41st Annual Meeting

Hunter College
CUNY
695 Park Avenue
New York, New York, NY 10065

31 March–1 April

PROGRAM

Saturday, 31 March

8:00–9:00 am Registration
9:00 am–12:00 pm Approaches to Prolongation
9:00 am–12:00 pm Contemporary Continental Harmony
12:00–1:30 pm Lunch
1:45–3:15 pm Chopin Studies
1:45 pm–3:15 pm Analyzing Theory, Theorizing Analysis
3:30–5:30 pm Keynote Address
   Joel Lester (Mannes College of Music): "What Matters(?)"
5:45 pm Business Meeting and Reception

Sunday, 1 April

8:00–9:00 am Registration
9:00 am–12:00 pm Russian Music and Thought
9:00 am–10:30 am Perspectives on Form in Bach and Beethoven
10:30 am –12:00 pm
Of Moths and Bulls: Issues of Pitch in Vocal Music

12:30–1:30 pm MTSNYS Board Meeting

Program Committee: William Marvin (Eastman School of Music), chair; Christopher Doll (Rutgers University), Sarah Fuller (State University of New York at Stony Brook), Rebecca Jemian (Ithaca College), and Catherine Losada (University of Cincinnati).
Approaches to Prolongation

Chair: Matthew Brown (Eastman School of Music)

- Minor Third Alternatives to Monotonality in Schumann’s Early Piano Music
  Benjamin Wadsworth (Kennesaw State University)
- Unraveling Heinrich Schenker’s Ideas of Musical ‘Unfolding’
  Rodney Garrison (University at Buffalo)
- The Fifth-Third-Root Paradigm and Its Prolongational Implications
  Diego Cubero (Indiana University)
- Extending Jazz Tonality: The Compositions of John Coltrane
  Henry Martin (Rutgers University, Newark)

Program

Minor Third Alternatives to Monotonality in Schumann’s Early Piano Music

Although scholars such as Bribitzer-Stull (2006) have demonstrated the importance of chromatic, major-third relationships to 19th-century style, these relationships are relatively rare in the early music of Robert Schumann, which tends instead towards diatonic, minor-third relationships (I and vi in major; i and III in minor). In Schumann’s music, these relationships frequently challenge a central assumption of monotonality: beginning and ending a work in the same key. In this paper, I examine these relationships by classifying different situations (monotonal and dual effects of dual-tonal structures on other musical parameters. Influenced by Harald Krebs’s extensions to a Schenkerian approach (1981, 1996), I define these non-monotonal situations as directional tonality (beginning and ending in different keys), tonal pairing (alternation between two keys with foreshadowing of at least one key), and their combination. I demonstrate states of directional tonality and tonal pairing in movements from Schumann’s Opp. 2 and 9. I discuss how minor-third relationships in Schumann’s music create various degrees of contrast and conclusion, minor-third key relationships in Schumann, while diatonic in basis, give rise to some of his most daring tonal experiments.

Top

Unraveling Heinrich Schenker’s Ideas of Musical ‘Unfolding’

The Ausfaltung (unfolding) symbol is a central component of Heinrich Schenker’s theory. Like the Zug and Urlinie symbols, the Ausfaltung symbol fundamentally represents the prolongation of a harmony. Despite its similarity to the Zug and the Urlinie, one needs to look no farther than Schenkerian analysis textbooks for disparate explanations of how to use the Ausfaltung symbol. Until this study, no prescribed use of the unfolding symbol has considered the entire history of the unfolding. Schenker’s ideas of musical “unfolding” first appear in Harmonielehre (1906), and they are consistently present in his subsequent writings through Der freie Satz (1935). Indeed, ideas of “unfolding” predate the first use of the word “Ausfaltung” in Der Tonwille 8/9 (1924) and the first use of the Ausfaltung symbol in Das Meisterwerk in der Musik 3 (1930). While English-speaking theorists primarily or only associate “unfoldings” with the German words “Ausfaltung” and “ausfalten,” Schenker uses many words that are equivalent to “unfolding” and “to unfold.”

In this study, every textual “unfolding” in German and their English translation is accounted for, and progressions of trends are traced. The additional study of all graphs associated with textual “unfoldings” has revealed several graphic strategies predating the Ausfaltung symbol. In total, Schenker explains seven types of “melodic unfoldings” that describe the unfolding of one voice. The
unfolding types are ranked from general to specific, and, collectively, the examples of the most specific “unfolding” type provide the best explanation of how to use the Ausfaltung symbol. Supporting evidence shows this suggested usage of the Ausfaltung symbol participates in both the hierarchical and recursive processes of the theory in conjunction with the Zug and the Urlinie.

