more scathing review of the *Octet*:

The case of M. Stravinsky is strange and disturbing. Here is a musician from whom, in the past, music seemed to flow, abundant and fresh like mountain water. Formerly, this was the time of *The Rite of Spring* and of the *Firebird*. [...] He was a poet. The dissonant harmonies that he poured out, the combinations of timbres that he created [...] gave his work opulent, barbaric, and delicious colors. Beneath it all there was emotion and thought.

Then all of a sudden, it was a dry season, M. Stravinsky began to produce music that was stunted, twisted, and bristling with spines. [...] And the worst is that M. Stravinsky no longer considers his audacious harmonies and instrumentations as a way to express his emotion. The means become the goal.²⁸

The author continued, expressing a "regret" "to see M. Stravinsky's art diminish" and to "witness a beautiful genius, suddenly become dry and hard."²⁹

²⁷ "Concerto pour le Piano, de Stravinsky," *Le Revue Pleyel* 1, no. 10 (July 1924): 27-28.

²⁸ "L' 'Otetto', d'Igor Strawinsky," *Le Revue Pleyel* 1, no. 3 (December 1923): 22-26.

²⁹ *Ibid.*, 22-26.

While the success of *The Rite* provided a foil for those doubting the earnestness of Stravinsky's early neoclassical works, Stravinsky's shift in style from the "subjectivity" of *The Rite* to the "objectivity" of the *Octet* began almost immediately following the early ballets. Scott Messing, in his *Neoclassicism in Music*, explains that much of the language adopted to explain Stravinsky's neoclassical works of the 1920s—including the metaphors "simple," "straightforward," "objective," "pure," and "concise"—were first utilized by Stravinsky and his advocates as early as 1915.³⁰ Messing connects Stravinsky—citing influences from Satie, Cocteau, and Picasso—to the broader artistic trend in the Parisian avant-garde commonly referred to as *l' esprit nouveau*, a movement prizing simplicity, juvenilia, objectivity, and overall anti-Romanticism (often manifesting as anti-Germanism).³¹ Stravinsky's attacks on ambiguity and impressionism can be traced as far back as a 1915 interview, in which the composer claimed his music was "straightforward expression" in "the simplest form."³²

Those close to Stravinsky used similar rhetoric in the press to describe Stravinsky's post-*Rite* style. Ernest Ansermet described Stravinsky's *Three Pieces for String Quartet* (1914, 1918) as "absolute music in the true sense of the word, that is to say, music innocent of any and all suspicion of a literary or philosophic program."³³ In 1919, still a year before the premiere of *Pulcinella*, Ansermet explained the same work as intended to suggest "neither situations nor emotions."³⁴ Leigh Henry, in a 1919 article on Stravinsky's style in *The Musical Times*, explained Stravinsky's pre-*Pulcinella* style with the most frankly neoclassical terminology. In the article, Henry used the term "objectivity" ten times in reference to Stravinsky and distanced

³⁰ Scott Messing, *Neoclassicism in Music* (Ann Arbor: UMI Research Press, 1988): 75-109.

³¹ *Ibid.*, 89-96.

³² *Ibid.*, 89.

³³ *Ibid.*, 99.

³⁴ Glen Watkins, *Proof Through the Night: Music and the Great War* (Berkeley: University Press, 2003), 125.

the composer from the “subjectivism” of impressionism and Romanticism yet a few times more.³⁵ Henry described Stravinsky’s music in starkly anti-Romantic and anti-individualistic terms:

No confusion, no emotional hysteria, is ever discernible in his work. [...] In Stravinsky’s compositions...nothing is... artificially supplemented by sentiment or subjective feeling or associations. He states; he does not expound.³⁶

In 1920, still before the premiere of *Pulcinella*, Henry refined his notion of Stravinsky’s objectivity and, presaging the language of Stravinsky’s *Poetics*, the “constructional” nature and “technical artifice” in Stravinsky’s music.³⁷ In an article titled “Igor Stravinsky and the Objective Direction in Contemporary Music,” Henry described Stravinsky’s style with the neoclassical terms “clarity,” “brevity,” and “objectivity” as features that distinguished his work from the subjectivity and extra-musicality of Romanticism.³⁸

The *Suite* from *The Soldier’s Tale* and the *Three Pieces for Clarinet* received similar anti-Romantic receptions. The London-based *Daily Mail* wrote of the “revolutionary” direction of new music away from Romanticism:

Music, says Stravinsky, took the wrong turning when the deaf Beethoven strove to make it embody the abstract thought of his inner mind. The perverse German geniuses of the 19th century and their imitators the world over enslaved music to philosophy. The essence of music should be delight in music-producing matter...³⁹

While some expressed shock with the arrival of Stravinsky’s neoclassical works, Scott Messing describes Stravinsky’s stylistic development from the “post-*Sacre*” era to the neoclassical style as a “gradual departure” instead of a “radical shift.”⁴⁰ Before *Pulcinella*, one

³⁵ Leigh Henry, “Igor Stravinsky”, *The Musical Times* 60, no. 916 (June 1, 1919), 268-272.

³⁶ *Ibid.*, 268.

³⁷ Leigh Henry, “Igor Stravinsky and the Objective Direction in Contemporary Music,” *The Chesterian* 2, no. 4 (1920): 97-102.

³⁸ *Ibid.*, 97-102.

³⁹ “Stravinsky’s Strange New “Sniffs and Snorts,” *Current Opinion* 69, no. 4 (October 1920): 491.

⁴⁰ Messing, *Neoclassicism in Music*, 88.

can already find an increasingly diatonic idiom in many of Stravinsky's works. In the first movement of the *Three Pieces for String Quartet* of 1914, for example, Stravinsky restricts the first violin to a diatonic C-major scale for the entirety of the movement, frequently moving by step.⁴¹ Below the diatonic melody, Stravinsky composes an octatonic accompaniment of incessantly repetitive ostinatos. A similar duality of diatonicism and octatonicism underlies the *Three Easy Pieces* (1914/1915). By the *Five Easy Pieces* (1916/1917), Stravinsky had already arrived at a style close to the straightforward diatonicism and lyricism of *Pulcinella* and the ensuing neoclassical works. In mm. 62-64 of the "Napolitana," we find the type of step-wise diatonic sequencing Stravinsky later employs in the 1920s. In his *Memories and Commentaries*, Stravinsky discussed the importance of his stylistic progression along the three pieces discussed here:

But, though my pieces are perhaps thinner in substance and more repetitive than music by Schoenberg and Webern of the same date, they are also very different in spirit, and mark, I think, an important change in my art. [...] it seems to me these *Three Pieces* look ahead to the *Pièces Faciles* for piano duet of one year later, and from the *Pièces Faciles* to my aberrant 'neo-classicism' (in which category, nevertheless, and without knowing it was that, I have managed to compose some not unpleasing music).⁴²

Even before receiving the sources for *Pulcinella*, much of the musical style and public rhetoric associated with neoclassicism was already in place.⁴³ Scott Messing concludes:

We may summarize by recalling that several of Stravinsky's works written shortly after *Le sacre du printemps*—the *Three Pieces for String Quartet* and the *Three Easy Pieces*—employed a musical vocabulary that foreshadowed his composition of the 1920s, and the prose used by Stravinsky and his advocates to describe this music was appropriated a decade later to characterize, in part, the aesthetic of neoclassicism.⁴⁴

⁴¹ Ibid., 104-106.

⁴² Igor Stravinsky and Robert Craft, *Memories and Commentaries* (London: Faber and Faber, 2002), 95-96.

⁴³ See also: Marianne Wheeldon, "Anti-Debussyism and the Formation of French Neoclassicism," *Journal of the American Musicological Society* 70, no. 2 (Summer 2017): 433-474.

⁴⁴ Messing, *Neoclassicism in Music*, 108.

What, then, kept the composer and his reviewers from using the term neoclassicism prior to *Pulcinella*? Messing explains that, although the terms *nouveau classicisme* and *néoclassicisme* were couched in a rhetoric similar to Stravinsky's style of "purity," "objectivity," and "simplicity," before the 1920s, the terms specifically implied music of the past and pre-nineteenth century.⁴⁵ Therefore, the application of the terms to Stravinsky's music at the time would have been inappropriate. For this reason, Messing argues that it was not until Stravinsky began utilizing melodic, harmonic, and formal materials of the pre-nineteenth century that he and his followers adopted the term neoclassicism.⁴⁶ When the eighteenth-century sources arrived into Stravinsky's possession, the final piece of the puzzle had fallen in place.⁴⁷

3.1.4 Anti-Modernism and the Presence of the Past

Prior to the 1920s the term "neoclassical" implied "the past." Therefore, its connection to Stravinsky's pre-*Pulcinella* style could not have been more inappropriate, for immediately preceding his discovery of the past, Stravinsky was concerned with music of the ephemeral present. Before the eighteenth century became Stravinsky's cudgel against Romanticism, music of the living present—manifested in "jazz," ragtime, music for mechanical pianos, and popular waltzes and marches—became Stravinsky's symbol of anti-Romanticism.⁴⁸ As we will see,

⁴⁵ Ibid., 107-108.

⁴⁶ Ibid., 108

⁴⁷ While it is true that the term neoclassical was not affixed to Stravinsky's style until after *Pulcinella*, it was, however, first used to describe Stravinsky's *Symphonies of Wind Instruments* in 1923—a work with no ostensible connection to the past. See, Messing, 87. Stravinsky's first sketches for the *Symphonies of Wind Instruments* date back to before the premiere of *Pulcinella*, and Eric Walter White connects the style of the work to the pre-*Pulcinella* works *Three Pieces for String Quartet* and *The Soldier's Tale*.⁴⁷ The application of the term neoclassical to such a work strengthens the argument that some sort of nascent neoclassicism existed in Stravinsky's works prior to *Pulcinella*. See: Eric Walter White, *Stravinsky: The Composer and His Works* (Berkeley: University of California Press, 1979), 292; Maureen Carr, *After the Rite: Stravinsky's Path to Neoclassicism (1914-1925)* (New York: Oxford University Press, 2014), 189-190.

⁴⁸ For a discussion of Stravinsky's "jazz idiom" and mechanical music, see: Carr, *After the Rite*, 35-139.

Stravinsky's interest in popular music reflected his search for an objective, anti-Romantic, and communal language—all characteristics that would form the core of his neoclassical aesthetic.

Stravinsky's interest in "the present" should not be confused with capital "M" Modernism or futurism. His interest in the present was more an interest in modernity: modernism defined as "of or pertaining to present and recent time."⁴⁹ As contradictory as it may sound, a focus on the present represented a turn away from Romantic modernists' concern with the language of the future. With his focus on the present, Stravinsky began an attack on all music of the future: "People assert that I am a futurist. I dispute this. I am a man who lives intensely in his own times."⁵⁰

Henry Prunières's 1926 portrait of French musical trends during the 1910s connected the interest in objectivity to the common language "of the streets," all of which was part of a larger umbrella trend of "anti-Romanticism" and "anti-impressionism":

War was declared on impressionism. Music must be simple, clear, brutal if necessary; it must, above all, shun affectation, and not be afraid to listen to the lessons of the streets, music of the suburbs, the open air orchestras, of the fairs, the circuses, &c., and also what Cocteau would willingly have called modern life—that is to say, the bar, jazz, &c.⁵¹

In this vein, Stravinsky described his use of ragtime in his *Ragtime for 11 instruments* as arising from both an interest in contemporary life and its "truly popular appeal."⁵² A similar interest in the "now" of the late 1910s can be found in the ragtime from *Histoire du Soldat*, the last movement of the *Three Pieces for Clarinet Solo*, and *Piano-Rag Music*—which he composed as he first started his work on *Pulcinella*.⁵³

⁴⁹ *The American College Dictionary* (New York: Random House, 1950), 781.

⁵⁰ "Igor Stravinsky Surveys His Own and Others' Music," *The New York Times*, December 7, 1924, X10.

⁵¹ Prunières, "The Younger Composers of France," X7.

⁵² Igor Stravinsky, *Igor Stravinsky: An Autobiography*. (New York: M. & J. Steuer, 1958), 77.

⁵³ *Ibid.*, 81-82.

Writing for mechanical pianos similarly represented Stravinsky's interest in the music of the present. In 1917, Stravinsky turned to composing specifically for mechanical pianos with his *Étude pour Pianola*, a practice he continued with his pianola-specific revisions of *Piano-Rag* and *Les Noces*.⁵⁴ While the use of mechanical piano might seem like a "futuristic" pursuit, the "impersonal" quality of the instrument suited Stravinsky's overall anti-Romantic rhetoric.⁵⁵ In 1917, British critic Edwin Evans contacted several modern composers—Stravinsky included—to compose for mechanical piano, and interest in the project fell along the lines of Romantic and anti-Romantic modernists:

I was not in the least surprised to find, relatively speaking, reluctance among those in whom the inheritance of the romantic movement was still a strong influence, and alacrity among those whose reaction from that movement was most marked.⁵⁶

Stravinsky's "discovery" of the past came by way of a detour through the present. One can chart Stravinsky's reputation from the 1910s to the 1920s as shifting from a "composer of the future," to a "composer of the present," to a "composer of the past." Even after the initiation of the neoclassical phase, Stravinsky always asserted his interest in the "past" was actually a continued interest in the "present." In the press, Stravinsky reproduced strikingly similar language in discussing both the music of "now" and the music of "then." Both represented an interest in familiarity and a distaste for "tomorrow." Compare Stravinsky's "anti-modern" appraisal of jazz:

[...] the only kind of music that is worth being paid attention to [is jazz] [...]. Outside of jazz, however, I despise all of modern music. I myself don't compose modern music at all nor do I write music of the future. I write for today. In this

⁵⁴ Rex Lawson, "Stravinsky and the Pianola," in *Confronting Stravinsky: Man, Musician, and Modernist*, ed. Jann Pasler (Berkeley: University of California Press, 1986), 293-295.

⁵⁵ An anti-Romantic rhetoric can be found in Stravinsky's description of his revised instrumentation for *Les Noces* as "perfectly impersonal." See, Nancy Berman, "From *Le sacre* to *Les noces*: Primitivism and the Changing Face of Modernity," *Canadian University Music Review* 20, no. 1 (1999), 19.

⁵⁶ Edwin Evans, "Pianola Music," *The Musical Times* 62, no. 945 (November 1, 1921): 763.

regard I don't want to quote names, but I could tell you about composers who spend all their time inventing a music of the future. Actually this is very presumptuous. Where does this still contain integrity?⁵⁷

with Stravinsky's "anti-modern" appraisal of eighteenth-century music:

I do not pretend to write music of the future any more than I attempt to copy the music of the past. I am of today and I hope I am writing the music of today. Many of my friends among the new composers spend their time either inventing the music of today or repeating that of yesterday.⁵⁸

One of the "names" Stravinsky was refusing to quote was likely Arnold Schoenberg, who obtained a copy of the above interview and wrote an indictment of Stravinsky's anti-modern stance in the margins of the article. Schoenberg's response to the article, nevertheless, is a wonderfully accurate portrayal of Stravinsky's intentions in borrowing from the past, writing: "He himself does not compose modern music at all—therefore he does not detest it. He writes unmodern music 'for today.'"⁵⁹ Perhaps feeling he himself was the target of Stravinsky's attack, Schoenberg published this astute response in 1926:

Stravinsky pokes fun at musicians who are anxious (unlike himself—he wants simply to write the *music of today*) to write *music of the future*. [...] He seems rather to find it old-fashioned to regard any work of art as significant for any period beyond the present. And he apparently believes this even though elsewhere he actually admits such significance, constantly finding new points to 'take up': Bach, Scarlatti, Clementi, etc.⁶⁰

Schoenberg's characterization of Stravinsky as "trying merely to satisfy the customers" reveals unity in the ostensibly contradictory use of new musical trends like jazz and machine music and musical materials composed in the past like folk music and the classics.⁶¹ Instead of representing the various historical eras of their respective generations, popular music and the classics

⁵⁷ Leonard Stein, "Schoenberg and 'Kleine Modernsky'," in *Confronting Stravinsky: Man, Musician, and Modernist*, ed. Jann Pasler (Berkeley: University of California Press, 1986): 322.

⁵⁸ Carr, *After the Rite*, 31.

⁵⁹ Stein, "Schoenberg and 'Kleine Modernsky'," 324.

⁶⁰ *Ibid.*, 318-319.

⁶¹ *Ibid.*, 318-319.

represented, to Stravinsky, their concomitant popularity and consumption in the present. Stravinsky used such materials not to anxiously distance himself from the burden of the past, but to accomplish a number of important and related goals. First, the present and the past represented a similar distaste for music of the future. Second, both represented an interest in the languages familiar to the audiences of his day.

Stravinsky's statement concerning *Pulcinella* as a "look in the mirror" was not an isolated incident. He continually discussed pre-Romantic music as a reflection of his own times and artistic pursuits. In 1925 Stravinsky said: "Does my appeal to the eighteenth century surprise you? The reason lies in the fact that I am running away from romanticism."⁶² Running away from Romanticism did not entail running to the past, but instead to a time Stravinsky described in terms of the present: "But [...] what I've got from old music is Stravinsky, and only Stravinsky."⁶³ Stravinsky employs a similar rhetoric when explaining the style of the neoclassical *Piano Concerto*: "It is completely kept in the style of the seventeenth century, for that century lived in the same ideas as they are expressed today."⁶⁴

Understanding Stravinsky's view that all music belongs to the time in which it is performed and popularly consumed provides insight into how *Pulcinella* was "a look in the mirror." The language of the ballet's galant sources reflected his own aesthetic search leading up to the ballet. Its objective, simple, and universal language contradicted Romantic-modernists' anti-musical reliance on subjectivity as well as their pursuit for the music of tomorrow. He would continue to use the style after *Pulcinella* for these reasons. While Stravinsky's use of the galant sources in *Pulcinella* was not an expression of anti-individualism—for the choice was not his but

⁶² Stephen Walsh, *Stravinsky: A Creative Spring, Russia and France, 1882-1934* (New York: A. A. Knopf 1999), 459.

⁶³ *Ibid.*, 459.

⁶⁴ Stein, "Schoenberg and 'Kleine Modernsky'," 323.

Diaghilev's—his treatment of the materials was. In the next section of this paper, I analyze Stravinsky's treatment of the galant materials of *Pulcinella*, revealing the anti-individualistic approach to form I call "Emergent Form."

3.2 *Pulcinella*: Authorial Confusion and Anti-Individualism

By the time Stravinsky discovered the past in *Pulcinella*, the past had already been a concern of Sergei Diaghilev for nearly half a decade. In *Diaghilev's Ballets Russes*, Lynn Garafola explains that period modernism—the blending of tradition and experimentation, and past and present—“was uniquely the offspring of Diaghilev's invention.”⁶⁵ While Stravinsky's interest in the past came through a commission by Diaghilev, Diaghilev's own discovery resulted from years of research, in scouring libraries, auction houses, and private collections for rare manuscripts of neglected works from past composers like Domenico Cimarosa, Giambattista Pergolesi, and Domenico Scarlatti. Stravinsky was also not the first composer to whom Diaghilev had handed the past. In 1917 Diaghilev commissioned the composer Vincenzo Tommasini to orchestrate the music of Scarlatti for the ballet *The Good-Humored Ladies*, and in 1919, he asked Ottorino Respighi to orchestrate the music of Rossini for *La Boutique Fantasque*. Following the success of *La Boutique*, Diaghilev initially returned to Respighi for *Pulcinella*. Only after Respighi declined did Diaghilev, somewhat cautiously, approach Stravinsky. In *Pulcinella*, Diaghilev first intended to recreate the process of *The Good-Humored Ladies* and *La Boutique*, with Stravinsky likely functioning merely as an arranger. Stravinsky, however, saw creative potential in the project, and immediately involved himself more completely in the creative process, selecting the sequence of pieces, the style of orchestration, and even

⁶⁵ Lynn Garafola, *Diaghilev's Ballet Russes* (New York: Oxford University Press, 1989), 90-91.

collaborating with Diaghilev and choreographer Léonide Massine to determine the structure of the plot and order of the dance numbers.⁶⁶

Although he did not choose Pergolesi (or what was then thought to be Pergolesi), Stravinsky used the opportunity to make his first statement in neoclassicism, carefully manipulating the elements of the project in his control to express a form and ideology that he would recreate in his subsequent neoclassical works. What is significant about *Pulcinella* is Stravinsky's deft control over authorial expression, creating a calculated balance of the historical material with his own. The result is a work of difficult ontology, and one hundred years of subsequent criticism have debated the weight of Stravinsky's contribution. Is it a work of Stravinsky or of "Pergolesi"? The confusion comes not so much from a continuous synthesis of the two composers, but from the gradual shift in style over the course of the piece from "Pergolesi" to "Stravinsky." I argue that Stravinsky intended this confusion for artistic reasons, and that the process by which it unfolds was the result of careful manipulation.

In the context of Stravinsky's stylistic exploration in the late 1910s, *Pulcinella* offered Stravinsky a contrast that *The Good-Humored Ladies* and *La Boutique* did not offer for Tommasini or Respighi. Neither Tommasini nor Respighi carried to their historical arrangements the modernist baggage that accompanied Stravinsky's name. With his association alone, *Pulcinella* would be received against the backdrop of Stravinsky's "ultra-modern" language of "tomorrow."

Pulcinella violated the expectations of both traditionalists and modernists. A French reviewer commented on this conundrum, saying that "the most faithful admirers of M. Stravinsky were a little distressed" and "the dilettantes" as resistant as always, but that

⁶⁶ Ibid., 91.

Stravinsky “this time knew how to lead each one astray and to charm with ease even the most retarded of the opposition.”⁶⁷

Modern scholars continue to look for a division between the historical material and Stravinsky’s original material in *Pulcinella* as a manifestation of tension between the modern and the traditional. Joseph Straus interprets *Pulcinella* as the product of Stravinsky’s ambivalence toward Pergolesi and the musical past. In *Remaking the Past*, Straus argues that Stravinsky aimed to revise his “eighteenth-century models into prototypical Stravinskys.” From this point of view, *Pulcinella* is an expression of the anxiety of influence, of a modern composer battling the restrictive influence of his predecessors.⁶⁸

While Straus argues that Stravinsky struggled with the past in *Pulcinella*, attempting to assert his own voice over “Pergolesi,” Stravinsky described his relationship with “Pergolesi” and the past not as a struggle, but as a collaboration: “I told you several months ago that I was preparing a work ‘in collaboration’ with Pergolesi, which is *Pulcinella*.”⁶⁹ Although quick to elevate his work above a mere adaptation, Stravinsky continually relinquished his sole claim over the work’s authorship, describing the work as composed by “Stravinsky-Pergolesi.”⁷⁰ Important to Stravinsky was a careful balance of “both” composers’ voices. Rather than an anxious struggle with the past, *Pulcinella* was a generous collaboration that defiantly ignored historical and authorial borders.⁷¹ The success of this collaboration was not lost on reviewers, with one describing that:

[T]he public [...] was able to ask itself [...] whether Igor Stravinsky or Giambattista Pergolesi was more the author of its pleasure. I doubt that there

⁶⁷ Messing, *Neoclassicism in Music*, 114.

⁶⁸ Joseph Straus, *Remaking the Past: Musical Modernism and the Influence of Tonal Tradition* (Cambridge, Mass: Harvard University Press, 1990), 58-64.

⁶⁹ Messing, *Neoclassicism in Music*, 112.

⁷⁰ *Ibid.*, 121.

⁷¹ For extended discussion, see: Katharina Clausius, “Historical Mirroring, Mirroring History: An Aesthetics of Collaboration in *Pulcinella*,” *The Journal of Musicology* 30, no. 2 (Spring 2013): 228-250.

exists in music better examples of so singular a collaboration, so fine a transmutation and, in a word, so perfectly successful a legerdemain.⁷²

Against the backdrop of Stravinsky's ongoing rejection of modernism, the authorial confusion of *Pulcinella* was a strong statement of anti-individualism—one that would not have been achieved if Stravinsky represented his work as a mere adaptation.

By blending borrowed and original materials, and by referring to the work as a collaboration, Stravinsky presented *Pulcinella* not as a work of the past, but a work of the present. In discussing the work, despite the preponderance of virtually unaltered historical material in the opening movements, the composer continually couched *Pulcinella* in terms of newness, as “a new genre of music” with techniques that were “completely new,” something that “no one has ever attempted...in music,” and with “innovations which occasionally surprise.”⁷³ The work was received as modern, new, suave, cosmopolitan, and fresh.⁷⁴

Reviewers were at times baffled by the collaboration in *Pulcinella* and disputed who was in fact the true author of the work. Some assuredly proclaimed Pergolesi the composer, likely recognizing the many unaltered sections of historical music. Perhaps not recognizing such faithful sections, many reviewers found an overall “lack of respect” toward Pergolesi in *Pulcinella*, claiming Stravinsky had vandalized the classics.⁷⁵ Many still were confused. Following the French premiere, one critic spoke of such indecision, writing that “the [music's] skeleton is by Pergolesi and the covering by M. Stravinsky (unless this might be the contrary), I felt somewhat confused.”⁷⁶ A reviewer of the London premiere had a similar assessment:

A good deal of it is simply re-scoring [...]. But sometimes Stravinsky cannot hold himself in any longer, and, kicking Pergolesi out of his light, defeats the primary

⁷² Messing, *Neoclassicism in Music*, 114.

⁷³ *Ibid.*, 113.

⁷⁴ *Ibid.*, 114-116.

⁷⁵ *Ibid.*, 114-115.

⁷⁶ *Ibid.*, 116.

purpose by interpolating a moment or two of sheer Stravinsky. The result then becomes a little bit confusing [...].⁷⁷

Stravinsky's adroit balancing act in *Pulcinella* created a work received as both modern and old, original and derivative, accepted and rejected by both modernists and traditionalists, authored by both himself and "Pergolesi."

3.2.1 Emergent Form

Important to achieving the effect of shared authorship was not just balance between material from each composer, but Stravinsky's strategy of presentation. *Pulcinella*'s opening numbers rely heavily on the preexisting material. As the piece progresses, Stravinsky increases the weight of his own contributions and his personal style has a sense of emerging from the historical material.⁷⁸ I call this process of stylistic transformation "Emergent Form," using the term form to highlight the expression of style as a "constructive or organizing element" in the work.⁷⁹ As we will see, this approach to construction organizes individual movements as well as *Pulcinella* as a whole.⁸⁰

⁷⁷ "Pulcinella," *Times*, June 11, 1920, 14.

⁷⁸ Taruskin, "Parody as Homage," 61-62.

⁷⁹ I take my definition of form from Arnold Whittall's *Grove Music* article. I am explicitly claiming that the level of stylistic expression was a precompositional decision made by Stravinsky, and that realizing the process of stylistic emergence was a major influence in the organization and construction of *Pulcinella* as a whole. Furthermore, the process of stylistic emergence divides the structure into definitive sections: borrowed, blended, original. See: Whittall, Arnold. 2001 "Form." *Grove Music Online*. Accessed May 13, 2019. <https://www-oxfordmusiconline-com.libproxy.wustl.edu/grovemusic/view/10.1093/gmo/9781561592630.001.0001/omo-9781561592630-e-0000009981>.