The Fifth-Third-Root Paradigm and Its Prolongational Implications

One way to prolong a harmony is through arpeggiation. In Free Composition, however, there are examples where the prolonged harmony differs from the one being unfolded. Most of these involve what I refer to as the fifth-third-root paradigm, which consists of a descending arpeggiation of a triad from fifth to root, where the boundary chords stand in a V-I relationship. Schenker provides several examples of this paradigm; in each of them, the prolongation indicated by the Roman numerals is at odds with that shown by the unfolded triad. This paper contends that though seemingly inconsistent, Schenker’s interpretation is rather sophisticated, and raises several issues concerning prolongation.

Schenker’s examples show a prolongational overlap, where the arpeggiation prolongs the final chord back into the time span of the initial harmony. The two prolongations, however, are both unusual and different from one another. One arises not from the composing-out of a triad, but from our ability to retain the scale-step alive in our imagination. The other is unusual in that it prolongs a forthcoming harmony, rather than one already heard. This creates a certain harmonic ambiguity that may only be clarified by other parameters such as rhythm and meter. When the ambiguity remains the final harmony seems to emerge gradually across the overlap. By examining the fifth-third-root paradigm and its prolongational implications, this paper draws attention to the role of rhythm and meter in prolongation, and explores the concept of prolongational overlaps, laying the groundwork for a theory of harmonic emergence.

Extending Jazz Tonality: The Compositions of John Coltrane

John Coltrane’s compositional repertory ranges from the conservative to the radical, from 12-bar blues based on simple riffs to avant-garde creations that push the boundaries of form and tonality. My talk centers on Coltrane’s works that exhibit ingenious departures from convention. The basis of the talk is my article “Schenker and the Tonal Jazz Repertory,” (Dutch Journal of Music Theory 16/1 [February 2011], 1–20), in which I analyze traditional jazz tunes, i.e., pieces in standard forms with “conventional” chord progressions and concluding with perfect authentic cadences. From my analyses, I propose extending Schenker’s three background prototypes to forms I consider more idiomatic for jazz. I also suggest that my methods can be applied “systematically . . . to jazz styles beyond the traditional jazz repertory” (2011, 1). Because the Coltrane compositions I analyze deviate in interesting ways from the more traditional works discussed in the earlier article, my talk builds on and extends that work.

After a brief explanation of Martin (2011), I analyze “Lazybird” and a selection of Coltrane tunes. My talk concludes with Coltrane’s well-known “Giant Steps,” in which I argue that it is not tonal, as it does not prolong a tonic triad. From the analyses of these pieces, we see Coltrane in the 1950s and 1960s extending the traditional jazz repertory to include richly imaginative tunes with varying degrees of tonal centricity and creative adaptation of form. I conclude with a summary of background forms suggested by this group of Coltrane tunes.
Contemporary Continental Harmony

Chair: Ellie Hisama (Columbia University)

- Fractal Mathematics in Danish Music: Per Nørgård’s Infinity Series
  Neeraj Mehta (University of Michigan)
- Strange Attractors: Chaotic Form in Tristan Murail’s Attracteurs étranges
  Robert Hasegawa (Eastman School of Music)
- Berio’s Constellations and the Diverse Serial Practices of the Post-War
  Irna Priore (University of North Carolina at Greensboro)
- From Order to Désordre and Back Again
  Benjamin Downs (Stony Brook University)

Program

Fractal Mathematics in Danish Music: Per Nørgård’s Infinity Series

Early in his career, many critics hailed composer Per Nørgård (b. 1932) as the mantle bearer of Danish nationalism after Carl Nielsen. But the political and cultural changes that followed World War II motivated Nørgård to travel beyond Europe for musical inspiration. Some of his early experiments dealt with the avant-garde and minimalism, but he soon began developing compositional styles and techniques of his own, which continued to change and evolve over the last half-century. The one compositional development that has arguably had the most influence on Nørgård’s musical output is his Uendelighedsrækken or the “infinity series” which he discovered in 1959. A mathematical sequence with fractal properties used as a way to create pitch material for his compositions, this music draws upon his experiences with Eastern cultures, philosophies, and music, including travels to Bali from 1975–1980. Interestingly, Nørgård’s infinity series predated mathematician Benoît Mandelbrot’s work with fractals in his chaos theories of the nineteen-eighties. The rhythmic incarnation of the infinity series, which Nørgård calls “Sun and Moon Music”, is the basis for much of Nørgård’s percussion writing.

In this presentation, I will demonstrate how the infinity series is constructed through an integer model of mathematical operations, how fractal properties permeate the series, and how transposed and inverted iterations of the series can be generated. I will then demonstrate how Nørgård employs the infinity series in musically creative and intriguing ways to create structure, energy and drama in music.

Strange Attractors: Chaotic Form in Tristan Murail’s Attracteurs étranges

Tristan Murail’s 1992 cello solo Attracteurs étranges draws its title from chaos theory, which describes the evolution of certain dynamical systems toward states of unpredictably oscillating equilibrium (“strange attractors”). This paper examines the work from two different semiotic perspectives, considering both compositional technique (the poietic level) and listener reception (the esthetic level). A poietic approach to analysis, usually drawing on sketch material to reconstruct compositional processes, is now standard in the analysis of spectral music and has led to valuable documentation of compositional techniques. In this case, no sketches for the work are available, but it is nonetheless possible to “reverse-engineer” Murail’s compositional processes based on a general knowledge of his compositional toolkit. This poietic approach, however, contributes little to an understanding of how Murail’s specific compositional choices affect a listener’s experience of the piece. If the goal of analysis is, as David Lewin has argued, “to hear the piece better,” then the poietic approach has
limited value. A complementary, esthetic approach focuses on a close reading of the work from the perspective of a listener. Here, analytical techniques from atonal and transformational theory explore how Murail’s spectrally derived pitch materials are deployed in audibly meaningful ways to project a chaotic, unstable form.

Berio’s Constellations and the Diverse Serial Practices of the Post-War

Several years ago, an investigation on the music of Luciano Berio has led me to believe that most of his works are based on serial procedures. Most of the early scholarship on Berio assumed he abandoned serialism in the early 1950s, a fact that I have demonstrated to be incorrect. By comparing manuscripts, I carefully mapped serial structures at the start of the compositional process and followed these structures transform as they themselves into the finished work. This present study theorizes on how Berio took advantage of serial procedures in order to give coherence, unity, and structure to his works without compromising creativity and lyricism.

I refer to constellation as a collection of pitch series that resemble each other but are not pc identical nor necessarily have the same cardinality. Unlike SC similarities, when comparing two rows of different sizes, we may be comparing rows that contain all 12 pcs. This may pose as a problem, since in strict twelve-tone practice, these rows will be maximally similar and the results therefore meaningless. To account for this problem, I will consider statements of the row the present more ore less 12 pcs. In order to compare manifestations of a particular constellation, I establish similarity measures between entries of a row of different cardinalities. The work is unified by motivic unities embedded in the series.

From Order to Désordre and Back Again

György Ligeti’s music is often noted for its unique play between order and disorder. His first etude for piano, Désordre, has been analyzed by several theorists using these terms, usually to show orderly inaudible processes that elicit the ensuing audible disorder. The most thorough published analysis of this piece, by Harmuth Kinzler, follows this analytic paradigm by neglecting the forms that arise from the “algorithmic technique” at work in the piece (1991). This is in part because Kinzler, like most theorists, attempts to show the similarities between chaos theory and Ligeti’s Désordre. I will complement this approach in my analysis by showing how orderly forms emerge from the apparent chaos of Désordre.

After briefly considering how chaos is usually attributed to Désordre, I will show mappings of various emergent properties that suggest distinct orderly forms. First, I show the order constituted by synchronous phrase repetitions between the left and right hands’ separate parts. Second, I show how coincidence between significant right and left hand melodic pitches creates a dramatically apparent break at measure 99/97 (RH measure/LH measure). Next, I will show how the right hand’s persistent acceleration or consistency and the left hand’s concomitant consistency or deceleration creates a third, end-weighted form. Finally, I show how the melodic repetitions and transpositions can be represented synchronically, thereby yielding a static, “formless” order. These emergent formal patterns clarify the kind of chaos attributable to the piece and demonstrate that although orderly deterministic laws elicit chaos, order reemerges from that disorder.
Chopin Studies

Chair: William Rothstein (Queens College and the CUNY Graduate Center)