⁸⁰ I use the term "emergent form" to highlight that one musical element, in this case style, emerging from another is the core formal element. This is similar to Peter Burkholder's discussion of the "cumulative setting" of a borrowed theme in the work of Charles Ives. J. Peter Burkholder, "The Uses of Existing Music: Musical Borrowing as a Field," *Notes* 50, no. 3 (March 1994): 855.

This effect, of first presenting an unaltered style of the past succeeded by a blending of past and present styles, contributed to the confusion surrounding the work's authorial status. A reviewer of the London premiere discussed the work's emergent form:

From the opening bars of the introduction we were all astonished at the fact that we were not more astonished. We had expected something quite different: more Stravinsky and less Pergolesi. As a matter of fact, the whole score is kind of a curious contention between the two composers, which ends, if I may say so, in the victory, or rather the vindication of Stravinsky [...].⁸¹

In reaction to the *Pulcinella Suite*, which follows the same order as the ballet, a reviewer in 1925 had a similar assessment:

In the first few of the nine numbers Pergolesi held his own with his modern editor in spite of syncopated counter-subjects, but as the suite proceeded the powerful rhythms and the piquant orchestration changed the physiognomy of the Italian, leaving only a certain ineffaceable tunefulness to betray the origin of this modern jazzing *Pulcinella*.⁸²

In opening *Pulcinella* with the uneffaced works of a past composer, Stravinsky created a confusion surrounding the work's ontological and authorial status. Where Stravinsky began and "Pergolesi" ended was not clear to audiences. In the confusion, traditionalists objecting to Stravinsky's modernist tendencies risked criticizing Pergolesi for the same traits, and progressivists who objected to Stravinsky's use of tradition risked criticizing Pergolesi too for being too traditional. The form discovered in *Pulcinella* was thus perfectly suited to initiate Stravinsky's neoclassical phase.

3.2.2 Galant Style and Ideals in *Pulcinella*

The music of *Pulcinella* is based on various compositions in the galant style (1720–1780). Although Diaghilev and Stravinsky believed they were rediscovering the works of Italian-

⁸¹ Maureen Carr, "Eighteen-Century Sources and Stravinsky's Use of These Models," in *Stravinsky's Pulcinella: A Facsimile of the Sources and Sketches*, ed. Maureen Carr (Middleton, Wis.: A-R Editions, 2010), 16.

⁸² "London Chamber Orchestra: New Work from Stravinsky," *Times*, July 21 1925, 12.

galant composer Giovanni Battista Pergolesi (1710–1736), many of the works were actually misattributed to him. *Pulcinella* does contain works by Pergolesi, but also works by the Italian Domenico Gallo (1730–1786), the Italian Carlo Ignazio Monza (late seventeenth century–1739), the Dutch Count Unico Wilhelm van Wassenaer (1692–1766), and even the nineteenth-century Italian composer Alessandro Parisotti (1853–1913).⁸³

The misattribution of works from five composers spanning a century for the work of a single composer may in small part be due to the communal language practiced by galant composers. In *Music in the Galant Style*, Robert Gjerdingen explains that galant music relies heavily on a stock set of conventional musical patterns—or schemata—defined by distinct scale degree/bass patterns, harmonic voicings, and metrical contexts.⁸⁴ These various schemata have different musical and formal functions. Galant schemata serve as a musical skeleton on which a composer builds a more fleshed-out piece, and often form the entirety of many galant works. The coherent but artful stringing together of these musical patterns is the basis of galant musical expression.

Robert Gjerdingen describes the construction and cognition of this artful stringing together with the metaphor of “il filo.” “Il filo,” literally meaning “the thread,” refers to the cognitive thread that guides a listener through a piece of music, specifically by connecting a series of schemata “like a string of pearls.”⁸⁵ “Il filo,” then, is “the piece”—the unique fingerprint of the composer that differentiates a full work from the mere skeleton of stock musical patterns.

⁸³ Carr, “Eighteen-Century Sources and Stravinsky’s Use of These Models,” 8-13.

⁸⁴ Robert Gjerdingen, *Music in the Galant Style* (New York: Oxford University Press, 2007): 6-19.

⁸⁵ *Ibid.*, 369-397.

Galant schemata provided Stravinsky with an anti-individualist musical language that prized intelligibility and clarity of expression over stylistic originality. Gjerdingen explains that rather than originality of language, it was the galant composer's "manner or style of presentation that mattered as the real object of aesthetic attention."⁸⁶ Artistic expression came not through emotional expression (although sentiment was a concern), but through the artful decoration and stringing together of these stock musical patterns while still preserving intelligibility. There is a degree of irony in critics and modernists accusing Stravinsky of plagiarism, for the same set of stock patterns were shared across all five composers of the *Pulcinella* sources and many more composers of the galant era.

3.3 *Pulcinella*: Analysis of Emergent Form

In my analysis of *Pulcinella*, I will use Gjerdingen's metaphor of "il filo" as the basis of my interpretation of authorial expression. In past studies of *Pulcinella*, scholars have sought to find the musical fingerprint of Stravinsky by seeking out instances of his past musical style, typically by using analytical technology developed to analyze post-tonal music.⁸⁷ In this study, I will take the opposite approach. I will use analytical technologies developed for galant music to analyze *Pulcinella* and the galant works on which *Pulcinella* is based.⁸⁸ The analysis of galant schemata in both the source works and in *Pulcinella* will allow the comparison of each work's "filo." When a source's "filo" is fully expressed in *Pulcinella*, one can say that the *Pulcinella* movement is still a work of the original composer. When a source's "filo" is mostly expressed

⁸⁶ Ibid., 56.

⁸⁷ Straus, *Remaking the Past*.

⁸⁸ In her recent dissertation, Sarah Iker also uses galant schema theory to analyze a few movements of *Pulcinella*. Sarah Iker, "An Experience-Oriented Approach to Analyzing Stravinsky's Neoclassicism" (PhD diss., University of Chicago, 2017).

but obstructed in some way, one can say that the work is a “collaboration” between “Pergolesi” and Stravinsky. When the “filo” does not significantly resemble the source’s, one can say that it is a work of Stravinsky and only based on the material of the source.

The following analysis will reveal *Pulcinella*’s emergent form. The opening movements retain a significant amount of the source material’s contrapuntal patterns and “filo.” Stravinsky does little to distort or suppress their expressions, and his original contributions in the final score similarly express galant style. By the middle movements of *Pulcinella*, Stravinsky still preserves much of the galant sources, but subtly incorporates compositional techniques that distort the original patterns. By the conclusion of *Pulcinella*, Stravinsky thoroughly distorts the patterns of the sources and frequently abandons the “filo” of the originals for a compositional plan and form of his own devising.

3.3.1 *Pulcinella*: Analytic Overview

I will organize my analysis of *Pulcinella* by discussing four broad categories of stylistic expression in each of the stages of the emergent form. First, I will discuss Stravinsky’s preservation or distortion of the original galant schemata. I will focus on how he preserves the patterns, allowing their expression, or on how he suppresses, distorts, or alters the “filo,” including when Stravinsky adds his own original realizations of galant schemata. Second, I will discuss Stravinsky’s approach to harmonization. This will overlap with the discussion of the galant schemata, but I will also draw attention to Stravinsky’s additional notes and dissonances, typically in the form of added 7^{ths}, 9^{ths}, and 6^{ths}. I will pay particular attention to pedal techniques in the form of tonic triad notes sustained over the original counterpoint. Third, I will analyze stylistic overlap in each section—that is, Stravinsky’s careful exploitation of techniques

idiomatic to the galant style, which he uses to subtly introduce his own stylistic tendencies. For example, many galant patterns repeat or loop. Stravinsky uses these opportunities to add loops and repetitions idiomatic to his established style of repetition and looping. Finally, I will examine moments in *Pulcinella* that are not derived from the source material in any way and are truly Stravinskian in expression. These are often in the form of ostinati. At first, these moments are limited to introductions, interludes, and other sections that do not disrupt the form of the sources. By the end of *Pulcinella*, however, these moments increasingly occur in the form of the movements themselves.

Overall, I hope to give a nuanced discussion of how Stravinsky expresses himself, how these expressions subtly emerge from the source material, and how even the most ostensibly Stravinskian moments might be derived from the source material. Although I have analyzed every moment of the sources and *Pulcinella*, I will limit my discussion to prominent and striking moments of Stravinsky's stylistic emergence.

3.3.2 Overture: Allegro moderato/Source: Gallo, Trio Sonata I, 1st movement

Harmonization

Most of the historical manuscripts Stravinsky received for *Pulcinella* came in the form of melodies and basslines with unrealized figured bass notation (Example 3.1.A).⁸⁹ Therefore, the task of realizing those harmonizations frequently fell to Stravinsky and provided the composer with a choice: create faithful realizations within the eighteenth-century harmonic idiom of the sources, or express his own style in a modern harmonic idiom. Generally, in the early

⁸⁹ My representation for the source material comes from Maureen Carr's *Stravinsky's Pulcinella: A Facsimile of the Sources and Sketches*. In all examples, I have represented the source materials in the key of the *Pulcinella* movement for ease of comparison.

movements of *Pulcinella*, the harmonizations are less modern, with Stravinsky preserving many of the harmonic progressions idiomatic to the eighteenth century. As the work progresses, Stravinsky's harmonization becomes more modernistic.

Although the Overture to *Pulcinella* adheres closely to its source—the first movement of Gallo's Trio Sonata I—it contains nearly every modernistic harmonization technique Stravinsky utilizes throughout *Pulcinella*. These techniques generally come in the form of prolonged tonic “pedals”; added chordal sevenths, ninths, sixths (+6), and fourths (+4); and additional lines of imitation not found in the sources. In terms of harmonization, Stravinsky expresses his style not by the mere presence of these techniques, but by the intensity of their expression and their appropriateness to the patterns of the sources. In the early movements of *Pulcinella*, Stravinsky's modernistic harmonization techniques are limited to inner voices where they do little to disturb the outer voice melodies and basslines, allowing the clear expression of the galant counterpoint. In later movements of *Pulcinella*, Stravinsky's harmonizations increasingly suppress the galant melodies and basslines. Aside from their salience, Stravinsky's harmonization techniques—the prolonged tonic and dominant pedals in particular—initially seem to emanate from the sources themselves, subtly blurring the line where Stravinsky's expression begins and the galant material ends.

As mentioned previously, audience members attending the premiere of *Pulcinella* noted surprise that the Overture was “less Stravinsky” and “more Pergolesi.” Yet even the opening measures of the Overture contain evidence of Stravinsky's previous style. Example 3.1 reproduces both the Gallo Trio Sonata movement in the top three staves (which Stravinsky reproduces exactly) and Stravinsky's additions to the source in the bottom two staves (the top staff represents tonic pedal additions; the bottom staff represents more salient added

dissonances). Throughout the first four measures, Stravinsky prolongs a G-major tonic pedal in inner voices despite the changing harmonies implied by the melody, bassline, and figured bass notation of the source. In mm. 1-2 of the Overture, Stravinsky limits the salience of the tonic pedals by restricting them to a third, G4-B4. In mm. 3-4, when the pattern of mm. 1-2 repeats, Stravinsky thickens the pedal while still limiting it to inner voices, leaving the galant outer voices undisturbed. Stravinsky's "static" approach to harmony provides a link to his pre-*Pulcinella* style, as found in the opening measures and mm. 42-46 of *Petrouchka*.⁹⁰

One reason the prolonged presence of the G-major pedal might have gone unnoticed to reviewers is that it is, in fact, idiomatic to the galant pattern of the model. The "opening gesture" of the movement is a galant schema Robert Gjerdingen terms a "Romanesca." The Romanesca's contrapuntal motion is defined by a descending thirds pattern. In a common variant of the pattern, the bass descends, following the pattern $\hat{1}-\hat{7}-\hat{6}-\hat{5}-\hat{4}-\hat{3}$ with a melody harmonizing in thirds above the bass: $\hat{3}-\hat{2}-\hat{1}-\hat{7}$ (as found in the second violin of the Gallo source).⁹¹ While there are a number of idiomatic harmonizations for a Romanesca, one common realization is to hold the initial tonic harmony of the first stage (bass $\hat{1}$) through the next two stages (bass $\hat{7}-\hat{6}$).⁹² Gjerdingen describes this convention as a "piquant" option creating a "lovely dissonance."⁹³

⁹⁰ Jonathan Kramer, *The Time of Music: New Meanings, New Temporalities, New Listening Strategies* (New York: Schirmer Books, 1988), 44; Gretchen Horlacher, *Building Blocks: Repetition and Continuity in the Music of Stravinsky* (New York: Oxford University Press, 2011), 25-27.

⁹¹ Gjerdingen, *Music in the Galant Style*, 32.

⁹² *Ibid.*, 40-42.

⁹³ In *Music in the Galant Style*, Gjerdingen interprets this passage as having a Prinner in m. 2. I prefer to view mm. 1-2 as a complete "stepwise variant" of the Romanesca, as discussed on page 33 of Gjerdingen's *Music in the Galant Style*. See: Gjerdingen, *Music in the Galant Style*, 40-42.

Example 3.1. A. Gallo, *Trio Sonata I*, i, mm. 1-4. **B.** *Pulcinella*, Overture, mm. 1-4, Stravinsky’s added harmonization.

The image displays two musical examples, A and B, in 4/4 time. Example A is a piano piece in G major, divided into three stages of a Romanesca. The first stage (mm. 1-2) features a treble staff with a melodic line and a bass staff with a simple accompaniment. The second stage (m. 3) continues the melodic line. The third stage (m. 4) concludes the piece. Example B shows Stravinsky's added harmonization for the same piece. It features a treble staff with 'Tonic pedal thirds' and a bass staff with a simple accompaniment. The treble staff has a box around the first two measures, and the bass staff has a box around the first two measures.

In *Pulcinella*, Stravinsky introduces his pedal technique—a technique he will intensify in subsequent movements—not as a harsh, modern dissonance, but rather as a “piquant” dissonance in a galant style. In fact, “piquant” is exactly the word used by one reviewer of the premiere to describe Stravinsky’s “effects.”⁹⁴ As practiced by his galant predecessors, Stravinsky prolongs the opening tonic harmony of the first stage over the second and third stages. In m. 2, rather than change to a more idiomatic harmony, Stravinsky continues to prolong the initial tonic harmony. Thus, the improper presence of the tonic harmony in m. 2 has a sense of emanating from the galant convention of m. 1. From a galant perspective, even the presence of the tonic third in m.2 has a precedent in galant style: the schema Gjerdingen terms a “Pulcinella” features a tonic pedal

⁹⁴ Carr, “Eighteenth-Century Sources and Stravinsky’s Use of These Models,” 16.

third sustained above a cadential bass.⁹⁵ Mm. 1-2 might be analyzed as a piquant Romanesca followed by a Pulcinella-like cadence.⁹⁶ Therefore, Stravinsky's pedal technique has a degree of stylistic overlap with galant practices, only emerging as a distinct Stravinskian technique later in the work.

Despite its similarity to galant musical practices, the tonic pedal's presence creates subtle and momentary dissonances as it clashes with Gallo's original counterpoint. While past analyses of *Pulcinella* often mention Stravinsky's added dissonances, citing these dissonances as evidence of Stravinsky's musical past, few discuss the dissonances in detail. First, it is important to note that Stravinsky's added dissonances in *Pulcinella* overwhelmingly come in the form of diatonic dissonances, with additional notes restricted to the diatonic scale of the passage. Second, in the first movements of *Pulcinella*, Stravinsky's added dissonances are momentary, often existing for no longer than a beat before resolving into consonance. These two qualifications are important, as they create a strong distinction from Stravinsky's previous approach to dissonance in which dissonances serve as the primary harmonic objects and seldom or never resolve.⁹⁷

Apart from upper-voice pedal chords, a second distinct technique is Stravinsky's addition of non-tonic, non-chord tone dissonances. In Example 3.2, I reproduce Example 3.1 but with annotations focusing on how Stravinsky's added notes create an ebb and flow of dissonance and consonance. Even when idiomatic to the eighteenth-century style, Stravinsky's tonic pedals do create dissonances not found in the Gallo source. However, even in m. 2, this tonic pedal seems to be suggested by the prolonged G4 in the second violin of the source. Therefore, the only

⁹⁵ Gjerdingen, *Music in the Galant Style*, 154-155.

⁹⁶ The "Pulcinella" schema is, however, utilized at cadential moments with some formal significance. For this reason, I do not mean to suggest that m. 2 contains a true "Pulcinella" schema, but that the sound of the sustained pedal does not need to be analyzed as purely modernistic.

⁹⁷ Kenneth Gloag, "Russian Rites: Petrushka, The Rite of Spring and Les Noces," in *The Cambridge Companion to Stravinsky*, ed. Jonathan Cross (New York: Cambridge University Press, 2003) 93.

remarkable dissonance of m. 2 comes from the momentary B4s (outlined with a star), which resolve on subsequent beats (outlined with circles).

In the repetition of the Romanesca in mm. 3-4, Stravinsky adds dissonances distinct from those of the tonic pedal (reproduced in the bottom staff of Example 3.2). Throughout *Pulcinella*, these added dissonances frequently come in the form of added 4^{ths}, 6^{ths}, 7^{ths}, and 9^{ths} above the bass. In m. 3, Stravinsky adds a 9th (A4) above the G bass, creating a salient but diatonic dissonance. In beat 2 of m. 3, this 9th resolves into a 3rd above the new bass note, F[♯], giving it the quality of an anticipation of the second beat's harmony. In m. 4, a second added dissonance comes in the form of a 7th (B3) added above the bass C3. This dissonance carries over from the previous E-minor harmony before resolving an 8th note later to the A3 of the source's melody, giving it a suspension-like quality. In the Overture and subsequent movements, Stravinsky's treatment of dissonances follows this pattern: added diatonic notes momentarily alter the implied galant harmonies but subsequently resolve.

Example 3.2. A. Gallo, Trio Sonata I, i, mm. 1-4. **B.** Stravinsky's added dissonances. Red Stars represent dissonances; green circles their resolution.

Stravinsky's harmonization of a galant schema called a Prinner in mm. 7-10 of the Overture contains a more thorough reworking of the galant source than in the Romanesca. Nevertheless, his original contributions still seem to emanate from the source. A Prinner, like a Romanesca, is defined by a descending thirds pattern. The bass descends by step through scale degrees $\hat{4}-\hat{3}-\hat{2}-\hat{1}$, while a melody harmonizes in thirds above the bass, $\hat{6}-\hat{5}-\hat{4}-\hat{3}$.⁹⁸ In the top three staves of Example 3.3, I have reproduced the original Gallo Trio Sonata from Stravinsky's manuscripts, which Stravinsky reproduces exactly in the Overture.

In the passage, Stravinsky adds notes and contrapuntal lines to the inner voices, leaving the Gallo melody and bass intact (the bottom three staves of Example 3.3). Stravinsky's first addition, represented in the top staff of the second system, is a single sustained B4, which prolongs the initial G-major harmony before resolving to A4 at the resolution of the Prinner in D

⁹⁸ Gjerdingen, *Music in the Galant Style*, 45-60.

major. As in the previous example, this pedal tone derives from the Gallo score itself: the first violin of the Gallo sonata features a sustained B5 for the entire first measure. Stravinsky's sustained tone has the quality of emanating from the Gallo model, creating an ebb and flow of dissonances and consonances as the underlying harmonies change below it.

Stravinsky's second addition comes in the form of an original imitative line in the Bassoon 1, represented in the middle staff of the Stravinsky system. The bassoon line derives from the second violin of the Gallo original, which Stravinsky delays by two beats to create imitation at the interval of an octave. Although this creates dissonances not found in the Gallo, this type of imitation, especially in Prinner patterns, is idiomatic to galant style. Two of the *Pulcinella* sources contain similar imitative Prinner melodies: Gallo's Trio Sonata VIII, movement I, mm. 12-17; and Trio Sonata XII, iii, mm. 12-18.

Stravinsky's third and final alteration of the Gallo Prinner comes in the form of an original contrapuntal line, represented in the bottom staff of the example. Here, Stravinsky adds 7th above the downbeat bass notes, altering the implied harmonies of the model. Beats 2 and 3 of each measure contain a 9-8 suspension that functions similarly to the added dissonances of the Romanesca patterns.

Example 3.3. A. Gallo, *Trio Sonata I*, i, mm. 7-10. **B.** Stravinsky's additions.

The image displays a musical score for Example 3.3, divided into two parts: A and B. Part A, titled 'Prinner', is in 4/4 time and features a piano accompaniment. The bass line consists of eighth notes, and the treble line consists of sixteenth notes. The score includes figured bass notation (6, 5, 4, 3) and chord symbols (D, #6, 5). Part B shows Stravinsky's additions, including an 'Added imitation' in the treble and an 'Original counterpoint' in the bass. The score includes figured bass notation (7th, 9-8) and chord symbols (D, #6, 5).

In the remainder of the Overture, and in many subsequent movements, Stravinsky's approach to harmonization follows the techniques outlined here. Prolonged pedals, added chord tones, and unique imitative lines add dissonances, but these dissonances are limited to inner voices, are diatonic, and resolve on immediately following beats. As *Pulcinella* progresses, Stravinsky's dissonances become increasingly salient and disruptive to the galant models, moving to outer voices and lacking idiomatic resolution.

II Filo and Stylistic Overlap

In the Overture, Stravinsky leaves the "filo" of the Gallo model remarkably intact. The expression and progression of the galant schemata remains almost entirely unaltered. In Figure 3.1, I have constructed a formal table that compares a full schematic analysis of the source with Stravinsky's Overture. Figure 3.1 shows that there are only three differences between the source

and Stravinsky’s movement. These changes, while insignificant to the “filo” of the original, are significant in the emergence of Stravinsky’s distinct authorial voice and offer a striking moment of stylistic overlap.

Figure 3.1. Key: Unchanged. *Deletions*. Significant Alterations/Insertions.

Gallo: Trio Sonata I, i			Overture		
mm.	Events	Key	mm.	Events	Key
1-2	Romanesca	G	1-2	Romanesca	G
3-4	Romanesca→Converging	G→D	3-4	Romanesca→Converging	G→D
5-6	Monte	A→D	5-6	Monte	A→D
7-10	Prinner	D	7-10	Prinner	D
10-11	Comma, Clausula	D	10-11	Comma, (<i>Comma</i>) Clausula	D
12-14	Comma, Evaded, Clausula	D	12-14	Comma, Evaded, Clausula	D
15-16	Romanesca	D	15-16	Romanesca	D
				<u>(insertion from m. 10)</u>	
17-18	Romanesca→Converging	D→A	17-18	Romanesca→Converging	D→A
19-21	Monte: IV, V, vi	G→A→bm	19-21	Monte: IV, V, vi	G→A→bm
22-25	Prinner	b	22-25	Prinner	b
25-26	Comma, Clausula	b	25-26	Comma, Clausula	b
27-28	Fonte	em→D	27-28	Fonte	em→D
29-30	Fonte	am→G	29-30	Fonte	am→G
31-32	Romanesca	G	31-32	Romanesca	G
33-34	Romanesca→Converging	G→D	33-34	Romanesca→Converging	G→D
35-38	Prinner	G	35-38	Prinner	G
38-39	Comma, Clausula	G	38-39	Comma, Clausula	G
40-42	Comma, Evaded, Clausula	G	40-42	(Comma) , Evaded, Clausula	G

Repetition plays an important role in Stravinsky's pre-*Pulcinella* style.⁹⁹ In *Pulcinella*, Stravinsky first expresses his propensity for repetition at moments in which his style overlaps with the galant source. One such moment of repetition occurs immediately following the previous Prinner example, in which Gallo repeats closural gestures to confirm the new key of D major. Example 3.4 reproduces mm. 10-14 of the Gallo source in the top system and the full texture of Stravinsky's corresponding material in the *Pulcinella* Overture in the bottom system. As is idiomatic to galant style, Gallo first suggests closure in D major with a number of weak closural gestures that Gjerdingen terms "Commas."¹⁰⁰ A Comma is defined by a $\hat{7}-\hat{1}$ pattern in the bass. In the Trio Sonata, Gallo repeats three Commas before creating more significant closure with a cadential pattern Gjerdingen terms a Clausulae (bass motion: $\hat{3}-\hat{4}-\hat{5}-\hat{5}-\hat{1}$).¹⁰¹ Following the Clausulae, Gallo repeats the entire cadential passage of the previous measures, creating two more Commas and a final Clausulae to bring the section to a close. The repetition of closural material is common in galant music, and many of *Pulcinella's* galant sources feature even more extreme repetitions of Comma figures.

The first example of stylistic overlap occurs when Stravinsky adds one extra Comma repetition in m. 11, increasing Gallo's original three Comma repetitions to four (Example 3.4). In m. 12, Stravinsky deletes a beat from the Gallo original to correct the metric disturbance created by the extra Comma, and in m. 13 returns to a faithful reproduction of the source material. At a moment when the galant music stutters, Stravinsky slightly intensifies this stutter, subtly expressing his previous style. Stravinsky's most brazen repetitive patterns throughout *Pulcinella* often emanate from repetitive materials derived from the galant sources.

⁹⁹ Horlacher, *Building Blocks*.

¹⁰⁰ Gjerdingen, *Music in the Galant Style*, 155-159.

¹⁰¹ Gjerdingen, *Music in the Galant Style*, 141-176.

Example 3.4. A. Gallo, Trio Sonata I, i, mm. 10-14. **B.** Stravinsky, Overture, mm. 10-15, full texture.

3.3.3 Serenata: Larghetto/ Source: Pergolesi, *Il Flaminio*. Act I, No. 2,

Polidoro

Il Filo

In her study of the *Pulcinella* manuscripts, Maureen Carr has suggested that Stravinsky’s minimal alterations of the source material in the Overture might have been due to time constraints. Essentially, Carr argues that Stravinsky forgot about the Overture and composed it at the last moment, resulting in faithful adherence to the Gallo source.¹⁰² This interpretation suggests that if Stravinsky had more time, he would have more thoroughly distorted the source material. On the other hand, as I will demonstrate, Stravinsky’s alterations to source material in

¹⁰² Carr, “Eighteenth-Century Sources and Stravinsky’s Use of These Models,” 10.

the subsequent movements of *Pulcinella* are also quite minimal and represent only a slowly emerging sense of Stravinsky's own authorial voice.

In the second movement of *Pulcinella*, *Serenata*, Stravinsky similarly adheres closely to its source, a movement of Pergolesi's *Il Flaminio*. Although Stravinsky's manuscript is busy with crossed-out sections and edits, these edits mostly amount to Stravinsky's deletion of repeated materials, including repeated cadential patterns and formal repeats. As Figure 3.2 demonstrates, after deleting repeated materials, Stravinsky's "filo" follows the Pergolesi closely, with Stravinsky suturing the model back together to create a comparable progression of patterns. While these seem like significant alterations, at mm. 23-32 of *Pulcinella*, Stravinsky deletes what amounts to a repetition of the A-material (Figure 3.2). In this streamlined version of the Pergolesi, Stravinsky joins the first half of an instrumental presentation of thematic material to the second half of a vocal repetition of the same material. In the second alteration, Stravinsky deletes the B material of the Pergolesi, joining the cadence of the A material to identical cadential material that concludes the Pergolesi.¹⁰³ Beyond the deletion of some cadential repetitions, the succession of schemata follows the original faithfully, and therefore the source's "filo" is the "filo" of the Stravinsky.

¹⁰³ Iker explains Stravinsky's deletions here as transforming the Pergolesi's binary (AB) form into a shorter Ternary form (ABA). See: Iker, "An Experience-Oriented Approach to Analyzing Stravinsky's Neoclassicism," 150-151.

Figure 3.2. Key: Unchanged. *Deletions*. Significant Alterations/Insertions.

Pergolesi: Il Flaminio. Act I. Polidoro			Serenata		
mm.	Events	Key	mm.	Events	Key
1	Romanesca (Do-)	d	1	Romanesca (Do-)	c A ¹
1-2	Clausulae→Evaded (Re-)	d	1-2	Clausulae→Evaded (Re-)	c
3	Clausulae (Me-)	d	3	Clausulae (Me-)	c
4	Clausulae→Passo Indietro	d	4	Clausulae→Passo Indietro	c
5	Clausulae→Passo Indietro	d	5	Clausulae→Passo Indietro	c
6	Clausulae Tenorizans (3-2-1)	d	6	Clausulae Tenorizans (3-2-1)	c
6-7	Clausulae	d	6-7	Clausulae	c
7-8	Clausulae→Evaded	d	7-8	Clausulae→Evaded	c
8-9	Clausulae→Evaded	d	8-9	Clausulae→Evaded	c
9-10	Clausulae	d	9-10	Clausulae	c
10-11	Romanesca (Do-)	d	10-11	Romanesca (Do-)	c B
11-12	Clausulae→Evaded (Re-)	d	11-12	Clausulae→Evaded (Re-)	c
12-13	Clausulae (Me-)	d	12-13	Clausulae (Me-)	c
13-15	Quizcenza-Comma	F	13-15	Quizcenza-Comma	Eb
15-16	Modulating Prinner	F→C	15-16	Modulating Prinner	Eb→Bb
16-17	Clausulae	C	16-17	Clausulae	Bb
17-19	Ponte	C→F	17-19	<u>Ponte (quartal harmony)</u>	Bb→Eb
19-20	Comma/Clausulae	F	19-20	Comma/Clausulae	Eb
20-21	Comma/Clausulae	F		(Comma/Clausulae)	
21-22	Comma/Clausulae→Evaded	F	20-21	Comma/Clausulae→Evaded	Eb
22-23	Comma/Clausulae→Evaded	F	21-22	Comma/Clausulae→Evaded	Eb
23-24	Comma/Clausulae	F	22-23	Comma/Clausulae	Eb
24-25	Romanesca (Do-)	d	23-24	Romanesca (Do-)	c A ²

25-26	Clausulae→Evaded (Re-)	d
26-27	Clausulae (Me-)	d
27-28	Romanesca (Do-)	d B²
28-29	Clausulae→Evaded (Re-)	d
29-30	Clausulae (Me-)	d
30-31	Clausulae→Passo Indietro	d
31-32	Clausulae→Passo Indietro	d
32-33	Clausulae→(HC)→Passo	d
34	Clausulae Tenorizans-Cadence	d
35-36	Quiescenza	d
37-38	Clausulae	d
38-39	Clausulae (#3-4-5)	d
39-40	Clausulae (#3-4-5)	d
40-41	Clausulae→Evaded	d
41-42	Clausulae→Evaded	d
42-43	Clausulae→Evaded	d
44-45	Converging→Evaded	d
45-46	Converging/Cudworth	d

24-25	Clausulae→Evaded (Re-)	c
25-26	Clausulae (Me-)	c
B² Deletion	<i>Romanesca (Do-)</i>	A² Suture
	<i>Clausulae→Evaded (Re-)</i>	
	<i>Clausulae (Me-)</i>	
	<i>Clausulae→Passo Indietro</i>	
27-28	Clausulae→Passo Indietro	c
28	Clausulae→(HC)→Passo	c
B² Deletion	<i>Quiescenza</i>	A² Suture
	<i>Clausulae</i>	
	<i>Clausulae (#3-4-5)</i>	
	<i>Clausulae (#3-4-5)</i>	
	<i>Clausulae→Evaded</i>	
	<i>Clausulae→Evaded</i>	
29-30	Clausulae Tens.-Cadence	c
30-31	Converging→Evaded	c
31-32	Converging/Cudworth	c

Harmonization

Stravinsky’s approach to harmonizing the Serenata closely follows his techniques in the Overture. Like the Overture, the Serenata opens with a Romanesca pattern, here in C minor. Example 3.5.A reproduces Stravinsky’s manuscript of the Pergolesi source material. Pergolesi’s Romanesca pattern might be described as a “piquant” iteration of the pattern that is similar to Stravinsky’s Romanesca pattern of the Overture: the bass steps downward ($\hat{1}-\hat{7}-\hat{6}$) while the

melody holds the tonic over the first three stages of the bass progression, implying a tonic prolongation over the changing bass notes.

Stravinsky's harmonization of the opening four measures consists solely of a prolonged tonic fifth: C4-G4 (Example 3.5.C). As in the Overture, this pedal seems at first to emerge from the galant tradition of holding the tonic harmony over the first three stages of the Romanesca. Unlike in the Overture, here the prolongation of the tonic harmony is implied by the melody itself. In fact, Stravinsky's realization of the pattern matches the realization of the Pergolesi movement in modern editions of the work, which similarly suggest a tonic prolongation over the first three stages of the Romanesca pattern (Example 3.5.B).¹⁰⁴ Also similar to the Overture, Stravinsky first weakly orchestrates the tonic pedal, limiting it to low-register flutes and *punta d'arco* celli, limiting its salience. It is not until mm. 2-4 that Stravinsky's tonic pedal conflicts with the implied harmonization of the galant model. Once again, Stravinsky's "static approach" to harmony first overlaps with galant tradition, only subtly emerging as the work progresses. In later repetitions of the opening material, Stravinsky slowly intensifies the tonic pedal's salience, increasing the expression of his own authorial voice.

In mm. 4-5, Stravinsky adds voices that conflict with the model's implied harmonization. As in the Overture, these added notes (4^{ths}, 7^{ths}, and 9^{ths}) create momentary diatonic dissonances that resolve on subsequent beats.

¹⁰⁴ Giovanni Battista Pergolesi, *Flaminio*, ed. F. Caffarelli (Roma: Amici della musica da camera: 1941).

Example 3.5. A. Pergolesi, *Il Flaminio*. Act I, No. 2, mm. 1-5. B. Added harmonization of a modern edition. C. Stravinsky, *Serenata*, added notes.

The image displays three musical examples, A, B, and C, in 12/8 time with a key signature of two flats.
Example A: A single melodic line in treble clef. Above the staff are three phrases labeled 'Romanesca', 'Evaded', and 'Clausulae'. Below the staff is figured bass notation: (1), (7), (6), (3), (4), (5), (6!), (3), (4), (5), (1).
Example B: A harmonized version of the melody in treble clef, with a 'Tonic pedal' indicated below the first few notes.
Example C: A bass pedal texture in treble clef. The bass line consists of a constant C4 pedal. Above it, notes are added, with intervals marked: 9th, 7th, 9th, 4th, 4th, 4th, 7th, 4th. Red stars highlight the 4th and 7th intervals.

Bass Pedals and Stylistic Overlap

As discussed above, Stravinsky's use of pedal textures represents a continuation of his pre-*Pulcinella* style.¹⁰⁵ A number of galant patterns, like the Quiescenza and Ponte schemata, utilize bass pedal textures, and therefore offered Stravinsky opportunities for stylistic overlap. Tracking Stravinsky's treatment of bass pedal textures throughout *Pulcinella* clearly illustrates his process of stylistic emergence. In the opening movements of *Pulcinella*, Stravinsky only utilizes *preexisting* pedal textures in the galant sources to express his modern approach to harmonization. As *Pulcinella* progresses, Stravinsky increasingly deletes basslines and thoroughly distorts implied harmonies in favor of his own original pedal procedures. The *Serenata* offers the first two examples of Stravinsky's approach to bass pedal textures in *Pulcinella*. Both pedal textures are contained in the galant source material, and in each example, Stravinsky preserves the formal and harmonic functions of the galant materials.

¹⁰⁵ Pieter Van den Toorn, *The Music of Igor Stravinsky* (New Haven: Yale University Press, 1983), 139.

The first pedal of the *Serenata*, occurring in m. 13, is an example of the *Quiescenza* pattern (Example 3.6). The *Quiescenza* pattern comes in two varieties, and in his movement of *Il Flaminio*, Pergolesi utilizes the diatonic version defined by a tonic bass pedal and a rising melodic line: $\hat{5}-\hat{6}-\hat{7}-\hat{1}$ (Example 3.6.A).¹⁰⁶ Inner voices of the *Quiescenza* idiomatically follow the pattern of $\hat{3}-\hat{4}-\hat{2}-\hat{3}$, implying a harmonic progression of I-IV-V-I above the tonic pedal.¹⁰⁷ Stravinsky's source material contained only bass and melodic lines, but a modern edition, represented in Example 3.6.B, illustrates an idiomatic representation of a full diatonic *Quiescenza* pattern.

In Example 3.6.C, I have reproduced Stravinsky's harmonization of the source's bass and melody at m. 13. Stravinsky's harmonization bears striking similarities to the modern edition. The top staff of Example 3.6.B shows an almost exact reproduction of the modern edition's inner line following scale degrees $\hat{4}-\hat{3}-\hat{2}-\hat{3}-\hat{4}$. Stravinsky doubles this line at the fifth, creating notes and dissonances not contained in the modern edition. The lower staff of Example 3.6.C shows how Stravinsky harmonizes this passage with an upper voice $\hat{5}$ pedal throughout the pattern. Like the inner line, this sustained B \flat 4 matches a sustained B \flat 3 in the modern edition. While I am hesitant to claim that Stravinsky consulted a modern edition of this Pergolesi movement, he did—by his admission and as supported by analysis of the source material—consult modern editions in at least two other movements of *Pulcinella*.¹⁰⁸ At the very least, the similarities of

¹⁰⁶ Gjerdingen, *Music in the Galant Style*, 181-195.

¹⁰⁷ *Ibid.*, 460.

¹⁰⁸ Barry S. Brooks, "Stravinsky's *Pulcinella*: The 'Pergolesi' Sources," in *Musiques Signes Images*, ed. Joël-Marie Fauquet (Genève: Minkoff, 1988), 44.

Stravinsky's and the modern edition's realizations offer evidence of Stravinsky's faithful harmonization of the source material in the opening movements of *Pulcinella*.¹⁰⁹

Example 3.6. A. Pergolesi, *Il Flaminio*. Act I, No. 2, mm. 13-15. **B.** Modern edition. **C.** Serenata, added notes.

The image displays three musical staves labeled A, B, and C, representing different editions of a passage from Pergolesi's *Il Flaminio*. The music is in 12/8 time and features a section titled "Quiescenza".
Staff A: Shows the original manuscript. The upper staff has a melodic line with fingerings 1, 5, 6, 7, 1, 5, 6, 7. The lower staff has a bass line with fingering 1.
Staff B: Shows a modern edition with added notes. The upper staff has fingerings 3, 4, 3, 2, 3, 4, 3, 2, 3, 2. The lower staff has fingerings 5, 4, 3, 2, 3, 4, 3, 2. An arrow points to a specific note in the upper staff.
Staff C: Shows a Serenata with added notes. The upper staff has fingerings 4, 3, 2, 3, 4, 4, 3. The lower staff has fingering 5.

The second pedal texture of the Serenata, occurring at m. 17, is an example of a Ponte pattern (Example 3.7). A Ponte, or “bridge” in Italian, is a schema characterized by the prolongation of a dominant or dominant-seventh harmony. It often has a two-stage effect, with the first stage expressing a tonic harmony in the dominant key, and the second stage expressing a dominant harmony in the tonic key.¹¹⁰

In the Serenata, Stravinsky recomposes this intended Ponte to fit his individual style while still preserving its function in the passage (Example 3.7.B). Stravinsky retains the melodic

¹⁰⁹ If Stravinsky did consult a modern edition of this Pergolesi movement, it may have been from the edition from which Stravinsky also derived the prolonged tonic harmony of the opening Romanesca pattern.

¹¹⁰ Gjerdingen, *Music in the Galant Style*, 197-215.

and bass scale-degree $\hat{5}$ but harmonizes the pattern with a quartal harmony: B \flat -F-C/E \flat -A \flat . In the most audible expression of his style yet, Stravinsky repeats this chord nine times without variation. In m. 19 the B \flat harmony picks up its dominant-defining major third and minor seventh, and resolves to the E \flat tonic. Stravinsky creates this moment of harmonic stasis in a style typical of his earlier modernist works, but does so in place of a galant schema itself characterized by stasis and delay.

Example 3.7. A. Pergolesi, *Il Flaminio*. Act I, No. 2, mm. 15-19. **B.** Serenata, harmonization.

The image displays two musical staves, A and B, in 12/8 time and B-flat major. Staff A shows a vocal line with a 'Modulating Prinner' section (measures 15-18) and a 'Ponte' section (measures 19-20). Staff B shows a piano accompaniment. Both staves feature a bass line with figured bass notation: B \flat (4) (3) (2) (1) for measures 15-18, and (1) (5) for measures 19-20, resolving to E \flat (1) in the final measure. The score includes a treble clef, a key signature of two flats, and a time signature of 12/8.

Although the Serenata contains the first unambiguous expression of Stravinsky’s style, it also represents only a mild intensification of the composer’s approach to the Overture. The “filo” of the movement closely follows its source, and Stravinsky’s harmonization of the first half of the Serenata matches harmonizations found in modern editions of the Pergolesi movement. As the movement progresses, Stravinsky intensifies the expression of his own style, recomposing

pedals and strengthening the salience of added notes. Like *Pulcinella* as a whole, the Serenata expresses an emergent form of its own.

3.3.4 Scherzino/ Source: Gallo, Trio Sonata II, 1st movement

The Scherzino continues the faithful representation of models—here the first movement of Gallo’s Trio Sonata II. Figure 3.3 shows that most alterations come from the deletion of repeated material, most often at cadences, resulting in minimal suppression of the original “il filo.”

Figure 3.3. Key: Unchanged. *Deletions.* *Significant Alterations/Insertions.*

Gallo: Trio Sonata II, i			Scherzino		
mm.	Events	Key	mm.	Events	Key
1	Opening Gambit	C	1	Opening Gambit	C
2-3	Cadence, Cadence	C	2-3	Cadence, Cadence	C
4-5	Prinner	C	4-5	Prinner	C
6-7	Prinner	C	6-7	Prinner	C
8-9	Monte	HC/G	8-9	Monte	HC/G
10-11	Sostenuto, Imitation	c→HC	10-11	Sostenuto, Imitation	c→HC
11-12	Sostenuto, repetition	c→HC	11-12	Sostenuto, repetition	c→HC
14-17	Prinner	F	14-15	<u><i>Prinner</i></u>	F
21-22	Converging Cadence	F	16-17	Converging Cadence	F
20	Opening Gambit	G	18	Opening Gambit	G
21-22	Cadence, Cadence	G	19	Cadence, (<i>Cadence</i>)	G
23-24	Monte (A)2x 6-5+ comma	d	20-21	Monte (A) <i>Ix</i> 6-5+ comma	d
25-26	Monte (B)2x 6-5+ comma	e	21-22	Monte (B) <i>Ix</i> 6-5+ comma	e

27-29	Aug 6th, Comma, Comma, Clausula	d	22-23	(Aug 6th, Comma) , Comma, Clausula	d
30-31	Fonte	d→C	24-25	Fonte	d→C
32	Converging	HC/C	26	Converging	HC/C
33	Opening Gambit	C	27	Opening Gambit	C
34-35	Cadence, Cadence repetition	C	28-29	Cadence, Cadence	C
36-37	Prinner	C	30-31	Prinner	C
38-39	Prinner			(Prinner)	
40-41	Monte	HC/C	32-33	Monte	HC/C
42-43	Sostenuto, Imitation	c→HC	34-35	Sostenuto, Imitation	c→HC
44-45	Sostenuto, repetition	c→HC	36-37	Sostenuto, repetition	c→HC
46-49	Prinner	C	38-41	Prinner	C
49-51	Converging Cadence, Clausula	C	41-43	Converging Cadence, Clausula	C

One moment of the Scherzino bears mention, for it is the first example of Stravinsky truly altering the “filo” of the source material. In mm. 14-15, Stravinsky deletes the last two stages of a Prinner pattern from the Gallo, ending the Prinner at its second, $\hat{5}/\hat{3}$ stage (Example 3.8). This results in a deletion of six quarter-note beats. Stravinsky does, however, suture the Gallo back together in an organic way. He combines the $\hat{5}/\hat{3}$ stage of the Prinner with the $\hat{5}/\hat{3}$ stage of a subsequent Converging Cadence, essentially eliding the similar stages of the two patterns together.¹¹¹ While this does disrupt the “filo” and create a metric disturbance when compared to the source, I argue that this disturbance is brief.¹¹² In mm. 17-18, Stravinsky deletes two more

¹¹¹ For a discussion of the Converging Cadence, see: Gjerdingen, *Music in the Galant Style*, 159-162.

¹¹² In her recent dissertation, Sarah Iker claims Stravinsky metrically shifts the entire Gallo Trio Sonata over by two beats, disrupting how dissonances are perceived throughout the movement. In my analysis, I find this to be untrue. In fact, the metric shift in question is an example of careful editing by Stravinsky. To begin, mm. 1-14 of the

beats from the Gallo—a prolonged cadence in the new key of the dominant. In the Gallo, the listener hears two beats of cadential rest before the primary theme returns in the dominant key. In *Pulcinella*, Stravinsky deletes this cadential rest and elides the B-section thematic recapitulation in the dominant with the dominant cadence ending the A section. In total, Stravinsky deletes eight beats from the Gallo over mm. 14-17, preserving the meter of the source while altering some of its contrapuntal patterns. He does so, however, in an idiomatic and unobtrusive way: a $\hat{5}/\hat{3}$ stage elides with a $\hat{5}/\hat{3}$ stage, and the result is anything but jarring.¹¹³

Example 3.8. A. Gallo, Trio Sonata II, i, mm. 14-20. **B.** Scherzino, mm. 14-18.

The image displays two musical excerpts, A and B, with detailed annotations.
Part A (Gallo, Trio Sonata II, i, mm. 14-20): Shows two staves (violin 1 and violin 2). The 'Prinner' section (measures 14-17) is annotated with circled numbers 6, 5, 4, and 3. The 'Converging' section (measures 18-19) is annotated with circled numbers 3, 4, #4, and 5. The 'Dominant Recap' section (measure 20) is also indicated.
Part B (Scherzino, mm. 14-18): Shows two staves. The 'Prinner' section (measures 14-15) is annotated with circled numbers 6 and 5. The 'Converging' section (measures 16-17) is annotated with circled numbers 5, 3, 4, #4, and 5. A box labeled '6 Beats' spans measures 14-15, and a box labeled '2' spans measures 16-17. Arrows indicate the elision of beats between the end of the Prinner section and the start of the Converging section.

Stravinsky reproduce the Gallo quite faithfully in terms of schemata, and perfectly in terms of meter. As I have explained, Stravinsky deletes a total of eight beats, or two measures, preserving the meter. One need only conduct the Stravinsky while listening to understand that important thematic returns occur on downbeats. Metric disturbances only occur for a matter of a few beats or measures, and certainly not for the entirety of the movement. Iker, “An Experience-Oriented Approach to Analyzing Stravinsky’s Neoclassicism,” 154-155.

¹¹³ A more substantial deletion occurs when Stravinsky deletes m. 27 of the Gallo, a prolonged augmented 6th cadence. I believe Stravinsky might have viewed this as a superfluous repeated cadence in D minor. In terms of galant style, this deletion is fairly substantial, and alters the Gallo “il filo.”

3.3.5 Poco Piu Vivo and Polytonality

A brief transitional passage marked *Poco piu vivo*, beginning immediately after the *Scherzino*, marks Stravinsky's first true distortion of galant tonality in *Pulcinella* and the first example of polytonal harmonization. The source material is a seven-measure fragment of a canzona from act III of Pergolesi's *Il Flaminio* (Example 3.9.A). The Pergolesi fragment is repetitive in nature, perhaps making it appealing to Stravinsky. The melody is defined by the repetition of a curt "do-re-mi" figure, underpinned by a simple bassline outlining tonic and dominant functions. In m. 4 of the Pergolesi, a ♯4 in the melody suggests a modulation to the dominant area, itself underlined by a tonic-dominant bass alternation.

At first glance, Stravinsky's *Poco piu vivo* seems a dramatic departure from the original, and certainly expresses Stravinsky's pre-*Pulcinella* style more forcefully than any previous movement of the work. Despite its modern sound, every element of Stravinsky's texture in this passage is derived from the source. In his treatment of the material, Stravinsky preserves the melody almost exactly. Despite the faithful duplication of the melody, Stravinsky completely alters the harmonization. While he preserves the fifth-alternating tonic-dominant bass of the source, Stravinsky's tonic-dominant bass occurs in C major, clashing with the melody's D-major tonality. Stravinsky's combination of tonally independent musical lines—often referred to as "superimposition"—is a hallmark of the composer's pre-*Pulcinella* style.¹¹⁴ Stravinsky does, however, limit the salience of this "wrong key" harmonization by orchestrating the tonic-dominant alternations with faint solo string harmonics. The resulting sound is a strongly projected D-major melody in the first flute and solo violin 1, with a faint lydian effect created by the tonic-dominant alternations in the solo viola and cello.

¹¹⁴ Van den Toorn, *The Music of Igor Stravinsky*, 23-24.

Beyond the harmonization, other modernistic techniques in the passage are quite striking. The fifth-alternations in the bass have a subtractive rhythmic-structure, reducing in cycle from 6-5-4-3-2-1 eighth notes over the course of the passage.¹¹⁵ Stravinsky also creates a melodic ostinato over the course of the passage derived from the fourth-alternating melodic fragment of m. 6 of the Pergolesi source. In this brief transitional passage, Stravinsky creates a freer collaboration between his own style and his galant source, resulting in an original segment of music almost completely derived from the patterns of the original Pergolesi fragment.

Example 3.9. A. Pergolesi, *Il Flaminio*, act III, canzona, mm. 1-7. **B.** Poco piu vivo, mm. 1-14.

Part A: Pergolesi's original music. The bass line consists of eighth notes with a rhythmic structure of 6-5-4-3-2-1. The treble line features a melodic fragment that is highlighted with a box. Below the bass line are Roman numerals: D I V I I V I A I V I V I.

Part B: Stravinsky's variation. The bass line features a subtractive rhythmic structure with eighth notes of lengths 6, 6, 6, 6, 6, 4, 4, 3, 3, 3, 2, 2, 2, 1. The treble line features a melodic ostinato derived from the highlighted fragment in Part A. Below the bass line are Roman numerals: C I V I V I V I VI VIV IVIV.

¹¹⁵ For a discussion of this type of variation, see: Horlacher, *Building Blocks*, 133-135.

3.3.6 Allegro/Source: Gallo, Trio Sonata II, 3rd movement

Figure 3.4. Key: Unchanged. *Deletions*. Significant Alterations/Insertions.

Gallo: Trio Sonata II, iii.		
mm.	Events	Key
1-2	Opening Gambit	A
3-4	Prinner/Clausula	A
5-6	Opening Gambit	A
7-9	Prinner/Clausula	A
10-13	Prinner→Converging	A→HC
14-17	Prinner→Converging	A→HC
18-26	Monte	A→B→c#→V/E
26-31	Cadence 2x, Clausula	E
32-38	Cadence 2x, Clausula	E
38-39	Opening Gambit	E
40-41	Prinner/Clausula	E
42-43	Opening Gambit	E
44-45	Prinner/Clausula	E
46-51	Fonte (A)	b
52-56	Fonte (B)	A
57-60	Prinner→Converging	a→HC
61-64	Prinner→Converging	A→HC
65-73	Monte	D→E→f#→V/A
73-78	Cadence 2x, Clausula	A
79-85	Cadence 2x, Clausula	A

Allegro		
mm.	Events	Key
1-2	Opening Gambit	A
3-4	Prinner/Clausula	A
5-6	Opening Gambit	A
7-9	Prinner/Clausula	A
10-13	Prinner→Converging	A→HC
14-17	Prinner→Converging	A→HC
18-26	Monte	A→B→c#→V/E
26-31	Cadence 2x, Clausula	E
32-38	Cadence 2x, Clausula	E
38-39	Opening Gambit	E
40-41	Prinner/Clausula	E
42-43	Opening Gambit	E
44-45	Prinner/Clausula	E
46-51	Fonte (A)	b
52-56	Fonte (B)	A
57-60	Prinner→Converging	a→HC
61-64	Prinner→Converging	A→HC
65-72	Monte	D→E→f#→V/A
73-76	<u>Quartal harmony</u>	V/A
77-78	(Cadence 2x,) Clausula	A
79-85	Cadence 2x, Clausula	A

Following the forceful *Poco piu vivo*, Stravinsky returns to a more faithful representation of the galant source material in the *Allegro*, based on the third movement of Gallo's *Trio Sonata II*. Figure 3.4 reveals no significant alterations of the galant schemata for the first 72 measures of the section.

At the conclusion of the *Allegro*, however, Stravinsky creates his first full suppression of galant material in a primary section of *Pulcinella*. While the *Poco piu vivo* has the quality of a stand-alone transitional passage, here Stravinsky's disruption occurs in the middle of a musical progression, making the alteration all the more jarring. In mm. 65-73 of the Gallo source, a rising sequence Gjerdingen terms a "Monte" (IV-V-vi-vii-I) proceeds directly into a lengthy cadential section in mm. 73-85, bringing the piece to a dramatic conclusion (Example 3.10).¹¹⁶ In mm. 65-72 of the *Pulcinella* movement, this Monte sequence proceeds like the source except for an added line of melodic imitation. The cadential resolution that succeeds the Monte in the source is significantly distorted. In mm. 73-76, Stravinsky preserves the melody of the original but deletes the cadential bass (Example 3.10). He replaces the cadential bass with the static repetition of a dissonant, quartal-like chord with a dominant root. The quality and character of this chord resembles Stravinsky's modern quartal "Ponte" in the *Serenata*, but while the quartal harmony in the *Serenata* preserved the dominant bass function of the source, Stravinsky's quartal "dominant" here replaces the distinct bass progression of its source, representing a more significant distortion.

In m. 77, Stravinsky restores the "Clausulae" bassline, and the dominant-like chord resolves to the tonic, giving the section a very un-galant, dominant-like function. The sound is palpably uncharacteristic, but the function maintains hints of tonality, allowing it to connect to

¹¹⁶ Gjerdingen, *Music in the Galant Style*, 89-106.

the surrounding material. As *Pulcinella* progresses, these hints of tonality gradually disappear. At this stage, as uncharacteristic as mm. 73-76 are to a galant sound, this subtle hint of tonality aids in blurring the line between Stravinsky and his source.

Example 3.10. A. Gallo, Trio Sonata II, iii, mm. 70-79. **B.** Allegro, mm. 70-79.