- **Sonata Form in Chopin: An Evolutionary Perspective**
  Andrew Aziz (Eastman School of Music)
- **Melodic Contour, Musical Diachrony, and the Paradigmatic/Syntagmatic Divide in Frédéric Chopin’s Waltz in B Minor**
  Rob Schultz (University of Massachusetts, Amherst)

**Sonata Form in Chopin: An Evolutionary Perspective**

This study examines Chopin’s developing use of sonata form, with specific focus on the ways that formal innovations in his Piano Concertos anticipate formal patterns in his late sonatas (Piano Sonatas No. 2 and No. 3, Cello Sonata). I examine the role of the second-theme group (S) as a primary form-defining unit in Chopin’s sonatas, and reconsider a recent debate between Wingfield and Hepokoski/Darcy regarding the application of “Type 2” analyses to Chopin’s works. While Wingfield proclaims that this analytical category is most appropriately applicable to binary forms composed in the eighteenth century (1740—1770), I posit that the tendencies which evolve within Chopin’s forms, specifically with regard to the S group, underscore the Type 2 category, providing a foundation for reconsidering these traditional eighteenth-century forms in nineteenth-century contexts.

**Melodic Contour, Musical Diachrony, and the Paradigmatic/Syntagmatic Divide in Frédéric Chopin’s Waltz in B Minor**

It is widely acknowledged that music is a temporal art. However, many theoretical and analytical constructs—harmonic reduction and voice-leading graphs, form diagrams, and pitch-class sets, to name just a few—are implicitly biased toward a *synchronic* analytical perspective, in which the musical phenomena they describe are regarded as being fully and simultaneously present before the listener-analyst. In their real-time musical manifestation, however, these phenomena do not behave as such. Rather, they only gradually emerge as the music unfolds in a *diachronic* process of becoming.

In this paper, I propose a system of melodic contour relations that is founded upon this diachronic process. After fleshing out the methodology in sufficient detail, I then deploy it in a motivic analysis of three variant source texts for Frédéric Chopin’s Waltz in B minor. The analysis reveals intriguing correlations between two phenomenologically salient types of contour relations and the work’s paradigmatic and syntagmatic axes. I then conclude by contextualizing these findings within Chopin’s broader compositional and performance practices. Drawing specific connections to the sketch for the *Berceuse*, Op. 57, as well as his penchant for ornamental variation and musical genre blending, I ultimately assert that the melodic contour relationships at work in the B minor Waltz reveal a nascent proclivity for these important hallmarks of Chopin’s mature style.
Harmonic Mediation and the Triad: Gaffurio, Zarlino, Lippius and Pietro d’Abano’s Commentary on the Pseudo-Aristotelian Problems

David E. Cohen (Columbia University)

Argument and Evidence in Music Analysis: Musical Examples as Case Studies

Daniel Harrison (Yale University)

Harmonic Mediation and the Triad: Gaffurio, Zarlino, Lippius and Pietro d’Abano’s Commentary on the Pseudo-Aristotelian Problems

Until the end of the fifteenth century medieval contrapuntal theory provided no way to conceptualize polyphonic sonorities larger than dyads. Yet by 1612 Johannes Lippius was able to provide the first clear articulation of the concept of the triad as a unified sonority, the effective unit of harmony. Crucially linking these two moments was Zarlino’s concept of “perfect harmony” as involving multi-voice sonorities whose outer voices are “mediated” (tramezati) by one or more intervening pitches and intervals, ideally according to harmonic proportionality. In this paper I consider the origin and early form of this idea of harmonic mediation in the writings of the most influential theorist of the late fifteenth century, Franchino Gaffurio, specifically his Practica musice (1496) and his De harmonia musicorum instrumentorum opus (1518).

As I show, it now seems that the important role played by the concept of harmonic mediation in Gaffurio’s thought—and hence, ultimately in Lippius’s concept of the trias harmonica—was inspired by a specific passage in an oft-cited work composed two centuries earlier (c.1290-1310): the commentary on the pseudo-Aristotelian Problems by the eminent physician, philosopher, and university professor, Pietro d’Abano. Ironically, this passage in its original context had nothing whatever to do with polyphonic “harmonies.” Further, it was part of a response to a Greek text in which the very mention of the “mean” is almost certainly the result of textual corruption.