The image displays two systems of musical notation, A and B, for the same piece. System A (top) covers measures 70-79 and is annotated with 'Monte' (measures 70-72), 'Cadence' (measures 73-74), and 'Clausulae' (measures 75-79). It features a treble and bass staff with various notes and rests, along with circled fingering numbers (4, 3, 7, 1, 5) and chord symbols (vii, I). System B (bottom) also covers measures 70-79, with a treble and bass staff. It is annotated with 'Quartal Dominant' (measures 73-76) and 'Clausulae' (measures 77-79). It includes circled fingering numbers (7, 1, 5, 3, 4, 5, 1) and a measure number '73' above the staff.

3.3.7 Andantino/ Source: Gallo, Trio Sonata VIII, 1st movement

To this point, the alterations of each movement followed the course of an individual Emergent Form nested within the form of *Pulcinella* as a whole, with movements beginning faithfully to the source and ending with increasing distortions. The Andantino marks an important arrival point in *Pulcinella*'s Emergent Form, featuring the first distortion at a movement's outset. From mm. 1-7, Stravinsky deletes the bassline of what Gjerdingen terms a

“*Do-re-mi*” schema from the source, replacing it with a dominant-pedal ostinato (Example 3.11).¹¹⁷ The deletion of the characteristic $\hat{1}-\hat{7}-\hat{1}$ bassline of the *Do-re-mi* suppresses the full expression of the galant schema. The dominant pedal is, however, brief and not entirely uncharacteristic to a galant style, as many of the sources begin with pedals. In m. 8, Stravinsky restores the source’s bassline and resolves the pedal to the tonic. As *Pulcinella* progresses, opening distortions become gradually longer and employ less idiomatic pedal tones and ostinati. By the Tarantella movement, the obstructing repeated pedals and ostinati last through entire sections.

Example 3.11. A. Gallo, Trio Sonata VIII, i, mm. 1-12. **B.** Andantino, mm. 1-12, harmonization.

The image displays two musical staves, A and B, in 2/4 time. Staff A (top) is the original score by Gallo. It is divided into four sections: 'Do-re-mi' (measures 1-3), 'Clausulae' (measures 4-6), 'Clausulae' (measures 7-9), and 'Mod. Prinner' (measures 10-12). The 'Do-re-mi' section has notes labeled 'Do', 're', and 'mi'. The bass line in A is annotated with fingerings: 1, 7, 1, 4, 5, 1, 4, 5, 1, 4, 3, 2, 1, 4. A box labeled 'CM' is placed above the bass line in measure 10. Staff B (bottom) is a harmonization. It features a repeated Stravinsky-like harmony in the bass line, with fingerings 4, 3, 2, 1 indicated at the end of the piece.

A second salient distortion to the source occurs in mm. 36-42 when Stravinsky suppresses the expression of a Prinner by deleting its characteristic bassline and replacing it with a repeated Stravinsky-like harmony with a dominant root (Example 3.12). This suppression differs from previous instances in that Stravinsky follows this suppressed Prinner with a

¹¹⁷ Gjerdingen, *Music in the Galant Style*, 77-88.

repetition of a now-unobstructed Prinner not found in the original. The second Prinner has a quality of “overcoming” the obstruction of the first Prinner. The approach of this unobstructed Prinner by a sweeping ascending scale draws attention to this sense of “overcoming.”

Example 3.12. A. Gallo, Trio Sonata VIII, i, mm. 36-42. **B.** Andantino, mm. 36-49.

The image displays two musical examples, A and B, illustrating a 'Prinner' technique. Both examples are in 2/4 time and begin with a treble clef staff (m. 36) and a bass clef staff. A box labeled 'F' is present in the bass staff of both examples.

Example A: Labeled 'Prinner' at the top. The treble staff contains a melodic line with fingerings 6, 5, and 4. The bass staff is labeled '(deleted)' and contains a line with fingerings 4, 3, and 2. A 'Dominant-like chord' is indicated below the bass staff.

Example B: Labeled 'Prinner' at the top. The treble staff contains a melodic line with fingerings 6, 5, 4, and 3. The bass staff is labeled '(restored)' and contains a line with fingerings 4, 3, 2, and 1. A 'Dominant-like chord' is indicated below the bass staff.

The Andantino ends with improvisatory passagework on a Comma figure. Stravinsky extends the ascent of the Comma freely, giving the end of the movement a sound somewhat unidiomatic to galant style, but one constructed from a ubiquitous galant pattern.

3.3.8 Allegro /Source: Pergolesi, *Lo frate 'nnamorato*, Act I, No. 12, Vanella

As discussed above, Stravinsky's modern techniques of harmonization intensify as *Pulcinella* progresses. In early movements, prolonged tonic pedals faintly clashed with the contrapuntal patterns of the sources. Added 4^{ths}, 6^{ths}, 7^{ths}, and 9^{ths} above the bass created momentary dissonances that frequently resolved on subsequent beats. Beginning with the Allegro, Stravinsky's harmonization techniques become more disruptive as tonic pedals gain forceful salience and overwhelm the contrapuntal patterns of the source.

In terms of form and schemata, the Allegro retains most of the patterns of its source—an aria from Pergolesi's *Lo frate 'nnamorato*. In the movement, however, Stravinsky employs an emergent technique that gradually transforms the harmonization and orchestration from an idiomatic galant sound to a modernistic one by increasingly piling repeated notes on top of the otherwise fully preserved historical schemata, thereby thickening the texture and suppressing the source's expression.

Comparing the various statements of the primary theme, a melodic pattern resembling Gjerdingen's "Sol-fa-mi" schema, reveals this process of stylistic emergence.¹¹⁸ In the first two statements, mm. 1-14, the deleted bass suppresses the expression of the schemata (Example 3.13). In mm. 15-21, Stravinsky restores the bass in two successive statements of the primary theme. To the Gallo melody and bass, Stravinsky adds a *piano* tonic-triad pedal in the violins and

¹¹⁸ Gjerdingen, *Music in the Galant Style*, 253-262.

violas. With a small range limited to *piano* inner voices, this pedal does little to conflict with the preserved melody/bass counterpoint of the source but does clash with its implied harmonies (Example 3.13).

Example 3.13. A. Pergolesi, *Lo frate 'nnamorato*, Act I, No. 12, mm. 1-4, 13-16. **B.** Allegro, mm. 2-6, 15-18, added harmonization.

The image displays a musical score for two parts, A and B. Part A is a vocal line in 2/4 time, starting at measure 1. The melody is written in a treble clef with a key signature of one flat (B-flat). The notes are circled and labeled with solfège syllables: 'Sol' (circled), 'fa' (circled), and 'mi' (circled). Above the notes, the syllables 'Sol-fa-mi' and 'Clausulae' are written. The notes are numbered 4, 3, 2, 1. Part B is a piano accompaniment in 2/4 time, starting at measure 2. The bass staff has a wavy line indicating a pedal point. The treble staff has a rhythmic pattern of eighth notes. The score is divided into two systems, with measures 1-4 and 13-16 in the first system, and measures 2-6 and 15-18 in the second system.

In a restatement of the primary theme in m. 47, Stravinsky intensifies the salience of the added tonic pedals and ostinati, adding lines and widening the overall range of the orchestration. *Forte* ostinati in the flutes project above the source melody (Example 3.14).

Stravinsky continues the process of textural escalation in the statement at m. 51, further widening the range of added notes and thickening the harmonization with additional dissonances (Example 3.15). In each of these statements, the full pattern of the original is reproduced, melodic lines are doubled, and basslines occupy the lowest range of the texture, but Stravinsky

suppresses their expression with an ever-increasing heap of notes. Stravinsky continues this process of intensification as *Pulcinella* progresses.

Example 3.14. A. Pergolesi, *Lo frate 'nnamorato*, Act I, No. 12, mm. 44-47. B. Allegro, mm. 47-50, added harmonization.

Example 3.14 consists of two parts, A and B. Part A is a vocal line in G minor, starting at measure 47. It features a melodic phrase with a dotted quarter note followed by an eighth note, and a final cadence with a quarter rest. Part B is a piano accompaniment in G minor, starting at measure 47. It features a dense texture of triplets in both hands, with the right hand playing a triplet of eighth notes and the left hand playing a triplet of quarter notes. The texture is maintained throughout the six measures shown.

Example 3.15. A. Pergolesi, *Lo frate 'nnamorato*, Act I, No. 12, mm. 48-51. B. Allegro, mm. 51-54, added harmonization.

Example 3.15 consists of two parts, A and B. Part A is a vocal line in G minor, starting at measure 51. It features a melodic phrase with a dotted quarter note followed by an eighth note, and a final cadence with a quarter rest. Part B is a piano accompaniment in G minor, starting at measure 51. It features a dense texture of triplets in both hands, with the right hand playing a triplet of eighth notes and the left hand playing a triplet of quarter notes. The texture is maintained throughout the six measures shown.

3.3.9 Allegro Assai/ Source: Gallo, Trio Sonata III, 3rd movement

The emergent process of *Pulcinella* first climaxes in the Allegro Assai. The movement begins forcefully with a lengthy introduction of repeated Cm-add6 chords and a very robust tutti-orchestration, creating a bold and un-galant sound. When directly juxtaposed with the Overture, the difference is striking. As a continuation of the emergent process that unfolded over the previous movements, the culmination is natural and electrifying.

While the Allegro Assai is an arrival point in the Emergent Form, when compared to later movements it is still remarkably faithful to its model. There is no wholesale deletion of basslines as in the Tarantella, and no extended free composition as in the Finale. Although the movement contains Stravinsky's most disruptive editing to this point, its material is faithfully derived from the source.

Stravinsky's modernistic harmonization in the movement is immediately apparent, and I will not discuss it here. Instead, I will focus on how the Allegro Assai resembles its source, the third movement of Gallo's Trio Sonata III. I will focus on two techniques. First, Stravinsky repurposes a galant schema defined by repetition and turns it into a Stravinskian ostinato. Second, Stravinsky extends certain schemata to lengthen the form, reach unidiomatic key areas, and build dramatic tension in original ways not contained in the modest galant source.

The Fenaroli; or, the Galant Ostinato

The primary theme of the Gallo movement is defined by a melodic pattern resembling what Gjerdingen terms a "Fenaroli." Two characteristics of the Fenaroli are important for our discussion. The first is the melodic pattern $\hat{7}-\hat{1}-\hat{2}-\hat{3}$.¹¹⁹ The second is the repetition of this pattern:

¹¹⁹ Gjerdingen, *Music in the Galant Style*, 225-240.

in galant music, the $\hat{7}-\hat{1}-\hat{2}-\hat{3}$ melodic pattern is often repeated anywhere from two to four times. When the Fenaroli is combined with sequential progressions like Fontes or Montes, it may contain as many as eight repetitions at different pitch levels, as found in the Allegro Assai.

In the Gallo movement, represented in Example 3.16.A, the Fenaroli melody is repeated twice in C minor before modulating to E \flat major. In the top staff of the Gallo, the idiomatic $\hat{5}$ pedal occurs above the Fenaroli melody.¹²⁰ In the bottom system of Example 3.16, I have reproduced Stravinsky's treatment of the passage. While preserving the $\hat{5}$ pedal (now G4 in the oboe) and Gallo bassline, Stravinsky transforms the passage by adding three additional repetitions of the Fenaroli to the two of the Gallo source, repurposing the repetitive galant schema into something more like an ostinato. After the insistent repetition, Stravinsky reproduces the modulation to E \flat major from the source.

¹²⁰ Ibid., 226-227.

Example 3.16. A. Gallo, Trio Sonata III, iii, mm. 1-9. **B.** Allegro Assai, mm. 12-26.

Example 3.16. A. Gallo, Trio Sonata III, iii, mm. 1-9. B. Allegro Assai, mm. 12-26.

The image shows two musical examples, A and B, in 3/8 time. Example A consists of three measures. The first measure shows a piano trio with a single note in the right hand. The second and third measures show a piano solo with a Fenaroli pattern in the right hand, consisting of a sequence of notes with fingerings 7, 1, 2, 3. The pattern is labeled 'Fenaroli' and has a circled 5 above it. Example B consists of seven measures. The first measure shows a piano solo with a Cm chord. The second and third measures show a piano solo with a Fenaroli pattern in the right hand, consisting of a sequence of notes with fingerings 7, 1, 2, 3. The pattern is labeled 'Fenaroli' and has a circled 5 above it. The fourth and fifth measures show a piano solo with a Fenaroli pattern in the right hand, consisting of a sequence of notes with fingerings 7, 1, 2, 3. The pattern is labeled 'Fenaroli' and has a circled 5 above it. The sixth and seventh measures show a piano solo with a Fenaroli pattern in the right hand, consisting of a sequence of notes with fingerings 7, 1, 2, 3. The pattern is labeled 'Fenaroli' and has a circled 5 above it.

Example 3.17. A. Gallo, Trio Sonata III, iii, mm. 10-14. B. Allegro Assai, mm. 27-31.

The image shows two musical examples, A and B, in 3/8 time. Example A consists of five measures. The first measure shows a piano trio with a single note in the right hand. The second and third measures show a piano solo with a Fenaroli pattern in the right hand, consisting of a sequence of notes with fingerings 3, 4, #4, 5. The pattern is labeled 'Converging' and has a circled 5 above it. The fourth and fifth measures show a piano solo with a Fenaroli pattern in the right hand, consisting of a sequence of notes with fingerings 3, 4, #4, 5. The pattern is labeled 'Converging' and has a circled 5 above it. Example B consists of five measures. The first measure shows a piano solo with a Fenaroli pattern in the right hand, consisting of a sequence of notes with fingerings 7, 1, 2, 3. The pattern is labeled 'Fenaroli' and has a circled 5 above it. The second and third measures show a piano solo with a Fenaroli pattern in the right hand, consisting of a sequence of notes with fingerings 7, 1, 2, 3. The pattern is labeled 'Fenaroli' and has a circled 5 above it. The fourth and fifth measures show a piano solo with a Fenaroli pattern in the right hand, consisting of a sequence of notes with fingerings 7, 1, 2, 3. The pattern is labeled 'Fenaroli' and has a circled 5 above it.

Following the C-minor passage, Gallo repeats the Fenaroli pattern twice in E \flat major (Example 3.17.A). Stravinsky thickens the texture and adds two additional repetitions of the

Fenaroli melody for a total of four soundings. Again, following the transformation of the Fenaroli into an ostinato, Stravinsky reproduces the cadence of the passage faithfully.

In total, Gallo creates four Fenaroli melodic patterns in two keys over the first fifteen measures. Stravinsky significantly alters the source material with a total of nine repetitions. In isolation, Stravinsky's Fenarolis seem to be a straightforward example of the modern composer's approach to static construction.¹²¹ When compared to the source and galant practice at large, we see that Stravinsky derives his static ostinato-like construction from a galant practice itself defined by static repetition.

Example 3.17. A. Gallo, Trio Sonata III, iii, mm. 9-16. **B.** Allegro Assai, mm. 26-36.

The Allegro Assai is also important as it marks the beginning of Stravinsky's free play with galant patterns. In previous movements, Stravinsky edits the galant patterns, deleting stages

¹²¹ For a discussion of Stravinsky's static use of ostinatos, see: Horlacher, *Building Blocks*.

of some patterns and suturing them to subsequent patterns in unobtrusive ways. In the Allegro Assai, Stravinsky's edits become more substantial, resulting in new key areas not found in the source.

Overall, Stravinsky transforms the Gallo source into a lengthier, more dramatic movement of music, extending the seventy-seven measures of the galant source into a 171-measure work. Of these additional measures, forty-four come in the form of a lengthy introduction and conclusion not found in the source.

A second significant formal edit occurs in Stravinsky's treatment of the source's B section. In mm. 25-43 of the source, Gallo repeats the opening theme in the dominant key (a formal practice found in all of the Gallo sonatas used in *Pulcinella*). The Fenaroli melody first sounds in G minor, followed by a statement in C minor. In mm. 51-52 of the Allegro Assai, Stravinsky first reproduces three measures of the G-minor statement from the source, but in m. 53 he abruptly abandons the full G-minor statement and opts instead for a repetition of the entire A section.

Stravinsky's next striking edit occurs in his repeated A section. Following the Fenaroli patterns in C minor and E \flat major, the galant source contains a rising sequential pattern comprising a Monte. In the Gallo original, this sequence contains three stages: rising from E \flat Major, to F minor, and finally G minor, cadencing in the G-minor dominant area to prepare the arrival of the B section (Example 3.18). Stravinsky adds a fourth stage to the sequence, ending the pattern not in the G-minor dominant, but instead in the key of A minor—a rare key for a work in C minor (Example 3.18). This extra sequential step has significant implications for Stravinsky's B section. Rather than follow the progression of G minor to C minor found in the source, Stravinsky's B section necessitates an extra statement of the Fenaroli primary theme to

return to the material of the source. It begins in A minor, reached by Stravinsky's extension of the Monte sequence, and unidiomatically steps down by whole step for a statement of the Fenaroli theme in G minor, rejoining Stravinsky's B section with the B section of the source. In terms of key progression, the remainder of the Allegro Assai then follows its source.

Example 3.18. A. Gallo, Trio Sonata III, iii, mm. 16-21. **B.** Allegro Assai, mm. 72-79.

The image displays two musical excerpts, A and B, with their respective harmonic progressions. Excerpt A, labeled 'Monte', spans measures 16-21 and features a sequence of chords: Eb, Fm, and Gm. Excerpt B, spanning measures 55-79, features a sequence of chords: Eb, Fm, Gm, and Am. Both excerpts are in 3/8 time and are presented in a grand staff format (treble and bass clefs).

A final way Stravinsky transforms the galant source into the dramatic Allegro Assai occurs in his extension of a Ponte pattern. In mm. 54-56 of the Gallo, a three-measure dominant pedal in the form of a Ponte creates a bridge from B \flat major back into E \flat major. Stravinsky extends the Ponte from a brief three-measure event into a forcefully dramatic eight-measure event, an extension perhaps necessary to fit the Allegro Assai's larger form (mm. 111-118).

The Allegro Assai represents Stravinsky's freer play with the galant source material. The form is significantly lengthened, the harmonization emboldened, and original and unidiomatic key areas are reached that are not found in the galant source. At the same time, Stravinsky creates this recomposition using the contrapuntal patterns found in the source material itself by

exploiting moments of stylistic overlap and extending the contrapuntal patterns to heighten the dramatic tension of the work.

3.3.10 Tarantella: Allegro moderato/Source: Van Wassenaer, Concerto VI, iv.

The Tarantella, based on Van Wassenaer's concerto no. VI, best illustrates the collaborative balance between the modern and the historical that is characteristic of the middle movements of *Pulcinella*. In the Tarantella, Stravinsky reproduces the melodies and counter-melodies of the model for the entire movement, but replaces the galant basslines with static ostinati, repeated notes, and bass pedals. At key formal moments, Stravinsky realigns the Tarantella bassline with the schemata of the source, and the galant "filo" reemerges.

In Example 3.19, I have transcribed the movement in a two-system representation. The top staff of the top system contains the original Van Wassenaer melody found in both the original work and Stravinsky's Tarantella. The bass staff of the top system represents (in small notes) the galant bassline that Stravinsky deleted. The second system contains the significant newly composed material that Stravinsky added to the galant melody.

The Tarantella starts with a modern ostinato figure that announces Stravinsky's authorial presence. Following the opening, Stravinsky's added texture thins, allowing the galant melody to project to the fore. Over the course of the first twenty-two measures, Stravinsky gradually expands the density and register of the ositnati. These forceful ostinati suppress the schemata of the galant melody, alter the source's harmonies, and veer the piece away from Van Wassenaer's "filo." Stravinsky's accompaniment is, however, diatonic to the original source, adding no chromatic notes and modulating in tandem with the original.

Example 3.19. A. Van Wassenaer, Concerto VI, iv, mm. 1-17. **B.** Tarantella, mm. 5-21.

The image displays two systems of musical notation, labeled A and B. System A consists of two staves: a treble clef staff with a melodic line and a bass clef staff with a bass line. The bass line includes figured bass notation (Bb, 1, 7, 6, 4, 5, 5, 1, F, 1, 5) and circled fingering numbers (1, 7, 6, 4, 5, 5, 1, 1, 5). Brackets above the treble staff label sections as 'Romanesca', 'Clausulae', and 'Cadence'. System B also consists of two staves. The bass line includes circled fingering numbers (1, 3, 4, 5, 6, 5, 7, 1). Brackets above the treble staff label sections as 'Clausulae.....Evaded!' and 'Ponte'. A 'Comma' is marked in the bass line of system B. The music is in 6/8 time and B-flat major.

In m. 28, Stravinsky momentarily realigns his modern accompaniment by restoring a Prinner bassline from Van Wassenaer’s concerto (Example 3.20). Stravinsky even exaggerates the quality of the Prinner by extending its characteristic stepwise descent back six steps, creating a ten-stage linear pattern stretching the interval of a 10th. This exaggerated Prinner amplifies the Prinner’s function of “local” tonic return, realigning the Tarantella with the source at the moment of dominant-key resolution in m. 30. After this alignment, the F bass stalls and Stravinskian pedals again suppress the schemata of the source.

Example 3.20. A. Van Wassenaer, Concerto VI, iv, mm. 18-26. **B.** Tarantella, mm. 22-30.

The image shows a musical score for two pieces, A and B, in bass clef. Piece A (top) is Van Wassenaer's Concerto VI, iv, mm. 18-26. It features a treble staff with a melodic line and a bass staff with a harmonic accompaniment. Annotations include "(Ponte)" over the first four measures, "Prinner..." with circled numbers 6, 5, 4 over measures 5-7, and "Prinner" with circled numbers 6, 5, 4, 3 over measures 8-10. Piece B (bottom) is Tarantella, mm. 22-30. It also has a treble and bass staff. Annotations include "F" in a box under the first measure, "A minor" under measures 2-4, "(Prinner extended)" with a dashed line under measures 5-7, and circled numbers 4, 3, 2, 1 under measures 8-10. A circled number 3 is also present under measure 10.

In mm. 30-59, the basses of the source and Tarantella align momentarily at key moments, but these alignments are brief. In mm. 60-67, Stravinsky replaces a fifths sequence from the model with another lengthy linear descent (Example 3.21). Each of these sequences prepares the return of the tonic B \flat -major arrival in a distinct way, but the arrival of B \flat major is strikingly coordinated. This alignment is again abandoned after the formal arrival, and Stravinsky deletes the bass for the remainder of the movement, replacing it with a stratified texture of static B \flat -major ostinati.

Example 3.21. A. Van Wassenaer, Concerto VI, iv, mm. 59-67. **B.** Tarantella, mm. 59-67.

The image shows a musical score for two pieces, A and B, in bass clef. Piece A (top) is Van Wassenaer's Concerto VI, iv, mm. 59-67. It features a treble staff with a melodic line and a bass staff with a harmonic accompaniment. An annotation "Fifths Sequence" is placed above the treble staff, spanning measures 59-67. Circled numbers 6, 4, and B \flat 1 are placed below the bass staff at measures 60, 64, and 67 respectively. Piece B (bottom) is Tarantella, mm. 59-67. It also has a treble and bass staff. An annotation "Stepwise Linear Descent" is placed below the bass staff, spanning measures 59-67. Circled numbers 6, 4, and B \flat 1 are placed below the bass staff at measures 60, 64, and 67 respectively.

3.3.11 Tempo di Minuetto/Source: Pergolesi, *Lo frate 'nnamorato*, Act I, Don Pietro

The penultimate movement of *Pulcinella*, Tempo di Minuetto, requires attention for two reasons. First, it has a strongly expressed Emergent Form of its own. After beginning with a relatively faithful preservation of the primary theme material, Stravinsky increases his stylistic presence with each new statement of the primary theme, adding thicker harmonizations and layers of ostinati and imitative voices. Second, and most importantly, Stravinsky uses a technique at the conclusion of the Minuetto that will shape his succeeding neoclassical works: the imitative treatment of a galant melody in multiple keys at once. Although the Minuetto begins simply, it ends with a modern sound mass that parallels the introduction of *The Rite of Spring*—only now constructed of diatonic galant melodies.

I will begin by analyzing the melodic content of the source for the Tempo di Minuetto, an aria from Act 1, scene 2 of Pergolesi's *Lo frate 'nnamorato*. The eight-measure melody consists of two four-measure segments, with each four-measure segment constructed from two galant schemata (Example 3.22). The first four-measure segment, mm. 1-4, is in F major, and is characterized by a stepwise ascent from *do* to *sol*, followed by a Prinner-like melodic descent from $\hat{6}$ to $\hat{3}$. The second four-measure segment modulates to the dominant, C major, and is characterized by a Converging Cadence-like schema featuring a melodic ascent from $\hat{3}$ - $\hat{4}$ - $\hat{5}$ in F major (or $\hat{6}$ - $\hat{7}$ - $\hat{1}$ in C major), followed by an inverted-Prinner-like descent from $\hat{4}$ to $\hat{1}$ in the melody. In his treatment of the passage, Stravinsky enhances and intensifies the imitations of the melody hinted at in the original Pergolesi, creating a denser and more modernistic texture (Example 3.23).

To facilitate discussion of the dense and chaotic final statement of the primary theme in Stravinsky's Minuetto, I will use two analytical tools. First, I will number each note of the melody. There are twenty-four notes in the melody of the source. This numbering will facilitate discussion of Stravinsky's fragmentation of the melody in the final measures. Second, because the melody modulates, I will label the melodic statements first by the initial key of the statement, followed by the expressed tonality of the melodic segment Stravinsky employs. This information is also contained in the numbering system itself. For example, melodic numbers 1-14 express the initial key of the statement and will be labelled FM (initial key)/FM (expressed tonality). Melodic numbers 14-24 express the dominant modulation and will be labelled FM (initial key)/CM (expressed tonality).

Example 3.22. Pergolesi, *Lo frate 'nnamorato*, Act I, Don Pietro, mm. 1-8.

The image shows a musical score for Example 3.22, consisting of a single melodic line in 3/8 time. The melody is numbered 1 through 24. Above the notes, the syllables 'Do-re-mi' are written above notes 1-3, and circled numbers 6, 5, 4, 3, 2, 1 are written above notes 6-11, 14-19, and 22-24. Below the notes, a box labeled 'F' is under notes 1-3, a box labeled 'C' is under notes 14-19, and a box labeled 'C' is under notes 22-24. Brackets below the notes indicate 'Long Comma' (notes 6-11) and 'Clausulae' (notes 14-19 and 22-24). The notes are: 1 (F), 2 (G), 3 (A), 4 (B), 5 (C), 6 (D), 7 (E), 8 (F), 9 (G), 10 (A), 11 (B), 12 (C), 13 (D), 14 (E), 15 (F), 16 (G), 17 (A), 18 (B), 19 (C), 20 (D), 21 (E), 22 (F), 23 (G), 24 (A).

Example 3.23. A. Pergolesi, *Lo frate 'nnamorato*, Act I, Don Pietro, melody, mm. 1-8. **B.** Tempo di Minuetto, mm. 9-16, harmonization.

The image shows a musical score for Example 3.24, consisting of two parts: A (Vocal) and B (Piano). Part A is a vocal line in 3/8 time, starting at measure 9. It features a melody with circled numbers 1 through 7 above the notes, and the syllables 'Do-re-mi' above the first three notes. Part B is a piano accompaniment, also in 3/8 time, with two staves. It includes circled numbers 1 through 7 and a 'C' in a box, indicating specific notes and chords. The word 'Clausulae' is written below the piano part at the end of the section.

In the final section of the Minuetto, mm. 56-67, Stravinsky intensifies his imitative process, resulting in a sound mass not encountered in any of the earlier movements of *Pulcinella*. The texture of the section is massively dense, consisting of multiple ostinatos and the imitative layering of the primary theme in multiple voices and multiple keys at once. At its densest, segments of the primary theme sound in three keys simultaneously—G major, C major, and F major—creating a type of polytonal mass that Stravinsky utilizes in subsequent neoclassical works.¹²²

Although the key signature suggests C major, the section begins in G major, a key firmly established by a clear cadence in m. 55. The first statement of the primary theme occurs in G major (Example 3.24). The violas state notes 1-6, as labeled in Example 3.24, after which Stravinsky passes the theme to the first violins in mm. 58-59 to state notes 8-12. At this point, Stravinsky does not sound the second half of the melody, which would have created a modulation into the dominant (D major). Instead, the first violins begin sequencing notes 8-12 in

¹²² This type of superimposition is also found in Stravinsky's pre-neoclassical works. See: Van den Toorn, *The Music of Igor Stravinsky*, 23-24.

C major. At the same time, in mm. 58-61, the second violins begin a new statement of notes 1-12 in G major, suggesting a continuation of G major despite the first violins' C-major sequencing. Importantly, notes 1-12 contain no leading tones, but do strongly suggest tonality through reference to earlier statements.

In mm. 58-64, overlapping with the two statements discussed previously, Stravinsky sounds the second half of a C-major statement in the cellos and basses, notes 7-24. The second half of the C-major statement sounds in its dominant of G major, and in mm. 62-64, the cellos and basses sound F \sharp -itches that clearly express the key of G major.

On top of the statements expressing C major and G major, Stravinsky adds yet another statement of the primary theme in F major in the violas. This F-major statement is a complete statement of the theme, including notes 1-24 and completing in the final measure of the movement. Recalling that the primary theme modulates to the dominant, Stravinsky uses the F-major statement to bring the movement to a close in C major and prepare the C-major tonality of the subsequent and final movement of *Pulcinella*.

In mm. 58-64, statements of the primary theme simultaneously express G major, C major, and F major. In addition to the clear primary-theme statements, the remaining voices of the texture independently express and reinforce these three keys, contributing to the amassing chromaticism and tonal ambiguity.

While the goal of the final measures of the movement is clearly to establish a C-major tonality, Stravinsky complicates even this goal. Stravinsky constructs mm. 64-67 from notes 15-24 of the primary theme, segments of the theme less strongly expressed in the previous measures. The texture thickens with the entrance of the winds and horns. While most of the orchestra sounds notes 15-24 of an F-major statement (expressing a C-major tonality), the second

horn states notes 15-24 of a C-major statement (expressing G-major tonality) two beats earlier, extending the polytonal expression through the final moments of the Minuetto.

In *Pulcinella*, Stravinsky utilizes polytonal textures as early as the third movement *Poco piu vivo*. Throughout *Pulcinella*, the expression of polytonality intensifies as the Emergent Form unfolds. The Minuetto represents a culmination of this process, expressing three distinct keys at once. Individual voices reproduce the galant source material faithfully, with each voice remaining in a single diatonic key. Stravinsky utilizes a similar procedure in his earliest neoclassical works, most notably, the first movement of the *Octet*. In the final moments of the Minuetto, Stravinsky's unique neoclassical style emerges with full force, a style Stravinsky continues to express in the subsequent Finale.

Example 3.24. Tempo di Minuetto, mm. 56-67.

The musical score is arranged in a system with the following parts from top to bottom: Winds, Horns, Voice, Vln. I, Vln. II, Vle., Vc/Cb (solo), and Cb. The score covers measures 56 through 67. Measure numbers are indicated at the beginning of each staff and below the staff. Chord markings are placed above the staves: G/G (measures 7-12), F/F (measures 1-2), C/C (measures 7-12 and 13-24), and F/C (measures 14-15). Fingerings are indicated by numbers 1-5 below notes. The score includes various musical notations such as notes, rests, and slurs.

3.3.12 Finale: Allegro assai/Source: Gallo, Trio Sonata XII, 3rd movement

The final movement of *Pulcinella* is organized as an Emergent Form of its own. At first the work loosely follows the path of its source, the third movement of Gallo's Trio Sonata XII, but Stravinsky distorts every schema in some way that alters its function. Example 3.25 directly compares the Gallo and Stravinsky movements' opening sections. Stravinsky's distortions include deleted basslines, altered melodic patterns, added ostinati, unidiomatic repetitions, and the addition of original realizations of galant schemata.

A few of Stravinsky's edits alter the tonal path of the original. In m. 8 of the source, Gallo includes a brief dominant modulation into G major with the ♯4 of a Converging Cadence. Stravinsky deletes this Converging Cadence, keeping the music in C major. In mm. 9-11 of the Gallo, the reappearance of an F♯ creates a Ponte-like figure, pulling the music back to C major. In Stravinsky's movement, deleting the previous Converging Cadence alters the two-stage perception of this Ponte: no modulation to G major means the listener interprets the entire Ponte as a dominant in C major. In m. 12, the Gallo then features a modulating Prinner that begins in C major and concludes in G major. Gallo then confirms G major with an extended cadential section. While Stravinsky reproduces Gallo's modulating Prinner faithfully, he also repeats the entire modulating Prinner a second time. This second Prinner, not contained in the Gallo, has the quality of a non-modulating Prinner. Stravinsky's voice is as present as Gallo's, and like the galant composers of *Pulcinella*'s models, Stravinsky freely alters these stock musical patterns to suit his own needs.

Example 3.25. A. Gallo, Trio Sonata XII, iii, mm. 1-19. B. Finale, mm. 1-28.

The image displays two musical excerpts, A and B, from Gallo's Trio Sonata XII, iii. Part A (mm. 1-19) and Part B (mm. 1-28) are presented in a system with two staves each. The left staff is in treble clef and the right staff is in bass clef. The key signature is one sharp (F#) and the time signature is 3/4.

Part A (mm. 1-19):

- Section 1 (mm. 1-5):** Labeled "Clavetta". Fingerings: (1), (4), (5), (1).
- Section 2 (mm. 6-10):** Labeled "Clavetta". Fingerings: (4), (5).
- Section 3 (mm. 11-15):** Labeled "Passo Indietro". Fingerings: (1), (3), (4), (3), (3), (4), (3), (4).
- Section 4 (mm. 16-19):** Labeled "Converging". Fingerings: (3), (4), (#4), (5), (5).
- Section 5 (mm. 20-24):** Labeled "Ponte". Fingerings: (3), (4), (#4), (5), (5).

Part B (mm. 1-28):

- Section 1 (mm. 1-10):** Labeled "Modulating Prinner". Fingerings: (4), (3), (2), (1).
- Section 2 (mm. 11-28):** Labeled "Prinner". Fingerings: (6), (5), (4), (3), (2).

Additional annotations include a bracket labeled "Ponte (?)" spanning mm. 20-24 in both parts, and a bracket labeled "Clavetta" spanning mm. 1-5 in Part B.

In the middle section, mm. 36-93, Stravinsky completely abandons the schematic, tonal, and formal plan of the source for a modern “filo” of his own devising. The level of abandonment here is not found in any previous movement of *Pulcinella*. While brief moments, such as a Prinner in the relative minor in mm. 63-68, seem to emanate from the source, the entire middle section of the movement must be counted as original music. The section is marked by heavy fragmentation, brusque juxtaposition, and non-tonal combinations of the galant material, which together create a modern musical collage constructed of galant sounds.¹²³

Example 3.26 demonstrates Stravinsky’s treatment of the opening gesture in the middle section of the Finale. Over the course of the fifty-four-measure middle section, Stravinsky repeats fragments of the opening gesture twenty-one times, touching on a variety of scale types and tonal centers: moving from G major and minor, to E phrygian and mixolydian, D mixolydian, and A mixolydian. Other twentieth-century compositional techniques—including static oscillation between I and \flat VII harmonies, adding 6^{ths} and 4^{ths} to chords, heavily syncopated rhythms, and irregular metric groupings—contribute to the section’s modern sound.¹²⁴ In mm. 78-88, the fragmentation is intensified and accompanied by a syncopated two-note ostinato that repeats for ten measures (Example 3.27). The frank modernism of this section reinforces the originality of the opening section, and the piece as a whole is an unmistakable Stravinsky original.

¹²³ For a discussion of Stravinsky’s techniques of montage, which I call collage, see: Carr, *After the Rite*, 55.

¹²⁴ For a discussion of Stravinsky’s “oscillation” of harmonies, see: Van den Toorn, *The Music of Igor Stravinsky*, 23-34.

Example 3.26. Finale, B Section: Opening gesture treatment.

m. 1: C major

I

m. 36: G major/minor

I add6 i add6

m. 41: E Mixolydian/ Phrygian

I add4 i add4

m. 47: D mixolydian

I bVII add6

m. 69: E mixolydian

I bvii

m. 73: A mixolydian

I bVII add6

Example 3.27. Finale, mm. 76-87. Fragmentation and syncopation.

The image displays a musical score for Example 3.27, consisting of two systems of music. The first system, starting at measure 76, is labeled "(A mixolydian)". It features a treble staff with a melodic line and a bass staff with a complex texture of chords and rhythmic patterns. Chord symbols (bVII), I, and (bVII) are indicated below the bass staff. The second system, starting at measure 82, continues the complex texture with multiple Prinner patterns, each marked with a rhythmic signature $8^{12} - - - 1$.

In the return of the A section, mm. 88 to 130, Stravinsky asserts his voice even more fully. Stravinsky suppresses a sense of formal return by deleting the opening gesture entirely and beginning the section not in the movement’s tonic key of C major but in D major. The arrival of a heavily distorted Prinner pattern in m. 98 denies the reemergence of the galant “filo” and precludes a sense of formal recapitulation. As shown in Example 3.28, Stravinsky deletes the Prinner bass and dissonantly layers four Prinner melody patterns at once, each offset rhythmically so that different stages of the four-stage event occur simultaneously.¹²⁵ Then, just when the music seems to fail, Stravinsky presents an uncomplicated Prinner in the movement’s tonic key of C major, creating a sudden modulation and restoration of the galant style.

¹²⁵ For a discussion of such textural dissociation, see Horlacher’s discussion of “superimposition” in: *Building Blocks*, 132-133. See also: Lynne Rogers, “Stravinsky’s Break with Contrapuntal Tradition: A Sketch Study,” *The Journal of Musicology* 13, no. 4 (1995): 476-507.

Example 3.28. Finale, mm. 98-111.

Following a recomposed cadential section, Stravinsky ends *Pulcinella* with a forceful statement of his own style. In the coda, shown in Example 3.29, Stravinsky fragments and layers the opening gesture in multiple stratified voices, with each voice in its own meter and grouping.¹²⁶ In mm. 117-121, the horns and trombones cycle fragments of the opening gesture in five-quarter-note groups while the rest of the orchestra cycles in four-quarter-note groups. In

¹²⁶ For a more in depth discussion of the superimposition of musical lines, see: Horlacher, *Building Blocks*, 142.

mm. 122-128, the texture is divided into three distinct layers, with the second horns and trombones cycling in six-eighth-note patterns, the first horns and trumpets cycling in four-quarter-note patterns, and the remaining orchestra in offset quarter-note cycles. The resultant sound is a polyrhythmic strata composed of Gallo fragments that, as one critic noticed, ends *Pulcinella* “in the victory, or rather the vindication of Stravinsky.”

Example 3.29. Finale, mm. 117-129.

The musical score for Example 3.29, Finale, mm. 117-129, is presented in four systems. The first system (m. 117) features two staves: Cor I (top) and Cor II, Trb (bottom). The second system (m. 118) features two staves: Cor I, Tr (top) and Cor II, Trb (bottom). The third system (m. 119) features two staves: strings (top) and strings (bottom). The fourth system (m. 120) features two staves: strings (top) and strings (bottom). The score is in 2/4 time and features complex polyrhythmic patterns with various note values and rests.

The Stravinsky that emerges victorious and vindicated is not, however, the Stravinsky of the *Rite of Spring*—a Stravinsky defined by dissonance, atonality, and the sound of tomorrow—but the Stravinsky of his ensuing neoclassical style—a Stravinsky defined by an ahistorical melding of tradition and experimentation.

3.4 Stravinsky's Neoclassical Apprenticeship: Galant Materials After

Pulcinella

3.4.1 Introduction

In the second half of this chapter, I will reveal the importance of galant style in shaping Stravinsky's neoclassical works from 1920 to 1928, including the *Octet*, *Concerto for Piano and Winds*, *Piano Sonata*, *Serenade in A*, and *Apollo*. In discussing these works, I will demonstrate Stravinsky's continued use of both the galant musical patterns and the compositional techniques utilized in *Pulcinella*, revealing a continuity of style from *Pulcinella* to *Apollo*. I will also highlight how Stravinsky and his advocates refined the aesthetic mission of neoclassicism in their public declamations of style.

Galant Works at the Koussevitzky Concert of October 18, 1923

Due to Stravinsky's careful crafting of the work's Emergent Form, *Pulcinella* can be said to begin in the eighteenth century and end in the twentieth. Perhaps coincidentally, the concert premiering Stravinsky's next neoclassical work, the *Octet*, similarly began in the eighteenth century and, in the words of one reviewer, "leapt" into the twentieth century with Stravinsky's new work. The eighteenth-century work that opened the concert was a "rudimentary symphony of an old Italian stranger named Polaci...exhumed [by] Mr. Koussevitzky."¹²⁷ A second reviewer questioned the authenticity of this symphony, which, according to the program, was also receiving its "first performance" on October 18, 1923:

A curious feature of this concert was the first performance of a symphony by an absolutely unknown composer named Polaci (Bernardo Polazzi?), who apparently flourished in the early part of the eighteenth century. As absolutely nothing is

¹²⁷ Adolphe Jullien, "Revue Musicale: A Trevers les Grands Concerts," *Journal des débats politiques et littéraires*, October 27, 1923, 3. <https://gallica.bnf.fr/ark:/12148/bpt6k4905821/texteBrut>

known of the life of this composer (whose name is not even to be found in the best musical encyclopedias), the work can only be described as apocryphal. The manuscript is said to have been discovered and edited by Robert Sondheimer—where and in what circumstances the programme, at least, did not disclose.¹²⁸

Modern musicologists agree that this Polaci is likely Bernardo Polazzi, an eighteenth-century composer composing in the galant style of *Pulcinella*'s sources.¹²⁹ The reviewer, however, questioned the provenance of the symphony, implying that the work might be a modern fakery. Nevertheless, the work exhibits many galant characteristics, as shown in the theme of the third movement Minuet, reproduced in Example 3.30.

Example 3.30. Bernardo Polazzi, *Symphonie in D*, Minuet, mm. 1-8.

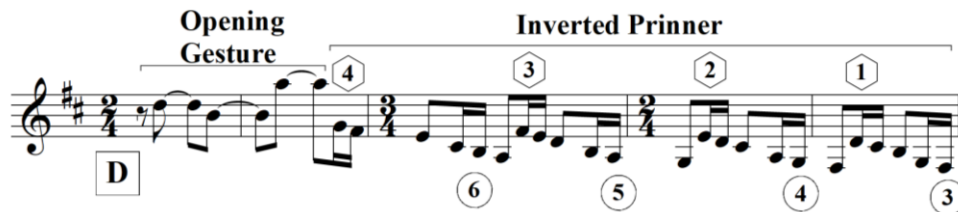
The eight-measure theme begins with a four-measure, tonic-outlining opening gesture and is followed by the quintessential galant response we know well from *Pulcinella*: the Prinner. While this might not prove its veracity, the symphony does express the galant style of its purported era of origin. At the very least, it proves that music in the galant style was performed in Stravinsky's day, priming his listeners to hear his use of eighteenth-century musical patterns.

¹²⁸ "Music in Paris," *Times*, October 23, 1923, 10.

¹²⁹ Marianne Wheeldon, "Anti-Debussyism and the Formation of French Neoclassicism," *Journal of the American Musicological Society* 70, no. 2 (Summer 2017): 459.

Following the Polaci (Polazzi) symphony, the concert “leapt” into the twentieth century with Stravinsky’s *Octet*, in which the audience heard the following musical pattern:

Example 3.31. *Octet*, Sinfonia, R9, abstracted from full texture.



Like the Polaci, the *Octet* melody contains a clear galant musical pattern: a tonic-outlining opening gesture followed by an inverted-Prinner descent—in D major to boot.

The Koussevitzky concert on October 18, then, contained two first performances utilizing eighteenth-century musical patterns: one an “exhumed” eighteenth-century work (or, according to one reviewer, an apocryphal modern forgery), the other unquestionably a twentieth-century work by Stravinsky. The question remains: From where did Stravinsky “exhume” *his* eighteenth-century pattern?

Stravinsky’s use of eighteenth-century musical patterns was not lost on the attendees of the concert, including the young Aaron Copland. In 1941, reflecting on the experience, he wrote:

I . . . can attest to the general feeling of mystification that followed that initial hearing. Here was Stravinsky, who had created . . . a style that everyone agreed was the most original in modern music—now suddenly . . . making an about-face and presenting a piece to the public that bore no conceivable resemblance to the individual style. . . . Everyone was asking why Stravinsky should have exchanged his Russian heritage for what looked like a mess of 18th-century mannerisms.¹³⁰

¹³⁰ Copland, *Aaron Copland: A Reader*, 52.

The Prinner of Example 3.31 is but one example of the mess of eighteenth-century mannerisms contained in the *Octet*. Despite the success and influence of *Pulcinella*, Copland's reflections expressed an impression shared by many of his contemporaries: that Stravinsky's use of eighteenth-century music in *Pulcinella* had been a one-off, after which Stravinsky would resume his "modern," "original," "individual style." By 1941, Copland had learned what he or any critic could not have guessed at the time of the Koussevitzky concert:

No one could possibly have foreseen, first, that Stravinsky was to persist in this new manner of his, or second, that the *Octet* was destined to influence composers all over the world in bringing the latent objectivity of modern music to full consciousness by frankly adopting the ideals, forms, and textures of the pre-Romantic Era.¹³¹

As Copland described, Stravinsky had continued to utilize music of the eighteenth century in his subsequent neoclassical works following *Pulcinella*. Like the presumptions of the critics at the time of its premiere, modern scholars frequently reject the influence of *Pulcinella*'s galant style on Stravinsky's ensuing neoclassical works.¹³² Copland, on the other hand, like Stravinsky himself, attributed importance to *Pulcinella* on Stravinsky's neoclassical style:

All subsequent evidence points to the fact that ... *Pulcinella* ... was a determining factor in the development of his later style—a much more important factor than any of the first spectators of *Pulcinella* could possibly have foreseen.¹³³

If the critics were at first skeptical of *Pulcinella*'s importance, many quickly began to find a continuity with *Pulcinella* and Stravinsky's next neoclassical works. As early as the 1923 *Octet*, critics began to revise their assumptions concerning *Pulcinella*, connecting it to what would be a new phase of Stravinsky's style. Alexis Roland-Manuel wrote in *L'Erlair* of the *Octet* premiere

¹³¹ *Ibid.*, 52.

¹³² Taruskin, "Parody as Homage," 61. Taruskin writes: "Its importance as the ostensible launching pad for Stravinsky's neoclassical period has been much exaggerated. It was not a project Stravinsky would have undertaken on his own initiative, and it had little to do with his create interests at the time."

¹³³ Copland, *Aaron Copland: A Reader*, 53.

that “the game that he once played under the aegis of Pergolesi, he currently continues under the invocation of the god Bach. There should no longer be a question of pastiche in this case.”¹³⁴

In the following section, I demonstrate Stravinsky’s use of specific eighteenth-century galant musical patterns and techniques in his works from 1920 to 1928, revealing a continuity in style and technique from *Pulcinella* to *Apollo*. Before I reveal *how* he used galant-era patterns and techniques from 1920 to 1928, it is beneficial to explore the cultural reasons *why* he did so. Copland’s 1941 reflection implies two reasons that we might call buzzwords of the 1920s: “objectivity” and “pre-Romantic.” As Copland suggests, Stravinsky adopted not only the forms, textures, and melodic contours of the pre-Romantic era, but also its “ideals.”¹³⁵ In this section, I continue the discussion begun previously in this chapter on Stravinsky’s search for a pre-Romantic, anti-individual style, focusing on the discussion as it appears in Stravinsky’s own words and those of critics and reviewers of the 1920s when the works were composed.

We do not need to rely solely on Copland to understand Stravinsky’s reasons for adopting eighteenth-century musical styles. In the press of the 1920s, Stravinsky and his advocates continued their attacks on Romanticism and the anarchy of modern music’s languages of tomorrow. During this time, Stravinsky especially refined his statements concerning the anti-individualism and objectivity of the neoclassical mission. Arthur Lourié, with Stravinsky’s approval in 1928, wrote that “Stravinsky’s whole aim . . . is to overcome. . . the individualistic conception of a self-imposed esthetic principle.” Instead, as Lourié explained, Stravinsky sought to adopt a classical principle that would “construct neoclassical forms by triumphing over

¹³⁴ L’ ‘Ottetto d’Igor Strawinsky,’ *Le Revue Pleyel* 1, no. 2 (November 1923): 24-25.

¹³⁵ Copland, *Aaron Copland: A Reader*, 52.

personal utterance” and to affirm “as the basis of an objective style a greater-than-individualistic principle.”¹³⁶

By 1927, Stravinsky had worked out exactly what neoclassic style entailed. In an article titled “A Warning by Igor Stravinsky,” Stravinsky argued against the notion that the revival of classical style was merely limited to surface references to the past:

With works that are worthy of attention, and have been written under the obvious influence of the music of the past, does not the matter consist rather in a quest that probes deeper than a mere imitation of the so-called classical idiom? I fear that the bulk of the public, and also the critics, are content with recording superficial impressions created by the use of certain technical devices which were current in so-called classical music.¹³⁷

Instead, for a so-called neoclassical composer to truly write in the classical style, the composer must employ the classical style’s “constructive values”:

The use of such devices is insufficient to constitute the real neo-classicism, for classicism itself was characterized, not in the least by its technical processes which, then as now, were themselves subject to modification from period to period, but rather by its constructive values.¹³⁸

What was truly important to classical style, for Stravinsky, was not just the use of “old” material, but the combination of the material in an intelligible and logical way that created form. Form here is not necessarily the use of a specific scheme, such as sonata form, but, again, the logical combination of related parts:

The mere ‘thing’—for instance, in music, a theme or a rhythm—is in itself not the sort of material that would satisfy an artist for the creation of a work. It is obvious that the constituents of such material must come into a reciprocal relation, which, in music, as in all art, is called form. The great works of art were all imbued with this attribute, a quality of interrelation between constituent parts, interrelation of the building material. And this interrelation was the one stable element, all that

¹³⁶ Walsh, *Stravinsky: A Creative Spring*, 461-462

¹³⁷ White, *Stravinsky: The Composer and His Works*, 578.

¹³⁸ *Ibid.*, 578.

lay apart from it being unintelligibly individual—that is to say, in music, an ultra-musical element.¹³⁹

Here again we find Stravinsky attacking the Romantic ideal of anarchic individuality. Classical style is defined by not just the patterns, but the connection of the patterns in such a way that what they communicate is intelligible from within the piece. It is from this principle that we arrive at the buzzword “objectivity” so often applied to neoclassical music. Classical music is made objective by its musical materials having meaning only from the interrelations of the materials from within the piece itself. Classical music’s affective qualities, in other words, come from a musical language that is built up from within the piece.

If searching to adopt a style with an internal logic and purely musical language, Stravinsky could not have found a more perfect style than the galant style of the works attributed to Pergolesi. In general, the “classical attitude” has been defined by the use of known musical conventions employed to “please and aide the public” and facilitate “ease of communication.”¹⁴⁰ In constructing works, classical composers strung together conventional patterns into a thread (“il filo”) that “allowed one musical thought to follow naturally upon another.”¹⁴¹

While this is true of the famous Classical composers like Mozart and Haydn, it is perhaps truer of their galant predecessors. For Robert Gjerdingen, the defining stylistic factor of galant music is the use of a highly developed conventional musical syntax created by stock musical phrases:

¹³⁹ Ibid., 578.

¹⁴⁰ Daniel Hertz and Bruce Allen Brown write: “Sovereign ease of writing, learning lightly worn, happiness in remaining within certain conventions or at least not straying too far from them—conventions that were bound to please and aide the public—these mark what Henri Peyre called the ‘classical’ attitude...By turning increasingly inward, away from the public, in his last years Beethoven strayed from one of the ideals of ‘classical’ art: ease of communication.” See: Daniel Hertz and Bruce Alan Brown, “Classical.” Grove Music Online. 2001. Accessed May 5, 2019. <https://www-oxfordmusiconline-com.libproxy.wustl.edu/grovemusic/view/10.1093/gmo/9781561592630.001.0001/omo-9781561592630-e-0000005889>.

¹⁴¹ Ibid.

[A] hallmark of the galant style was a particular repertory of stock musical phrases employed in conventional sequences. . . . as long as the music is grounded in this repertory of stock musical phrases, I view all its manifestations as galant.¹⁴²

The true art of galant music was not the invention of musical materials, but, as Stravinsky claims with classical music, the “interrelation of the building materials.” To describe this quality, Gjerdingen quotes Leopold Mozart’s statement that “the hallmark of a master composer” is “der gut Satz, und die Ordnung, il filo”; translated by Gjerdingen as “good technical composition and the arrangement of material: il filo,” and by Emily Anderson as “good composition, sound construction, il filo.”¹⁴³

Stravinsky’s writing in “A Warning” reflects contemporaneous scholars’ analyses of classical and galant styles. In 1929, reflecting on the recent swath of neoclassical works from Stravinsky, Boris de Schloezer wrote perhaps the most sensitive and accurate portrayal of Stravinsky’s neo-classical style and ideals, hitting on the topics of anti-individualism, objectivity, and the differences between the Romantic and classical “attitudes” in music. Although de Schloezer correctly traced Stravinsky’s anti-Romanticism to before *Pulcinella*, he argues that it was with *Pulcinella* that Stravinsky’s style was “freed from its ‘particularism,’” shedding his “personal” style for a more universal style which he continued to use in his *Octet* and *Piano Concerto*.¹⁴⁴

De Schloezer’s article gives a portrait of the modernist movement—a continuation of Romantic ideals—leading up to Stravinsky’s turn toward neoclassicism; one that would closely

¹⁴² Gjerdingen, *Music in the Galant Style*, 6.

¹⁴³ *Ibid.*, 369.