Argument and Evidence in Music Analysis: Musical Examples as Case Studies

The use of musical examples as supporting evidence of theoretical and analytical claims is a leading feature of theoretical discourse—so much so that many unstated assumptions surround their selection and deployment. This paper shows that examples are essentially case studies of the claim and imports the nuanced and sophisticated understandings of case-study methodology from social-science research. The paper describes the evidentiary powers and limitations not only of the “central” case, which is the standard in music theory, but also of the “extreme,” “critical,” and even “deviant” case, among others. These are then used to illustrate how a hard-to-categorize compositional procedure, “neo-tonality,” can be effectively theorized. Along the way, the paper shows how a case-study perspective brings out an unsuspectedly unique aspect of music-theory pedagogy.
Russian Music and Thought

Chair: Lynne Rogers (William Patterson University)

- Alfred Schnittke’s Triadic Practice
  Christopher Segall (University of Alabama)
- Arches or Circles? Reverse Recapitulations vs. Double-Rotational Structures in Shostakovich’s Fourth and Fifth Symphonies
  Charity Lofthouse (Hobart and William Smith Colleges):
- Rachmaninoff’s Branch on the Russian Oak: Rotational Form and Symmetrical Harmony in The Isle of the Dead and the ‘Intermezzo’ of the Third Piano Concerto
  Stephen Gosden (Oberlin College Conservatory)
- Russian Pitch-Class Set Analysis and the Music of Webern
  Philip Ewell (Hunter College and the CUNY Graduate Center)

Program

Alfred Schnittke’s Triadic Practice

In several atonal works of 1975–1985, Alfred Schnittke deploys successions of consonant triads in ways that defy tonal-functional explanation. Schnittke’s triadic practice adheres to a consistent set of principles that have not been previously recognized. Some scholars have related Schnittke’s use of triads to his well-known concept of—“polystylist,” even though he uses triads in contexts that do not otherwise invoke historical styles. Others have identified his pervasive use of the triadic relation known in English-language scholarship as SLIDE, but have not realized that this relation constitutes only a component of a broader systematic framework. In this paper, I will show that this particular framework affords Schnittke maximum voice-leading flexibility while specifically avoiding tonal reference. Beginning with three near-simultaneous works—the Hymn II (1974), Requiem (1975), and Piano Quintet (1972–76)—Schnittke largely focuses on three triad-to-triad relations: P (parallel), S (SLIDE), and a third relation, called M in this paper, which relates a major triad to the minor triad whose root lies three semitones higher (e.g., C major and E-flat minor). As I will demonstrate, each of the three relations connects the two most distantly related triads that preserve a different number of common tones (2, 1, and 0 respectively). This allows Schnittke to construct progressions that are flexible with regard to common-tone preservation and that avoid the patterns of tonality. Examples from several of Schnittke’s works will illuminate the composer’s unique, systematic solution to the problem of establishing a late-twentieth-century triadic practice.

Top

Arches or Circles? Reverse Recapitulations vs. Double-Rotational Structures in Shostakovich’s Fourth and Fifth Symphonies

Formal analyses of Dmitri Shostakovich’s sonata-form movements often focus on the idea of “sonata arch” or “reverse recapitulation” structures, wherein the primary- and secondary-zone themes return in reverse order after the development. Using methodology from Hepokoski and Darcy’s Elements of Sonata Theory (2006), this paper examines such structures through the lens of rotational form, describing Shostakovich’s “reverse recapitulations” as a unique blend of double- and triple-rotational sonata-form characteristics.

I begin by outlining double- and triple-rotational sonata structures—layouts corresponding to Hepokoski and Darcy’s Type-2 and Type-3 sonata forms respectively. Rotational form frames the
referential thematic pattern—first established as an ordered succession at the piece’s onset—as a rhetorical principle rather than a tonal one. A return of the primary theme in the coda, considered a hallmark of the “reverse recapitulation,” actually underscores the ordered rotational structures and is equally common in double- and triple-rotational sonatas. Next, analyses from Shostakovich’s fourth and fifth symphonies illustrate his techniques of blurring the lines between double- and triple-rotational constructions. Finally, further examples consider coda presentations of the P-theme, a regular feature of Shostakovich’s work. Examinations of Symphony No. 5’s delayed ESC and inverted P-theme and Symphony No. 4’s unaltered P-theme explore the theoretical and hermeneutical ramifications of each coda’s thematic return and its dialogue with the overall sonata structure.