¹⁴⁴ Boris De Schloezer, “The Problem of Style II,” *The Dial* (May 1929): 394-395.

mirror Stravinsky's own language in *Poetics*.¹⁴⁵ The modernist movement, de Schloezer argued, was dominated by "a reign of originality, everyone was trying to elaborate his vocabulary . . . to realize himself in his own way and by an exclusively personal technique," resulting in a music "for himself and for nobody else."¹⁴⁶ The result was a polyglot of differing techniques and personal languages, a "war against everyone else," creating an absence of true "style," as style predicates a common language. In the absence of a communal language, this essentially Romantic aesthetic achieved intelligibility through extramusical references, with the music referencing emotions, nature, and narrative programs. Stravinsky first achieved fame in this environment, becoming a vanguard in this time of originality. It is for this reason that Stravinsky's anti-individualism became truly subversive.

As opposed to Romanticism's depiction of the real world through extramusical references, de Schloezer argued, Classicism is defined by a purely musical logic, creating an artificial and objective communal language:

If we consider the XVIIIth century as "classic" it is because it elaborated the instrumental and vocal forms which have provided us up till now with the specific musical language whereby one can create perfectly closed sonorous systems.¹⁴⁷

In this closed system, the generation of musical ideas comes not from the "free will of the composer," but the logical connection of musical conventions. De Schloezer and others during the time call this a "continuous style...in which one (musical) idea begets another with ... spontaneity and directness, without intervention of any psychological factor."¹⁴⁸ Modern scholars, channeling Leopold Mozart, call this continuity "il filo" or "the thread." And just as

¹⁴⁵ Richard Taruskin has suggested that early writings by reviewers like de Schloezer might have shaped Stravinsky's own thoughts on neoclassicism. See: Richard Taruskin, *The Oxford History of Western Music*. Vol. 4, *Music in the Early Twentieth Century* (New York: Oxford University Press, 2005), 469.

¹⁴⁶ Boris De Schloezer, "A Classic Art," *The Dial* 89 (June 1929): 469.

¹⁴⁷ De Schloezer, "A Classic Art," 466.

¹⁴⁸ De Schloezer, "The Problem of Style II," 396.

this type of construction was the hallmark of good composition for classical and galant composers, so was it the hallmark of good composition for Stravinsky's neoclassical works:

In a piece like . . . the Octour, and in the Sonata, we observe a sort of auto-generation of musical thought; the unfolding of an idea, the march of a phrase suffices, of which its own power, to beget another, and then another, and so on, with an implacable logic which strikes us as a necessity.¹⁴⁹

This “continuous style” constitutes the “form” Stravinsky discusses in “A Warning.” True neoclassical style is not the use of an old musical fragment, but the “interrelation of the building material.” This is what Stravinsky discovered in *Pulcinella* and continued in the 1920s, birthing his neoclassical style. In de Schloezer's words, Stravinsky “turns to the xviiiith-century in his attempt to re-create a style, a common language everywhere understandable, capable of giving the art-work a super individual structure.”¹⁵⁰

De Schloezer's depiction of Stravinsky's search for an anti-individual style suggests an inevitable adoption of classical techniques: that to truly create a universal or communal style, a composer must adopt the classical style. He creates a narrative that Stravinsky began this pursuit before *Pulcinella* and was essentially given the answer when commissioned to rework the eighteenth-century pieces. This universal language of classicism was shared by all classical composers across regions and time. And much like the classical composers before him, Stravinsky was not creating pastiches, but instead speaking in this language with his own modern vernacular. For this reason, when Stravinsky employed the patterns of the classical style—much as when Gallo, Cimarosa, Bach, Mozart, and even Beethoven employed them—his music was not historical but instead very much alive:

Is not the language resuscitated by Stravinsky the product of a mental structure very different from our own? Is the transposition of this style into the present

¹⁴⁹ De Schloezer, “The Problem of Style II,” 397.

¹⁵⁰ De Schloezer, “The Problem of Style II,” 403.

anything more than a mere stylization, can it produce anything more than a pastiche?

The answer is that the Octour, Oedipus, and Apollo Musagetes are very much alive.¹⁵¹

With this idea of objectivity in mind, I would bring attention to Stravinsky's famous remarks on his *Octet*. Published in 1923 at the time of the *Octet*'s first performance, under the title "Some Ideas About My Octour," the brief article was one of the few times Stravinsky put pen to paper to control the reception of his work. In the article, Stravinsky discussed a range of topics including instrumentation, tempo, dynamics, and, importantly to this study, the objectivity of the music itself. Stravinsky begins immediately with an anti-Romantic statement: "My Octour is a musical object. ... My Octour is not an 'emotive' work but a musical composition based on objective elements which are sufficient in themselves."¹⁵² In the final sentences, Stravinsky hints at the importance of de Schloezer's "continuous style" and the "auto-generation of musical thought":

This sort of music has no other aim than to be sufficient in itself. In general, I consider that music is only able to solve musical problems; and nothing else, neither the literary nor the picturesque, can be in music of any real interest. The play of the musical elements is the thing.¹⁵³

While objectivity can refer to many different elements of the composition, it is clear that Stravinsky attempted to distance his *Octet* from the extramusical references of Romantic individualistic style and couch his musical language in the rhetoric of classicism. As in "A Warning," Stravinsky described his musical language as having an internal logic with the "form" of the work built up from the play of musical elements—in other words, as having "il filo."

¹⁵¹ De Schloezer, "The Problem of Style II," 400.

¹⁵² White, *Stravinsky: The Composer and His Works*, 574-575.

¹⁵³ *Ibid.*, 577.

One can imagine Stravinsky in 1919 searching for a super-individual style when the scores of eighteenth-century galant composers attributed to Pergolesi arrive in his possession. He studies them, plays through them, and reworks them, becoming intimately aware of the common language that each movement shares. Stravinsky takes note of the stock patterns that connect logically to each other, creating an outwardly intelligible and objective flow of music (the “interrelatedness of the building materials”). The works open with tonic-outlining opening gestures ending on scale-degrees $\hat{3}$ or $\hat{5}$ which connect seamlessly to the dozens of Prinners initiated on scale degrees $\hat{4}$ or $\hat{6}$. The music seems to generate itself. At the beginning of *Pulcinella*, he reproduces the language faithfully, but by the end of *Pulcinella*, he uses the patterns to generate his own classic works.

De Schloezer is careful to explain in his “Problems of Style” that, “It was not the procedures but the style that changed in 1919. I *insist* on the distinction.”¹⁵⁴ Stravinsky began his apprenticeship with galant style, learning from the works by copying them, much as eighteenth-century apprentices once did. Stravinsky took these patterns and used them in his *Octet*, the *Concerto for Piano and Winds*, the *Piano Sonata*, and the *Serenade in A*. With *Apollo*, he continued to use this common language but he moved beyond copying to write a mature neoclassical “masterpiece” (in the conventional sense) of his own. I will demonstrate in the subsequent analyses that while Stravinsky adopted aspects of the galant musical language—including both individual pitch patterns as well as stereotypical galant combinations of patterns—aside from pitch, his overall musical techniques from before *Pulcinella* remained in place, giving his galant language a modern accent.

¹⁵⁴ De Schloezer, “The Problem of Style II,” 395.

3.5 Stravinsky's Neoclassical Apprenticeship: Analysis

Like his style immediately preceding *Pulcinella*, Stravinsky's style immediately after it was defined by eclecticism, featuring a pluralism of styles from piece to piece, movement to movement, and even section to section in a single work. Nevertheless, Stravinsky continued to employ the techniques and patterns he discovered in *Pulcinella* in many of his neoclassical works from 1920 to 1928. In the following section, I discuss Stravinsky's continuity of style from *Pulcinella* to his immediately succeeding neoclassical works up to 1928. In recalling that Stravinsky's personal authorial voice emerges only in the late sections of *Pulcinella*, these works most closely resemble the final movements of the ballet. In my analysis, I will focus on Stravinsky's use of galant musical materials and the musical techniques that connect these works to *Pulcinella*.

I will focus my discussion of these works on four principal techniques. The first technique is Stravinsky's use of diatonic galant musical patterns, ranging from possible direct borrowings from galant works to original realizations of the patterns. Second, I will examine Stravinsky's approach to harmonization in these works, focusing on how he complicates an otherwise straightforward diatonic setting. The third defining technique of these works is the independence of musical lines. Individual lines, while remaining diatonic, simultaneously imply opposing harmonies and diatonic scales and unfold at different time scales. For example, multiple independent lines might each imply a Prinner pattern, but one will unfold at quarter-note speed, another at half-note speed, and yet another at whole-note speed. In previous analyses of Stravinsky's works, this technique is referred to as "superimposition" or "dissociation."¹⁵⁵ The

¹⁵⁵ For "superimposition," see: Horlacher, *Building Blocks*, 132-133. For "dissociation," see: Rogers, "Stravinsky's Break with Contrapuntal Tradition."

fourth and final technique, which relates to the third, is the layering and imitation of lines in multiple voices.

3.5.1 Prototypical Galant Melodic Structure

The influence of *Pulcinella*'s galant music on Stravinsky's subsequent neoclassical works is clear not just in his use of eighteenth-century musical patterns, but also in how Stravinsky constructed primary themes using prototypical galant formal techniques. In *Music in the Galant Style*, Robert Gjerdingen likens galant composition to the playful turn-taking of conversation, with initial statements—which Gjerdingen terms Opening Gambits or *proposta*—inviting appropriate responses—which Gjerdingen terms *riposta*.¹⁵⁶ This statement–response, or Opening Gambit→*Riposte*, construction defines many galant works.

For opening gambits, composers relied on several contrapuntal patterns, favorites among them including the Romanesca, the Do-re-mi, and the numerous variants of the Meyer pattern. Given that galant music is tonal, it is not surprising that many of these patterns strongly spell out the tonic harmony in a linear fashion. The Do-re-mi, for example, ascends from scale degree $\hat{1}$ to $\hat{3}$; The Sol-fa-mi steps from scale degree $\hat{5}$ to $\hat{3}$. Opening gambits are not always some well-defined contrapuntal schema, and frequently appear as a more general outlining of a tonic triad, such as a tonic triad arpeggio.¹⁵⁷ For the sake of this study, I will define an opening gambit as an initial pattern that strongly outlines a tonic harmony.

While many options existed for opening gambits, galant composers favored the Prinner as a *riposte*.¹⁵⁸ The structure of the Prinner might explain its frequent use as a response to

¹⁵⁶ Gjerdingen, *Music in the Galant Style*, 45-51.

¹⁵⁷ Robert Gjerdingen, "Courtly Behaviors," *Music Perception* 13, no. 3 (1996): 368.

¹⁵⁸ Gjerdingen, *Music in the Galant Style*, 46, 51, 372-373.

Example 3.33. Pergolesi, *Lo frate 'nnamorato*, Act I, No. 12, mm. 1-4.

In his work on *Pulcinella*, Stravinsky no doubt recognized the prototypical galant structure of the “tonic-outlining opening gambit→Prinner *riposte*.” Fifty-three percent, or eleven, of *Pulcinella*’s twenty-one movements feature this structure, as do many of the unused source works. Sixty-seven percent, or fourteen, of *Pulcinella*’s movements feature a Prinner of some sort. Given that it is typical of galant form to repeat the primary theme material in the dominant key in a B section, this pattern of “opening gambit→Prinner *riposte*” permeates *Pulcinella*.

In the remainder of this chapter, I will demonstrate that Stravinsky utilized not only galant schematic patterns, but also the galant “opening gambit→Prinner structure” in the primary themes of at least one movement of each neoclassical work from 1920 to 1925. The “interrelatedness” of the stepwise ascent to $\hat{3}$ or $\hat{5}$ and descent from $\hat{4}$ or $\hat{6}$ assured an objective musical logic. In some cases, Stravinsky might have borrowed the patterns directly from galant sources, while others must be counted as original realizations of the galant stock patterns. As in *Pulcinella*, Stravinsky complicates or “distorts” this pattern in unique ways in each movement. Many of these distortional techniques resemble Stravinsky’s treatment of galant material in

Pulcinella, creating a continuity of style for his earliest neoclassical works from *Pulcinella* to the *Serenade in A* of 1925.

3.5.2 *Octet*

Following *Pulcinella*, Stravinsky's first work to feature galant musical material was his *Octet* (1922–23). Overall, the *Octet* is stylistically eclectic, but galant materials can be found throughout the first and third movements.¹⁶¹ While past analyses have focused on the clear sonata form of the movement, none to date have explored the movement's indebtedness to galant musical patterns. In the movement, Stravinsky uses galant musical material to construct the primary-theme sections of the movement's sonata form. As we will see, Stravinsky's use of galant musical material and his methods of construction are quite similar to the techniques he utilized in *Pulcinella*.

Sinfonia, Primary Theme

Following a lengthy forty-one-measure introduction (which itself exhibits neoclassical tendencies), Stravinsky introduces the primary theme of the Sinfonia, doubled in multiple octaves (Example 3.34). This theme expresses the prototypical galant “opening gambit→Prinner *riposte*” structure. Consisting of three melodic segments, mm. 42-43 outline the E \flat -major tonic, followed by a Prinner-like melody in mm. 44-45, and finally a cadential gesture in mm. 46-47.

¹⁶¹ Although I will restrict my discussion to the first movement, the third movement contains many clear galant patterns as well.

Example 3.34. *Octet*, Sinfonia, mm. 42-48. Theme.

Furthermore, the Sinfonia's primary theme closely resembles the melody of Gallo's Trio Sonata VI, I (Example 3.35.A). Both melodies feature similar prototypical galant structures constructed of three sections: an opening gesture, a brief Prinner, and a concluding cadential gesture. The opening gestures share similar contours: a skip down followed by an ascending minor seventh. Following the opening gesture, both melodies then step from $\hat{3}$ back to $\hat{1}$. Both then feature a Prinner stepping from $\hat{6}$ to $\hat{3}$ before concluding with the $\hat{1}-\hat{7}-\hat{1}$ cadential gesture. The original Gallo modulates halfway through the melody, but the similarities become even more striking when comparing the *Octet's* melody to a hypothetical, non-modulating version of the Gallo melody (Example 3.35.C).

Example 3.35. **A.** Gallo, Trio Sonata VI, i, mm. 1-8. **B.** *Octet*, Sinfonia, mm. 42-48. **C.** Gallo, Trio Sonata VI, i, hypothetical non-modulating version.

Stravinsky's construction of the primary-theme section offers even more similarities to the Gallo Trio Sonata. Both Stravinsky and Gallo feature imitative constructions for their primary-theme sections, each overlapping their similar melodies with multiple statements in multiple voices in quick succession. Although Stravinsky's quarter = 104 tempo is slower than Gallo's *vivace*, compositional sketches reveal that Stravinsky originally envisioned a much more *vivace*-like tempo of a quarter = 138 for the primary theme.¹⁶²

This raises the question: Did Stravinsky borrow the melody of the *Octet* from Gallo's Trio Sonata VI? While Gallo's sixth Trio Sonata is not one of the source manuscripts for *Pulcinella*, we do know that Stravinsky, or someone working with him, had access to additional Gallo works (attributed to Pergolesi) at the time of *Pulcinella*'s composition. The source of *Pulcinella*'s "Allegro Allo Breve" is almost certainly a 1903 edition of Gallo's Trio Sonata VII by Alessandro Longo, which was not contained in the initial source manuscripts.¹⁶³ Although Stravinsky's statements concerning the composition of *Pulcinella* were often inaccurate, he did state that his "ultimate selection of pieces derived only partly from Diaghilev's examples . . . and partly from published editions," suggesting that the composer himself might have had access to all of Gallo's Trio Sonatas.¹⁶⁴ If Stravinsky borrowed the *Octet*'s primary theme from Gallo's Trio Sonata VI, the *Octet* would represent a remarkable continuity with *Pulcinella* in compositional technique, with both compositions directly borrowing galant melodies with a modern textural and harmonic treatment.¹⁶⁵

¹⁶² Robert Craft, "Appendix F: On the Chronologies of the Composition of the Octet, Serenade, and Concerto per due pianoforte soli," in *Stravinsky: Selected Correspondences*, vol. 2 (New York: A. A. Knopf, 1984), 459.

¹⁶³ Brooks, "Stravinsky's *Pulcinella*," 49; Carr, "Eighteenth-Century Sources and Stravinsky's Use of These Models," 9.

¹⁶⁴ Brooks, "Stravinsky's *Pulcinella*," 44.

¹⁶⁵ At the very least, comparison of the imitative *Octet* section to Gallo's imitative Trio Sonata VI suggests that Stravinsky's imitative treatment of the melody need not be interpreted as a manifestation of Baroque "Back-to-Bach" neoclassicism. Stravinsky might have drawn the primary theme's imitative construction, like the melody itself, from galant sources.

While the melody might resemble galant melodic construction, Stravinsky's textures and rhythms for the primary theme express a much more modern style. Stravinsky layers and staggers E \flat major statements on top of each other, creating a modern mass of sound. The meters change frequently and feature uneven divisions of the measure, and Stravinsky intensifies the disjointedness of the rhythms with offbeat syncopations. Although the passage remains in E \flat major, Stravinsky's harmonization conflicts with straightforward E \flat -major tonality as he harmonizes the E \flat melody with A \flat -major chords and suggests cadential dominants at conflicting points in time (as in Example 3.36).

The full texture for the first statement of the primary theme in mm. 42-48 provides an example of Stravinsky's treatment of diatonic pitch materials. In Example 3.36, I have grouped each line by likeness of material. While each voice in the passage is fully diatonic to the key of E \flat major, each line, when sounded in isolation, contains unique pitch patterns that conflict with each other when combined. The passage begins with the opening gesture coordinated between all voices in mm. 42-43. In mm. 44-47, the top two staves and bottom two staves articulate conflicting descending patterns. The top two staves begin a four-measure descending-thirds pattern on $\hat{3}$ in mm. 43-46. The bottom two staves initiate a two-measure Prinner pattern that begins one measure later, in mm. 44. This conflict is minimal but perceptible.

Example 3.36. *Octet*, Sinfonia, mm. 42-48.

The image shows a musical score for four staves, numbered 1 to 4. The score is in a key signature of two flats and a 2/4 time signature. The first two measures are grouped under the heading 'Opening Gesture'. The next four measures are grouped under 'Descending Thirds'. The final two measures are grouped under 'Prinner'. The score includes treble and bass clefs, a key signature of two flats, and a 2/4 time signature. Annotations include 'Opening Gesture' above staff 1, 'Descending Thirds' above staff 2, and 'Prinner' above staff 3. Roman numerals (V, V7, I, IV, I6) are placed below the notes in the final measures to indicate harmonic function.

Especially striking is how each line articulates cadential patterns out of sync with the others in mm. 47-48 (Figure 3.5).¹⁶⁶ The primary theme, in staff 3, articulates a $\hat{1}-\hat{7}-\hat{1}$ pattern that resolves on the first beat of m. 48. While the top line in staff 3 reaches the tonic on beat 1, the lower line delays the tonic resolution to beat 2. The remaining voices conflict with this resolution, suggesting dominant-function pitch patterns at the moment staff 3 suggests tonic resolution. The bottom staff clearly articulates V on beat 1 of m. 48 and V7 on beat 2, not reaching tonic resolution until beat 3. The upper line of staff 2 conflicts with even this resolution, reaching the dominant on beat 1 of m. 48 and a bass tonic note on beat 2. In total, voices

¹⁶⁶ For a similar analysis of out-of-sync tonic and dominant expressions in differing textural strata in the *Mavra*, see: Hyde, “Stravinsky’s Neoclassicism,” 107-109.

independently suggest tonic resolutions on all beats of m. 48, while dominant functions are suggested on beat 3 of m. 47 and beats 1 and 2 of m. 48. The music is diatonic, but the patterns and functions they suggest fall out of sync, creating an awkward and dense tonality.

Figure 3.5. Sinfonia, mm. 47-48. Each column represents an eighth-note beat; each row a different musical line. Bold and italicized numbers represent tonic-expressing notes. Shaded and underlined numbers represent dominant-expressing notes.

	<i>1</i>	<u>7</u>	6	5		5			
				5		<u>4</u>		<i>1</i>	
				<u>5</u>		<i>1</i>		<i>1</i>	
<i>1</i>		<i>1</i>	<u>7</u>	<i>1</i>		<i>1</i>			
		<i>1</i>	<u>7</u>	3		<i>1</i>			
				<u>2</u>		<u>4</u>		<i>1</i>	
				<u>5</u>		<u>5</u>		<i>1</i>	

Primary Theme, Secondary Key Area

Following the tonic statements of the theme, Stravinsky sequences the opening measures of the theme, signaling a transition zone at R8. The sequences step down from B \flat to A \flat before arriving in D major, the key area of the second theme.¹⁶⁷ Similar to Gallo’s galant form, Stravinsky states the primary theme in full after arriving at the second theme key area.

In the D-major statement of the primary theme at R9, the galant aspects of the material become even clearer (Example 3.37). Stravinsky preserves the same opening gesture but recomposes the second half of the melody to feature a clear “inverted-Prinner” *riposte*: descending from $\hat{4}$ - $\hat{3}$ - $\hat{2}$ - $\hat{1}$. The $\hat{4}$ - $\hat{3}$ - $\hat{2}$ - $\hat{1}$ Prinner melody becomes the focus of the section.

¹⁶⁷ For analyses of the Sinfonia’s sonata form, see: Joseph Straus, “Sonata Form in Stravinsky,” in *Stravinsky Retrospectives*, ed. Ethan Haimo and Paul Johnson (Lincoln: University of Nebraska Press, 1987): 155-161; and Ethan Haimo, “Problems of Hierarchy in Stravinsky’s Octet,” in *Stravinsky Retrospectives*, ed. Ethan Haimo and Paul Johnson (Lincoln: University of Nebraska Press, 1987), 36-54.

Second-Theme Zone

The second theme of the Sinfonia exhibits galant characteristics as well, but an overall chromaticism disguises their expression.¹⁶⁸ The section marked R16, however, features musical materials that strongly evoke galant musical patterns in general, and moments of Gallo's Trio Sonata IV, I, specifically.

Following a series of fragmented and highly chromatic passages, the music arrives at a clear and stable G-major tonality at R16 (Example 3.38). Stravinsky approaches the passage with a Prinner in the first trumpet and second bassoon. The four-voice texture that follows is thick and complicated, disguising the galant material. At R16+1, the second bassoon, after first suggesting G-major tonality with the Prinner bass, denies the Prinner's resolution on $\hat{1}$, sounding G \sharp instead of G \natural (a technique Stravinsky reproduces in subsequent neoclassical works). The second bassoon continues to complicate the passage's galant sound with a chromatic ostinato, a technique similar to those he employed in *Pulcinella*.

¹⁶⁸ Joseph Straus has argued that the second theme is centric around D. Recognizing the galant materials in the second-theme area, I believe this is only partially correct. While the melody expresses D (major and minor), including a highly chromatic Prinner riposte in the second trumpet at R11, the bassoons and lower voices express galant characteristics in G major, including the thematic material and small-scale Prinner that return at R16. For this reason, I would argue that the second theme is actually in both G major and D major, and an example of Stravinsky's neoclassical approach to superimposition. See: Straus, "Sonata Form in Stravinsky," 155-158.

Example 3.38. *Octet*, Sinfonia, R16.

The musical score consists of four staves in 2/4 time. The top two staves (treble clef) feature a melody with 'Prinner' and 'Opening Gesture' markings. The bottom two staves (bass clef) feature a bass line with 'Prinner' markings. Fingerings are indicated by circled numbers 1-6.

The remaining voices express galant musical patterns, but they express two different galant patterns simultaneously: a tonic-outlining opening gesture and a Prinner *riposte*. The top two staves of Example 3.38 contain the opening-gesture-like melody performed by the trumpets. This melody features two curt melodic fragments: a tonic-arpeggio followed by a small-scale Prinner melody. Generally, melodies like this are common to the third movements of Gallo's Trio Sonatas, and can also be found in the finale to *Pulcinella*. More specifically, this melody bears remarkable similarity to the opening movement of Gallo's Trio Sonata IV (Example 3.39). The first movement of Gallo's Trio Sonata IV was included in the initial source material for *Pulcinella*, but at the time Stravinsky decided not to include it in the final work. As in the *Octet*'s R16 material, Gallo's melody alternates two curt melodic segments: a tonic arpeggio and a small-scale Prinner.

Example 3.39. Gallo, Trio Sonata IV, i, mm. 1-3.

At the same time as the trumpet 2 melody, Stravinsky presents a Prinner pattern doubled in the E \flat clarinet and bassoon 1 (Example 3.40.B). Stravinsky ornaments the Prinner with suspensions and neighbor note figures, and combines the Prinner’s bass and melody patterns into a single compound line. His ornamental treatment of the line is very similar to a Prinner pattern occurring at m. 42 of Gallo’s Trio Sonata IV, I—the same movement from which Stravinsky’s trumpet melodies might be derived (Example 3.40.A). Gallo’s Prinner, spread over two lines, features similar suspensions and neighbor note figurations. Stravinsky’s compound Prinner is a conflation of Gallo’s two lines.

Example 3.40. A. Gallo, Trio Sonata IV, i, mm. 42-45. **B.** *Octet*, Sinfonia, R16, E \flat clarinet and bassoon 1, transposed into a higher octave for comparison.

Whether the music at R16 is explicitly borrowed from Gallo's Trio Sonata IV or merely resembles it, its similarity to galant patterns is strong. The construction of R16 represents additional evidence that Stravinsky continued the techniques he employed in *Pulcinella* in the *Octet*. Here, Stravinsky utilizes galant musical patterns (perhaps borrowed) to construct a modern texture that belies its possible galant influence. Essentially, Stravinsky folds galant form onto itself by simultaneously combining the opening gesture of a Gallo sonata with Gallo's Prinner *riposte*, with each pattern implying unique harmonizations. Stravinsky further complicates the passage with the addition of an ostinato bass that conflicts with the implied tonality of the upper lines.

Primary Theme Recapitulation

In the recapitulation of the primary theme at R21, Stravinsky's treatment of the galant material becomes even more brazenly modern. While the primary theme was restricted to E \flat major in the initial statement, in the recapitulation Stravinsky layers the melodic material into a chromatic, polytonal mass that resembles the conclusion of the *Pulcinella* Tempo di Minuet, presenting the primary theme in E \flat major, A \flat major/f minor, C minor, and B \flat major simultaneously.

In Example 3.41, I have segmented the full texture of the R21 recapitulation into separate systems, with each system representing a different key. (Each note is represented only once, and no material is doubled.) The first system contains the patterns corresponding to the tonic key of E \flat major. The material here derives from the initial E \flat -major statement of the exposition. The second system contains material corresponding to statements of the R9, or D-major version, of

the theme featuring the inverted Prinner *riposte*. This segment begins in A \flat major before modulating to F minor and F major. The third system contains a C-minor statement of the opening gesture, which is followed by a full Prinner three measures later. Finally, the fourth system contains a B \flat -major statement of the opening gesture and an inverted Prinner that sounds simultaneously with the C-minor Prinner. Simultaneously with the C-minor and B \flat -major inverted Primmers, Stravinsky sounds an additional Prinner pattern in E \flat major. This E \flat -major Prinner brings the music back to the tonic of E \flat major, preparing a final statement of the primary theme to conclude the movement.

As a whole, the R21 passage is remarkably dense and chromatic, resulting in a decidedly un-galant sound. By recognizing the galant materials more clearly presented earlier in the movement, one can more easily hear the passage's indebtedness to a Gallo-like sound. When isolated, each statement in its respective key retains a sense of tonality and galant-like expression. When presented simultaneously, the sound mass obscures the passage's possible galant origins, creating a modern sound with its only precedent being the final moments of Stravinsky's *Pulcinella*.

Example 3.41. *Octet*, Sinfonia, R21-R22. Each staff represents a single key.

The musical score is organized into four systems, each representing a different key signature:

- System 1 (Eb):** The upper staff contains a melodic line with notes G4, A4, Bb4, C5, D5, E5, F5, G5, A5, Bb5, C6, D6, E6, F6, G6, A6, Bb6, C7. Fingerings 6, 5, 4, and 3 are indicated above the notes. The lower staff is a whole rest.
- System 2 (Ab/F and Ab):** The upper staff contains a melodic line with notes G4, A4, Bb4, C5, D5, E5, F5, G5, A5, Bb5, C6, D6, E6, F6, G6, A6, Bb6, C7. An *8va* marking is present above the staff. The lower staff contains a whole rest.
- System 3 (Cm):** Both the upper and lower staves contain whole rests.
- System 4 (Bb):** Both the upper and lower staves contain whole rests.

The image shows a musical score with four systems, each with a grand staff (treble and bass clefs). The key signature has three flats (Bb, Eb, Ab).

- System 1 (Eb):** Treble clef. Measures 1-3 contain eighth-note patterns. Measure 4 has a rest. Measure 5 has a sixteenth-note triplet (circled 4) and a dotted quarter note (circled 3). Measure 6 has a whole note.
- System 2 (Ab/F):** Treble clef. Measure 1 has a dotted quarter note (circled 6) and an eighth note (circled 4). Measure 2 has a dotted quarter note (circled 3) and an eighth note (circled 2). Measure 3 has a dotted quarter note (circled 1) and a quarter rest. Measure 4 has a quarter rest. Measure 5 has a quarter rest. Measure 6 has a quarter rest. A dashed line labeled (8^{va}) spans measures 1-3. Chord markings **Fm**, **v**, **i**, and **FM** are placed below the staff.
- System 3 (Cm):** Treble clef. Measures 1-3 contain quarter notes. Measure 4 has a quarter rest. Measure 5 has a quarter rest. Measure 6 has a quarter rest. The bass clef has a whole note chord in measure 6.
- System 4 (Bb):** Treble clef. Measure 1 has a quarter rest. Measure 2 has a dotted quarter note (circled 6) and an eighth note (circled 4). Measure 3 has a dotted quarter note (circled 3) and an eighth note (circled 2). Measure 4 has a dotted quarter note (circled 1) and a quarter rest. Measure 5 has a quarter rest. Measure 6 has a quarter rest. The bass clef has a whole note chord in measure 6.

The image shows a musical score for three instruments: Eb, Cm, and Bb. The Eb part is the most complex, featuring a series of sixteenth-note patterns in the first three measures, followed by a change to 3/4 and then 2/4 time signatures. The Cm part has a melodic line with fingerings 6, 5, 4, 3 in the first measure, and 4, 3, 2, 1 in the second. The Bb part has a simple melodic line with fingerings 4, 3, 2, 1 in the first measure. The score is in a key with three flats (B-flat major or D-flat minor).

3.5.3 Concerto for Piano and Winds (1923–24)

Following the *Octet*, Stravinsky's next neoclassical composition was the *Concerto for Piano and Winds* (1923–24). Reviewers took note of the work's classical style, unique orchestration, and the nascent continuity of Stravinsky's budding neoclassical phase. One review

noted not only Stravinsky's use of stock musical phrases, but also his anti-individualistic reasons for doing so. The reviewer for *La Revue Musicale* contrasted the *Concerto* with Stravinsky's "revolutionary" works of the past, and argued that Stravinsky's neoclassical phase would itself be just as revolutionary:

But it is precisely here that he asserts the revolutionary spirit of the Russian composer: it in no way involves pastiche; this is not a joke, nor an exercise in style; but Stravinsky is trying his hand out in creating in consecrated forms and in treating a musical material stripped of any personal character: the individualistic aesthetic of the nineteenth century imposed on artists the obligation to differentiate himself from his predecessors and from his contemporaries as much as possible, and to create from scratch a completely new language; but the objectivism of Stravinsky leads him in a different way, that of traditionalism: the author of *Noches* therefore comes closer to the old masters who employed, without getting in each other's way, common phrases, constantly used formulas, and processes that fell into the public domain, not by a lack of inspiration, not in order to distinguish themselves, and not in order to demonstrate their own personality. But the state of mind is such today that it is precisely this traditionalism of Stravinsky, his search for a "super individual" style that distinguishes and violently emphasizes his personality.¹⁶⁹

The reviewer of *La Revue Musicale* was correct, for as in the *Octet*, Stravinsky employed the "constantly used formula" of the prototypical galant melodic structure in the first and second movements of his *Concerto*. This structure is most apparent in the second movement, for which his sketch material demonstrates Stravinsky's understanding of the Prinner as a discrete musical pattern, and that his use of it as a *riposte* was likely intentional. In the first movement, the prototypical galant melodic structure is more disguised but nevertheless present. Stravinsky's methods of disguising the galant melodic materials draw quite clearly from those he developed in *Pulcinella*.

¹⁶⁹Boris de Schloezer, "Concerto pour piano, de Stravinsky," *La Revue Musicale* 5, no. 9 (July 1924): 68-69.

Movement II, Larghissimo

The melodic material of the *Concerto*'s second movement—a serene slow movement—follows the galant melodic prototype as described previously: a tonic-outlining opening gesture followed by a Prinner-like melodic descent. Before examining the first instance of the primary theme, which opens the movement, consider a later statement of the material that more clearly demonstrates the galant patterns that shape it.

Toward the end of the movement, at R59, Stravinsky follows a piano cadenza with the Prinner *riposte* of the primary theme, excluding the tonic-outlining first half of the theme which clearly establishes C major as the movement's key (Example 3.42). (Stravinsky first begins a recapitulation with a Prinner, of course, in the Finale of *Pulcinella*, mm. 98-111.) The Prinner-like quality of this material is clearest at R59: the melody descends from $\hat{6}-\hat{5}-\hat{4}-\hat{3}$; the bass begins on $\hat{4}$ and steps down to $\hat{3}$ before Stravinsky abandons the rest of the Prinner bass.

Example 3.42. *Concerto for Piano and Winds*, ii, R59.

The musical score for Example 3.42 is presented in a three-staff format. The top staff is the right hand, the middle staff is the left hand, and the bottom staff is a separate bass line. The key signature is C major, indicated by a 'C' in a box at the bottom left. The time signature is 2/4. The right hand features a melodic line with a descending contour, marked with a bracket labeled 'Prinner' above it. The notes are G4, F4, E4, D4, and C4, with fingerings 6, 5, 4, and 3 indicated above the notes. The left hand provides harmonic support with chords and a bass line that starts on G3 and descends to F3. The bottom staff shows a single note G2, which is the tonic of the key.

Donald G. Traut, in *Stravinsky's "Great Passacaglia,"* describes a sketch for this segment of music, SP 630, contained in the *Paul Sacher Stiftung* in Basel.¹⁷⁰ In the sketch, the material of R59 is isolated among sketches for the first movement, and in it, Stravinsky sketches the Prinner's $\hat{6}-\hat{5}-\hat{4}-\hat{3}$ melody in a plain and unadorned fashion. As in Example 3.42, the bass and inner voices for the first two stages of the passage fit the normative harmonization for a Prinner, while the final two stages of the bass and harmonization depart from it. Following the complete Prinner pattern, the sketch concludes. This sketch suggests that Stravinsky recognized the conceptual boundaries of the Prinner pattern. While some of Stravinsky's Pringers continue the stepwise descent beyond the normative $\hat{3}$ ending, and others distort pitch content with chromaticism, I believe this sketch suggests that a normative Prinner pattern might serve as a background for Stravinsky's idiosyncratic realizations of the pattern in his final scores.

On its own, the material at R59 might suggest any diatonic stepwise descending counterpoint. It is the *function* of a Prinner as a *riposte* that most clearly ties its use to galant practices. At R48, the tutti statement of the primary theme, we see Stravinsky's use of the Prinner pattern in a clear *riposte* function (Example 3.43). The primary theme consists of two melodic segments. The first, mm. 10-13, features an ascent between scale-degrees $\hat{3}$ and $\hat{5}$ of the tonic C major. The second segment, R49, at mm. 14-16, features a descent from scale-degrees $\hat{6}-\hat{5}-\hat{4}-\hat{3}$, the melodic pattern of a Prinner.

As in the late stages of *Pulcinella*, Stravinsky's dense harmonization of these patterns complicates their projection. At the Prinner melody, neither the bassline nor the harmonization suggests a Prinner. Comparing the segment at R49 to the more normative Prinner passage at

¹⁷⁰ Donald Traut, *Stravinsky's "Great Passacaglia": Recurring Elements in the Concerto for Piano and Winds* (Rochester, N. Y.: University of Rochester Press, 2016), 22. For Traut's extended discussion of this material, see: *Ibid.*, 130-133.

R59, one can see the two patterns are clearly related. Instead of a normative Prinner bass, Stravinsky opts to create an imitation of the prototypical galant melodic structure in the lowest voice. Following his practice of superimposition, the bass statement of the opening gesture and Prinner unfolds on a different timescale than the upper-voice melody.

In the first statement of the primary theme in the solo piano, mm. 1-9, Stravinsky further complicates the Prinner melody, adding chromaticism that might suggest a modulation and therefore non-Prinner scale degrees. The second movement of the *Piano Concerto* then works in reverse of *Pulcinella*: Stravinsky first presents galant contrapuntal patterns with a disguised and complicated realization, but subsequently clarifies their tonal origins with each successive statement.

Example 3.43. *Concerto for Piano and Winds*, ii, R49.

The image shows a musical score for piano and winds. The piano part is in the upper staff, and the wind part is in the lower staff. The score is annotated with two main patterns: 'Opening Gesture' and 'Prinner'. The 'Opening Gesture' is indicated by a bracket above the piano part, spanning measures 1-5. The 'Prinner' is indicated by a bracket above the piano part, spanning measures 6-9. The piano part features a complex melodic line with various intervals and chromaticism. The wind part features a bass line with various intervals and chromaticism. The annotations include circled numbers (3, 5, 6, 4) and a circled 'C' in a square box, indicating specific notes or intervals. The piano part is in 2/4 time, and the wind part is in 2/4 time.

In the *Concerto*, as in the *Octet*, Stravinsky appears obsessed with the Prinner pattern. He repeats the Prinner-like passage numerous times, restarting the melodic descent after denying its closure with off-tonic harmonizations and basslines. In total, the movement's Primmers generate the majority of the primary-theme sections' content.

Movement I, Largo-Allegro

Like many of Stravinsky's neoclassical works from 1920 to 1925, the *Concerto's* first movement begins with a lengthy introduction. The primary theme, beginning at m. 33 (R5), features the most complex example of the prototypical galant melodic structure under consideration. While it has a two-part construction that begins with a tonic-outlining passage (mm. 33-38) and proceeds to a Prinner-like melodic descent (mm. 39-43), Stravinsky distorts this construction with a number of techniques. These techniques, however, resemble the techniques Stravinsky utilized in *Pulcinella*.

The rhythmically energetic and highly syncopated primary theme has a tonal center of A but pivots between A major and minor throughout the passage. Although the final texture of mm. 33-43 might at first seem non-tonal, a straightforward A-major tonality underlies the passage. In Example 4.44, I have reproduced the full texture of the primary theme in the two-system format that I used to demonstrate Stravinsky's treatment of material in *Pulcinella*. In the first system, I have reproduced the materials that project a more straightforward A-major tonality (with the exception of the C[♯] in the bass). In the second system, I have reproduced the notes that Stravinsky introduces to distort the tonal background. Included in the second system is the piano's full left-hand material, which contains both the A-major and the distortional non-tonal material for reasons that will become clear shortly.

The first system of Example 3.44 demonstrates the clear A-major tonality that provides the tonal background for the passage. Stravinsky constructs the "tonic-outlining opening gesture" with two repeated segments, each containing a straightforward I-V progression in A major. The melody, represented in the top staff, contains a neighbor gesture of $\hat{1}-\hat{7}-\hat{1}$ in mm. 33-35. Stravinsky repeats this neighbor gesture in mm. 36-38 but ends the segment with an ascent to

scale-degree $\hat{3}$. The middle staff of the first system contains clear tonic and dominant harmonizations of the melody's $\hat{1}-\hat{7}-\hat{1}$ figure. The bassline, contained in the bottom staff of the first system, contains a clear tonic arpeggiation during the tonic stage of the harmony and a dominant scale-degree $\hat{7}$ at the dominant stage of the harmony. With the exception of the minor third scale degree in the bass, playing this material in isolation reveals the strong tonal background for the passage.

In the second system of Example 3.44, I have reproduced the tones that disrupt the passage's expression of A-major. As in *Pulcinella*, Stravinsky complicates the underlying tonality with added 9th and 4th, reproduced in the second system's first staff. Stravinsky's second distortional technique is one he uses in many of the neoclassical works from 1920 to 1925. In the bass staff of the second system I have reproduced the piano's left-hand material. Comparing the left-hand material to the first system's bottom staff, one can see that every second eighth-note corresponds to the orchestra's bass material in the first system. The total texture of the left-hand, however, articulates I-V-I patterns that are independent of the orchestra's harmonization. The $\hat{1}-\hat{7}-\hat{1}$ patterns in the left-hand occur out of sync with the $\hat{1}-\hat{7}-\hat{1}$ patterns of the melody: when the orchestra projects tonic harmonies, the left-hand projects dominant; when the orchestra projects dominant, the left-hand projects tonic. The result is a dense and chaotic kaleidoscope of tonal gestures that belie the simple tonality underlying the passage.

The second half of Stravinsky's melody, mm. 39-43, is a severely distorted Prinner *riposte*. In mm. 39-43, the melody contains an inverted Prinner descending from $\hat{4}$ down to $\hat{2}$ before Stravinsky denies resolution with $\sharp\hat{1}$, creating a modulation by second from A minor to B minor. Stravinsky's harmonization first supports the Prinner's expression: the bass line departs the prolongation of A to arrive on D, scale degree $\hat{4}$, and the harmonization suggests a normative

ii^o chord in A minor. After this initial Prinner support, Stravinsky quickly abandons the Prinner harmonization for a more chromatic one, severely distorting the continued projection of the Prinner pattern. In later instances of this material, Stravinsky's harmonization more convincingly demonstrates the underlying Prinner. At an F-major statement beginning at R20, for example, Stravinsky exchanges the inverted-Prinner melody for a normative Prinner melody initiating on $\hat{6}$, supported by a bassline initiating on $\hat{4}$.

Example 3.44. *Concerto for Piano and Winds*, i, mm. 33-43. **A.** Normative tonal background. **B.** Tonal disruptions and piano left hand.

Opening Gesture

A.

B.

Prinner

A.

B.

ii

Detailed description of the musical score: The score is presented in two systems. The first system, titled 'Opening Gesture', spans measures 33-43. Part A (right hand) features a melodic line with fingering numbers 1, 7, 1, 1, 7, 1, 3. The left hand provides harmonic support with chords labeled I, V, I, I, V. Part B shows tonal disruptions with notes labeled 9th, 4th, 9th, 9th, 4th, 4th, 9th. The second system, titled 'Prinner', spans measures 44-48. Part A shows a melodic line with fingering numbers 4, 3, 2, #1. Part B shows a piano left hand with chords labeled ii.

Like the works discussed previously, the *Concerto*'s style is eclectic. Stravinsky interchanges diatonic and tonal passages with highly chromatic ones. The level of tonal expression in the diatonic passages shifts in various statements. Fragments of tonal contrapuntal patterns suddenly emerge from the chaotic surface of the music and quickly disappear into more modern utterances. While many styles permeate the work, a comparison of the primary themes of the *Concerto* with the primary themes of his other neoclassical works from 1920 to 1925 reveals that the galant style he learned from *Pulcinella* was one of the *Concerto*'s eclectic stylistic expressions.¹⁷¹

3.5.4 *Piano Sonata, I (1924)*

With his 1924 *Piano Sonata*, Stravinsky's use of classical style became more overt and less referential. Although still eclectic and at times highly chromatic, the *Sonata* frequently projects a simplicity and organic diatonicism that came to define his later neoclassical works. *La Revue Musicale* noted Stravinsky's step forward from the style of the *Concerto*: "[W]e could believe in the presence of a work dating back two centuries . . . yet this is not a pastiche!"¹⁷² Noting the recent spate of sonatas "in the style of Bach," the reviewer claimed only Stravinsky "had the knowledge to assimilate the technique of the old master so that the Sonata remains very of Stravinsky."¹⁷³ While the *Concerto* "marked a step in the forward" direction in his neoclassical style, the reviewer mentions that "there was still some disparate styles. Here [in the *Sonata*], however, homogeneity is absolute."¹⁷⁴

¹⁷¹ Sarah Iker has analyzed the galant content of the first movement in, Iker "An Experience-Oriented Approach to Analyzing Stravinsky's Neoclassicism," 171-176.

¹⁷² Henry Prunières, "Italie. Le festival de la S.I.M.C. à Venise," *La Revue Musicale* 6, no. 11 (October 1925): 252-259.

¹⁷³ *Ibid.*, 252-259.

¹⁷⁴ *Ibid.*, 252-259.

Le Revue Pleyel connected the work to both J.S. and C.P.E. Bach, writing that it evoked a “familiar territory” and “has a very clear impression of being in a tradition” to the point that only a “very detailed analysis . . . would be able to distinguish in it exactly what were the modifications provided by Stravinsky from the writing of Bach”—a review that recalls the authorial confusion of *Pulcinella*.¹⁷⁵ Despite the traditionalism, the reviewer notes the “impersonal . . . objective purity” in the work, and warns “the work . . . has nothing of a pastiche” and that “any idea of stylization must be absolutely dismissed: the Sonata belongs as much to Stravinsky as the English Suites belong to J. S. Bach.”¹⁷⁶ The classical style of Stravinsky’s *Sonata*, the reviewer explains, “possesses a particular character, a special virtue which is what one could call its universalism.” Rather than evoke the past, the universalism of the classical style “is the only one that may be able to be returned to after two centuries of distance” and “which we can create again without the risk of smashing it or falling into imitation.”¹⁷⁷

The first movement of the *Piano Sonata* contains the composer’s clearest use of the prototypical galant “opening gambit→Prinner *riposte*” structure. The work begins with a chromatic introduction, mm. 1-12, constructed from arpeggios projecting diminished sonorities and trichords featuring various thirds and fifths. The highly chromatic introduction suggests a modern style for the movement.

The first theme of the *Sonata* begins in m. 13 and, in contrast to the introduction, is strictly diatonic in C major (Example 3.45). The melody, mm. 13-21, strongly coheres to the prototypical galant “opening gambit→Prinner *riposte*” structure. In the theme’s “opening

¹⁷⁵Boris de Schloezer, “A propos de la Sonate de Stravinsky,” *Le Revue Pleyel* 3, no. 26 (November 1925): 19-20.

¹⁷⁶ *Ibid.*, 19-20.

¹⁷⁷ *Ibid.*, 19-20.

gesture,” mm. 13-17, the melody ascends from scale-degree $\hat{1}$ to $\hat{5}$, outlining the tonic triad. In mm. 18-21, Stravinsky responds to this opening gesture with a Prinner *riposte* in the right hand. Both the traditional Prinner melody ($\hat{6}-\hat{5}-\hat{4}-\hat{3}$) and bass ($\hat{4}-\hat{3}-\hat{2}-\hat{1}$) occur as thirds in the right hand. As in the *Octet* and *Concerto*, this descending line ultimately concludes not on $\hat{1}$, but on $\sharp 1$, leaving the C-major passage unresolved.

As in *Pulcinella* and the *Octet*, Stravinsky harmonizes his galant-like melody with an independent bassline that subverts its implied harmonies. In mm. 13-14, the melody contains a neighbor-like figure on scale-degrees $\hat{1}-\hat{7}-\hat{1}$. The left-hand harmonization similarly implies a I-vii^o-I progression, but does so out of sync with the melody: when the melody implies a tonic, the harmonization implies a vii^o chord; when the melody implies a dominant or non-tonic harmony, the harmonization implies a tonic triad. The independence of the lines continues during the Prinner passage. Instead of supporting the Prinner melody, Stravinsky harmonizes the passage with a prolonged vii^o triad, arpeggiated in the left hand. Stravinsky’s material for the opening-theme section is diatonic, and each line is classically tonal. The combination of both independent lines, each with their own temporality, however, creates a disjointed kaleidoscope of tonal projections.¹⁷⁸

¹⁷⁸ Maureen Carr has similarly discussed the disconnectedness between the two contrapuntal lines in the first movement. See: Carr, *After the Rite*, 264.

Example 3.45. *Piano Sonata*, i, mm. 13-21.

Following the subverted resolution of the Prinner in m. 21, Stravinsky repeats and varies the primary theme in D major, mm. 22-31 (Example 3.46). This type of modulation by second—here a major second—is common in Stravinsky’s neoclassical works. The D-major statement of the primary theme reproduces the patterns of the C-major statement completely, beginning with the tonic-outlining melodic ascent to $\hat{5}$, followed by the Prinner descent, and ending in a subverted resolution with $\sharp 1$, creating a modulation to E minor by major second. The simpler texture and more consistent meter display the galant-like construction of the theme even more clearly than the C-major statement.

Example 3.46. *Piano Sonata*, i, mm. 22-31.

The musical score for Example 3.46, *Piano Sonata*, i, mm. 22-31, is presented in two systems. The first system, labeled "Opening Gesture", spans measures 22-26. It features a treble clef with a melodic line containing circled numbers 1, 7, 1, 3, and 5, and a bass clef with a rhythmic accompaniment of triplets. Chordal indications in the bass line include D, I, vii, I, vii, I, vii, and E. The second system, labeled "Prinner", spans measures 27-31. It continues the melodic and rhythmic patterns, with circled numbers 6, 5, 4, and 3 in the treble line, and a final chordal indication of E in the bass line.

Throughout the rest of the *Sonata*'s first movement, Stravinsky mixes diatonic and chromatic passages, projecting a number of musical styles and epochs. The diatonic passages often operate similarly to the opening theme: independent lines cohere to individual diatonic scales, but their projected tonalities fall in and out of sync; modulations occur at intervals other than the Classically normative modulations by fifth; and contrapuntal fragments first suggest Classical patterns only to have their continuations subverted.

Although the total texture of the *Sonata* projects a modern style, the individual lines of the primary theme are strikingly tonally conventional. Divorced from the work, each line could individually belong to an eighteenth-century sonata. Although certainly meant as an insult, the satirical "Dictionary of Modern Composers: Our Own Pocket Guide to the Perplexed" described

the *Sonata* quite accurately when it claimed Stravinsky had “remarkable virtuosity in composing for the left hand in the style of Bach, and for the right hand in the style of Pergolesi.”¹⁷⁹

3.5.5 *Serenade in A (1925)*

A similar but more complicated version of the “opening gambit→Prinner *riposte*” structure appears in the “Romanza” of Stravinsky’s *Serenade in A* (1925). After a rhapsodic nine-measure introduction, Stravinsky presents the first theme in G major in m. 10 (Example 3.47). Like the primary theme of the *Sonata*, this theme consists of two parts: a tonic-outlining linear ascent, and a descending Prinner-like melody. Also like the *Sonata*, the melody begins with a $\hat{1}-\hat{7}-\hat{1}$ neighbor motion, followed by an ascent to scale-degree $\hat{3}$. After the ascent to $\hat{3}$, Stravinsky composes an inverted Prinner in which the $\hat{4}-\hat{3}-\hat{2}-\hat{1}$ pattern occurs in the melody and not in the bass. In m. 18, the Prinner stalls on scale-degree $\hat{2}$, failing to reach full closure.

As in *Pulcinella*, the *Octet*, and the *Piano Sonata*, Stravinsky’s harmonization conflicts with the tonality and implied harmonies of the galant-like melody. Each line of the three-to-four-voice texture expresses a high degree of independence. As in the *Sonata*, the harmonization and melody fall in and out of sync. In the first and final measures of the passage, the harmonization suggests tonic and dominant harmonies in G major that create tonal coherence across the voices of the texture. In the middle of the passage, however, this coherence breaks down. The bass voice outlines a Prinner descent in mm. 13-14, two measures before the melodic Prinner. While the galant-like melody remains in G major, the bass line contains D#s, suggesting E minor, and

¹⁷⁹ A. C. “Dictionary of Modern Composers: Igor Stravinsky.” *The Fortnightly Musical Review* 1, no. 9 (April 25, 1928): 7.
<http://libproxy.wustl.edu/login?url=http://search.ebscohost.com/login.aspx?direct=true&db=rip&AN=FOM000147&site=ehost-live&scope=site>.

the middle voice contains F[♯]s, suggesting C major. In mm. 14-17, Stravinsky presents an inverted Prinner in C major simultaneously with the G-major Prinner, a technique he used in *Pulcinella*, the *Octet*, and, as I will demonstrate, the first movement of the *Serenade*. Although the total texture is dense and chromatic, each line expresses a diatonic tonality.

Example 3.47. *Serenade in A, Romanza*, mm. 10-19.

The first movement of the *Serenade in A*, “Hymne,” contains a much more tonally adventurous example of the galant “opening gambit→Prinner *riposte*” structure. Like each work discussed previously, the “Hymne” begins with a lengthy introduction before Stravinsky presents the prototypical galant primary theme. In m. 20, Stravinsky presents a passage that closely resembles the structures discussed so far, with the exception of stepwise modulations within the structure itself (Example 3.48). Despite the densely chromatic realization, the “tonic-outlining ascent” and “Prinner descent” organize the passage.

In Example 3.48, I have parsed the individual lines of the texture into individual staves and added key signatures to illustrate the expressed tonality of individual lines at various points

in the theme.¹⁸⁰ In the top staff, Stravinsky composes the tonic-outlining ascent, climbing from $\hat{1}$ to $\hat{3}$ and $\hat{3}$ to $\hat{5}$, before descending from $\hat{6}$ to $\hat{3}$ with the Prinner. Stravinsky severely complicates this structure, however, by modulating down by half-step twice as it unfolds. The ascent from scale-degrees $\hat{1}$ to $\hat{3}$ occurs in A major; the ascent from $\hat{3}$ to $\hat{5}$ occurs down a half step in $A\flat$ major; and the Prinner descent occurs another half step down in G major. In the third staff, I have reproduced Stravinsky's primary left-hand accompaniment for the passage, which spells out the modulations suggested by the melody. Stravinsky complicates the passage even further by doubling the melody a fourth below in its own set of keys: E major, $E\flat$ major, and G major.

In mm. 22-28, Stravinsky composes a kind of exaggerated Prinner free-for-all. After ascending, each voice independently descends by step, reaching new stages of their respective Prinner-like descents at different speeds. The top staff descends from $\hat{6}$ to $\hat{4}$ over six measures; the alto line descends from $\hat{4}$ to $\hat{1}$ at the dotted-quartet pace in only two measures; the tenor and bass lines descend by step at the pace of a dotted-half note. In m. 24, the music modulates to C major, and the continued descent of the individual lines suggest Prinner-like descents in the new key. In m. 26, Stravinsky subverts the resolution of the C-major Prinner with a $C\sharp$, or $\sharp 1$; this is similar to his subverted Prinner discussed previously. This mass of Prinner-like descents and their subverted resolutions resembles similar passages in the *Octet* and *Pulcinella*.