Rachmaninoff’s Branch on the Russian Oak: Rotational Form and Symmetrical Harmony in The Isle of the Dead and the ‘Intermezzo’ of the Third Piano Concerto

The year 1909 is often characterized as a turning point in the development of Rachmaninoff’s compositional style. Numerous theorists and biographers observe a substantial rise in the harmonic, rhythmic, textural, and formal complexity of his music starting at this time. However, like many of his compositions, the two works written that year—The Isle of the Dead (composed January-March) and his Third Piano Concerto (composed that summer)—have received only modest analytical scrutiny. In this paper, I argue that the formal, tonal, and thematic organization of the symphonic poem served as a catalyst for the stylistic developments mentioned above in ways that have not been fully addressed, and I demonstrate this is especially evident in the piano concerto's second movement ("Intermezzo").

To begin, I discuss how Rachmaninoff employs what Hepokoski and Darcy call the "rotational principle" as a way of deliberately eschewing conventional formal models in The Isle of the Dead, and how this relates to David Cannata's observation that its tonal structure is based on the equal division of the octave. I then show how the Intermezzo combines the formal and tonal logic of the symphonic poem with the more schematic aspects of Rachmaninoff's earlier instrumental works, and as a result sometimes gets labeled (misleadingly) "theme and variations." Furthermore, Viktor Tsuukerman describes this movement as illustrative of the so-called "Kamarinskaya principle." Therefore, I address Richard Taruskin's problematization of Tchaikovsky's dictum that the whole Russian symphonic school was in Glinka's Fantasia, "just as the whole oak is in the acorn."

Russian Pitch-Class Set Analysis and the Music of Webern

In 1965 Pierre Boulez performed Webern's op. 6 in Moscow, one of the first live Webern performances ever heard there. Awestruck, brother-and-sister Yuri and Valentina Kholopov began work on Webern: from 1965 to 1970 they wrote two books thereon (published 1984 and 1999). Working from scores and a few writings by Europeans—Stockhausen, Pousseur, Metzger, Kolneder, and Karkoschka—Valentina Kholopova devised a system of pc set analysis, which Yuri later named "hemitonicism." She first presented her findings to the Soviet "Union of Composers" in the early 1970s, and then published a follow-up article in 1973. In this paper I will explicate this most important parallel development in Russian Music Theory.

In her 1973 article, Valentina Kholopova gives brief hemitonic analyses for: Brahms, Franck, Shostakovich, Stravinsky, Liszt, and Bartók, among others; so, she clearly felt this system could be applied to other composers. In hemitonicism, octave, enharmonic, transpositional, and inversional equivalence are all operative. There are two types of hemitonicism: fields (the continuous filling in, by semitone, of some portion of the chromatic scale), and groups (five three-note and five four-note archetypal pc sets that feature at least one semitone—there are, therefore, ten total archetypal sets in the hemitonic system). By looking at some of their analyses and doing some new analyses, I will
show that this system bears many resemblances to American pc set analysis, with many interesting and significant differences.
Sunday, 9:00–10:30 am

**Perspectives on Form in Bach and Beethoven**

**Chair: Poundie Burstein (Hunter College and the CUNY Graduate Center)**

- **C.P.E. Bach’s Symphonies and the Composer-Specific Study of Form**
  Jason Yust (Boston University)
- **The Anticipated Tonic in Beethoven’s Thematic Returns**
  Mark Richards (University of Lethbridge)

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**C.P.E. Bach’s Symphonies and the Composer-Specific Study of Form**

Theories of form in the later eighteenth century, from traditional *Formenlehre* to more recent approaches, tend to be based on a small number of composers yet often presume to apply universally. However, at least one important composer of the period, C.P.E. Bach, drew from a different universe of formal procedures than his better-studied contemporaries. Attempts to fit Bach’s more idiosyncratic symphonic forms into the mold of sonata form misrepresent their underlying logic and overextend the sonata form model. Cases like this require *composer-specific* studies of formal models and procedures. Caplin’s theory of formal functions is useful in approaching previously undefined formal types, because it describes formal processes that are not specific to particular full-movement models.

Bach’s formal procedures in symphony first movements are quite consistent. They are based on rotations of thematic material, but never have repeated sections, because Bach typically elides the end of the first rotation with the subordinate-key repetition of the main theme in the manner of a concerto ritornello. These movements therefore violate what is perhaps the most basic principle of sonata form which is the non-elision of exposition and development (or in Caplin’s terms, the independence of the essential cadential function of the subordinate theme). Bach’s “van Swieten” symphonies no. 1 (G major) and no. 5 (B minor) are good examples of Bach’s first-movement form.