¹⁸⁰ For a discussion of the sketch material relating to this passage, from which I have partially formulated my analysis, see: Carr, *After the Rite*, 291.

Example 3.48. *Serenade in A*, Hymne, mm. 20-28.

The image shows a musical score for Example 3.48, consisting of four staves. The top staff is in treble clef, and the bottom staff is in bass clef. The score is annotated with various elements:

- Prinner:** A large bracket labeled 'Prinner' spans the first two staves from measure 20 to 28. Smaller brackets labeled 'Prinner' are placed above the second and third staves in measures 24-25 and 26-27.
- Chord Symbols:** 'A' and 'Ab' are written below the first two staves in measures 20-21. 'G' and 'C' are written below the second and third staves in measures 24-25 and 26-27.
- Figured Bass:** Circled numbers (1, 3, 5, 6, 4, 3, 2, 1, 6, 5, 4, 3, 4, 3, 2, #1) are placed above and below notes in the second and third staves, indicating figured bass notation.
- Accents:** A triangle with a sharp sign (#) is placed above notes in measures 27 and 28.

Mm. 20-28 of the “Hymne” only weakly project the galant primary theme prototype. The multiple keys of the “opening gambit” conflict wildly with the “tonic outlining” function I have described previously. The exaggerated Prinner, containing more than the usual four steps or stages, similarly conflict with the function of their galant prototypes. Nevertheless, the passage resembles a basic primary-theme outline found in each of Stravinsky’s neoclassical works from 1920 to 1925.

3.6 *Apollo* and Stravinsky’s Mature Neoclassical Style

Following the *Octet*, each of Stravinsky’s neoclassical works contributed successively to a gradual departure from the eclecticism of his earlier periods toward the more organic and unified classical style of his later periods. As Henry Prunières—who was at first skeptical of Stravinsky’s neoclassicism—stated in 1928: “Stravinsky is by way of becoming a true classicist.”¹⁸¹ Stephen Walsh has written of the ballet, *Apollo*:

¹⁸¹ Henry Prunières, “Stravinsky in Paris,” *New York Times*, March 11, 1928, 114.

Here all violence, abrasiveness and even dramatic insistence are stilled, and instead the work coolly and mellifluously depicts the birth and apotheosis of the god of formal perfection in music that is like some 18th-century *ballet de cour* filtered through Adam and Delibes. Yet several critics saw it rightly as a defining moment in Stravinsky's recent work. Boris de Schloezer detected in it a spirit of purity and renunciation..., while for Henry Prunières, *Apollo* was a flawless masterpiece that revealed Stravinsky's classicism to be 'no longer, as of late, an attitude, [but rather] a response to an intimate need of the mind and heart'.¹⁸²

With *Apollo*, many (Stravinsky included) witnessed a new epoch in Stravinsky's neoclassical style. Stravinsky counted it as the "first" of many stylistic tendencies he would continue in his subsequent neoclassical works. Unlike the patchwork of diatonicism and chromaticism of his early neoclassical works, Stravinsky considered *Apollo* a purely "diatonic composition."¹⁸³ He abandoned juxtaposition and coloristic effects for a more austere and "homogeneous" orchestration, replacing the winds and percussive instruments of the *Octet* and *Piano Concerto* for a string orchestra.¹⁸⁴ He credited *Apollo* as his rediscovery of sustained melodic writing, putting it into contrast with the melodic fragmentation of his earlier works.¹⁸⁵ His textures became simpler and clearer, allowing the new melodic writing to "penetrate even the furthest fibers of the polyphonic web!"¹⁸⁶ He credits it as the "largest single step toward a long-line polyphonic style" that "nourished many later works as well."¹⁸⁷ Although Stravinsky had been working toward these changes since the *Octet*, with *Apollo*, his apprenticeship ended and his mature neoclassical phase began.

¹⁸² Stephen Walsh, "Stravinsky, Igor," Grove Music Online (2001) Accessed May 5, 2019. <https://www-oxfordmusiconline-com.libproxy.wustl.edu/grovemusic/view/10.1093/gmo/9781561592630.001.0001/omo-9781561592630-e-0000052818>.

¹⁸³ Stravinsky, *Stravinsky: An Autobiography*, 135.

¹⁸⁴ *Ibid.*, 135.

¹⁸⁵ *Ibid.*, 135-136.

¹⁸⁶ *Ibid.*, 136.

¹⁸⁷ Igor Stravinsky and Robert Craft, *Dialogues and a Diary* (Garden City, N. Y.: Doubleday, 1963), 34.

While the new, sustained melodic lines suggest a departure from the short melodic patterns of galant writing, one can still trace galant influence in many of Stravinsky's mature works. In contrast to his first neoclassical works, Stravinsky's use of galant patterns becomes more creative and organic to the composition itself. *Apollo* features several Priners, but while the eclectic nature of the earlier works projected reference or borrowing, here they unfold in a more confident tone.

The Variation d'Apollon contains Stravinsky's most creative use of the Prinner (Example 3.49). As the key signature suggests, the movement projects C major as its key. It begins, however, off tonic on an F-major triad. The strings ascend to scale degree $\hat{6}$ in the first measure. After reaching $\hat{6}$, they descend with a Prinner melody: $\hat{6}-\hat{5}-\hat{4}-\hat{3}$. In m. 4, the moment the Prinner melody terminates, Stravinsky delays the tonic's arrival by initiating a new Prinner in the accompaniment, which provides the movement's first tonic resolution at the end of m. 4. Of course, Stravinsky complicates this resolution with new upper lines that veil the Prinner and introduce a melodic $F\sharp$ at the moment of the C-major resolution.

Example 3.49. *Apollo*, Variation d' Apollon, mm. 1-4.

The musical score for Example 3.49, *Apollo*, Variation d' Apollon, mm. 1-4, is presented in a grand staff. The tempo is marked *Lento* with a metronome marking of 54. The key signature is C major. The score is divided into two sections, both labeled "Prinner".

The first section (measures 1-3) is marked *f* and features a Prinner melody in the upper voice. The melody starts on F4 (scale degree 6) and descends to C4 (scale degree 3). The accompaniment in the lower voice consists of a steady eighth-note pattern. Fingering numbers are provided for both hands: 6, 6, 6, 5, 4, 4, 3, 2, 3, 4, 5, 6, 4, 3, 2, 1.

The second section (measures 4-5) is marked *p* and features a Prinner accompaniment in the lower voice. The melody in the upper voice is more complex, featuring a melodic $F\sharp$ in measure 4. Fingering numbers are provided for both hands: 6, 5, 4, 3, 4, 3, 2, 1.

In Variation d'Apollon, Stravinsky utilizes the Prinner's melody and bass counterpoint but gives the Prinner a formal function not typical of galant style; it operates as an opening gesture instead of a *riposte*. While this function conflicts with galant procedures, it is highly reminiscent of the second movement of the *Concerto for Piano and Winds*, in which, following a lengthy cadenza in the middle of the movement, Stravinsky signals the recapitulation not with the opening gesture but with the sudden arrival of the Prinner *riposte*.

Stravinsky continues to creatively use the Prinner pattern throughout *Apollo*. In m. 38 of Variation de Polymnie, Stravinsky begins a Prinner only to subvert its resolution in the third stage, descending to $\sharp 3$ instead of the diatonic $\hat{3}$ —a subversion of resolution similar to that in the *Octet*, *Piano Concerto*, *Piano Sonata*, and *Serenade in A*. In mm. 34-35 of the Pas de deux, Stravinsky uses a Prinner to confirm the return of the tonic C major in the movement's closing measures. Again, while the Prinner is clear, Stravinsky employs it in a novel way: using its subtle elegance to signal tonal closure, perhaps to avoid a more tonally transparent dominant-to-tonic progression. While Stravinsky reached a new maturity with *Apollo*, his continued use and treatment of galant patterns provide a continuity with each preceding neoclassical work.

By *Apollo*, Stravinsky seems to have internalized elements of galant style, resulting in a more naturalistic and less overtly referential use of the language. In his mature neoclassical works, it is the constructional principles of the *Pulcinella* sources perhaps more than their conventional musical language itself that influences Stravinsky's work. Whether scholars call it the artful arrangement of musical patterns, the "interrelatedness of building materials," the "continuous style," or "il filo," one can find its governing presence over Stravinsky's smooth

“long-line polyphony” in the *Violin Concerto in D*, *Due Concertant*, *Sonata for Two Pianos*, and “Dumbarton Oaks.”¹⁸⁸

At times in his later neoclassical works, Stravinsky returns to the overt use of galant stock patterns. The first movement of the “Dumbarton Oaks” concerto features a crystal-clear use of the galant “monte-fenaroli” sequence, in which the repetition of the Fenaroli’s $\hat{5}-\hat{7}-\hat{1}$ pattern is used to sequence from I (E_bM), to ii (Fm), to iii (Gm) (Example 3.50). Stravinsky’s treatment of this galant convention in the passage closely resembles his treatment of a similar passage in *Pulcinella*’s Allegro Assai (Example 3.18): both fenaroli-montes occur in E_b major and both appear idiomatically in a transition section.

Example 3.50. “Dumbarton Oaks,” i, R4. Reduction.

The musical score shows a piano reduction of a passage from the first movement of the "Dumbarton Oaks" concerto. It features a sequence of three chords: I (E_bM), ii (Fm), and iii (Gm). Above the melody, three Fenaroli patterns (5-7-1) are indicated with brackets and circled numbers. The bass line consists of eighth-note accompaniment. The sequence is labeled as "Monte" at the bottom.

The galant influence of “Dumbarton Oaks” reappears throughout the concerto. The middle section of the third movement contains a melodic structure closely resembling the “Prototypical Galant Melodic Structure” Stravinsky utilized in his first neoclassical works (Example 3.51). The melody begins with a stepwise ascent up the C-minor scale from $\hat{1}$ to $\hat{5}$.

¹⁸⁸ For a discussion on Stravinsky’s use of galant schemata in *The Rakes Progress*, see: Iker, “An Experience-Oriented Approach to Analyzing Stravinsky’s Neoclassicism,” 196-208.

Upon reaching $\hat{5}$, Stravinsky uses a Prinner-like descending thirds pattern to contrast the upward ascent of the opening gesture. The descending thirds avoid the scale degree patterns typical of the Prinner, but capture the *riposte* quality and essential character of the pattern nonetheless. Stravinsky’s “long-line polyphony” continues the descending thirds pattern beyond the typical fourth boundary of the Prinner, instead descending the span of a sixth and recalling Stravinsky’s exaggeration of the Prinner boundary in the Tarantella of *Pulcinella*.

Example 3.51. “Dumbarton Oaks,” iii, R70, reduction.

The musical score is presented in two systems. The first system contains five measures. The first three measures are grouped under the label 'Opening Gesture' and feature a melodic line with notes marked with circled numbers 1, 3, and 5, and a piano accompaniment of chords. The next two measures are grouped under 'Prinner' and show a descending melodic line with notes marked 4 and 5. The final measure of the first system is labeled '(OG)'. The second system contains seven measures. The first three measures are grouped under 'Prinner' and feature a descending melodic line with notes marked 4, 3, 2, and 1. The final four measures are grouped under '(Prinner Extended)' and feature a descending melodic line with notes marked 7 and 6. The piano accompaniment throughout consists of chords and rhythmic patterns.

3.7 Conclusions

From the vantage point of the 1930s, it becomes clear that *Pulcinella* was, in fact, quite influential on Stravinsky’s neoclassical phase. While the aesthetic pursuits of the neoclassical

phase began before *Pulcinella*, it was with the 1920 ballet that Stravinsky first encountered the objective construction and communal language of the pre-classical era. Following *Pulcinella*, Stravinsky continued to use galant musical patterns in each succeeding neoclassical work. At times, as in the *Octet*, Stravinsky continued to borrow directly from galant sources much as he did in *Pulcinella*. Following the *Octet*, Stravinsky's use of the patterns became less referential and more organic to the individual works, suggesting that Stravinsky internalized the patterns much as his galant predecessors did. Slowly, the perception of Stravinsky's neoclassical style shifted from one of pastiche to one of earnestness. Although his pitch patterns became increasingly diatonic, he continued his modernistic approach to texture, harmonization, and rhythm, creating a unique style between "apprenticeship" and "inventiveness." By *Apollo*, Stravinsky's galant "apprenticeship" ended and, his mature neoclassical style emerged.

3.7.1 Stylistic Continuity

As discussed in the introduction of this chapter, the public met the arrival of Stravinsky's neoclassical style with skepticism. In the context of Stravinsky's total oeuvre, that dramatic shift in style has created problems of stylistic continuity for scholars. William Austin, in his essay in *Stravinsky Retrospectives*, discusses this problem of continuity, emphasizing the difficulty of placing *Pulcinella* in such a continuity:

... *Pulcinella*, seems to break continuity as much as to resume it. No matter how much *Pulcinella* may be enjoyed, esteemed, remembered, and even imitated, it hinders all perception of a continuous unfolding in Stravinsky's work as a whole. Is there any convincing account of continuity from *Pulcinella* through *Apollo* and *Orpheus* to *Agon* that does not invoke deeper, more elusive, more personal continuities, stretching as far as *Petrushka*?
If *Agon* fulfills many continuous developments, these need to be studied throughout a vast range of works; any connection with *Pulcinella* needs to detach

that work from Diaghilev and fashions, to fit it into the deeper, longer, personal continuities.¹⁸⁹

This chapter begins—but by no way concludes—a pursuit to show such continuities. Although scholars have suggested the galant style of *Pulcinella* had little influence on Stravinsky’s ensuing neoclassical works, I believe the analyses I have presented here provide evidence to the contrary. Stravinsky continued to utilize galant musical patterns through *Apollo*. Furthermore, I argue that studying the galant sources of *Pulcinella* helped Stravinsky shape the broader aesthetic ideals underlying his neoclassical phase as well.

Across all of the early neoclassical works, we see a continuity of style in Stravinsky’s treatment of galant material. Each of these techniques and treatments were first utilized by Stravinsky in *Pulcinella*: the use of galant melodies with modern harmonization techniques and ostinato basslines; the simultaneous presentation of Prinners in multiple voices; the sudden appearance of Prinners in uncharacteristic formal sections; the superimposition of diatonic lines in multiple keys at once; the superimposition of diatonic lines unfolding with different temporalities; and so forth. Further work must be done to demonstrate continuities from the post-*Rite* style to *Pulcinella*, and from *Apollo* to the late neoclassical works, but I believe such continuities exist.

3.7.2 Chromatic “il Filo”

Throughout the chapter, I have discussed the moments of Stravinsky’s neoclassical works that most strongly express galant style. The works under consideration are, however, eclectic, and feature many extended passages that are non-tonal or chromatic. While these non-diatonic

¹⁸⁹ William Austin, “Stravinsky’s ‘Fortunate Continuities’ and ‘Legitimate Accidents,’ 1882-1982,” in *Stravinsky Retrospectives*, ed. Ethan Haimo and Paul Johnson (Lincoln: University of Nebraska Press, 1987), 8-14.

passages may seem non-classical in their pitch language, they do frequently exhibit Stravinsky's "interrelatedness of building materials." Although a full treatment of these passages is outside the purview of this chapter, I would like to argue that Stravinsky's overall aesthetic of neoclassicism, in which one idea connects logically to the next, is present in these passages as well. Here one can find a type of statement and response construction similar to the opening gambit—riposte structure I have discussed above, but with chromatic instead of diatonic materials, giving them a kind of chromatic "il filo."¹⁹⁰

A brief passage from the first movement of the *Concerto for Piano and Winds* demonstrates Stravinsky's eclectic use of both diatonic and chromatic pitch structures, and his careful attention to logically relating the differing pitch structures (Example 3.52). Mm. 55-69 features three sequences: (1) a passage with chromatic sequences in both the piano and orchestra (mm. 55-58); (2) a passage with a chromatic sequence in the piano and a diatonic sequence in the orchestra (mm. 59-63); (3) a passage with diatonic sequences in both the piano and orchestra (mm. 63-69). Despite the differing pitch materials, Stravinsky logically connects one sequence to the next, creating a stepwise descent across each sequence: the first chromatic sequence steps from F→E; the second from D→C; and the diatonic third sequence steps down through the C major scale: D→C→B→A, etc. The sequential transitional section terminates on an A, and is followed by a restatement of the primary theme beginning on A.

Similar to the logical connection of statements and responses in his diatonic primary themes, in which opening gambits concluded on $\hat{3}$ or $\hat{5}$ and connected to Primmers initiating on $\hat{4}$ or $\hat{6}$, each chromatic passage here connects seamlessly to the next. This type of construction is

¹⁹⁰ For an excellent and in-depth analysis of what I call "chromatic il filo" in the *Octet*, see: Straus, "Sonata Form in Stravinsky," 155-160. For a discussion of "chromatic il filo" in the *Concerto for Piano and Winds*, see: Traut, *Stravinsky's Great Passacaglia*.

significant when compared to the “block form” construction that defined Stravinsky’s pre-neoclassical style, in which ideas were juxtaposed for contrast.

Example 3.52. *Concerto for Piano and Winds, i*, mm. 55-69. The top staff represents a reduction of the piano material; the bottom staff a reduction of the orchestral material.

Chromatic

m. 55

Chromatic

Chromatic

59

Diatonic (CM)

Diatonic (CM)

64

Diatonic (CM)

A-Theme

3.7.3 Textural Superimposition and Generative Structures

Stravinsky theorists have always placed a great deal of importance on the role of texture in his music. The concept of superimposition—the combination of tonally- or temporally-independent musical materials in multiple lines of a texture simultaneously—has appeared in Stravinsky scholarship for decades. In the pre-neoclassical phase, superimposition typically manifests as two chromatically related musical materials—like the C major and F# major triads in the famous *Petrushka* chord—in a chromatic context.¹⁹¹

Superimposition continues to play an important role in Stravinsky's neoclassical works, but the musical materials tend to be more diatonic than in his previous style. I have addressed three types of superimposition in this chapter: 1. The superimposition of multiple diatonic lines, each diatonic to the same key, but presented temporally out of sync. 2. The superimposition of multiple diatonic lines, each with their own independent diatonic key. 3. The superimposition of diatonic and chromatic lines. Due to the prevalence of this technique, I believe the textural independence of these lines should be preserved in analysis.

Other analysts have taken a different approach, attempting to show an overriding generative background to the total chromatic environment of these passages. These theories suggest a single theoretical framework that generates the chromaticisms for an entire passage, shifting the focus away from the interaction of the independent textural lines. Paul Johnson's 8-note diatonic collection is a convincing example of such a theory. Johnson argues that an 8-note, diatonic collection (0123578t) organizes much of Stravinsky's music from 1918-1951.¹⁹² This 8-note collection represents the intersection of any two diatonic scales that share six notes. Of the

¹⁹¹ Van den Toorn, *The Music of Igor Stravinsky*, 23-25.

¹⁹² Paul Johnson, "Cross-Collectional Techniques of Structure in Stravinsky's Centric Music," in *Stravinsky Retrospectives*, ed. Ethan Haimo and Paul Johnson (Lincoln: University of Nebraska Press, 1987), 55.

possible derivations, the set most frequently appears in Stravinsky's music as the combination of two diatonic sets related by fifth, like C major and G major (diatonic with both a natural and #4), or C major and F major (diatonic with both natural and ♭7).¹⁹³ In his essay, Johnson convincingly demonstrates such a collection in a great number of Stravinsky's neoclassical works.

On the other hand, such an approach reduces the importance of texture and superimposition in Stravinsky's works. For example, Johnson argues that an 8-note diatonic collection generates the passage of the *Serenade in A*'s "Romanza" movement, discussed previously (Example 3.47). In this instance, an 8-note G major scale with both a natural and #4 generates the C# in the accompaniment. Although Johnson does not analyze the subsequent measures, one could argue an 8-note G-diatonic collection with both F# and Fⁿ accounts for the appearances of Fⁿ in mm. 14-17. Yet there are also D#s throughout the passage, suggesting E minor at a number of points.

I prefer to interpret the Romanza passage, as discussed previously, as constructed of multiple diatonic lines superimposed to create the total texture. In Example 3.53, I have separated each line into separate diatonic streams. The top staff projects G major for its entirety, a projection strengthened by the appearance of conventional diatonic schemata. In the second staff, Stravinsky doubles the melody in C major: a type of superimposition we find throughout Stravinsky's early neoclassical works. The third staff represents harmonic support for the G major melody. The fourth staff represents the harmonizations that suggest E minor.

¹⁹³ Ibid., 55-57.

3.8 Bibliography

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Conclusion

While this dissertation examined only one aspect each of how three early modernist composers interacted with the past, many more composers interacted with the past in different ways and for different reasons. Prominent examples include: Maurice Ravel's *Le tombeau de Couperin* (1914–17), Debussy's revival of the pre-classical dance suite and affinity for Rameau, Erik Satie's recomposing of Clementi in *Sonatine bureaucratique* (1917), Strauss's recomposing of Lully in *Le bourgeois gentilhomme* (1911–1917), Prokofiev's Haydnesque *Classical* Symphony (1918), and Hindemith's *Kammermusik* in the 1920s.

The analytical perspective I have taken in this dissertation could be expanded to discuss many of the composers and works I have not discussed. Certainly, the analytical framework of the Bartók chapter can explain similar structures in Debussy, Satie, Janáček, and other composers favoring triads. The textural theories used to demonstrate Schoenberg's indebtedness to tradition can illuminate more rigorously Stravinsky's innovations in texture. The use of schema theory, applied in the Stravinsky chapter, may facilitate discussion of the level of borrowing and distortion in the neoclassical works of Strauss, Prokofiev, Satie, and others. While the analytical perspectives can easily be applied to other composers, the cultural perspectives I have developed will vary in their appropriateness to each individual composer.

In this dissertation I have intentionally foregone a broader assessment of the presence of the past for a focused look at how and why three composers connected their works to musical tradition. Although I have devoted much space to the cultural and artistic backgrounds of the works under discussion, the primary pursuit of this dissertation has been to explore the value of theories and methods of tonal analysis for the music of this period. To best represent this music, the analyst must draw from both tonal and atonal theories. While atonal theories accurately

elucidate these composers' innovative and "revolutionary" efforts, tonal theories reveal the "evolutionary" aspects of the composers' styles—those attributes which each composer inherited from their predecessors. In short, I have focused on how the composers use traditional musical structures to expand upon learned patterns, aid in the intelligibility of their works, and intentionally connect their music to the classical tradition.

The metaphors of "revolution" and "evolution" provide nuanced insight into closely related and intertwined cultural trends during the time. They capture both the modernist imperative to innovate and the cultural imperative to work within an established tradition. These metaphors are useful to our understanding of not only the early twentieth century, but also the whole twentieth century more broadly. Evolution can have many meanings. For example, I believe we cannot minimize the significance of Schoenberg's "evolutionary" steps from the "revolutionary" Richard Strauss, remembering that the composers are only separated in age by ten years. Schoenberg's evolution-by-degrees from Strauss resulted in the perceived "revolutionary" works like the *Five Pieces for Orchestra* and *Erwartung*. Stravinsky's evolution from the late-Romantic Russian style of Rimsky Korsakov resulted in the revolutionary *Rite of Spring*. These works inspired the following generation who birthed a truly revolutionary aesthetic, found in the ultra-modern works of Leo Ornstein, the willful eschewal of tradition by the Italian Futurists, the total Serialism of Anton Webern, and the truly experimental compositions of Edgard Varèse. This new revolutionary school inspired later revolutions, as recounted by John Cage and composers of the midcentury high modernist movement.¹ In the midcentury, the high modernists couched this lineage of revolution in terms of evolution.²

¹ John Cage, *Silence: Lectures and Writings* (Middletown, Conn.: Wesleyan university Press, 2011), 67-88.

² Roger Sessions, for example, when transitioning from his neoclassical to his atonal phase in 1950, writes of Schoenberg, Bartok, and Stravinsky: "It is, then, these composers above all who accomplished the revolution of which I spoke at the beginning of this chapter. I want to stress this fact because the next generation—my own—is

At the same time, the intentional revolutions inspired a more overt connection to tradition among many composers, inspiring the so-called neoclassical school. The works I have discussed in this dissertation are examples of this overt evocation of tradition.³ The neoclassical tradition arose from many more complex factors, including the perceived threat to society, culture, and tradition from World War I.⁴ It also intertwined with a pre-war fashionable celebration of tradition and simplicity, as witnessed in Strauss's first "neoclassical" works, Satie's exploration of simplicity, the vogue of ancient-Greek-style clothing in upper society, Diaghilev's period modernism productions, and more. Like the revolutionary strand of modernism, the fascination with the past continued throughout the twentieth century.⁵ Composers continued to turn to the forms, textures, chords, and melodies of the past, for various reasons, as other composers intentionally avoided them.

In the twenty-first century, theorists have a remarkable set of tools at their disposal to analyze both the most revolutionary and evolutionary works of the twentieth century. The mysteries of Boulez's complex pitch-class set multiplication were demystified by Lev Koblyakov and Stephen Heinemann.⁶ The rich language of the galant composers has been revived and meticulously catalogued by Robert Gjerdingen. Yet the mixing of tonal and atonal

not at all in the same sense a revolutionary one. It is rather one in which the materials yielded by the revolution must be assimilated anew and given new shapes; one in which the revolution must be appraised and consolidated, in which its various elements must be regrouped and its problems provided with fresh solutions. For the older generation was an extraordinary one; it not only posed the questions which contemporary music faces, it provided the first solutions of them." Roger Sessions, *Musical Experience of Composer, Performer, Listener* (Princeton: Princeton University Press, 2015), 119.

³ I have mostly avoided the term neoclassical because I believe it veils the continuation of more immediate traditions and techniques from the Romantic era. The techniques I have discussed in each chapter often belong as much to the Romantic tradition as they do to the classical or pre-classical eras.

⁴ Also, I imagine Stravinsky and Bartok had some reservation over the word revolution stemming from their experiences with political revolutions occurring in 1917 and 1919, respectively, in their homelands.

⁵ For a discussion of how mid-century composers interacted with the past, see: Paul Griffiths, *Modern music and After* (New York: Oxford University Press, 2010), 167-189.

⁶ Stephen Heinemann, "Pitch-Class Set Multiplication in Theory and Practice," *Music Theory Spectrum* 20, no. 1 (Spring 1988): 72.

theories is rarely undertaken in music theory. Despite the “evolutionary” tradition I have outlined in this dissertation, academic coursework in music theory is typically divided into tonal and atonal courses, suggesting a one-sided approach to analyzing this very two-sided music. The goal of this dissertation has been to help in bridging that divide. In each chapter of this dissertation, I have limited my analyses to the interaction of one progressive and one traditional musical parameter, but the tool-sets for more expansive explorations into the revolutionary and evolutionary aspects of these compositions exist. In future work, I hope to expand upon this dissertation by drawing more completely from the available tonal and atonal theories I have inherited, much as the composers of this dissertation drew from and synthesized the compositional techniques they inherited.