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**The Anticipated Tonic in Beethoven’s Thematic Returns**

The recapitulation is one of the most predictable landmarks in a classical sonata form, for it is, as James Webster (2001) writes, usually the point of “double return” to the movement’s opening theme (the thematic return) in the tonic key (the tonal return). But as James Hepokoski and Warren Darcy (2006) have recently countered, the more fundamental aspect of a recapitulation is the thematic return of the opening module (P1.1) at the start of a larger “recapitulatory rotation,” which cycles through the material of the exposition in the same order. Thus, we may still understand this P1.1 to begin a recapitulation in the face of such harmonic oddities as a non-tonic key or the parallel mode of the tonic. In the case of Beethoven, a striking anomaly that occurs with some frequency is the sounding of tonic harmony before the onset of the recapitulation, a tactic that even extends to thematic returns in other similarly organic forms such as sonata-rondo and rounded binary.

Beethoven’s anticipated tonics fall into three distinct categories. The first entails an early and unambiguous tonic harmony or tonic pedal. In the second, the function of a non-tonic harmony is converted to tonic, which then leads to the thematic return. And in the third, apparent early P1.1 material is sounded at the level of the tonic. This paper argues that Beethoven’s anticipated tonics are part of a broader compositional strategy of “displacing” the tonic harmony, either to an unexpected location or away from an expected one.
Of Moths and Bulls: Issues of Pitch in Vocal Music

Chair: Yonatan Malin (Wesleyan University)

- ‘In Zusammenhang mit dem Zwölftonwegs sprechen’: A Reconsideration of ‘Nacht’
  J. Daniel Jenkins (University of South Carolina, Columbia)
- Together Intertwined: Carmen’s Final Number
  Emma McConnell (Eastman School of Music)

Program

‘In Zusammenhang mit dem Zwölftonwegs sprechen’: A Reconsideration of ‘Nacht’

In summer 1911 Schoenberg sent his publisher a précis for a book called Composition with Independent Voices. Although the project was never completed, this focus on polyphony emerges strongly in Pierrot lunaire. While many authors have noted the polyphonic textures in some of the Pierrot songs, none has considered how Schoenberg’s understanding of polyphonic composition informs their analysis. In this paper, I will show how Schoenberg’s conception of Abwicklung (contrapuntal composition), implicit in the counterpoint précis and explicit in later writings, informs my analysis of “Nacht.”

In contrapuntal music, “all development takes place through alteration of the mutual relation to each other. The components not only can remain unaltered but even must.” Thus, to consider “Nacht” as contrapuntal, we must focus not only on the immutability of its principal three-note motive, but also on the relationships between simultaneous voices. Recognition of the interaction of voices emphasizes the contrapuntal nature of “Nacht.”

Documentary sources including Stein’s “Neue Formenprinzipien,” Berg’s analysis of Pierrot, and the anonymous document, “Komposition mit zwölf Tönen,” reveal that within Schoenberg’s circle, “Nacht” held special significance. From Schoenberg’s Formenlehre perspective, “Nacht” shares much more in common with the serial works that followed it than the atonal compositions that preceded it, but since it is arguably the most analyzed of all of Schoenberg’s atonal works, many consider it representative of that period. Therefore, I conclude the paper with a discussion of what this analysis of “Nacht” might elucidate about Schoenberg’s atonal period music in general.

Together Intertwined: Carmen’s Final Number

The musical construction of the final number in Bizet’s Carmen serves to intensify the dramatic climax of the opera through formal instability, expressive tonality, and global tonal failure. I divide the number into four stages, each initiated by a recitative that is followed by more closed forms in Stages 1 and 2 but in Stages 3 and 4 gives way to fragmentary and tonally unstable passages. Voice-leading diagrams of the closed forms within Stages 1 and 2 provide us with evidence of both their traditional features and the subtle dramatic clues found in their deviations from the norm.

Linear analysis of the fourth stage and conclusion provides an explanation for the musical organization of this section, which resists categorization into tonal and formal prototypes: an ascending linear structure from C to F# in the vocal line invokes the ideas of sonorità and expressive tonality. The tonal trajectory of the number travels through a looser version of the same stepwise ascent, culminating in a
key which fails to close the opera, the act, and the number. In these ways, Bizet carefully creates dramatic tension in this scene by slowly unraveling the structural stability of the music.

Program